

**Testing Theories of Performance:
Measuring Effectiveness at the
United States Postal Service
Office of Inspector General
Office of Audit**

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of the requirements for the degree of
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ABSTRACT

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A qualitative design and case study method was used to examine the theories of performance and to measure the effectiveness of the United States Postal Service (USPS) Office of Inspector General (OIG) Office of Audit (OA). The most important finding of this research was the impact of having employees engaged in the mission of the organization; having a clear assessment and determination of progress towards that mission defined as a composite of interrelated performance measures and key indicators of success; and assuring that employees can translate and utilize these tools of performance.

Herzberg's two-factor theory distinguishing extrinsic and intrinsic motivators, and his position that the most important were "recognition, work, responsibility, and advancement" (Accel, 2009) served as the theoretical framework for the research in this study, particularly the analysis of performance motivation in the work place. In addition, a central hypothesis in the study is derived from Frankl's belief that individuals want and need meaning in their lives. This proposition best summarizes how the mission of an organization, and the role that an individual plays in that organization, can lead to the most productive and engaged employees and a better performing organization. This hypothesis is confirmed by the USPS OIG OA performance data analysis in the study and is consistent with the findings of the Office of Personnel Management Federal Human Capital Survey and the U.S. Merit Systems Protection Board Merit Principles Survey results.

Frankl's premise best explains how a federal audit organization can achieve its intended results by having a workforce that is primarily focused on the mission of the organization, and by having individual performance measures related to the success of that organization. The study findings have significant implications for theories linking individual performance to organizational, policy and program performance; as well as for agencies seeking to link incentives for individual performance to overall agency performance.

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Introduction

a. Purpose of the Study

The purpose of this study is to critically examine selected theories of performance, specifically those theories of performance most suitable to measure the efficacy of the United States Postal Service (USPS) Office of Inspector General (OIG) Office of Audit (OA). A key dimension of the study is the interplay between individual and organizational performance. Measures of organizational performance often imply this link but seldom explicate the link as performance measures are selected and utilized.

b. Central Research Question

The central research question guiding this study is, what theories of organizational performance best explain whether a federal audit organization achieves its intended results or performance efficacy, and how do these theories link employee and organizational performance?

A key theoretical dimension of public sector organizational performance resides in behavioral science. It is commonly assumed that, when public service employees are appropriately motivated, their productivity improves thereby improving agency productivity. John Stacey Adams,

"a workplace and behavioral psychologist" (Fowler, 2006), is the primary influence on the theoretical framework of this study. In 1963, Adams formulated a theory of inequity suggesting that employees would be more motivated and would improve productivity when they perceive their treatment by the agency to be fair. This came to be known as Adams' Theory of Inequity. As discussed in Goodman and Friedman's 1971 article, *An Examination of Adam's Theory of Inequity*, employees become demotivated when they perceive an imbalance between their capacities and organizational input "such as age, education, and physical effort" and their outcomes, particularly "rewards such as pay or job status"). Adam's theory (1963) posits that it is the perceived disparity between pay and work load that ultimately matters in individual employee performance, and therefore in organizational or agency performance.

Moreover, employees become demotivated when they perceive their inputs or employee efforts to be greater than their outputs (Fowler, 2006). Fowler (2006) argues that inputs include factors such as: "effort, loyalty, hard work, commitment, skill, ability, adaptability, flexibility, tolerance, determination, enthusiasm, trust in superiors, support of colleagues, and personal sacrifice".

Additionally, Fowler (2006) states that "outputs typically include: financial rewards (such as) salary, benefits, and perks, and intangibles... (such as) recognition, reputation, responsibility, sense of achievement, praise, stimulus, sense of advancement/growth, and job security.

Ultimately, as stated by Gordon W. Allport citing Viktor Frankl in the preface for Frankl's *Man's Search for Meaning*, individuals have "the ability to 'choose one's attitude in a given set of circumstances'" (1992).

Although Frankl's personal experience was extreme as a prisoner in a concentration camp, his hypotheses are relevant to the more mundane work experience in that motivation matters to people. In Frankl's case, his personal survival of the Holocaust and loss of food, comfort, work, family, friends, and community were significantly more difficult circumstances than those experienced by employees, such as at the USPS OIG OA. Further, individuals may have meaning in their personal life which allows them to persevere in a job that offers them minimal meaning. However, Frankl's point is well made in that having meaning in one's life be it personal or found at work is an important motivational factor. Given the constraints of circumstances in an organization,

including the inputs and outputs defined above, getting at the heart of exactly what motivates people is critically important to organizational efficacy. For public organizations, organizational efficacy is the key to public and policy accountability and performance.

In addition, Frankl suggests that success is something that ensues from the "dedication to a cause greater than oneself" (1992). Specifically, if a person carries out to the best of their abilities what their conscience commands them to do, then they will be successful (Frankl, 1992). These existential considerations are important elements that need to be acknowledged when studying motivation and effectiveness in the workplace.

In addition to this existential dimension, it is also important to consider the role of socialization in employee behavior. Socialization is the behavioral orientation of employees derived from their family, faith and educational backgrounds. In 1968, Edgar Schein defined organizational socialization as "the process by which a new member learns and adapts to the value system, the norms, and the required patterns of an organization, society, or group" (ed. Cooper, 2000). Schein also characterized professional socialization as the "professional attitudes" associated

with traditional professions (ed. Cooper, 2000). For the purposes of this study, employees are socialized by both the professional and ethical standards of their profession (i.e., quality standards for auditors and continuing professional education requirements) and the length and intensity of their experience in the organization. So, habits of performance may be just as significant as the existential moments of an employee's work life.

Some of the qualities and capabilities attributed to employee performance cannot be measured precisely. For example, motivation is an ordinal-level measure approachable through Likert-scale methodology but is not exactly measured. Therefore, to assess effectiveness, the first task is to ascertain the operating theories of performance that underlie the performance measurement tools. The next and related task is then to determine the appropriate relevant data that would both meet the measurement expectations and the associated theory of performance. These data are usually quantitative in nature. However, a key issue raised later in the study is whether a more triangulated method of data identification, collection and analysis, including qualitative data such as employee stories, may more accurately portray and explain employee

behavior and performance than simply relying on quantitative analysis due to the subtle nuances associated with motivational factors. Further, Patria de Lancer Julnes (2008) states "that implementing performance measurement efforts have proven difficult in public organizations".

In addition to the data describing accomplishments published in agency annual reports, a fundamental and current tool for measuring organizational performance is contained in a pay-for-performance (PFP) program. This is the case for the USPS OIG. A number of federal agencies are using or developing PFP programs. The kinds of data generated in a PFP program at an audit organization are generally related to its processes and fundamental mission and can include things such as: the amount of monetary benefits or findings in the audit reports, the number of audit reports completed, the percentage of significant recommendations accepted by the audited organization, and the average number of staff and calendar days to complete an audit report.

In this case the PFP process is used to identify the better performing employees via these key indicators with the intention that this process will then motivate all

employees to produce better audit reports. Performance goals can be set at the beginning of the fiscal year (FY) for the audit organization and then cascaded down to lower levels of management to allocate amongst their staff. Pay bonuses can be set to correlate employee achievement towards the set goals with a standardized assessment process.

In addition to being rated on individual achievement towards set performance goals, employees are also tied to their manager's perceived achievement of their work unit (i.e., the team or directorate). The unit's performance is deemed to be the aggregation of the collective individual achievements, and is articulated among and through units throughout the agency. Employees can be rated on a set scale, then receive a pay increase and/or bonus, as indicated by their rating. Poor performers can be excluded from the pay increase and bonus and may be put on a formal performance improvement plan.

c. Background to the Study

**i. *Statement of the Problem and its
Administrative Dimensions***

When critically examining the issue of measuring the effectiveness of a federal audit organization via examining PFP programs, numerous issues come to light. Although the

PFP concept has gained the support of influential government leaders, the means by which that process is supposed to occur has not been explicitly defined. Further, efforts to measure accountability in the workplace may interfere with "the responsibilities that individuals in organizations have to carry out" (Radin, 2006). According to Radin (2006), typical problems with performance "management reform efforts" are the following: relying on formal analytical approaches without attention to the political context in which they occur, jumping to measure outcomes without attention to decision processes, highlighting efficiency goals without including a focus on equity questions, a reliance on a one-size-fits-all approach, difficulty finding decision processes that will use the information developed, and separating management activities from substantive program concerns."

Radin's work builds on the themes contained in Henderson's 1995 article, in which he discusses "the perennial challenge of metrics", which is the "measurement or assessment of agency performance against goals and objectives specified in strategic plans." Henderson (1995) contends that there is spurious "precision in assessing how much or how well an agency is not only generating outputs

but truly achieving outcomes." This is due to the intrinsic difficulty in measuring and defining results. Specifically, the immediacy of the measurement, and the roles that "missions, goals, and objectives play in the inventing and application of performance assessment tools" (Henderson, 1995). As a result, it is difficult to reach a conclusion about the efficacy of PFP in the public sector based upon the existing literature on this issue. Berger (2000) affirms that "relating competencies to pay" can either be "a desirable or a dangerous practice".

ii. Current Federal Policy and Concerns

More than 20 years ago, the Office of Personnel Management (OPM) asked the Committee on Performance Appraisal for Merit Pay "to review current research on performance appraisal and merit pay and to supplement the research findings with an examination of the practices of private-sector employers" (Milkovich and Wigdor, Eds. with Broderick and Mavor, 1991). The committee was unable to delineate the best way to administer a PFP program in the federal sector, and did not provide specific recommendations for problems in the Performance Management and Recognition System (which is the federal government's system of performance appraisal and merit pay for mid-level

managers). However, the committee suggested that employee acceptance and the context of the implementation of the PFP program were critical aspects for consideration.

Historically, government administrations, OPM, the Government Accountability Office (GAO)-formerly known as the General Accounting Office, and Congress strongly support a PFP environment for the public sector. However, it is less clear how this would be implemented fairly and what the consequences of implementing PFP programs would mean for public sector employees. Further, few agencies embraced a PFP environment and those that did experienced numerous pitfalls subsequently documented in news articles.

Perry and Petrakis (1988) reiterate that "merit pay theory may itself be flawed", and that its "failures are not a result of poor implementation". "The primary problem supervisors encounter is not with knowing who are the best performers, but in measuring and documenting performance differentials" (Perry & Petrakis, 1988). "Merit pay often fails as a motivational program because of the inability to accurately and completely measure performance" (Perry & Petrakis, 1988). For merit pay to influence behavior, Perry and Petrakis (1988) state that employees need to have confidence that "good performance will result in a good

rating". Another failure is the "reduction of cooperation" effect of merit pay policies (Perry & Petrakis, 1988).

The collective understanding is that PFP initiatives in government agencies are expected to result in increased accountability, productivity, and control. Peters and Pierre (2003) agree that "measuring public sector performance and effectiveness" is an appropriate undertaking. A number of broad issues can be addressed efficiently across the entire organization when a PFP system is coordinated and communicating well within itself. Given that federal agencies are complex and interdependent, it is expedient to have a "system wide perspective... to focus on the overall efficiency and effectiveness" of the entire system when implementing a change to one part of the system (Hudzik & Cordner).

However, the government has not proposed a singular model of PFP, and instead, interested agencies are developing their own systems. As a result, the effectiveness of such systems has not yet been demonstrated, and success achieved using one methodology may not be comparable to other PFP programs that are dissimilar. If existing PFP systems are not identical and implemented in the same manner, then it will be difficult

to state definitively that PFP works or that it does not. The "persistent criticisms" of PFP programs is that they are "too opaque, and employees don't understand how their evaluations are written" (Carlstrom, 2009). "Deeper concerns" include "the perceived quotas that limit the number of employees who can receive good ratings" (Carlstrom, 2009). Further, there may have also been some additional unintended consequences from utilizing a PFP system, such as the impact it has on morale and retention of employees. Moreover, Bell (1991) cautions against the "dysfunctional consequences of performance measurements." It is important to create the "perception of fairness" (Smither, 1998). As noted in Steers and Porter (1991), there are "equity theory predictions of behavior in organizations" that cannot be ignored. Specifically, "equity theory proposes that individuals who perceive themselves as either underrewarded or overrewarded will experience distress, and that this distress leads to efforts to restore equity" (Huseman, Hatfield & Miles, 1987). Adams (1965) posits that underpayment equity results in anger and that overpayment equity may result in guilt. Either of these scenarios are not optimal for the organization.

Without a comprehensive and coordinated PFP system, employees may find working in the organization to be a chaotic experience with unclear mandates, competing roles, blurred responsibilities, indistinct leadership, and evolving roles with conflicting and overlapping interests that do not correlate with the compensation system. An uncoordinated PFP system "engenders fragmentation in decision-making and difficulties in coordinating various... (internal processes), and threatens thereby the overall efficiency and effectiveness" of the organization (Hudzik & Cordner). Further, "poor planning and faulty problem analysis... are the primary reasons that so many... interventions fail" (Welsh & Harris, 1999). Ultimately, equity is not served in a disconnected system lacking an overarching plan or strategy compounded by the inherently difficult task of ascertaining the effectiveness of any group of employees.

In order to be successful, a PFP system needs to have a clear "vision of success" (Bryson, 1995) as well as a plan for how to achieve this vision. Training supervisors and other staff on how to best manage employees via a PFP program would also increase its probability of success. Additionally, the metrics used to measure the progress

towards "goals and objectives must consist of...: what is to be done (content); for or with whom (who); at what rate, level, quantity, or quality (assessment target); and..." the specific "outcome target" (Henderson, 1995). According to Henderson (1995), "Without these components, determining what inputs (human, financial, technological, and infrastructural resources), output, and outcomes will be assessed is all but impossible." Further, Henderson (1995), posits that "distinguishing evaluation (were objectives achieved?) from impact analysis (what else happened?) will be essential to successful outcomes-oriented metrics".

Hudzik & Cordner state that "planning links present actions to future conditions", which is the fundamental principle that PFP systems operate under. Further, PFP systems need to recognize that activities may be necessarily coordinated across an organization in order to maximize efficiencies and integrate internal and external efforts so as to best serve the clientele of that system. Therefore, prior to implementation of a PFP system, it is imperative to first analyze the "environment of a program", then "the interactions between a program and its environment", and lastly, the "organizational processes and

their interactive nature" (Sylvia & Sylvia, 2004). This is clearly difficult to do well as the temptation is "to focus only on those aspects of agency outputs and outcomes that can be" more easily "quantified and" presented (Henderson, 1995).

Another difficulty to overcome is that although it appears to be inherently correct to assume that compensating those individuals who perform better and have a greater rate of productivity would lead to a greater overall rate of productivity for the organization, this is not necessarily the case in government. Much of the work done in the public sector is not easily quantifiable, certainly not as quantifiable as work done in a production line. Work that occurs in the private sector, particularly that done in a production or operations environment, has a more direct relationship between the greater the number of objects produced and the higher productivity of that individual or group, and the resulting greater productivity of that operation. In government work that has missions geared toward public service, the greater good, and the prevention of bad things for society; the link between work being done and achieving results is less clear. Additionally, much of government work is done in teams

where it is difficult to isolate the specific contribution of each individual. Further, Xiaohu Wang (2010) suggests that "it is incorrect to equate the aggregate of individuals' performances to organizational performance" in that individuals "have to work with many other things such as technology, infrastructure, and the decision-making structure". Moreover, Turner (2001) emphasizes the need to understand "individual motivation in groups", which is impacted by the pay and awards system in place.

Beginning in 2002, OPM conducted the Federal Human Capital Survey (FHCS) to assess the strategic management of the federal workforce. This survey, with slight revisions, was again conducted in 2004, 2006, and 2008. Survey questions are grouped into the following categories: leadership and knowledge management, results-oriented performance culture, talent management, and job satisfaction (OPM, 2008). Beginning in 2007, federal agencies were also required to conduct an annual survey that assesses their human capital management as indicated by indices in the Human Capital Assessment and Accountability Framework. These indices are contained in the biannual FHCS. Appendix B contains the FHCS questions

and results for 2008, and shows which questions also pertain to the annual survey.

In July 2009, the U.S. Merit Systems Protection Board (MSPB) published a report entitled *Managing for Engagement - Communication, Connection, and Courage*. This report posits that "the foundation of effective performance management" is "communicating openly and honestly with employees, connecting with them as people to build strong working relationships, and demonstrating the courage to address and resolve problems" (MSPB, 2009). Further, the MSPB (2009) reaffirms "the positive relationship between high levels of employee engagement and desired organizational outcomes". Moreover, the MSPB (2009) identifies six drivers of employee engagement: pride in one's work and workplace, satisfaction with leadership, opportunity to perform well at work, positive work environment, satisfaction with the recognition received, and prospect for future personal and professional growth. Appendix C contains the 2007 MSPB Merit Principles Survey (MPS) instrument.

iii. The Administrative Strategy Intended by PFPs

Given that the public is demanding a greater personal accountability of its government workers, this attention on

individual employee performance is an issue that comes to the forefront. "Performance measurement"... is seen as a way to "deliver value" (Chingos, 2004).

A critical element of federal agencies' effectiveness is the implementation and effectuation of its mandates. "Without effective implementation, important issues will not be adequately addressed" (Bryson, 1995). In order for any organization to be effective, it needs to identify and fulfill its mission, meet its mandates, and satisfy stakeholders. After developing and executing a strategic plan, agencies recognize the opportunity to make individual employees responsible for helping to attain organizational goals. The common belief is that a PFP system encourages employees to "exercise as much discretion as possible in the areas that are under (their) control" (Bryson, 1995) to effect the desired change. Osborne and Hutchinson (2004) suggest organizations "reward performance, not good intentions". In this way, employees can then become accountable for the achievement of organizational goals. This is how the requirement of agency strategic plans and annual performance plans have the *de facto* effect of becoming the burden of individual employees to carry out these initiatives. A natural consequence is that

organizations are then primed to identify and establish performance measures for individual employees, which then leads to the monitoring of progress and gauging of achievement of individual employees. It appears that "paying for performance" is the current climate (Chingos & Marwick, 1997). Thus the stage for establishing PFP programs is effectively set across government, including the inspector general (IG) community.

Literature Review

a. Criteria for Literature Selection

The criteria for literature to be included in this study was based on a search of academic, archival, policy and other literature on the issues of theories of performance, pay for performance, merit pay, motivation, and increased productivity as related to the research question guiding this study. Specifically, theories of employee performance were examined and assessed as to which could best explain whether a PFP program in a federal audit organization achieved its intended results. Behavioral science motivation and equity theories were focused on. Further, the sources found in the reference sections of relevant articles were considered to ensure comprehensive coverage of the issues studied. Only the most pertinent theories from the identified literature were selected, based upon analysis of the performance and survey data.

b. Academic Literature

PFP systems across government can also be understood using Dye's description and analysis of the institutional model. This model argues that "government lends legitimacy to policies" (Dye, 2005, p. 12). This means that once a

system is in place, the mere fact that it exists makes it appear "important and binding" (Dye, 2005, p. 12). Dye is also clear that structures accumulate around this legitimacy and that much of the model is devoted to structural intent and design. Additionally, once a PFP system is created in one part of government, it lends itself to being duplicated in other parts of government. According to Dye (2005), this is the principle of "universality". Further, the government has the ability to legitimately use force to get people to comply with its policies (Dye, 2005). So, although the principles of federalism exist; that is, each federal agency can define their own PFP policy; ultimately, the government tends to create overarching policies for its agencies. Usually this occurs via incrementalism, in that pilot projects are conducted by various entities, which then become the model for the rest of government to abide by.

The foundation of motivation theory was established in a variety of fields. As presented by Shafritz and Hyde (1997), in 1943, the humanistic psychologist Abraham Maslow defined a hierarchy of needs that he believed to be necessary for an individual to reach their fullest potential and fulfillment as a human being. These needs

are: (1) physiological, (2) safety, (3) love, affection and belongingness, (4) esteem, and (5) self-actualization.

This was Maslow's Theory of Human Motivation. Albert Bandura (as cited in MSPB, 2009) defines motivation as the choices people make among competing alternatives and the level of persistence or effort they invest in pursuing that choice. Specifically, a motivated employee will pursue the successful completion of a task and an unmotivated one will delay completion or abandon a difficult task (MSPB, 2009).

Douglas McGregor outlined his Theory X and Theory Y in his article, *The Human Side of Enterprise*, as cited in Shafritz and Ott (2001). These theories presented different models for motivation for employees. Specifically, Theory X posits that people inherently dislike work and will avoid it. Theory Y posits that people will contribute in the workplace if they are committed to the mission of the organization and find the work satisfying (Shafritz & Ott, 2001).

In 1995, Latham cited N.R.F. Maier's 1955 equation of "job performance = ability x motivation", and stated that this was "Vroom's former mentor". In 1964, Victor Vroom (1995) put forth his Theory of Expectancy, in which he argued that motivation is based on the following

expectations: a positive correlation between efforts and performance, good performance translates into desirable rewards, the reward satisfies an important need, and the desire to satisfy the need makes the effort worthwhile. According to Vroom (1995), this theory is based on the following three beliefs: (1) valence, defined as the employee's attitude toward the reward, (2) instrumentality, defined as whether the employee can trust management to deliver the reward, and (3) expectancy, defined as what the employee can expect for the level of effort. Further, as discussed by Iguisi (2009), "people will be motivated to pursue the achievement of a desired goal if: (1) they believe in the worth of the goal; and (2) they believe that their actions will ensure the attainment of the goal."

Following is a discussion of the theories of motivation related to the PFP process. Cited by Agarwal (1982), Frederick Herzberg advocated a "two-factor theory of motivation" which states that motivators are either extrinsic or intrinsic. As cited on the Accel website, Herzberg posits that "supervision, interpersonal relations, working conditions, and salary" have a limited motivational effect; but that "recognition, work, responsibility, and advancement" are critical motivational factors in the

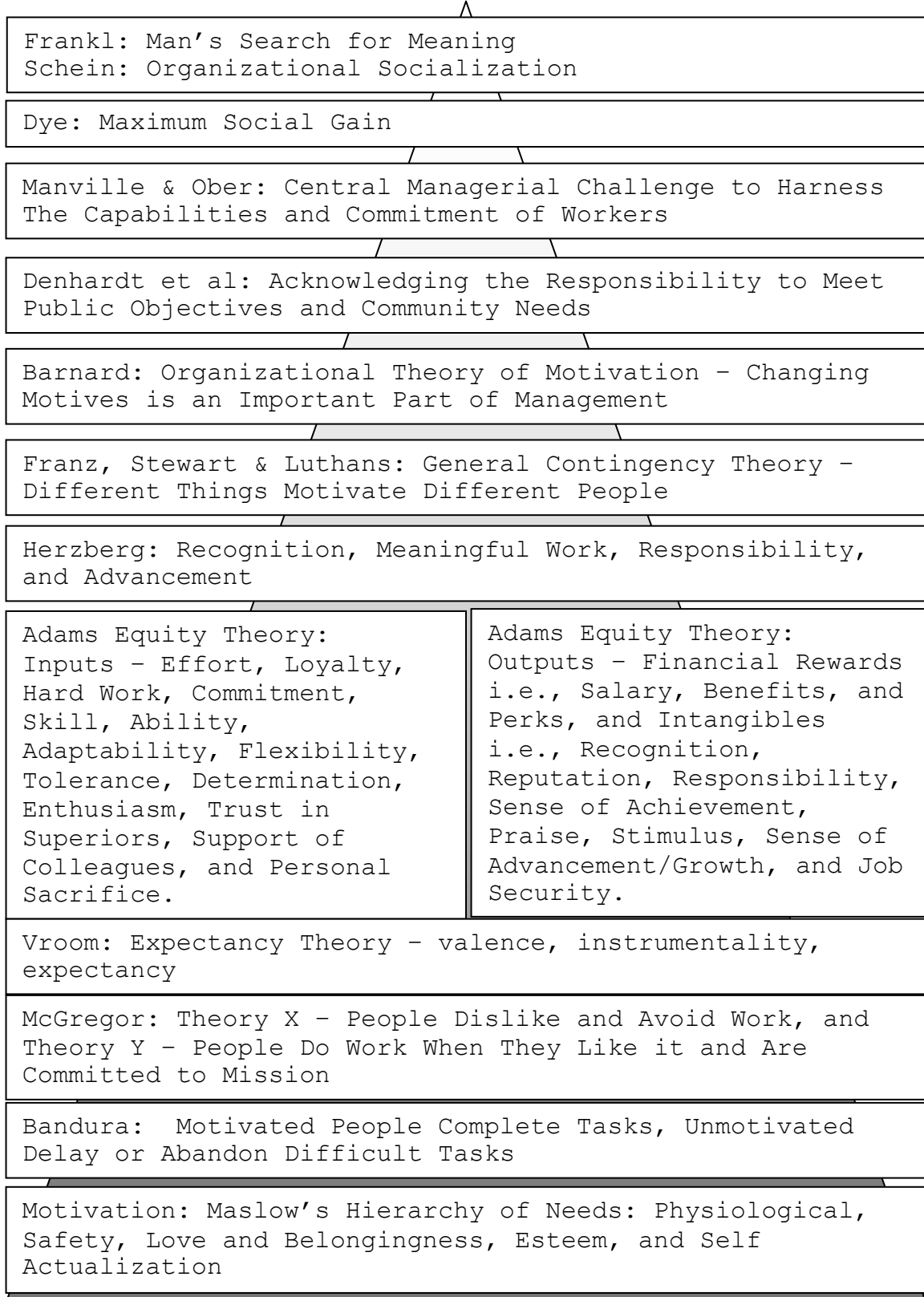
workplace (2009). Further, in 1993, Herzberg states that "society would gain from paying more attention to the healthy and in trying to maintain their health" (Herzberg et al, 2009). As it relates to the workplace, Herzberg meant that employers should put more focus on and reward good performers and less focus on punishing poor performers. Luthans and Stewart (1977) put forward a General Contingency Theory that was later advanced by Franz and Luthans in 1998 to suggest "an integrative framework for relating environmental and organizational variables in order to provide functional predictions". This contingency approach" to motivation suggests that different things motivate different people (Accel, 2009). Building on Barnard's organizational theory of motivation, Levitt and March (as cited in Williamson, ed. 1995) contend that "changing motives is... an important part of management". More recently, Denhardt et al (2009) stated that "in public service, we must be concerned with not only leading and motivating others but also with "democratic values" "and the public interest". So, according to Denhardt et al (2009), an element of motivating employees includes acknowledging the responsibility "to meet public objectives and community needs" which they deem to be "more important

than the personal needs and desires of managers or workers or" other "organizational values".

PFP is also known as merit pay, which is defined as a "system of performance appraisal based on written standards and merit-based pay" (Gaertner & Gaertner, 1985). It is understood that the intention of a PFP system is to differentiate between employees by rewarding those who contribute to an organization's success and penalizing those who do not. Additionally, PFP systems are intended to maximize productivity of an organization. The concept is that "the best way to get something done is to provide a reward to people when they act the way we want them to" (Kohn, 1993 & 1999). This is in line with rationalism, which is defined as a policy "that achieves 'maximum social gain'" (Dye, 2005, p. 15). "Maximum social gain" is calculated by evaluating numerous subjective variables such as "society's value preferences", "policy alternatives" and their consequences, and the "ratio of benefits to cost for each policy alternative" (Dye, 2005, p. 15). Frankl also suggests that doing things that have meaning for an individual is an essential part of being fulfilled and motivated (1992).

In conclusion, there are a number of factors that motivate employees to be productive (Maccoby, 1989 & 1995, Meyer & Allen, 1997). "Highly motivated employees represent a key source of competitive advantage for companies" (Haasen & Shea, 1997), and is an important factor for consideration using the rationalism model. Further, existing literature suggests that there are correlations between "compensation, attraction, and retention" rates in organizations (Rynes & Gerhart, 2000, and Dubinsky & Skinner, 2004), which are factors contributing to "maximum social gain" (Dye, 2005, p. 15). Based on the above, "harnessing the capabilities and commitment of ... workers is arguably the central managerial challenge of our time" (Manville & Ober, 2003, p. 1). Figure 1 shows a hierarchy of the theories discussed here and highlights the factors that motivate employees to be productive.

Figure 1: Theories of Factors That Motivate Employees To Be Productive



c. Historical or Archival Literature

The concept of PFP had its origins in a confluence of laws, events, and philosophies; such as the perpetual struggle between limited resources, doing more with less, and the desire to make government employees more effective and accountable for their work performance. This position is echoed by de Lancer Julnes in her 2009 text entitled *"Performance-Based Management Systems: Effective Implementation and Maintenance"*. As stated in the April 2002, OPM white paper entitled "A Fresh Start for Federal Pay: the Case for Modernization", "an ongoing objective of... (OPM) is to explore ways to make Federal pay more performance-oriented and a better tool for improving the strategic management of human capital" (OPM, 2002). Officials of the previous Bush administration wanted to move agencies away from the existing pay system and "into systems in which management (had) more discretion over pay decisions" (Barr, Dec. 16, 2004). Both the Department of Defense (DOD) and the Department of Homeland Security (DHS) moved towards a performance-based pay system and OPM intended "to bring that experience to other government agencies downstream... (as) part of the big plan." (OPM cited in Barr, Dec. 16, 2004).

"The federal government introduced the Merit Pay System for managers under the Civil Service Reform Act of 1978. The failure of (this system) led, in 1984, to the creation of the Performance Management and Recognition System" (Perry, Petrakis, & Miller, 1989, p. 29). Building upon previous laws and regulations, the 1993 *Government Performance and Results Act* (GPRA) required that federal agencies measure "their organizational outcomes and outputs" (OPM, 2001). GPRA required agencies to have annual performance plans and "strategic plans, which include outcome-related (quantifiable) goals and objectives for the major functions and operations of the agency" (OPM, 2001). This process exemplified the rationalism model described previously.

Ten years after GPRA was enacted, agency strategic plans were deemed to be better able to link resources with results. However, more was required to increase the use of performance information to make decisions about resources. As a result, the *Government Reorganization and Program Performance Improvement Act of 2005* was created to "to improve the performance of the Executive branch of the Federal government by ascertaining whether programs work or not and addressing deficiencies in existing programs,

eliminating duplication of effort, and abolishing agencies and programs that do not work.”

In FY 2004, the Bush administration introduced the Program Assessment Rating Tool (PART) as “a method for assessing program performance and how the program achieves (its) goals.” Per the Office of Management and Budget (OMB), it was intended to reinforce the “outcome-oriented performance measure framework developed under GPRA”. OMB guidelines state that the PART evaluation assesses program “purpose and design, strategic planning, management, and results and accountability”. Specifically, whether “the programs’ design and purpose are clear and defensible”..., and “the agency sets valid annual and long-term goals”. OMB uses the PART to rate “agency management of programs, including financial oversight and program improvement efforts”, and to assure that program results are reported accurately and consistently. For each federal agency, OMB provides section and overall numeric scores. OMB intends for management, budget analysts, and policy officials to use this process to inform and better support agency budget decisions.

In addition to federal agencies’ efforts to link strategic plans with annual plans, and to create

performance measures to gauge progress towards their goals, state agencies also have efforts underway. For example, in Maryland the Department of Budget and Management (DBM) has a Managing for Results (MFR) initiative that began in 1996. At that time, "the Governor appointed an Interagency Steering Committee" to develop this initiative. The Committee developed a strategic planning approach to management that included program performance measurement. Per the DBM, the "Maryland MFR is a strategic planning, performance measurement, and budgeting process that emphasizes use of resources to achieve measurable results, accountability, efficiency, and continuous improvement in State government programs. The University of Baltimore, Schaefer Center for Public Policy is the official provider of training for the State of Maryland's Managing for Results program.

"Performance management" is viewed as the means to improve organizations (Cummings & Worley, 2001). However, de Lancer Julnes (2004) noted that "reform efforts often contradict and nullify each other" and that "government reforms are often implemented without conducting any form of systematic pilot testing". Progress continues to be made when looking at "alternative pay systems" that relate

performance with productivity (Blinder, 1990). These efforts across government effectively set the stage to link organizational goals with individual performance and contribution towards those goals.

d. Policy Literature

The following is a description and analysis of key statutes, rules, and regulations. A number of government agencies are taking steps to overhaul their pay systems. To that end, Osborne and Hutchinson (2004) focused on the issue of "setting the price of government" by "setting the priorities of government". In this way, Osborne and Hutchinson (2004) believe that the government will then buy the "results that citizens value at the price they are willing to pay".

GAO was out in front of the rest of government in its efforts to "strictly link pay to performance" (Government Executive Magazine, 2004). Although it is a federal agency, GAO does not have an independent IG. This is because GAO functions as an IG for the rest of government. "Congress asks GAO to study the programs and expenditures of the federal government" ... and it is "commonly called the investigative arm of Congress or the congressional watchdog, (and) is independent and nonpartisan."

(www.gao.gov). GAO "advises Congress and the heads of executive agencies about ways to make government more effective. When GAO reports its findings to Congress, it recommends actions and issues legal opinions." (Williams & Sharkey, 2004). Actions, policies, and regulations that GAO undertakes can foreshadow those to come for the rest of government due to its unique role in government. Additionally, since GAO is "IG-like", it can function as the bellwether for all IGs.

The 2003 *GAO Human Capital Reform Act* provided GAO the means "to deny raises to poor performers in July" 2004 (Zeller, 2004). For FY 2005, GAO further revised its PFP program so that "employees who don't meet expectations won't get a pay raise" or a cost of living (COLA) increase (Zeller, 2004). COLA is defined by OPM as the "addition to base pay that is payable only in selected non-foreign areas... based on living costs in (that)... area relative to living costs in Washington, DC",... not to "exceed 25 percent of the rate of basic pay. " (www.opm.gov). GAO was on new ground to withhold the COLA from its employees. Ordinarily, government employees receive a COLA provided by Congress each year without regard to individual performance as it is defined as a cost of living increase, not a

meritorious increase. Later, these policies were overturned, and the almost 300 affected employees were made whole via HR 5683 the *Government Accountability Office Act* of 2008, dated September 22, 2008 (Neal, 2008). Further, the bill "requires GAO employees covered under pay-for-performance rules whose work is judged satisfactory to get the same raise as General Schedule employees" (Neal, 2008).

GAO intended to reward top performers and eliminate poor performers. However, the concept of poor performance, particularly in the public sector, warrants a deeper examination. A September 1997 MSPB report entitled "*Adherence to the Merit Principles in the Workplace: Federal Employees' Views*" stated that "the issue of handling poor performance was the deepest area of concern for federal employees." (MSPB, 1997). This conclusion was based on asking the question: "Does your agency have a problem when it takes appropriate steps to correct inadequate performance?" The options for survey responses were as follows: "minor or no problem", "moderate problem", "major problem", or "don't know" (MSPB, 1997). Although 44 percent of the 9,700 federal employees surveyed selected the "major problem" option, one cannot conclude from this study what the respondent intended to communicate

when they selected "major problem" nor what course of action would they suggest to adequately address their concerns.

Further, a 1995 MSPB report entitled "*Removing Poor Performers in the Federal Service*" stated that the process of removing a poorly performing employee was overly onerous in that supervisors did not understand existing provisions in law for removing a poor performer, they "receive inadequate or confusing advice" from agency officials, they believe that existing procedures "are too complicated (and) time consuming", they are "reluctant to create an unpleasant work environment", and they "believe that if they take formal action against a poor performer there is a real possibility that (1) higher level management will not support them, (2) their decisions will be reversed upon review or appeal, or (3) they will be falsely accused of" discrimination (MSPB, 1995). Moreover, the 1995 MSPB report posited that in addition "to these perceived disincentives", supervisors prefer to not take any action as they "believe they can work around the deficiencies of their poor performers and still get the missions of their work units accomplished." (MSPB, 1995). In addition to the findings of this 1995 MSPB report, a 1978 GAO report

entitled "A Management Concern: How to Deal with the Nonproductive Federal Employee" further stated that supervisors "tend to use an informal system of working around, isolating, reassigning, sending to long-term training, or even promoting unsatisfactory employees." (GAO, 1978).

However, in accordance with a special study conducted by OPM in January 1999, entitled "Poor Performers in Government: A Quest for the True Story", the "best estimate of the proportion of poor performers in the Federal workforce is 3.7 percent" (OPM, 1999). Additionally, "the 2008 Federal Human Capital Survey" found that "about 37 percent" of federal employees "disagreed with the statement, "Steps are taken to deal with a poor performer who cannot or will not improve"." (Federal Times, 2009). Further, other alternatives are available to supervisors that are ultimately less costly than employee turnover. Pursuant to OPM's January 1999 study, "supervisors report success with rehabilitating a substantial number of workers who were poor performers at one time." (OPM,1999). What this means is that using a PFP program in a punitive manner may have the unintended consequence of diverting attention "from other important

issues and from developing a realistic approach to addressing poor performance" (OPM, 1999).

GAO intended to set pay raises based upon employee performance. However, the issue of how to reward high performers and distinguish between high performers and poor performers is an issue that GAO continues to grapple with. In 1980, the *GAO Personnel Act* provided GAO with the "authority to implement broader salary ranges and pay-for-performance programs", then in 1989, GAO obtained the authority to establish a pay-banding system (Zeller, 2004). These initial efforts were aimed at gauging employee performance and linking pay raises to that performance. By 1999, "the average rating for an analyst, GAO's core career position, was high -- 4.6 on a 5-point scale", and those employees who were deemed to be poor performers "continued to receive" the COLA increase (Zeller, 2004). The ratings were based on employee performance on specific processes, "such as data gathering and documentation, data analysis and job planning" (Zeller, 2004). By 2000, GAO moved towards assessing employees on "outcome-oriented competencies such as thinking critically, collaborating with others and achieving results" (Zeller, 2004). Although measurable goals were set for employees, the means

by which employee performance was evaluated remained subjective. The new system maintained the 5 point scale but the definitions of the ratings on the scale changed to: 1.5 - meets expectations, 3 - exceeds expectations, 5 - role model. As a result, the 2003 average rating was 2.3 (Zeller, 2004). In this situation, the PFP program ended up lowering the floor for employees so that more were ranked lower than they had been before, rather than raising the ceiling for productive employees.

Another example of the development of a PFP system took place on December 15, 2004, when the Pentagon announced "that 60,000 DOD civil service employees...have been selected for the first phase of a new pay and personnel system" that will be based upon performance, and will include pay-banding (Barr, Dec. 16, 2004). This system was expected to be fully operational "by January 2008" (Barr, Dec. 16, 2004). To prepare for the transition to the new system, employees were expected to obtain "training in...interpersonal communication, team building, and conflict management" (Pentagon news release cited in Barr, Dec. 16, 2004). However, by 2009, President Obama indicated that he believed that "the Transportation Security Administration's PASS" and "the Homeland Security

Department's MaxHR" was "ineffective" as these programs were not transparent, and did not improve the evaluation process sufficiently for employees (Carlstrom, 2009). Further, President Obama "pledged to overhaul the government's approach to" PFP (Carlstrom, 2009).

The "Top News" story of the October 12, 2009, website of the Federal Times stated that the "Defense Department's highly controversial performance-pay system would be dismantled under a legislative proposal passed by the House and expected to pass the Senate this week. The provision to scuttle the National Security Personnel System (NSPS) and send the 205,000 covered employees back to their previous pay systems is included in the 2010 Defense authorization bill." By October 26, 2009, Losey and Castelli reported in the Federal Times that NSPS "would be completely phased out by Jan. 1, 2012, under the Defense authorization bill lawmakers passed Oct. 22". Further, once the bill is signed by the President, "the Pentagon has six months to start transferring employees back to their original pay system" or to propose a new personnel system. "Congress would have to approve the new system as part of the 2011 Defense authorization bill" (Losey & Castelli, 2009), should Defense Secretary Robert Gates submit one for

consideration. The Defense Business Board appointed an independent panel who reported in August 2009 that "NSPS was systemically flawed"; however, its performance appraisal system successfully aligned "employee goals with organizational goals" (Losey & Castelli, 2009). Further, Losey and Castelli (2009) stated that the 2010 Defense authorization bill still called for the creation of "a performance appraisal system for all Defense employees that would determine bonuses and other performance-based actions". Additionally, the bill suspended the Defense Civilian Intelligence Personnel System "for all intelligence employees... until the end of 2010 and calls for the Pentagon, OPM, and Office of the Director of National Intelligence to review the system by June" 2010 (Losey & Castelli, 2009). What these actions suggest is that there are elements of the various performance appraisal systems that are working, and some elements that need improvement.

Revising federal pay systems is big business. GAO "hired consulting firm Watson Wyatt to conduct a market-based study of salary levels in professions" similar to those found at GAO (Zeller, 2004). Additionally, DHS made the news when it announced its \$175 million contract awarded to a consulting firm to establish a pay system for

its employees. The contractor subsequently subcontracted the work to four other entities, which then brought greater scrutiny to the pay system development process at DHS.

e. Summary and Synthesis of Literature

Upon reviewing the existing literature on this topic, there is a distinction between organizational performance and PFP; such as, influences from different motivational aspects. Further, it appears that the best that a government agency can do is to prepare a strategic plan, identify measures of performance that would gauge progress towards the mission of the organization, and then tie employee achievement of those performance measures to their pay. Wilson (2003) concurs that rewards should be aligned "with the organization's (overarching) strategy". However, in reality, this has proven to be a herculean task. This "performance management paradox" warrants further study (Winstanley & Woodall, 2000). What appears to be the most difficult is the rating process. People can agree in principle that PFP is a good thing to do, but disagree upon how to equitably rate disparate jobs, missions, and results obtained. It is difficult to distinguish whether it is the PFP model or its implementation that is flawed. Additionally, as a result of these complexities, Smither

(1998) notes that there are a number of "legal issues" that arise during the performance appraisal process.

Specifically, performance appraisal systems, such as the NSPS, have been "criticized as unfair, nontransparent and potentially discriminatory" (Losey & Castelli, 2009).

The next section on research methodology is substantially influenced by the varied content, objectives, methods and findings reflected in the literature.

Research Methodology

The research question guiding this study was designed to critically assess the effectiveness of the USPS OIG OA. What theories of organizational performance best explain whether a federal audit organization achieves its intended results (efficacy)?

a. Research Setting

This study takes place in a unique setting. The Postal Service is considered to be quasi-governmental, is funded predominately by rate payers, and has a break even mandate. The USPS OIG was authorized by law in 1996.

As noted on the website www.ignet.gov, there are 69 statutory IGs who are responsible for conducting independent audits and investigations into their agencies "to promote economy, efficiency, and effectiveness and to prevent and detect fraud, waste, and abuse in Federal agencies and programs (PCIE ECIE, 2003)." The 2008 *Inspector General Reform Act* established the Council of Inspectors General on Integrity and Efficiency, which is the umbrella organization for the 69 inspectors general.

Depicted in Appendix D, the USPS OIG is comprised of the following five components: OA, Office of

Investigations, Office of the Chief Information Officer, Mission Support, and the General Counsel. OA is then divided into four components: Mission Operations, Support Operations, Financial Accountability, and Revenue and Systems.

At the present time, the USPS OIG is the only OIG that utilizes a PFP system, which is where this study was conducted. The study was limited to the approximately 370 OA employees ranging in classification up to the Senior Executive Service. Although the study was limited to a subset of the USPS OIG employees, this data was compared to federal government-wide survey results; therefore, the findings may be generalizable to a broader population of federal employees. The rules for the PFP system are detailed in policy (Appendix E). Supervisors assess employees' performance on level of achievement of individual performance measures geared towards achieving organizational goals, as well as along elements that are deemed to be critical work factors that significantly influence the achievement of organizational goals. For example, in FY 2008, the PFP rating elements were defined as follows:

- 1) Collaboration:

- a) Encourage client and staff communications
 - b) Oral/written communications
 - c) Mentoring/coaching staff
- 2) Professionalism:
- a. Dealing with poor/exceptional performers
 - b. Honest and accurate feedback to staff
 - c. Knowledge of business; customer service
- 3) Initiative (Leadership):
- a. Innovation
 - b. Independence from manager (appropriate to your level)
 - c. Insight/intuition (seeing into a situation
- 4) Critical Thinking
- a. Analytical skills/understanding of strategic goals
 - b. Decision making
 - c. Problem solving
- 5) Project/Program Management
- a. Develops and implements program and/or project plans; Adapts, manages, and monitors program and/or project progress
 - b. Makes prudent effective and efficient use of resources

c. Completes assignments within specified time limits and within budget

d. Communicates with customers and stakeholders

The USPS OIG developed and administered a PFP program since its inception in 1996. Due to a number of reasons including leadership changes, the program evolved over time. The basic framework for the current PFP system was developed and rolled out upon the conclusion of FY 2004, which ended on September 30, 2004. At that time, employee performance evaluations for the assessment period of June 1, 2003, through September 30, 2004, were conducted in November 2004, and the payout from this process occurred at the end of January 2005. The structure of the FY 2007 payout matrix is included in Appendix F. Fundamentally, the process repeats and continues presently.

b. Essential Evidence and Data

The following principal sources of archival data were consulted in this study:

- 1) OIG 5-year strategic goals related to OA (Appendix G)
- 2) OA-wide performance measure results for FY 2006, 2007, 2008, and 2009 (Appendix H).
- 3) April and October 2008 Human Sigma survey results for OA employees (Appendix I).
- 4) OIG Employee Survey questions and results for OA employees FY 2006, 2007, 2009 (Appendix J).
- 5) 2008 OPM FHCS questions and results (Appendix B).

- 6) 2008 OPM FHCS Impact Items: Combined Strongest Predictors of Satisfaction and Intent to Leave (Appendix N).
- 7) 2007 MSPB MPS results focusing on the following engagement drivers: pride in one's work and workplace, satisfaction with leadership, opportunity to perform well at work, positive work environment, satisfaction with the recognition received, and prospect for future personal and professional growth (Figures 5-12).

All OA data in the first four items on the list have been previously collected by the USPS OIG and therefore constitute secondary data. Data contained in items 4 through 7 are contained in public documents. In addition, publicly available data reported in *Semiannual Reports to Congress* were consulted in the study. Collectively, these varied data sources constitute the empirical foundation for the study.

No direct interaction with human subjects was planned in this dissertation research and, therefore, no surveys or narrative interviews were conducted. Confidentiality of the data under study is assured and was not be linked to specific employees. This was managed in coordination with the USPS OIG Offices of Mission Support and General Counsel so that data provided for use in the study does not contain personally identifying information. Further, data was provided by the Assistant Inspector General for Audit (AIGA) to ensure that no personally identifying information

was released. This was the protocol for keeping the information confidential and safeguarding any personally identifying information. This process was formalized with a University of Baltimore Institutional Review Board letter of exemption dated October 12, 2009, and a memorandum on the use of OA data for research project signed by the AIGA on August 17, 2009.

c. Methods of Data Collection

The first step of data collection for this study was to chart how the USPS OIG OA's performance goals are linked to its strategic plan, and how that relates to the mission of the agency. The second step was to identify the key performance measure metrics used there. For this step, the OA-wide performance measure results for FYs 2006, 2007, 2008, and 2009 were reviewed. The third step was to determine the crucial element for measuring effectiveness. This analysis was augmented by data reported in *Semiannual Reports to Congress*; and findings from the FYs 2006, 2007, and 2009 OIG employee surveys and the OA-only Human Sigma surveys conducted in April and October 2008.

d. Modes of Data Analysis

Available archival performance data for the USPS OIG OA for the period of FY 2006 through FY 2009 were examined.

The surveys' results data along common survey questions for the different surveys conducted were assessed. In this way the different data sources were reconciled, even though the data was collected at different times for different reasons. Additionally, the USPS OIG OA's survey results were compared with OPM's federal government and private sector results on the FHCS, as well as with the MSPB MPS results.

Further, the PFP process in place at the USPS OIG OA was assessed and examined whether the reported organizational outcomes adequately represent performance. Further, the previously discussed theories of organizational performance were reviewed to determine which of them best explain whether the USPS OIG OA achieved its intended results (based on its stated goals) and explored reasons why and the explanatory power of those theories, as supported by the data and analyses.

e. Scholar Practitioner Considerations

The research question incorporates both theoretical and practical aspects and draws on data analyses and insight gained from directly working in the area of study. Scholar practitioner considerations include the facts of being employed by the USPS OIG OA in the office of

Planning, Budgeting, and Accountability; and having permission to access the necessary databases for this study. Specific work as a practitioner includes contributing to the organization's strategic and annual plans, identifying organizational performance measures, and cross-walking these measures into the PFP program. As such, the scholar practitioner has both the privilege of access to pertinent information, and the responsibility to adhere to professional and ethical research standards.

Moreover, as an employee of the only OIG that has a PFP program in place, personal values and biases brought to the study, and the knowledge that employees are affected by any subsequent changes to policies and protocols were carefully ameliorated by exercising the greatest discretion in analyzing the data to present a fair representation of the study findings. As a result of the study, greater insight into the theories of performance and motivation are expected to be provided, and issues that require further research are expected to be identified.

Although the approval obtained for this study is at the highest level of the organization and does not compromise the confidentiality of any individual employee; ethical considerations include an awareness of the

employees' perceptions and concerns as the data analyzed pertains to policies that impact their pay. Sensitivities that employees have regarding the privacy of their information was mitigated by not associating employee names with any of the data and summarizing themes so individuals cannot be identified.

A qualitative design and case study method has been selected because it allows the researcher to explore "a program, an event, an activity, or a process" in depth (Stake in Creswell, 2003). Additionally, it is understood that this research occurred "in social, historical, political, and other contexts" which impacts the study (Stake in Creswell, 2003). Further, the case was "bounded by time and activity, and"... "detailed information"... (Stake in Creswell, 2003) was collected by analyzing data from various databases.

Results

In critically examining the theories of performance to measure the effectiveness of the USPS OIG OA, Herzberg's theory of motivation laid the groundwork upon which to analyze motivation in the work place. His two-factor theory distinguishing between extrinsic and intrinsic motivators provided a foundation for analyzing the performance data. Further, his position that "recognition, work, responsibility, and advancement" are critical motivational factors in the workplace (Accel, 2009) is consistent with the findings of the OPM FHCS and MSPB MPS results.

As the zenith to Herzberg's theory of motivation, Frankl's position that individuals want and need meaning in their lives, best summarizes how the mission of an organization, and the role that an individual plays in that organization, can lead to the most productive and engaged employees. This hypothesis is confirmed by the USPS OIG OA performance data analysis and by conclusions drawn from the Federal Human Capital and Merit Principle surveys. Frankl's premise best explained whether a federal audit organization achieved its intended results.

To measure the effectiveness of the USPS OIG OA, its performance measurement tools and related data were reviewed. This is in line with the theory that the best that a government agency can do is to prepare a strategic plan, identify measures of performance that would gauge progress towards the mission of the organization, and then tie employee achievement of those performance measures to their pay.

a. Linkage Between USPS OIG Strategic Plan and Annual Audit Plan

In addition to having a strategic plan, the USPS OIG OA also prepares annual audit plans in accordance with generally accepted government auditing standards. In this way, it intends to comprehensively assess Postal Service programs and identify audits to address emerging issues and potential risks to the Postal Service. In accordance with USPS OIG OA policy 206.1.2 on expert planning, the audit plan includes strategic and tactical work, and is designed to lead to the achievement of the OA-related goals and objectives identified in the *OIG 5-Year Strategic Plan: FY 2007-FY 2011, 2008 Update*, which sets the general overarching direction for the OIG. This is an iterative process as the *OIG 5-Year Strategic Plan* is updated every 3

years, and the management challenges and risks facing the Postal Service are assessed annually.

The audit planning process requires professional judgment to ascertain critical areas for audit attention, based on the potential of adverse actions occurring, or the significance of operational improvements or potential savings for the Postal Service. At a strategic level, OA's audit planning techniques support the high-level planning needs of the IG, AIGA, and Deputy AIGAs (DAIGA). At a tactical level, OA's audit planning techniques assist in the identification of specific audit projects and initiatives in the annual audit planning process. Ideally, these techniques produce comprehensive audit projects with a broader scope that add value to Postal Service operations and support the OIG's mission.

Directors, who report to DAIGAs (see Appendix D for the OIG organizational structure), initially focus their planning efforts at the strategic level. They articulate a key, strategic question for their program area, and identify a multi-year body of work to answer that question. Then, at the tactical level, part of the audit workload plan each year will be devoted to addressing the director's strategic issues. Directors conduct a risk assessment of

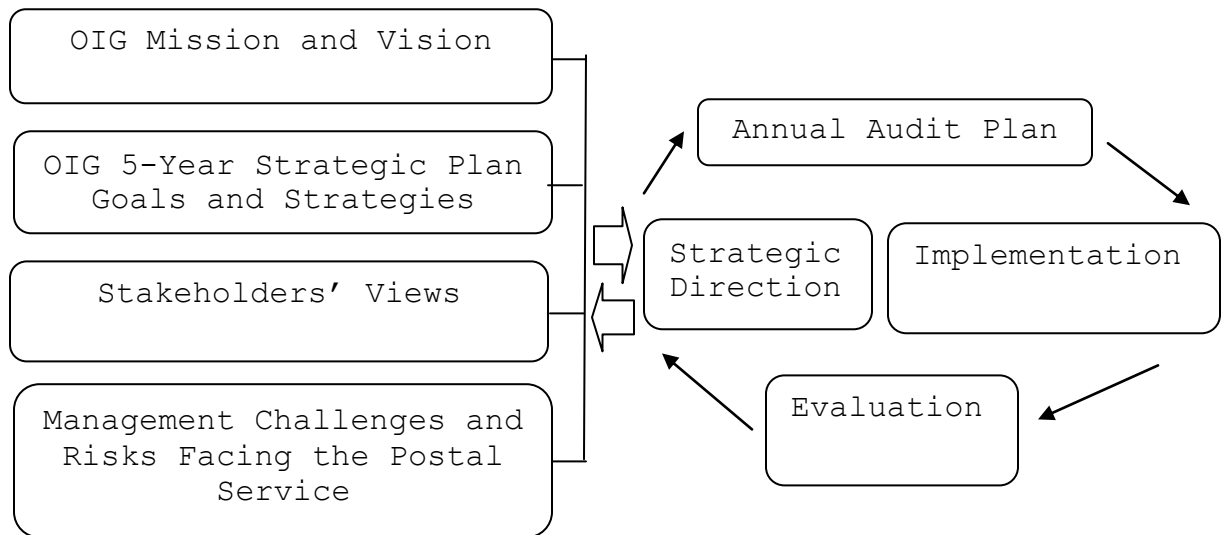
each major Postal Service program and functional area they oversee by assessing the risk of potential adverse actions for each of the proposed audit projects on materiality, impact on operations, visibility and public sensitivity, stakeholder concern, prior audit results or elapsed time since last audit, and loss potential, such as fraud or other vulnerabilities. This includes sizing the area, identifying new programs and changes to existing ones, and factoring in known problems.

OA executives conduct the top-down strategic aspect of the process, after gathering important risk information from Postal Service officials and other key OIG officials. Once the risk factors are identified under the strategic, financial, and operational risk categories, audit executives assess each risk factor by identifying the likelihood it will occur and the impact on the Postal Service, if it does occur. In the bottom-up tactical aspect of the process, the results are used to identify and prioritize audit work for the fiscal year based on the highest risk factors impacting each director's area. The directors also coordinate their planning efforts to address cross-functional issues, where applicable. The audit plan is flexible to allow the shift of audit work to address

emerging issues and business environment changes, and is inclusive of Postal Service stakeholder concerns.

The strategic direction for OA is informed by the management challenges and risks facing the Postal Service, stakeholder views, the OIG 5-Year strategic plan, mission, and vision. The strategic direction then informs the audit plan and its implementation. The evaluation of audit work completed also informs the strategic direction. The following chart provides an overview of the planning process flow.

Figure 2: Audit Planning Process



Audit work is reported in *Semiannual Reports to Congress* (SAR). In the spring SAR, the USPS OIG provides an assessment of Postal Service management's progress towards achieving their strategic goals identified in the *USPS Five-Year Strategic Plan for 2009-2013: Vision 2013*,

published in October 2008. In the fall SAR, the USPS OIG identifies the greatest risks facing the Postal Service and provides an assessment of how Postal Service management is addressing these risks.

b. Linkage Between USPS OIG Strategic Plan and Performance Measures

Congruently, the USPS OIG has an overarching strategic plan that contains annual performance goals. Audit work is evaluated against these performance measures. Elements of the *OIG 5-Year Strategic Plan: FY 2007-FY 2011, 2008 Update* include the OIG's mission, vision, guiding principles, and strategic goals and implementation strategies. These strategies are the specific plans to achieve organizational goals. To achieve these strategies, all components of the OIG establish annual performance measures to gauge progress towards the achievement of the organizational strategies and goals. To establish these performance measure goals, OA ascertains the scope of the problem, and assigns responsibility to a directorate for the achievement of results. These performance measures include timelines, milestones, and indicators of success and have specific action plans. OA monitors, tracks, and reports the results throughout the year and uses the results to make

operational decisions. OA adjusts audit resources and uses the results to inform pay for performance appraisals for all OA employees. Appendix G contains the OA-related OIG 5-year strategic goals, and Appendix H contains OA performance measure results.

c. Strategic Audit Planning

Strategic audit planning specifies the planning activities required to achieve strategic goals, provides insight to existing processes, and identifies where process improvements can be made for the Postal Service. To that end, effective strategies to achieve organizational goals identify critical issues that require action and:

- 1) Combine and balance incentive and punitive measures.
- 2) Remove root causes of problems.
- 3) Are politically acceptable, technically workable, and ethically responsible.
- 4) Understand that factors affecting success are complex and interdependent so have a system perspective.

In summary, strategic audit planning specifies the planning activities required to achieve strategic goals, provides insight to existing processes, and identifies where process improvements can be made for the Postal

Service. The audit work contained in the annual audit plan is the source data for OA's proposed performance measures, which then address the OIG strategies for achieving the goals in its strategic plan.

d. USPS OIG Key Performance Measures

The crucial element for measuring effectiveness in an organization is to examine its mission, purpose, and indicators of success. To that end, one would know the assigned job and then determine whether that job, goal, or objective was achieved. It is not necessary to measure all things that an organization is doing, just the key elements that would help gauge progress and achievement of the objectives.

The key performance measures at the USPS OIG OA are typical for a federal audit organization (Appendix H). That is, these measures rely on data that one would expect; such as, that related to its processes and fundamental mission. Specifically, these measures include: the amount of monetary benefits or findings in the audit reports, the number of audit reports completed, the number and percentage of significant recommendations accepted by the audited organization, and the average number of staff and calendar days to complete an audit report.

Based on historical data and resources available, performance goals are set at the beginning of the fiscal year, and then cascaded down to lower levels of management to allocate amongst their staff.

The USPS OIG has four overarching goals in its strategic plan. They are:

- 1) Goal 1 - Add value to Postal Service operations
- 2) Goal 2 - Preserve integrity and security for the Postal Service
- 3) Goal 3 - Continuously improve OIG products and services
- 4) Goal 4 - Pursue a highly satisfying, performance-based culture within the OIG

Appendix G details how these OIG-wide strategic goals are correlated with the strategic goals for OA. Thus the performance goals in Appendix H are related to the strategic plan, which assures that both are geared to support its mission. This is an adaptive process as the strategic direction and related goals are assessed annually.

e. Data Analysis

Appendix H contains select examples of OA's performance measure results for FYs 2006-2009. In addition

to an evolving establishment of specific performance measures each year, the data collection and reporting systems at the USPS OIG also evolved. Key indicators of success in a federal audit organization include measurable constructs related to its processes and fundamental mission, which is to root out fraud, waste, abuse, and mismanagement. These can include things such as: the amount of monetary benefits or findings in the audit reports, the number of audit reports conducted, the percentage of significant recommendations put forward and then accepted by the audited organization, and the average number of staff and calendar days to complete an audit report. Taken as a whole, these constructs can paint a picture of the relative success of the audit organization.

Specifically in the case of the USPS OIG OA, these key indicators reflect a general improvement overall across the organization over the past 4 years. As depicted in Appendix H, from FY 2006 to FY 2009, total monetary benefits went from \$535 million to \$4.12 billion, the number of significant recommendations went from 131 to 214, and the average number of calendar days went down from 270 to 225. However, the number of staff days increased from 206 to 240; and the total number of audit reports conducted

went down from 440 to 374. Key indicators cannot be looked at in isolation, as one may be tempted to draw a hasty and inaccurate conclusion. For example, here if one looks at a single measure on its own; such as, less audits conducted, it gives the appearance of it being a worse or less accomplished situation. However, as a composite, looking at a number of performance measures in concert with each other; such as, conducting less audits more quickly (but with greater staffing resources assigned), yielding greater results (i.e., greater monetary benefits and more significant recommendations) is actually evidence of an improving overall situation. That is, this audit organization is creating a better value for the Postal Service with better, quicker products containing more significant recommendations aimed at improving the root cause of problems and challenges found. Therefore, the crucial element for measuring efficacy is an assessment and determination of progress towards the organization's mission as defined via a composite of interrelated performance measures. This means that focusing on changing one aspect of an issue being measured necessarily impacts the other measures, either positively or negatively. However, analysis needs to be done to determine if overall

the organization is heading in the right direction, or whether other changes need to be made.

Management information made available via the development of performance measures for an organization to ascertain progress toward the achievement of the mission of that organization can be used to institute change, resolve issues, and address challenges the organization faces. An example of performance measures effecting change is focusing on "areas of emphasis" that the organization deems is at the highest risk. Areas of emphasis at the USPS OIG OA have been defined as: customer service, goodwill/branding, environmental leadership, reducing energy use, reporting mandates, employee/facility security issues, and data integrity/IT security issues. In this case, performance measures were established to assess the volume of work in these issue areas.

Further, the USPS OIG OA is leaning towards taking a more granular look at some of these big picture constructs, and is working to further automate the tracking and monitoring of related management information. Some examples include defining a scorecard to automate the assessment of audit work based on predetermined definitions of success. These scorecards ultimately take the original

constructs of how much work was done, how quickly, at what cost, and with what results; then rolls up that data to a "score". One example of a scorecard is the movement towards automating the assessment of the percent of performance and financial installation audit reports that are on time and on budget. Audit reports that are on time and on budget is defined as compared to calendar and staff days laid out in the audit plan.

In 2002, OPM established the Human Capital Assessment and Accountability Framework (HCAAF) and its related standards and metrics, to fulfill its mandate under the *Chief Human Capital Officers Act* of 2002. The HCAAF is comprised of four indices; specifically, leadership and knowledge management, results oriented performance culture, talent management, and job satisfaction. OPM correlated questions out of the Federal Human Capital Survey (FHCS) with each of these indices.

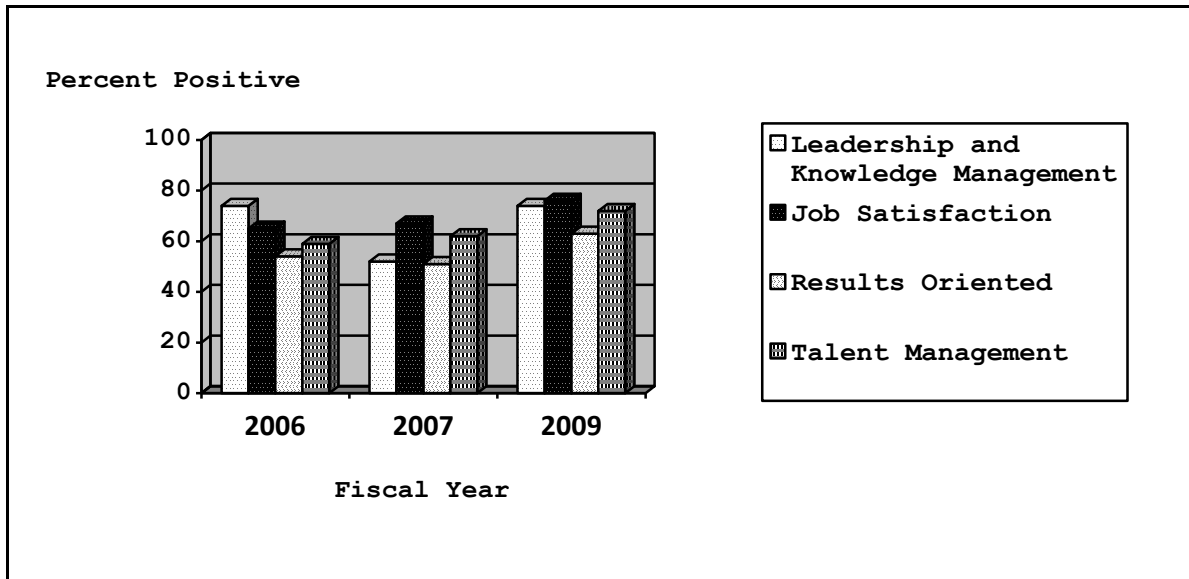
Appendix J contains the USPS OIG Work Life Survey questions for 2006, 2007, and 2009. In this appendix, the questions are in numerical order and do not have the results associated for each of the questions. Appendix K contains the results for the USPS OIG Work Life Survey for 2006, Appendix L has the results for 2007, and Appendix M

has the results for 2009. The questions and associated results are grouped in the same four categories as the (FHCS) for ease of comparison. Data in Appendices K-M of the USPS OIG Work Life Survey results for the surveys conducted in 2006, 2007, and 2009, was compared with the data in Appendix B of the FHCS for 2008.

In 2008, the FHCS was administered to a sample of federal employees that represented 97 percent of the Executive branch, and had a 51 percent response rate. The margin of error for all responses is reported as plus or minus 1 percent. OPM recommends using this data as a basis for comparison in assessing the human capital climate in a federal agency. The weighted data reported by OPM was used so that the findings are generalizable to the survey population. Although the USPS OIG is not required to participate in this survey, they ask the same questions in their Work Life Survey. Therefore, the data for the USPS OIG OA can be discussed along the same four categories of leadership and knowledge management, job satisfaction, results oriented, and talent management.

Figure 3 shows the results for OA's Work Life Survey in these four categories for 2006, 2007, and 2009.

Figure 3: OA Work Life Survey Results



Source: Data provided by USPS OIG OA.

Note: The results were rounded.

As shown in Table 1, between FY 2006 through 2009, OA's staffing authorization and on board varied.

Table 1. OA Authorized and On Board Staff, and Work Life Survey Response Rate by Fiscal Year

Fiscal Year	Authorized Staff	On Board Staff	Work Life Survey Conducted	Number of Respondents	Response Rate
2006	356	336	Yes	316	94%
2007	349	332	Yes	298	90%
2008	351	329	No	--	--
2009	378	370	Yes	317	86%

Source: Data provided by USPS OIG OA.

Note: -- indicates no data.

The high response rates of between 86 to 94 percent over the three times the survey was conducted, supports that the survey respondents are representative of the

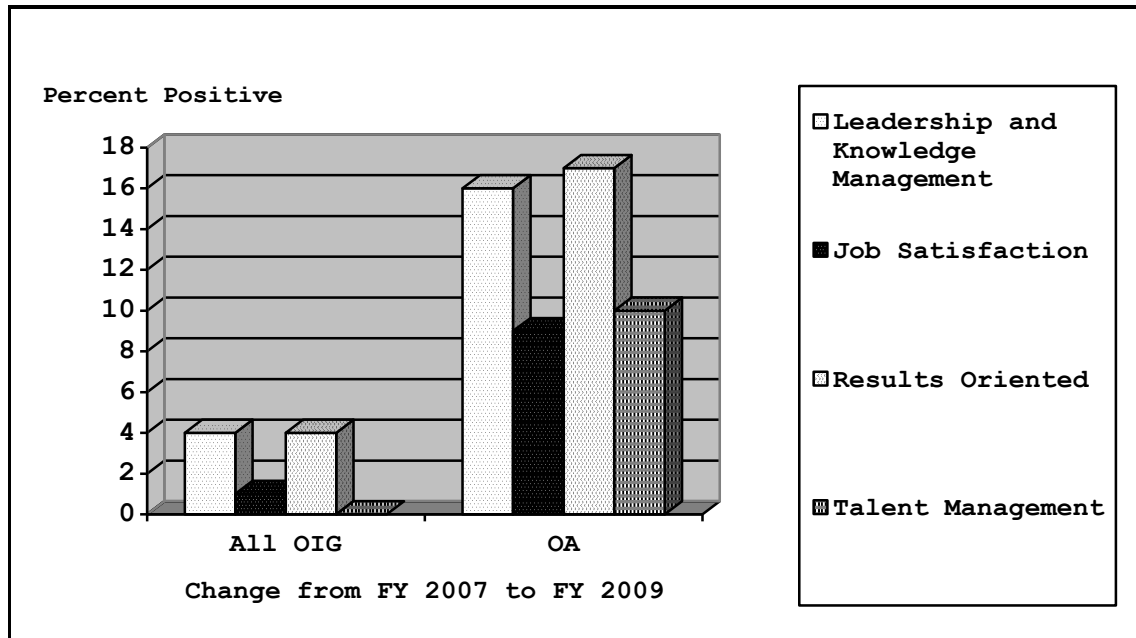
population of USPS OIG OA employees. As an observational study rather than a designed experiment, the data yielded from the surveys would only reveal associations rather than establish causality between concepts contained in the qualitative data.

There are four tests for validity typical to case study research, specifically: construct, internal, and external validity, and reliability (Yin, 2003). This study has high construct validity in that multiple sources of evidence are used in the data collection process, and the chain of evidence is clear. Further, only public information and secondary data that was previously collected by the USPS OIG was used for the study. This study is descriptive and exploratory and not explanatory or causal, so it is not designed for internal validity as it does not make a causal claim. External validity tests "whether a study's findings are generalizable beyond the immediate case study" (Yin, 2003), and replication increases external validity. In this case, the survey was administered three times over a 4 year period. Also, it is appropriate to use analytical generalization for this study, which is that the empirical results were generalized to broader theories, and have policy and theory

implications. This study has a high reliability in that the survey questions, steps, and protocols are clear and replicable. Strengthening the quality of this study is the complementary sources of evidence, and that multiple sources converge on the same data points and findings.

OA's scores improved across the board for all four categories in FY 2009 from the earliest survey conducted in FY 2006. Leadership and knowledge management, and results oriented both decreased in FY 2007 from FY 2006; although both of these categories improved in FY 2009. Figure 4 shows the percent improvement across all four categories from FY 2007 to FY 2009. The increase is more dramatic for this time period, than from FY 2006 to FY 2009, as the overall results dipped in FY 2007.

Figure 4: OA Work Life Survey Change in Percent Positive



Source: Data provided by USPS OIG OA.

Note: The results were rounded.

Following are tables 2-5 comparing the FHCS 2008 with the USPS OIG OA across these indices. Table 2 shows that the USPS OIG OA responded significantly more positively on all questions related to leadership and knowledge except two. The two were "My organization has prepared employees for potential security threats", which was 10 percent less positive; and "Are you considering leaving your organization within the next year?", which was 12 percent less positive.

Table 2. FHCS 2008 and USPS OIG OA 2009 Leadership and Knowledge Management Index Comparison

Leadership and Knowledge Management			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	66%	76%	10%
My workload is reasonable.	60%	75%	15%
Managers/supervisors/team leaders work well with employees of different backgrounds.	65%	73%	8%
I have a high level of respect for my organization's senior leaders.	52%	73%	21%
In my organization, leaders generate high levels of motivation and commitment in the workforce.	40%	73%	33%
Managers communicate the goals and priorities of the organization.	60%	78%	18%
Managers review and evaluate the organization's progress toward meeting its goals and objectives.	58%	74%	16%
Employees are protected from health and safety hazards on the job.	76%	89%	13%
My organization has prepared employees for potential security threats.	74%	64%	-10%
How satisfied are you with the information you receive from management on what's going on in your organization?	48%	72%	24%

Continued on next page.

Table 2 continued.

Leadership and Knowledge Management			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
How satisfied are you with the policies and practices of your senior leaders?	42%	67%	25%
Are you considering leaving your organization within the next year?	31%	19%	-12%
<p>Source: Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, Appendix B.</p> <p>Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>			

Table 3 shows that the USPS OIG OA ranges from equally positive to significantly more positive on questions related to job satisfaction. However, the USPS OIG OA responded with 3 percent less positive than the federal government on "The work I do is important". This suggests that there may be some staff that have mundane or repetitive assignments.

Table 3. FHCS 2008 and USPS OIG OA 2009 Job Satisfaction Index Comparison

Job Satisfaction			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
My work gives me a feeling of personal accomplishment.	73%	79%	6%
I like the kind of work I do.	84%	84%	0%
The work I do is important.	91%	88%	-3%
How satisfied are you with your involvement in decisions that affect your work?	53%	71%	18%
How satisfied are you with your opportunity to get a better job in your organization?	39%	48%	9%
Considering everything, how satisfied are you with your job?	69%	81%	12%
Considering everything, how satisfied are you with your pay?	60%	81%	21%
<p><i>Source:</i> Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, Appendix B.</p> <p><i>Note:</i> Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>			

Table 4 shows that the USPS OIG OA ranges from 2 to 29 percent more positive than the federal government on questions related to results-oriented performance culture.

Table 4. FHCS 2008 and USPS OIG OA 2009 Results-Oriented Performance Culture Index Comparison

Results-Oriented Performance Culture			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
The people I work with cooperate to get the job done.	84%	92%	8%
My supervisor supports my need to balance work and other life issues.	75%	87%	12%
I know how my work relates to the agency's goals and priorities.	84%	88%	4%
Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	67%	86%	19%
Promotions in my work unit are based on merit.	35%	49%	14%
In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	30%	41%	11%
Employees have a feeling of personal empowerment with respect to work processes.	44%	65%	21%
Creativity and innovation are rewarded.	40%	62%	22%
Pay raises depend on how well employees perform their jobs.	26%	55%	29%

Continued on next page.

Table 4 continued.

Results-Oriented Performance Culture			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
In my work unit, differences in performance are recognized in a meaningful way.	31%	51%	20%
My performance appraisal is a fair reflection of my performance.	63%	67%	4%
Discussions with my supervisor/team leader about my performance are worthwhile.	56%	74%	18%
In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	64%	66%	2%
How satisfied are you with the recognition you receive for doing a good job?	50%	68%	18%
<p>Source: Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, Appendix B.</p> <p>Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>			

Table 5 shows that the USPS OIG OA ranges from 4 to 23 percent more positive than the federal government on questions related to talent management.

Table 5. FHCS 2008 and USPS OIG OA 2009 Talent Management Index Comparison

Talent Management			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
I am given a real opportunity to improve my skills in my organization.	64%	75%	9%
I have trust and confidence in my supervisor.	64%	72%	8%
The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.	74%	78%	4%
My work unit is able to recruit people with the right skills.	45%	51%	6%
My talents are used well in the workplace.	62%	74%	12%
Supervisors/team leaders in my work unit support employee development.	65%	82%	17%
My training needs are assessed.	53%	76%	23%
How satisfied are you with the training you receive for your present job?	55%	67%	12%
<p>Source: Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, Appendix B.</p> <p>Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>			

OPM identified 16 questions on their FHCS that they deem as "impact items" (2009). These 16 questions are listed in Appendix N. OPM defines these impact items as "logical indicators of conditions that keep employees engaged and productive" (2009). These items were "most strongly associated with employees' satisfaction and intent to stay in their jobs", and "were identified through a series of standard statistical analyses that examined the relationship between what employees reported on these items and their expressed intention to stay or to leave" (OPM, 2009). Table 6 compares the 2008 FHCS impact items with the results for the same questions for the 2009 USPS OIG Work Life Survey. In virtually every instance, the USPS OIG OA employees express the most satisfaction and least intent to leave.

Table 6. Comparison of USPS OIG OA with the Federal Government Impact Items: Combined Strongest Predictors of Satisfaction and Intent to Leave

Federal Government Impact Items: Combined Strongest Predictors of Satisfaction and Intent to Leave			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
I like the kind of work I do.	84%	84%	0%
My work gives me a feeling of personal accomplishment.	73%	79%	6%
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	66%	76%	10%
I am given a real opportunity to improve my skills in my organization.	64%	75%	9%
My talents are used well in the workplace.	62%	74%	12%
Considering everything, how satisfied are you with your pay?	60%	81%	21%
My workload is reasonable.	60%	75%	15%
Managers communicate the goals and priorities of the organization.	60%	78%	18%
How satisfied are you with the training you receive for your present job?	55%	67%	12%
How satisfied are you with your involvement in decisions that affect your work?	53%	71%	18%
I have a high level of respect for my organization's senior leaders.	52%	73%	21%
How satisfied are you with the recognition you receive for doing a good job?	50%	68%	18%

Continued on next page.

Table 6 continued.

Federal Government Impact Items: Combined Strongest Predictors of Satisfaction and Intent to Leave			
Survey Item	2008 Federal Government Percent Positive	2009 USPS OIG OA Percent Positive	Difference
How satisfied are you with the information you receive from management on what's going on in your organization?	48%	72%	24%
Employees have a feeling of personal empowerment with respect to work processes.	44%	65%	21%
How satisfied are you with the policies and practices of your senior leaders?	42%	67%	25%
How satisfied are you with your opportunity to get a better job in your organization?	39%	48%	9%
<p>Source: Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, 11.</p> <p>Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>			

Table 7 compares the 14 questions contained in the 2008 FHCS, with private sector results, and with the results for the same questions for the 2009 USPS OIG Work Life Survey. Of these 14 questions, 9 are also impact items and included in table 1 above. Three of the 14 questions were not asked at the USPS OIG OA and are indicated in table 2 as "N/A". In every instance, the

FY 2009 USPS OIG OA results are as good or better than the FY 2008 federal government; and better than the private sector results in all but one instance. The USPS OIG OA is 1 percent worse than the private sector in "How satisfied are you with your opportunity to get a better job in your organization".

Of interest, is that the USPS OIG is 11 percent more satisfied than the private sector in "Considering everything, how satisfied are you with your job?". This suggests that the consistency of characteristics within the staff and organizational culture of the USPS OIG OA may lend itself to a more satisfied organization. Specifically, the USPS OIG OA's mission and statutory responsibilities are quite clear. That is, to prevent and detect fraud, waste, and abuse; promote economy, efficiency, and effectiveness; and to promote public integrity.

Table 7. Comparison of Federal Government, Private Sector, and USPS OIG OA Results

Federal Government, Private Sector, and USPS OIG OA Results					
Survey Item	Percent Positive			Difference Between 2009 USPS OIG OA And...	
	2008 Federal Government	Private Sector	2009 USPS OIG OA	Fed Gov	Private Sector
The people I work with cooperate to get the job done.	84%	80%	92%	8%	12%
I am given a real opportunity to improve my skills in my organization (company).	64%	60%	75%	9%	15%
I have enough information to do my job well.	73%	75%	N/A	N/A	N/A
I feel encouraged to come up with new and better ways of doing things.	61%	68%	N/A	N/A	N/A
My work gives me a feeling of personal accomplishment.	73%	73%	79%	6%	6%
I like the kind of work I do.	84%	83%	84%	0%	1%
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	66%	74%	76%	10%	2%

Continued on next page.

Table 7 continued.

Federal Government, Private Sector, and USPS OIG OA Results					
Survey Item	Percent Positive			Difference Between 2009 USPS OIG OA And...	
	2008 Federal Government	Private Sector	2009 USPS OIG OA	Fed Gov	Private Sector
How satisfied are you with your involvement in decisions that affect your work?	53%	58%	71%	18%	13%
How satisfied are you with the information you receive from management on what's going on in your organization (company)?	48%	66%	72%	24%	6%
How satisfied are you with the recognition you receive for doing a good job?	50%	56%	68%	18%	12%
How satisfied are you with your opportunity to get a better job in your organization (company)?	39%	49%	48%	9%	-1%
How satisfied are you with the training you receive for your present job?	55%	66%	67%	12%	1%

Continued on next page.

Table 7 continued.

Federal Government, Private Sector, and USPS OIG OA Results					
Survey Item	Percent Positive			Difference Between 2009 USPS OIG OA And...	
	2008 Federal Government	Private Sector	2009 USPS OIG OA	Fed Gov	Private Sector
Considering everything, how satisfied are you with your job?	68%	70%	81%	13%	11%
Considering everything, how satisfied are you with your organization (company)?	57%	70%	N/A	N/A	N/A
<p>Source: Data adapted from Office of Personnel Management (OPM). (2009). <u>Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey</u>. Washington, DC: OPM, 57.</p> <p>Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable.</p> <p>The USPS OIG OA results were rounded.</p>					

In addition, the 2009 USPS OIG OA Work Life Survey results were compared with the 2007 MSPB Merit Principles Survey (MPS) results. The MSPB "conducts studies of the Federal civilian workforce to determine if the workforce is being managed effectively, efficiently, and in accordance with the Federal merit system principles" (2009). Where the same questions were asked on both surveys, the framework in the MSPB study was used for ease of

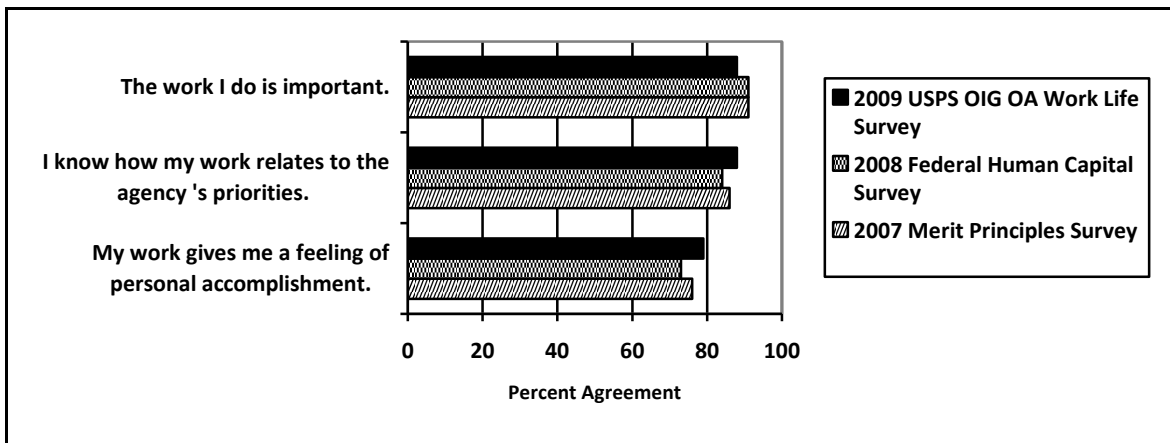
comparison. The 2007 MPS was administered to 68,789 federal employees in 30 departments and agencies via the internet (or by paper for the 500 employees that did not have access to the internet). The MPS had a 60 percent response rate (41,577 employees completed the survey). The margin of error for all responses is reported as plus or minus 1 percent. Fifteen agencies have contracted with the MSPB to administer the required OPM FHCS, so the MPS also has results for the same questions discussed previously.

The MSPB recommends using this data to "drive employee engagement and increase high performance through hands-on performance management" (2009). Specifically, the MSPB recommends "communicating openly and honestly with employees, connecting with them as people to build good working relationships, and demonstrating the courage to address and resolve problems" (2009). The weighted data reported by MSPB was used so that the findings are generalizable to the survey population. Although the USPS OIG is not asked to participate in this survey, their Work Life Survey has some of the same questions. Therefore, the data for the USPS OIG OA can be discussed along the same six categories of employee engagement: pride in one's work and workplace, satisfaction with leadership, opportunity to

perform well at work, positive work environment, satisfaction with the recognition received, and prospect for future personal and professional growth.

Figure 5 uses the MSPB framework of "employees' pride in their work" (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added.

Figure 5: Employees' Pride in Their Work

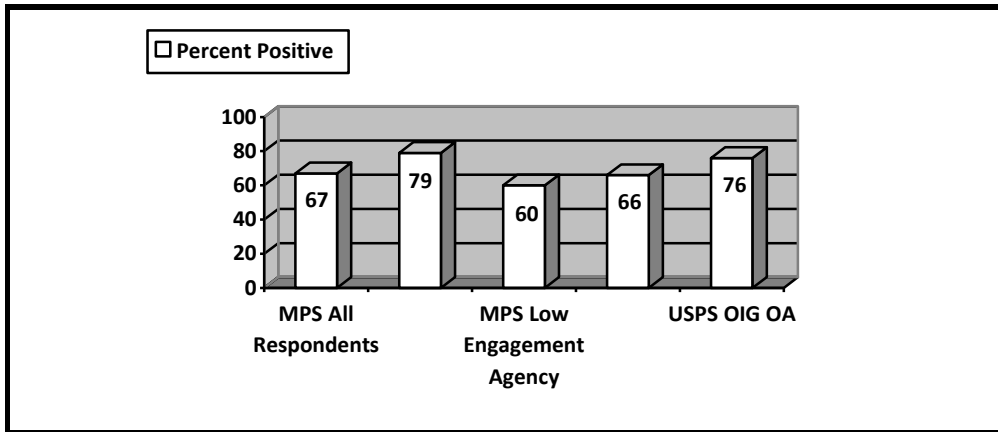


Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figure 1. Data provided by USPS OIG OA. Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable. All results were rounded.

Figure 6 uses the MSPB framework of "satisfaction with leadership" (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added. The results shown are in response to the question "Overall, how would you rate your immediate supervisor's performance as a

supervisor?" The MPS high and low engagement results depicted here were for nonsupervisory employees only.

Figure 6: Satisfaction with Leadership



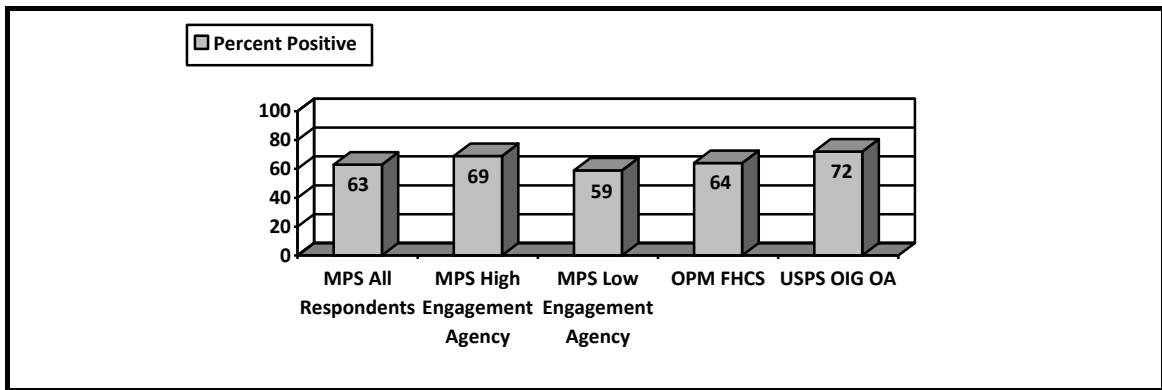
Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figures 4&5.

Data provided by USPS OIG OA.

Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable. All results were rounded.

Figure 7 uses the MSPB framework of “employees’ trust in their supervisors” (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added. The results shown are in response to the statement “I have trust and confidence in my supervisor”. The MPS high and low engagement results depicted here were for nonsupervisory employees only.

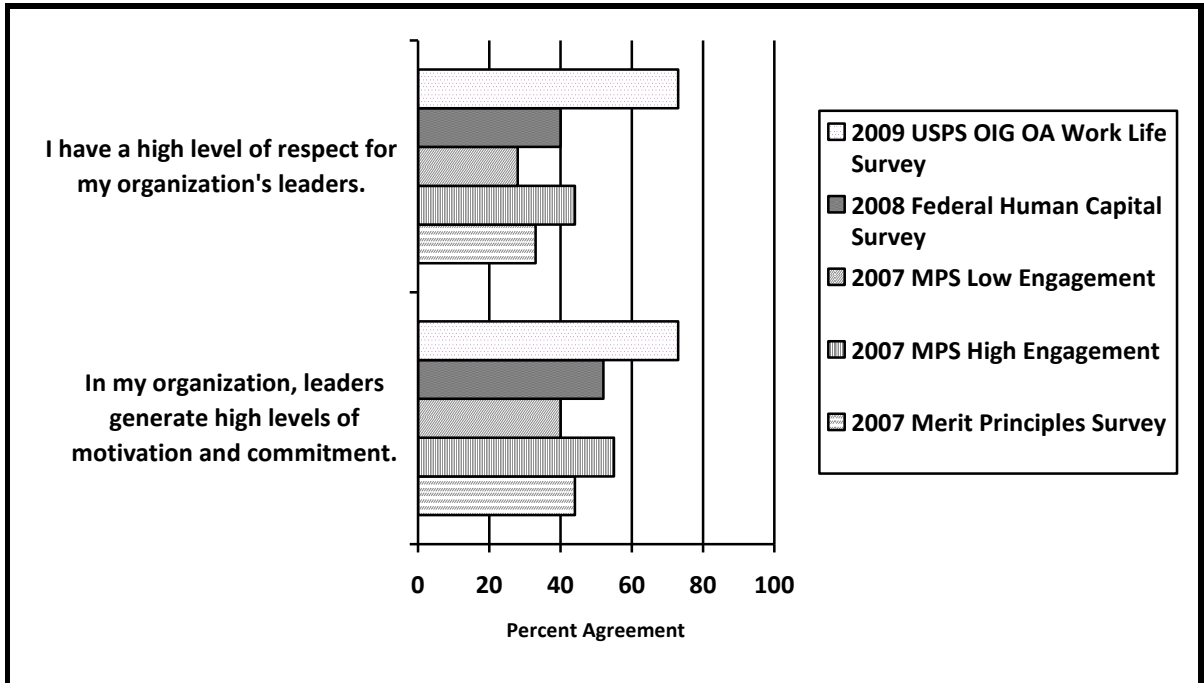
Figure 7: Employees’ Trust in Their Supervisors



Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figures 6&7. Data provided by USPS OIG OA. Note: Percent positive only includes rankings of “Agree” and “Strongly Agree”, and “Good” and “Very Good”, where applicable. All results were rounded.

Figure 8 uses the MSPB framework of “employees’ respect for management” (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added. All MPS results depicted here were for nonsupervisory employees only.

Figure 8: Employees’ Respect for Management

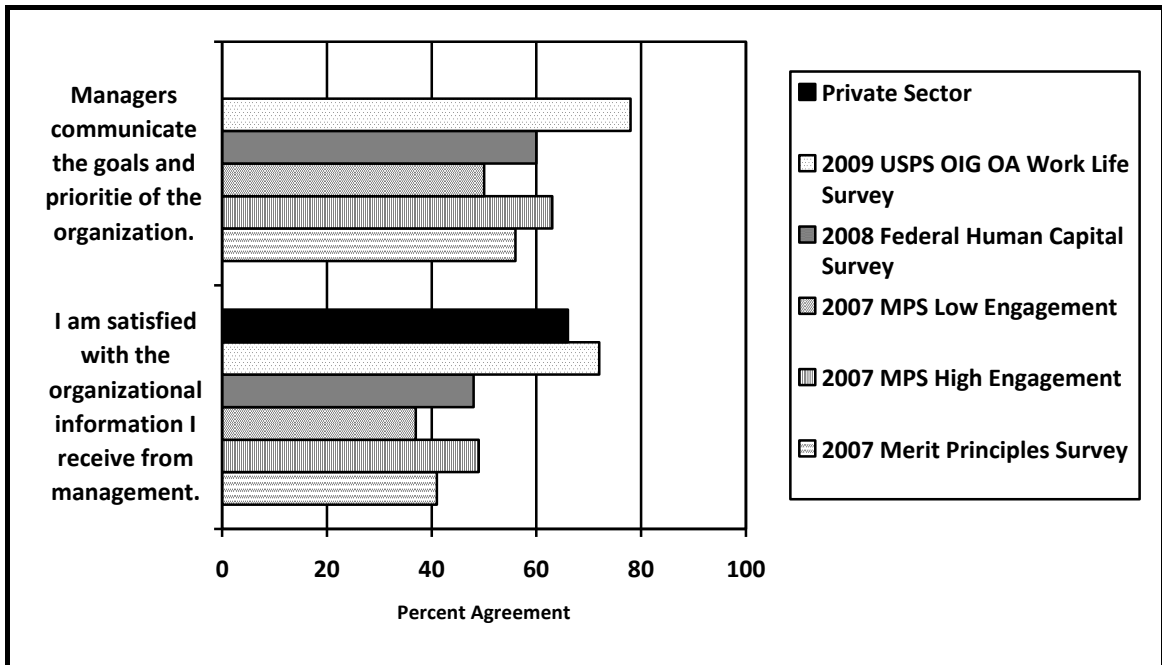


Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figures 8&9. Data provided by USPS OIG OA. Note: Percent positive only includes rankings of “Agree” and “Strongly Agree”, and “Good” and “Very Good”, where applicable. All results were rounded.

Figure 9 uses the MSPB framework of “employees’ perceptions of management communication” (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life

Survey results were added. The 2008 OPM FHCS data included a 66 percent response for the private sector on the “I am satisfied with the organizational information I receive from management”. All MPS results depicted here were for nonsupervisory employees only.

Figure 9: Employees’ Perceptions of Management Communication



Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendices B & E.

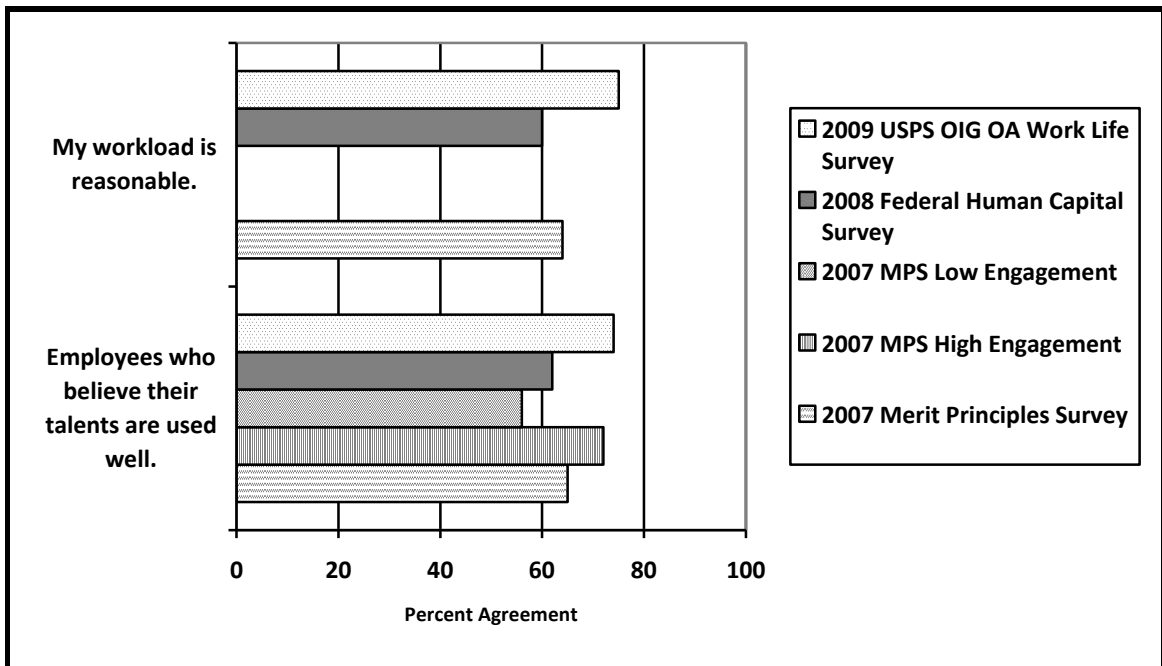
Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figures 10 & 11.

Data provided by USPS OIG OA.

Note: Percent positive only includes rankings of “Agree” and “Strongly Agree”, and “Good” and “Very Good”, where applicable. All results were rounded.

Figure 10 uses the MSPB framework of “opportunity to perform well at work” (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added. The MPS results for the “employees who believe their talents are used well” statement were for nonsupervisory employees only. The MPS did not include high and low engagement results for the “my workload is reasonable” statement.

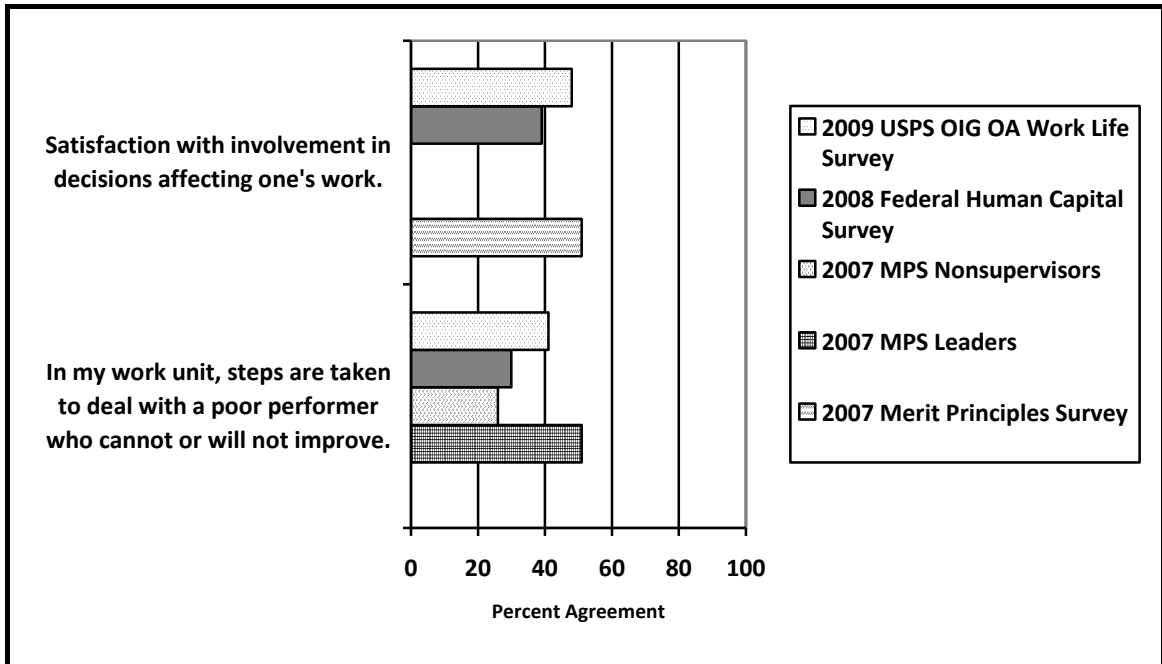
Figure 10: Opportunity to Perform Well at Work



Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figures 13 & 14, & p. 21. Data provided by USPS OIG OA. Note: Percent positive only includes rankings of “Agree” and “Strongly Agree”, and “Good” and “Very Good”, where applicable. All results were rounded.

Figure 11 uses the MSPB framework of "positive work environment" (2009), and the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results were added. The MPS did not provide general results for the "steps are taken to deal with a poor performer who cannot or will not improve" statement, and instead provided results broken out by leaders (51 percent) and nonsupervisors (26 percent). In addition, the MPS did not include leaders and nonsupervisors' results for the "satisfaction with involvement in decisions affecting one's work" statement. Instead, the MPS broke out the results as follows: executives (86 percent), managers (76 percent), supervisors (71 percent), team leaders (66 percent), and individual workers (65 percent) (MSPB, 2009).

Figure 11: Positive Work Environment



Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figure 22, & p. 32.

Data provided by USPS OIG OA.

Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable. All results were rounded.

Figure 12 uses the MSPB framework of "prospect for future personal and professional growth" (2009), and I have added the 2008 OPM FHCS data and the 2009 USPS OIG OA Work Life Survey results. The MPS did not provide general results for the three statements in Figure 12, and instead provided results for nonsupervisors in high and low engagement agencies.

Figure 12: Prospect for Future Personal and Professional Growth



Sources: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B. Data adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Figure 28.

Data provided by USPS OIG OA.

Note: Percent positive only includes rankings of "Agree" and "Strongly Agree", and "Good" and "Very Good", where applicable. All results were rounded.

Study Significance and Implications

a. Conclusion

The findings in this study was based on a series of surveys (the 2006, 2007, and 2009 Work Life surveys, and the 2008 Spring and Fall Human Sigma surveys) conducted at the USPS OIG OA over a period of time, and comparing these results with the survey results from the OPM 2008 Federal Human Capital Survey and the MSPB 2007 Merit Principles Survey.

Consistent across all of these surveys is that federal employees are deeply committed to the mission of their organizations. Specifically, 91 percent of federal employees believe their work is important, according to the 2008 FHCS; and 88 percent of USPS OIG OA employees agreed in their 2009 Work Life survey.

The conclusions drawn in this study pertain to the USPS OIG OA and build upon other federal government service survey findings. As a result, these findings are more applicable to the public sector rather than the private sector. The study is most applicable to those agencies that have a clear mission and a homogenous work force with professional quality standards and requirements. Table 6

displays the differences found between the USPS OIG OA, federal government, and private sector; and reveals that the FY 2009 USPS OIG OA results are as good or better than the FY 2008 federal government; and better than the private sector results in all but one instance. The USPS OIG OA is 1 percent worse than the private sector in "How satisfied are you with your opportunity to get a better job in your organization".

In examining the theories of performance to assess the effectiveness of the USPS OIG OA, the most important was having employees engaged in the mission of the organization, and having a clear assessment and determination of progress towards that mission (as defined via a composite of interrelated performance measures and key indicators of success).

Herzberg's two-factor theory distinguishing between extrinsic and intrinsic motivators, and his position that the most important were "recognition, work, responsibility, and advancement" (Accel, 2009) laid the groundwork upon which to analyze motivation in the work place. Frankl's belief that individuals want and need meaning in their lives, best summarizes how the mission of an organization, and the role that an individual plays in that organization,

can lead to the most productive and engaged employees. These theories were discussed and presented in Figure 1.

This hypothesis is confirmed by the USPS OIG OA performance data analysis and is consistent with the findings of the OPM FHCS and MSPB MPS results. Frankl's premise best explains how a federal audit organization can achieve its intended results, by having a workforce that is primarily focused on the mission of the organization, and by having individual performance measures related to the success of that organization. Herzberg and Frankl's theories served as the foundation for the test of effectiveness, as proven by the results from the various surveys and USPS OIG OA performance data.

b. Anticipated Significance of the Study

Conducting this research yields insight into the relationship between PFP, motivation, and productivity. Existing literature suggests that there are correlations between "compensation, attraction, and retention" rates in organizations (Rynes & Gerhart, 2000). My professional work experience, judgment, and the results of this study may provide a foundation for management to make changes, if deemed necessary, to the existing PFP program at the USPS OIG OA. Further, since this organization is the first IG

to utilize a PFP program in what appears to be the general direction that the government is going, further improving this program may have the added benefit of it then serving as a role model for the other federal agencies and OIGs. This study yielded a greater understanding about the current state of the PFP program at the USPS OIG OA. Further, this study generated suggestions for consideration for all federal agencies currently utilizing or contemplating the implementation of a PFP program.

Specifically, the big question is how an organization like the USPS OIG OA can overcome the habits and embedded behavior of its employees to achieve greater levels of performance. Given that employees do not simply choose behavior existentially, and instead bring their organizational and professional socialization with them including past choice patterns, professional and ethical standards, and their own individual habits of choice. To the extent that these enhance performance, the task for the organization is to affirm and incentivize them. However, some of these behaviors may be counter to agency performance goals and expectations. In addition, it is important to have authentic buy-in from the staff for the PFP process, rather than a symbolic buy-in. This is the

reality of working within the politics of an existing organizational culture.

c. Future Study Considerations

In conclusion, even when a government agency prepares a strategic plan, identifies measures of performance to gauge progress towards its mission, and then ties employees' achievement of those performance measures to their pay; the "performance management paradox" discussed by Winstanley and Woodall (2000) still exists. This is due to the rating process in that employees may disagree upon how to equitably rate disparate jobs, missions, and results obtained.

An avenue for exploration is to consider the difference between "strongly agree" and "agree"; and whether that would be worthwhile to pursue organizational improvements to the "strongly agree" level.

Another consideration is the flawed analysis in performance appraisals in which the expectation is that all employees cannot be deemed "outstanding", simply due to mathematics rather than a true assessment of their performance. For example, the 2009 MSPB report stated that "it is mathematically impossible for 69 percent of Federal employees to be above average and for 99 percent of them to

be average or above as they evaluated themselves in the MPS 2005". Given that there are entrance requirements, quality standards, formal termination procedures, and critical missions it is, in fact, possible for Federal employees to routinely perform above average. In this way the median can be above average, and based on these considerations may even be expected to be above average. Merit on an individual basis need not be recalculated into a preconceived "bell curve" or other distribution for bonuses and awards. This type of behavior in the workplace breeds animosity, lack of trust, and destroys teamwork. If there are only limited pieces of hypothetical pie available, the appraisal system becomes demotivating instead.

In addition, the "survey data is based on the perceptions and beliefs of (the) participants rather than on verified facts" (MSPB, 2009). To the extent that individual's perceptions affect their behavior, the veracity of their perceptions is less relevant. What this means is that in the effort to improve performance in an organization, it is important to improve the programs and policies, as well as the communication of such, so that perceptions can also be improved accordingly.

Furthermore, another consideration in assessing the effectiveness of an organization has to do with the continuity of leadership. Specifically, when a program is implemented in an organization it necessarily takes time for it to achieve its intended results. Measuring key indicators over a period of time to discern trends, concerns, and successes must also take into consideration major changes in leadership and staffing. In some cases, the efforts of prior leadership are reflected both positively and negatively in the work produced under the current leadership. Although senior managers typically attach themselves to success and detach themselves from organizational failures; it is only after a period of time and stability that the measurement of an organization's performance can be measured and clearly linked to its current leadership, programs, and initiatives. Schneiderman (1999) suggests that there may be a longer than expected lag time from the institution of certain programmatic changes to seeing the results of those changes due to the complexities of interactions between internal and external events; i.e., a 5-10 year lag time between non-financial and financial performance that appear to be

incongruent until sufficient time elapses to better evaluate the effect of the programmatic change.

In conclusion, this study makes a potential contribution to discovering how organizations change employee behavior to overcome drags on individual performance. However, caution needs to be exercised when extending the findings of this study beyond the USPS OIG OA as they are most applicable to those agencies that have a clear mission and a homogenous work force with professional quality standards and requirements. PFP systems embed a theory of change through incentives. However, this study suggests that there are other possibilities for change as well.

Appendix A

Thesis or Final Project Proposal Approval Form (UB, 2006)

Please print:

Student Name Mimi Alejandra Sharkey

Program Doctor of Public Administration

Date May 21, 2009

Thesis or Final Project Proposal Title

TESTING THEORIES OF PERFORMANCE: Measuring Effectiveness at

the United States Postal Service Office of Inspector

General Office of Audit

Approval of the attached thesis proposal is indicated by
our signatures below. The proposal conforms to IRB
guidelines for research with human subjects.

Dr. Lenneal J. Henderson
Thesis or Final Project Director Date

Dr. C. Alan Lyles
Committee Member Date

Dr. Lorenda A. Naylor
Committee Member Date

Mimi Alejandra Sharkey
Student Date

Dr. Patria de Lancer Julnes
Program Director Date

Appendix B Federal Human Capital Survey 2008 Questions and Results

Note: Impact items, highly related to satisfaction and intent to leave, are noted by an asterisk (*). Items included on the Annual Employee Survey are displayed in bold font.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Personal Work Experiences						
1	The people I work with cooperate to get the job done.	29.9	53.9	8.4	6.3	1.5
* 2	I am given a real opportunity to improve my skills in my organization.	19.7	44.3	17.9	12.8	5.3
3	I have enough information to do my job well.	18.8	54.6	15.2	9.4	2.0
4	I feel encouraged to come up with new and better ways of doing things.	21.7	39.0	19.4	13.7	6.1
* 5	My work gives me a feeling of personal accomplishment.	28.4	45.0	14.9	7.8	3.9
* 6	I like the kind of work I do.	39.2	44.7	11.0	3.6	1.6
7	I have trust and confidence in my supervisor.	27.5	36.7	17.8	10.3	7.6
8	I recommend my organization as a good place to work.	24.5	40.9	19.6	9.0	6.0

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Very Good	Good	Fair	Poor	Very Poor
Personal Work Experiences continued.						
* 9	Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	31.2	35.0	20.9	7.8	5.1
10	How would you rate the overall quality of work done by your work group?	37.1	46.3	13.5	2.3	0.8

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Recruitment, Development, and Retention						
11	My supervisor supports my need to balance work and other life issues.	33.7	41.6	13.4	6.0	4.6
13	Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills.	18.6	42.0	21.0	11.3	6.1
14	My work unit is able to recruit people with the right skills.	10.3	34.6	27.8	16.6	7.9
15	The skill level in my work unit improved in the past year.	14.7	38.0	27.2	12.2	5.3
16	I have sufficient resources (for example, people, materials, budget) to get my job done.	11.4	39.8	18.1	19.3	10.6
* 17	My workload is reasonable.	11.1	48.9	16.2	15.6	7.7
* 18	My talents are used well in the workplace.	17.2	45.0	17.0	12.4	7.4
19	I know how my work relates to the agency's goals and priorities.	29.0	54.9	10.3	3.3	1.8
20	The work I do is important.	48.1	42.7	6.3	1.6	1.0
21	Physical conditions (noise level, temperature, lighting, workplace cleanliness) allow employees to perform their jobs well.	21.5	45.7	14.6	11.3	6.4

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Performance Culture						
22	Promotions in my work unit are based on merit.	7.7	27.5	26.2	17.8	16.2
23	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	5.1	24.5	26.5	21.5	15.8
*24	Employees have a feeling of personal empowerment with respect to work processes.	7.4	36.5	28.5	16.9	8.5
25	Employees are rewarded for providing high quality products and services to customers.	10.4	35.7	23.6	17.4	10.7
26	Creativity and innovation are rewarded.	9.2	30.9	28.1	18.5	10.8
27	Pay raises depend on how well employees perform their jobs.	5.4	20.2	26.7	24.4	18.1
28	Awards in my work unit depend on how well employees perform their jobs.	9.1	32.4	23.2	17.3	13.6
29	In my work unit, differences in performance are recognized in a meaningful way.	6.0	25.4	30.5	20.7	13.1
30	My performance appraisal is a fair reflection of my performance.	17.0	46.2	18.0	9.6	7.1

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Performance Culture continued.						
31	Discussions with my supervisor/team leader about my performance are worthwhile.	16.6	39.6	23.1	10.3	8.6
32	In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	19.6	44.6	15.9	9.7	6.6
33	I am held accountable for achieving results.	23.7	58.1	12.7	3.4	1.4
34	Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.	15.3	41.5	25.7	6.6	4.4
35	Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	16.9	42.8	23.8	6.0	4.5
36	Managers / supervisors / team leaders work well with employees of different backgrounds.	18.6	46.6	19.4	7.0	5.1

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Leadership						
*37	I have a high level of respect for my organization's senior leaders.	16.1	35.7	22.7	14.1	10.8
38	In my organization, leaders generate high levels of motivation and commitment in the workforce.	10.5	29.4	28.0	19.5	11.7
39	My organization's leaders maintain high standards of honesty and integrity.	15.1	34.4	25.7	11.6	10.0
*40	Managers communicate the goals and priorities of the organization.	13.5	46.2	21.4	11.3	6.8
41	Managers review and evaluate the organization's progress toward meeting its goals and objectives.	13.2	44.4	23.6	8.4	5.3
42	Employees are protected from health and safety hazards on the job.	22.6	53.5	13.2	5.8	3.8
43	My organization has prepared employees for potential security threats.	20.3	53.8	15.6	6.1	2.8
44	Complaints, disputes or grievances are resolved fairly in my work unit.	9.9	29.5	27.5	11.1	9.7

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Leadership continued.						
45	Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	14.3	33.4	23.4	11.1	10.4
46	Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.	20.8	39.4	19.2	5.5	6.0
47	I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	15.6	34.9	22.6	10.1	9.0

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Agree ++	Agree	Neither Agree nor Disagree	Disagree	Disagree ++
Learning (Knowledge Management)						
48	Supervisors / team leaders provided employees with constructive suggestions to improve their job performance.	11.7	46.7	22.3	12.7	5.5
49	Supervisors / team leaders in my work unit support employee development.	16.9	47.6	19.1	10.0	5.6
50	Employees have electronic access to learning and training programs readily available at their desk.	24.1	54.5	11.9	5.5	2.4
51	My training needs are assessed.	12.2	41.2	24.7	15.0	5.4
52	Managers promote communication among different work units (for example, about projects, goals, needed resources).	12.4	42.0	23.1	12.9	6.7
53	Employees in my work unit share job knowledge with each other.	23.0	52.5	12.8	7.7	3.6
54	Employees use information technology (for example, intranet, shared networks) to perform work.	31.5	55.8	8.2	2.6	1.2

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Very Dissatisfied
Job Satisfaction						
*55	How satisfied are you with your involvement in decisions that affect your work?	13.0	40.4	22.8	17.4	6.5
*56	How satisfied are you with the information you receive from management on what's going on in your organization?	10.3	37.8	24.4	19.5	7.9
*57	How satisfied are you with the recognition you receive for doing a good job?	13.6	36.7	22.8	17.9	9.0
*58	How satisfied are you with the policies and practices of your senior leaders?	9.4	32.9	28.8	18.7	10.2
*59	How satisfied are you with your opportunity to get a better job in your organization?	9.5	29.5	28.2	19.5	13.3
*60	How satisfied are you with training you receive for your present job?	12.8	42.5	24.5	14.3	5.9
61	Considering everything, how satisfied are you with your job?	21.0	47.5	17.5	9.8	4.3
*62	How satisfied are you with your pay?	15.1	45.3	17.4	15.8	6.4
63	How satisfied are you with your organization?	14.2	43.3	22.2	13.6	6.7

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Very Dissatisfied
Satisfaction with Benefits						
64	How satisfied are you with retirement benefits?	14.2	46.6	19.4	9.4	3.1
65	How satisfied are you with health insurance benefits?	14.7	47.3	17.2	11.7	4.1
66	How satisfied are you with life insurance benefits?	12.2	48.0	21.7	7.0	2.5
67	How satisfied are you with long term care insurance?	6.4	25.6	28.4	6.7	2.9
68	How satisfied are you with the flexible spending account (FSA) program?	9.6	25.2	27.0	2.5	1.2
69	How satisfied are you with paid vacation time?	35.3	52.4	7.7	3.6	1.0
70	How satisfied are you with paid leave for illness (for example, personal), including family care situations (for example, childbirth/adoption or elder care)?	34.5	49.8	9.4	4.5	1.8
71	How satisfied are you with child care subsidies?	2.7	6.4	23.0	2.4	1.8
72	How satisfied are you with work/life programs (for example, health and wellness, employee assistance, elder care, and support groups)?	6.1	22.4	24.4	4.8	2.6

Continued on next page.

Appendix B continued.

Federal Human Capital Survey 2008 Questions and Results						
#	Survey Question	PERCENT				
		Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Very Dissatisfied
<i>Satisfaction with Benefits continued.</i>						
73	How satisfied are you with telework / telecommuting?	6.5	16.1	20.3	7.0	6.7
74	How satisfied are you with alternative work schedules?	17.4	29.6	17.0	6.3	6.4

Source: Data adapted from Office of Personnel Management (OPM). (2009). Federal Human Capital Survey 2008: Results From the 2008 Federal Human Capital Survey. Washington, DC: OPM, Appendix B.
 Note: ++ indicates "strongly".

Appendix C Merit Systems Protection Board Merit Principles Survey 2007

Part A: My Job	
A1. For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. <i>Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</i>	
A	My agency is successful in accomplishing its mission
B	I would recommend my agency as a place to work
C	The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals
D	My work unit is able to recruit people with the right skills
E	Employees have a feeling of personal empowerment with respect to work processes
F	I like the kind of work I do
G	My workload is reasonable
H	My work gives me a feeling of personal accomplishment
I	My talents are used well in the workplace
J	I know how my work relates to the agency's goals and priorities
K	The work I do is important
L	The people I work with cooperate to get the job done
A2. For each question, please indicate how often the event occurs by placing a check in the box under your response choice. <i>Options range from Rarely or Never, Usually Not, Some of the Time, Most of the Time, to Always or Almost Always.</i>	
A	How often can at least one of your co-workers fill in for you when you are not at work?
B	How often do you have the resources you need to do your job well?
C	How often do you receive the information and guidance you need to do your work efficiently and effectively?
D	How often do you do more than your fair share of work because of the poor performance or low productivity of one or more of your co-workers?
A3. For each question, please indicate your level of satisfaction by placing a check in the box under your response choice. <i>Options range from Very Satisfied, Satisfied, Neither Satisfied nor Dissatisfied, Dissatisfied, to Very Dissatisfied.</i>	
A	Considering everything, how satisfied are you with your job?
B	How satisfied are you with your involvement in decisions that affect your work?
A4. Overall, how good a job do you feel is being done by your immediate supervisor/team leader? <i>Options range from Very Good, Good, Fair, Poor, to Very Poor.</i>	

Appendix C continued.

Part B: My Immediate Supervisor	
B1. For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.	
A	My supervisor communicates high performance expectations to employees
B	My supervisor talks with me or assists me when I need help
C	My supervisor treats me with courtesy and respect
D	My supervisor compliments me when I do a good job
E	My supervisor explains the reasons for work changes before they take place
F	My supervisor works hard to maintain and improve our work unit's performance
G	My supervisor follows through on commitments
H	My supervisor speaks up for employees
I	I have trust and confidence in my supervisor
J	My supervisor makes decisions based on what is personally best for him or her rather than what is best for the organization
K	My supervisor demonstrates a high level of integrity
L	My supervisor has a good understanding of my job performance and accomplishments
M	My supervisor supports my need to balance work and family issues
N	Discussions with my supervisor/team leader about my performance are worthwhile
B2. About how often do you meet individually with your supervisor to discuss the progress of your work? Options are Weekly or more often, Every 2 weeks, Monthly, Quarterly, Twice per year, Annually, and Less than once per year.	
B3. The frequency with which my supervisor meets with me to discuss the progress of my work is: Options are Not often enough, About right, and too often.	
B4. How often do you typically receive formal or informal feedback from your supervisor? Options are Weekly or more often, Every 2 weeks, Monthly, Quarterly, Twice per year, Annually, and Less than once per year.	
B5. How helpful is your supervisor's feedback in helping you improve or enhance your performance? Options are Very Helpful, Somewhat Helpful, Not Helpful, and Harmful.	
B6. What does your supervisor do (or not do) that helps you do your best work? Please list one to three actions or behaviors. If your supervisor does not help you do your best work, write "none".	

Appendix C continued.

<p>B7. What does your supervisor do (or not do) that makes it difficult for you to do your best work? Please list one to three actions or behaviors. If your supervisor does not make it difficult for you to do your best work, write "none".</p>
<p>B8. Overall, how would you rate your immediate supervisor's performance as a supervisor? <i>Options range from Very Good, Good, Fair, Poor, to Very Poor.</i></p>
<p>Part C: Performance Management</p>
<p>C1. Do you have written individual performance goals that clearly define the results you are expected to achieve during the performance period? <i>Options are No, Yes, Don't Know.</i></p>
<p>C2. Have your individual performance goals been developed, reviewed, updated, or discussed with your supervisor for the current performance period (or if your performance period ended within the past two months, answer for your goals for the previous performance period)? <i>Options are No, Yes, Don't Know.</i></p>
<p>C3. Are your individual performance goals clearly linked to organizational or work unit goals? <i>Options are No, Yes, Don't Know.</i></p>
<p>C4. Do your individual performance goals accurately define what is expected of you? <i>Options are No, Yes, Don't Know.</i></p>

Continued on next page.

Appendix C continued.

<p>C5. For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</p>	
A	I am held accountable for achieving results in the sense that if I achieve the expected work results, I experience positive consequences
B	I am held accountable for achieving results in the sense that if I do NOT achieve the expected work results, I experience negative consequences
C	Appropriate, objective measures are used to evaluate my performance
D	My performance appraisal is a fair reflection of my performance
E	In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (e.g., Fully Successful, Outstanding).
F	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve
G	I am rewarded for providing high quality products and services to my customers (internal and/or external)
H	Recognition and rewards are based on performance in my work unit.
I	In my work unit, differences in performance are recognized in a meaningful way
J	Creativity and innovation are rewarded
K	Pay raises depend on how well employees perform their jobs
L	Promotions in my work unit are based on merit
<p>C6. For each question, please indicate your level of satisfaction by placing a check in the box under your response choice. Options range from Very Satisfied, Satisfied, Neither Satisfied nor Dissatisfied, Dissatisfied, to Very Dissatisfied.</p>	
A	How satisfied are you with the recognition you receive for doing a good job?
B	How satisfied are you with your opportunity to get a better job in your organization?
C	Considering everything, how satisfied are you with your pay?

Continued on next page.

Appendix C continued.

Part D: Managers and Executives in My Organization	
D1. For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. <i>Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</i>	
A	The information collected in surveys and other forms of employee input is used to make improvements in my organization
B	I have a high level of respect for my organization's senior leaders
C	In my organization, leaders generate high levels of motivation and commitment in the workforce
D	Managers and executives demonstrate consistency between words and actions
E	Managers and executives are open and honest in sharing information with employees
F	I can express my point of view to management without fear of negative consequences
G	Managers communicate the goals and priorities of the organization
H	Managers review and evaluate the organization's progress toward meeting its goals and objectives
I	Managers/supervisors/team leaders work well with employees of different backgrounds
D2. For each question, please indicate your level of satisfaction by placing a check in the box under your response choice. <i>Options range from Very Satisfied, Satisfied, Neither Satisfied nor Dissatisfied, Dissatisfied, to Very Dissatisfied.</i>	
A	How satisfied are you with the policies and practices of your senior managers?
B	How satisfied are you with the information you receive from management about what's going on in your organization?

Continued on next page.

Appendix C continued.

Part E: Training and Development	
E1. For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.	
A	Supervisors/team leaders in my work unit support employee development
B	I am given a real opportunity to improve my skills in my organization
c	My training needs are assessed
E2. How are your training needs assessed? Mark all that apply.	
	Informal discussion with my supervisor or team leader
	Formal discussion with my supervisor or team leader
	My supervisor or team leader decides what I need without discussing it with me
	Individual development planning
	Self-assessment questionnaire
	360 or multi-source feedback (Several different groups of people who work with you assess your development needs such as peers, supervisor, subordinates, or customers)
	Other Specify:
E3. How satisfied are you with the training you receive for your present job? Options range from Very Satisfied, Satisfied, Neither Satisfied nor Dissatisfied, Dissatisfied, to Very Dissatisfied.	
E4. How many times in the past 12 months have you had each of the following kinds of formal training that was paid for or otherwise provided by the Federal Government? For our purposes, formal training includes classroom training, computer/web-delivered training, conferences and symposia, etc. Please count one "time" for each "class" or conference you took, even if it lasted for several days.	
A	Agency, bureau, division, or office-required training (such as computer security awareness, ethics, e-travel, etc.)
B	Training about topics of general interest to government employees (such as new employee orientation, retirement planning, insurance benefits, etc.)
C	Training that is closely related to the duties of your current job
D	Training that primarily prepares you for a promotion or movement to a different job
E	Training that has little or no real relation to your present or possible future job responsibilities

Continued on next page.

Appendix C continued.

E5. Please describe in a few words (no more than a sentence) the topic of the most recent formal training closely related to the duties of your current job you received that was paid for or otherwise provided by the Federal Government.	
E6. Which of the following best describes your reason for taking this training? Please mark only one.	
<input type="checkbox"/>	It is required for employees in my occupation or specialty.
<input type="checkbox"/>	My supervisor or other agency leader requested or required that I take it.
<input type="checkbox"/>	I requested to take it because I thought it would increase my job-related abilities.
<input type="checkbox"/>	I requested it because it would improve my ability to get a promotion or different job.
<input type="checkbox"/>	I requested to take it for a different reason. <i>Specify:</i>
E7. Which of the following best describes the level of the knowledge, skill, or ability you expected to obtain from this training? Please mark only one.	
<input type="checkbox"/>	Introductory, which assumes little or no prior background in what is taught.
<input type="checkbox"/>	Intermediate, which assumes some background or ability and builds toward the advanced level.
<input type="checkbox"/>	Advanced, which assumes attendees already have a great deal of background and/or ability in this area, and are fine-tuning their knowledge, skill, or ability.
E8. Which of the following persons or groups developed the content of this most recent formal, job-related training? Please mark only one.	
<input type="checkbox"/>	An office or individual within your agency
<input type="checkbox"/>	Another Federal agency or organization
<input type="checkbox"/>	A state or local government organization
<input type="checkbox"/>	A professional association or other nonprofit organization
<input type="checkbox"/>	A private sector contractor or other commercial organization
<input type="checkbox"/>	A college, university or other academic institution
<input type="checkbox"/>	Don't know

Continued on next page.

Appendix C continued.

<p>E9. Please indicate your level of agreement or disagreement with each of the following statements about this most recent job related training: <i>Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</i></p>	
A	I enjoyed this training
B	The training was effective in teaching what it was designed to teach
C	The training consisted mostly of things that I did not know before taking the training
D	What I have learned from this training either has, or will likely improve my job performance
E	Obstacles in my work setting that I cannot control prevent me from using the training to improve my job performance
F	It would be more effective for employees to learn this type of knowledge, skill or ability on the job
G	It is very hard to develop proficiency in this area if you do not have natural talent or ability to begin with
H	Other employees in my work unit have had the same training in the past year
I	I would recommend this training to others who do the same kind of work I do
<p>Please consider the following possible situation. <i>Your agency is hiring more staff as a result of increased funding and an expansion of its mission. You have been asked to help hire a new employee who will be doing the same type and level of work that you do, but will be part of a different work team.</i></p>	
<p>E10. Please describe in a few words or phrases the most important knowledge, skill, or ability this new employee needs to do his or her job well:</p>	
<p>E11. Please indicate your level of agreement or disagreement with the following statements about this most important skill or ability: <i>Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</i></p>	
A	It can be learned by studying an appropriate manual, book, or web site
B	It can be learned from a formal training class or series of classes
C	It can be learned on the job through selected tasks or assignments
D	It can be learned through coaching or mentoring by an experienced co-worker
E	It is more of a personal characteristic or ability that cannot easily be learned
F	It is important to have during the first week on the job

Continued on next page.

Appendix C continued.

<p>E12. Consider all of the knowledge, skills and abilities (KSAs) the new employee needs for this job. Given that we want to be as efficient as possible, what percentages of these KSAs should come from each of the following sources? (Note: The total should equal 100%.)</p>	
A	The employee should be able to do this before beginning work on the job
B	The employee should be formally trained to do this while on the job
C	The employee should "learn by doing" this while on the job
D	The employee should be coached or mentored in this while on the job
<p>Part F: Physical Work Environment and Safety For each question, please indicate your level of agreement or disagreement with the statement by placing a check in the box under your response choice. Options range from Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, to Strongly Disagree.</p>	
A	Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well
B	Employees are protected from health and safety hazards on the job
C	My organization has prepared employees for potential security threats
<p>Part G: Merit System Principles and Prohibited Personnel Practices These questions pertain only to your experiences as a Federal employee. If you have been a Federal employee for less than two years, please answer the questions for the time you have been a Federal employee. For each question, please place a check in the box under your response choice.</p>	
<p>G1. Have you been treated fairly in the past 2 years in each area listed below? Options are Yes, No, Don't Know, and Not Applicable.</p>	
A	Career advancement
B	Awards
C	Training
D	Performance appraisals
E	Job assignments
F	Discipline
G	Pay

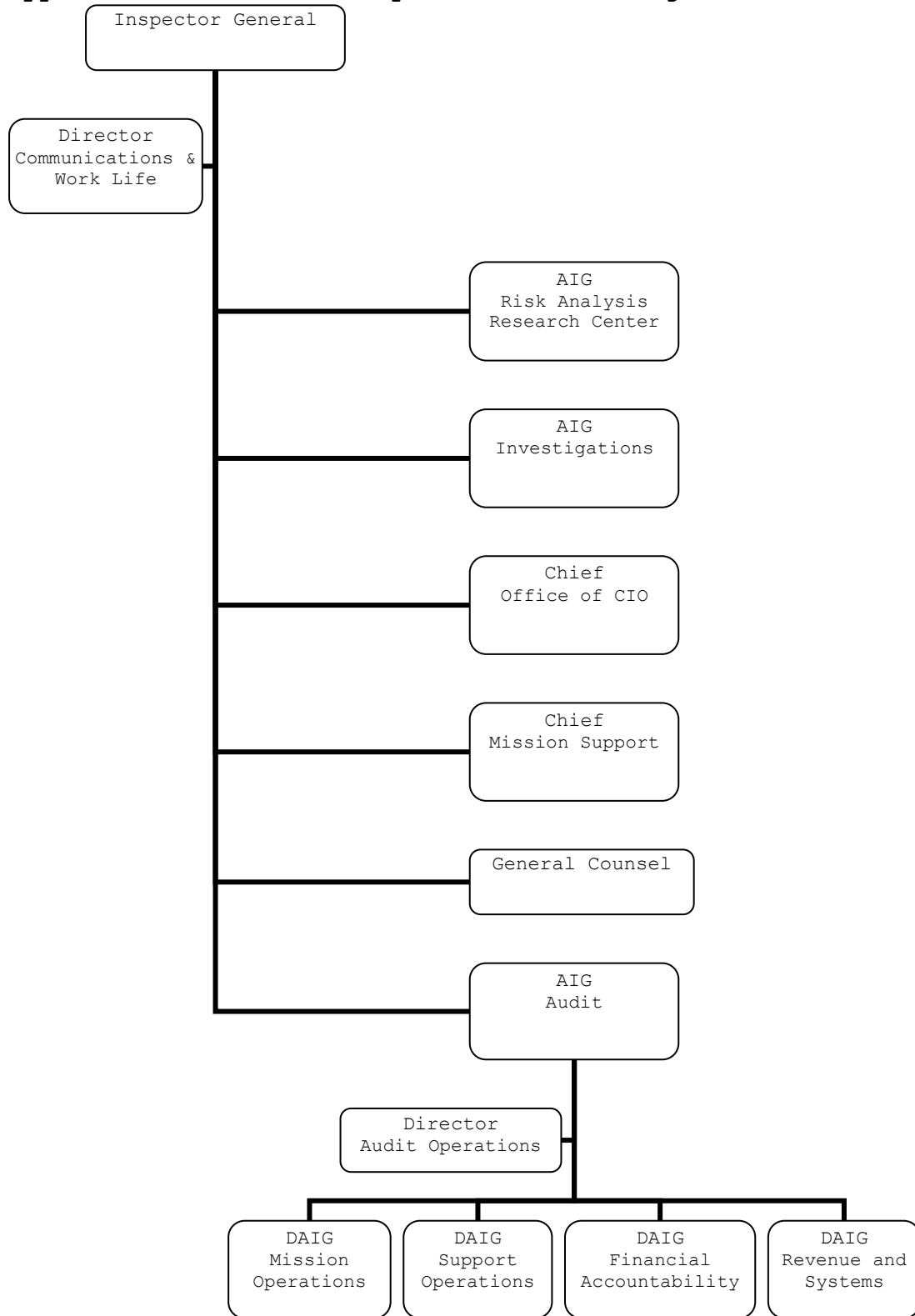
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Appendix C continued.

G2. In the past 2 years, have you been denied a job, promotion, pay increase, or other job benefit because of unlawful discrimination based on the following factors? Options are Yes, No, or Don't Know.	
A	Race/national origin
B	Sex
C	Age
D	Disability
E	Religion
F	Marital Status
G	Political Affiliation
H	Sexual Orientation
I	Off duty conduct
In the past 2 years, have you been... Options are Yes, No, or Don't Know.	
A	Discouraged from competing for a job or promotion by an agency official
B	Influenced by an agency official to withdraw from competition from a Federal job or promotion in order to help another person's chances of getting that job or promotion
C	Denied a job or promotion because one of the selecting or recommending officials gave an unfair advantage to another person
D	Denied a job or promotion because it was given to a relative of a selecting or recommending official
E	Denied an award based on favoritism by the nominating or approving officials
F	Pressured into participating in political activities
G	Improperly pressured to take actions or make decisions based on political goals of others
G4. In the past 2 years, do you feel you have been retaliated against or threatened with retaliation for taking any of the following actions? Mark all that apply. Options are No; Yes, Experienced Retaliation; Yes, Threatened with Retaliation; and N/A.	
A	Disclosing health and safety dangers, unlawful behavior, and/or fraud, waste, and abuse
B	Exercising any formal appeal, complaint, or grievance right
C	Testifying for or assisting any individual in whistleblowing, equal opportunity, or appeal rights
D	Refusing to obey an unlawful order
E	Reporting unwanted sexual attention or sexual harassment
F	Disagreeing with management decisions

Source: Adapted from Merit Systems Protection Board (MSPB). (2009). Managing for Engagement - Communication, Connection, and Courage. Washington, DC: MSPB, Appendix C (not including demographic questions or questions for supervisors, managers, and executives.

Appendix D Office of Inspector General Organizational Chart



Source: Data adapted from USPS OIG online organizational chart.

Appendix E USPS OIG PFP Policy

102.4 Employees Pay for Performance Appraisal System Inspector General Executive Service Performance Management System

102.4.1 Purpose

102.4.2 Applicability

The OIG Pay for Performance Program (PFP Program) applies to all OIG employees, excluding Inspector General Executive Services (IGES) employees. Inspector General Manual (IGM) 342 - Senior Executive Pay for Performance applies to IGES members.

102.4.3 Eligibility

All OIG employees who have been on board for a minimum of 90 calendar days before the end of the rating period are eligible to participate in the PFP Program.

102.4.4 Definition

- A. Appeal Official - The official who decides whether to uphold an employee's request for change of PFP score.
- B. Coaching Phase - The time period during the performance evaluation period when a Rating Official holds a discussion with his/her employee, regarding the employee's progress in meeting the performance requirements.
- C. Cost of Living Allowance (COLA) - the yearly general pay increase based on the cost of living that is approved by the President and Congress. If COLA is approved, it is effective the first day of the first full pay period of the new calendar year.
- D. Minimum Evaluation Period - The 90 calendar day minimum amount of time an employee must serve in a position under a performance plan in order for an evaluation to be completed.
- E. Performance Element - A critical work factor that significantly influences achievement of organizational goals.
- F. Performance Evaluation - The review and evaluation of an employee's performance against performance elements and requirements (goals and expectations).
- G. Performance Evaluation Period - The period for which the employee's performance will be evaluated and rated.
- H. Performance Measures - The performance indicators and expectations for the evaluation period, including the requirements against which the employee's performance will be evaluated.
- I. Performance Plan - The written performance measures and expectations for the evaluation period.

J. Rating Official - The individual responsible for coaching and evaluating the employee against performance measures. Typically, the Rating Official is the employee's immediate supervisor.

K. Reviewing Official - The official responsible for reviewing the Rating Official's initial summary rating.

L. Ratings

1) Performance Element Rating - Numerical Rating assigned to each individual performance element.

2) Interim Rating - Rating for an employee's performance during details or temporary assignments of 120 days or longer (no numerical rating is assigned).

3) Initial Summary Rating - Overall rating level the Rating Official derives from evaluating the employee's performance during the evaluation period that is submitted to the Reviewing Official for approval.

4) Annual Summary Rating - Overall rating level the Rating Official assigns at the end of the evaluation period.

5) Rating of Record - The most recent Annual Summary Rating for an employee.

102.4.5 Policy

A. The OIG provides its employees with a Pay for Performance (PFP) Program that directly links to the OIG mission and strategic goals and meets the intent of all requirements in law and regulation established by the United States Office of Personnel Management.

B. The PFP Program is designed to establish a performance plan for each employee; and is a system that allows for planning, coaching, evaluating and rewarding employee's performance in accomplishing his/he performance plan. All applicable employees shall adhere to the PFP Program's policies, practices, and procedures.

1) Evaluation Time Periods

a. The annual evaluation period for all employees begins October 1 and concludes September 30 of the following year.

b. The minimum performance evaluation period is 90 calendar days.

c. Each eligible employee will receive a performance evaluation at least annually.

d. At the end of an evaluation period employees who have not served under an approved performance plan for 90 calendar days will receive a performance evaluation in the following annual evaluation period, with no adjustments for time worked in the prior evaluation period.

2) Performance Rating Distinctions

The established performance measures must make meaningful

distinctions based upon relative performance. That is, performance measures should indicate a clear distinction between performance levels, (e.g. planned, stretch, and breakthrough indicators) and expectations, if applicable.

102.4.6 Office of Inspector General Pay for Performance Program

A. PFP Program Phases

The PFP Program consists of three Phases: Planning, Coaching, and Reviewing Phase.

1) Planning Phase

At the beginning of the annual evaluation period and/or within 30 days of the employee's assignment to a new position, the Rating Official will conduct a meeting, preferably face-to-face, and provide the employee with his/her written performance plan. The performance plan shall:

- Describe the performance elements, requirements, measures, and goals for the evaluation period;
- Describe the expectations for each level (e.g. plan, stretch, breakthrough or Contributor, High Contributor, etc.) of performance;
- Be established annually;
- Be developed collaboratively between the Rating Official and the employee;
- Link performance measures to organizational strategic goals;
- Include challenging yet obtainable performance measures that are demonstrable, measurable, and focused on results that add value to the Postal Service;
- Remain effective until a new performance plan is established or the employee changes positions; and
- Be signed by the Rating Official, the Reviewing Official, and the employee electronically in the OIG PARIS PFP System.

2) Coaching Phase

a. The Coaching Phase typically occurs midway through the evaluation period. Although the Coaching Phase must be done at least once during the evaluation period, it may be done as often as needed. During the Coaching Phase, the Rating Official will provide the employee performance feedback on each performance element, and ensure that each performance element feedback includes:

- How well employee is performing on each performance element and applicable performance measures and expectations;
- Improvement needed, if any; and

- How improvement can be achieved.
 - b. Once the Coaching Phase is completed with the employee, the Rating Official, the Reviewing Official, and the employee must sign off that the Coaching Phase has been completed in the OIG PARIS PFP System.
- 3) Reviewing Phase
- a. At the end of the Annual Evaluation Period, the employee must submit his/her Evaluation Period accomplishments to his/her Rating Official. The Rating Official then evaluates the employee's performance in relation to the performance measures and goals, the employee's accomplishments and performance elements, and determines the numerical Initial Summary Rating. This Rating:
 - Provides a written summary of how the employee performed in each performance element area;
 - Is submitted to, and if necessary, discussed with the Reviewing Official prior to being issued to employee;and
 - When issued to the employee, becomes the Annual Summary Rating.
 - b. The Annual Summary Rating must be acknowledged by the employee, the Rating Official, and the Reviewing Official in the OIG PARIS PFP System. By acknowledging the Annual Summary Rating the employee is not consenting to the rating, unless he/she clicks on the statement that he/she does not plan to appeal the rating. For Appeals see section 11, Appeals. After all parties have acknowledged the Annual Summary Rating in the electronic system, the completed evaluation must be printed out, signed again by the employee, Rating Official, and Reviewing Official. A copy shall be given to the employee and the Original to Human Resources.

B. Annual Assessments

- 1) Inspector General (IG), Deputy Inspector General (DIG), or designee

Assessment

At the end of the evaluation period, the Assistant Inspectors General (AIG) shall submit to the IG, DIG, or designee their program area accomplishments. The IG, DIG, or designee will then conduct an annual assessment of each AIG Program Area's performance and establish an overall numerical rating for each Program Area. This annual assessment evaluates the overall Program Area's performance compared to OIG goals and other appropriate measures and indicators. The established rating shall be a guide for the program area's employee evaluations.

2) Annual Assessment by the AIGs

Once the AIGs receive their overall rating from the IG, DIG, or designee, they in turn will conduct an assessment on each of their respective directorates' performance, and establish an overall numerical rating for each directorate. This rating shall be based upon each directorate's performance compared to the OIG goals, their established performance measures and expectations, and the accomplishments the directorates have submitted at the end of the evaluation period. The rating given to each directorate shall become the basis for the directorate's employee evaluations.

3) Annual Assessment by the Supervisor

The supervisor of each directorate shall receive the overall numerical rating for their directorate from his/her respective AIG or designee; he/she in turn shall conduct an assessment on each of his/her teams and establish an overall numerical rating for each team. This rating shall be based upon the team's performance compared to the established performance measures assigned to the directorate and other appropriate measures. The rating given to each team shall become the guide for the team's employee evaluations.

4) Assessment by Rating Official

See Paragraph 6.B.3 Reviewing Phase

B. Performance Rating Levels

1) Performance Element Rating Levels

There are four rating levels for individual performance elements:

- Low Contributor* - Performance is marginal, only partially meets planned performance requirements.
- Contributor - Effectively meets the planned goals identified in the performance plan. Performance is of good quality and demonstrates efficiency, effectiveness, integrity, and production of significant benefits as indicated by planned goals.
- High Contributor - Exceeds the criteria specified for the Contributor. Performance is of high quality and demonstrates efficiency, effectiveness, integrity, and production of significant benefits, and generally surpasses planned performance goals and expectations and meets or exceeds stretch goals and expectations for the majority of the performance measures.
- Exceptional Contributor - Exceeds the criteria specified for High Contributor. Achievements relative to goals identified in the performance plan meet or exceed

breakthrough targets for the majority of the performance measures. Performance has been achieved while responding to challenging situations; with changing or difficult circumstances; or by making notable and lasting improvements in key processes or systems. Performance is superior and demonstrates innovation, creativity and leadership that produces significant benefits beyond what would be expected at the High Contributor level.

* Note: An employee receiving a Low Contributor rating in two or more elements must be placed on a Performance Improvement Plan.

2) Annual Summary Rating Levels

After determining individual performance element ratings, the Rating Official will average the scores for the employee's performance elements ratings and establish a numerical rating, which will determine the Annual Summary Rating for the employee.

- Low Contributor*: Enough performance element(s) are rated numerically as Low Contributor with few or no elements rated above the contributor level.

- Contributor: The majority of performance elements are rated as Contributor, and criteria for High Contributor or Exceptional are typically not met.

- High Contributor: The majority of performance elements are rated as Exceptional or High Contributor; and no elements are rated lower than Contributor. In addition to a majority of the performance elements being rated as High Contributor, the High Contributor summary level of performance is evidenced by performance outcomes and results of the employee's achievements that consistently surpassed planned performance expectations to achieve or exceed stretch performance requirements.

- Exceptional Contributor: The majority of performance elements are rated as Exceptional. In addition, the Exceptional summary level of performance reflects achievements that are characterized by performance outcomes and results of the employee's achievements that serve as a model of excellence.

* Note: an employee who receives an annual numerical rating equivalent to Low Contributor must be placed on a performance improvement plan (PIP).

102.4.7 Reviewing Phase Procedures

Initial Summary Rating

At the end of the evaluation period, the Rating Official assigns a rating to each of the performance elements in the employee's performance plan and derives an Initial Summary

Rating. In assigning the Initial Summary Rating, the Rating Official will consider, at a minimum:

- Comparison of actual performance with the written performance requirements in the performance plan;
- The overall component group performance;
- Performance of the employee; and
- Interim Summary Rating, if applicable.

B. Reviewing Official

The Reviewing Official reviews the Rating Official's initial summary rating and all written documentation supporting the Rating Official's recommendations. At his or her option, the Reviewing Official may meet with the Rating Official to discuss the Initial Summary Rating. The Reviewing Official cannot change the Rating Official's Initial Summary Rating, but may recommend a different rating to the Rating Official.

C. Annual Summary Rating

Once the Rating Official issues a rating to the employee, that rating becomes the Annual Summary Rating.

102.4.8 Details, Reassignments, and Transfers

A. Performance Plans

Performance plans shall be developed by the receiving employee's supervisor for employees on details/temporary assignments when the assignment is expected to last 120 days or more.

B. Interim Summary Rating

1) Detail or Temporary Assignment: At the end of a detail or temporary assignment of 120 days or more, the supervisor of the detail/temporary assignment must provide an Interim Summary Rating (no score) that the Rating Official will consider in determining his/her rating of record and any performance recognition.

2) Reassignment or Transfer: Upon reassignment and/or transfer during the evaluation period, employees are entitled to an Interim Summary Rating (no score) if they have served the minimum evaluation period of 90 days under an officially established performance plan.

102.4.9 Responsibilities

A. Inspector General (IG)

The IG or his/her designee shall:

- 1) Oversee the OIG PFP program.

- 2) Have overall accountability for achieving the organization's mission, strategic goals and annual performance plans.
- 3) Ensure employee's performance measures link to the overall OIG Strategic goals and annual performance plans.
- 4) Set and monitor Assistant Inspectors General (AIG) area annual plans that link to the OIG Strategic goals and annual performance plans.
- 5) Conduct an annual assessment of OIG performance for each AIG area and provide an overall performance rating to each AIG.
- 6) Provide on-going performance evaluation guidance to Rating Officials.
- 7) Provide the guidance that will be used by all PFP officials in administering the OIG PFP Program. This guidance however, shall not put quantitative limits on the number of ratings at any given rating level.
- 8) Ensure the accountability of the PFP program through alignment of employee ratings with organizational performance.

B. AIGs

The AIGs shall:

- 1) Provide their assigned directorates, through directorate's director/Special Agent-in-Charge (SAC), with annual performance measures that link to the OIG Strategic goals and their applicable annual performance plan.
- 2) Conduct an annual assessment of each assigned directorate, and provide an overall performance rating to each director/SAC based upon the completion their assigned performance measures.
- 3) Ensure directorates' performance measures are current.

C. Supervisors/Directors/SACs

The Supervisors/Directors/SACs shall:

- 1) Relay to their Rating Officials the directorate's annual performance measures.
- 2) Ensure annual performance measures are clear, challenging, obtainable, and focused on results that add value to the Postal Service.
- 3) Conduct an annual assessment of each assigned team, and provide an overall performance rating to each Rating Official based upon the completion their assigned performance measures.

D. Rating Official (Usually First Line Supervisor)

The Rating Official shall:

- 1) Develop performance measures cooperatively with each employee supervised;

- 2) Inform the employee of the performance elements;
- 3) Establish employee performance measures in compliance with OIG guidelines;
- 4) Conduct the Planning, Coaching, and Review Phases for all assigned employees.
- 5) Evaluate employee's performance and recommend annual summary ratings, pay increases/decreases, performance awards and other recognition.

E. Reviewing Official (Usually Second Line Supervisor)
The Reviewing Official shall:

- 1) Ensure that initial summary ratings display the employee's accomplishments for the assigned evaluation period.
- 2) If necessary, provide guidance to the Rating Official if the initial summary rating does not display the employee's accomplishments for the assigned evaluation period.

F. Appeal Official (Usually Third Line Supervisor)
The Appeal Official shall review each employee's request for appeal and issue a fair and accurate Annual Summary Rating.

G. Employee

The employee shall:

- 1) Do their best in achieving their assigned performance measures and ensure that performance elements are completed to the best of their abilities.
- 2) Take an active role in developing and completing their assigned performance measures.

H. Human Resources (HR)

Human Resources shall:

- 1) Coordinate the implementation of the PFP program.
- 2) Develop policy and issue guidance on performance management, including evaluation procedures, and performance recognition;
- 3) Provide support to the Rating Official and IG, DIG, or designee relative to the PFP program;
- 4) Record employee's final performance and recognition decisions.

102.4.10 Actions Based Upon Performance Decisions

A. Pay Adjustments

Upward pay rate adjustments are given to employees according to the yearly-posted PFP Salary Adjustment and Bonus Matrix.

B. Low Contributor Performance

1) During the Evaluation Period

If the Rating Official determines an employee's performance on two or more elements to be at the Low Contributor level,

that determination must be documented following a progress review and written notification of such findings provided to the employee. The documentation must include identification of the element(s), performance requirement(s), and a narrative description of the performance deficiency in comparison to the requirement(s). Additionally, the Rating Official must prepare a Performance Improvement Plan to assist the employee in raising the performance to the Contributor level. Such assistance may include, but is not limited to, formal training, on-the-job training, counseling, and closer supervision.

2) At the End of the Evaluation

If the performance on two or more elements continues to be rated at the Low Contributor level at the end of the evaluation period, that determination must be documented and consideration must be given to a salary reduction, reassignment action, or removal action. If an employee whose performance was found to be at the Contributor level or higher on the progress review and is rated at the Low Contributor level on the annual summary rating, the employee must be given assistance in the subsequent evaluation period to raise performance to the Contributor level through a Performance Improvement Plan.

C. Removal from Position

An employee whose Annual Summary Rating is equivalent to a Low Contributor rating must be placed on a Performance Improvement Plan. At the end of the PIP, if the employee fails to meet the conditions of the PIP, then the employee is subject to removal. In addition, an employee who receives less than a Contributor annual summary rating twice in any 3-year period is subject to removal.

D. Other Actions

Performance may indicate other personnel actions that may be appropriate including pay reduction, reassignment, development and continual learning.

102.4.11 Appeals

A. Once the employee receives his/her Annual Summary Rating, he/she may choose to appeal in writing. The employee's written response for appeal may not include any accomplishments beyond those originally submitted at the beginning of the Reviewing Phase.

B. The employee must follow the instructions given by Human Resources to appeal his/her Annual Summary Rating. The appeal shall be forwarded to the employee's designated Appeal Official. The Appeal Official shall receive:

- The employee's written response to Annual Summary Rating;
- The Employee's original submitted accomplishments;
- The Annual Summary Rating, plus the Rating Official's written summary of employee's performance elements;
- The Rating Officials written response to the employee's response to the Annual Summary Rating; and
- The Reviewing Official's review of Rating Official's Rating

C. After reviewing all submitted documents, the Appeal official shall issue a final Annual Summary Rating to the employee. The Annual Summary Rating issued by the Appeal Official is final and becomes the employee's Annual Rating of Record.

102.4.12 Training and Program Evaluation

A. The Human Resources Directorate will coordinate the development, written guidance, and provide the appropriate training and written guidance to ensure that all applicable employees managing the PFP program have the necessary information to carry out the annual evaluation process in an effective, efficient manner that complies with applicable law, regulation, and OIG policy.

B. The Human Resources Directorate will periodically evaluate the PFP program to determine its effectiveness. Improvements will be made to the system as necessary.

102.4.13 Payout Rules

A. PFP Employee Payout Rules

1) Regular Employees

Unless otherwise stated, all eligible employees who have been under an approved performance plan for at least 90 calendar days are eligible to receive a PFP increase to base salary and an Earned Cash Payout (ECP) for the time they were on-board during the evaluation period.

2) Separated Employees

Employees who are on the USPS-OIG payroll as of September 30, but who separate, retire, resign, or transfer to another agency before payment of PFP increases and ECP become effective, are eligible for ECP but not increases to base salary.

3) Capped and Near Capped Employees

a. Capped employees do not receive an increase to base salary. Rather, they receive the ECP plus the additional payout.

b. Employees who are near their cap receive any earned percentage that takes them to their cap, plus any ECP.

4) Active Duty Employees

Employees called to active duty (activated) for over 50 percent of the rating period are not rated on the individual elements. Rather, they will receive an Annual Summary Rating equal to the average rating assigned to the AIG Program Areas for the current evaluation period. The active duty employees will receive an increase to base salary and the earned cash payouts (applied for the entire period or pro-rated based on Entered Duty Date).

5) LWOP Employees

Employees with more than 80 hours Leave-Without-Pay (LWOP) during the rating period will have their PFP earnings pro-rated to deduct increases not earned while in a non-pay status.

6) Career Ladder Employees

a. Employees who transitioned to a career ladder position during the 12-month period rating period will receive the ECP, if applicable, but no increase to base salary.

b. Employees who were career ladder for the entire rating period will receive the ECP, and no PFP increase to base.

c. Employees who were promoted to full performance Journey Band (GS-13, step 1 equivalent) during the 12-month rating period will receive the full Non-capped Employee Earned Cash Payout, and a pro-rated increase to base calculated on the number of days in the full performance position.

d. Employees, who are Journey Band GS-12, step 1 equivalent and who are eligible to be promoted to the full performance Journey Band (GS-13, step 1 equivalent) but who are not promoted will receive the Career Ladder Earned Cash Payout, and the Noncapped Employee's full increase to base.

7) Administrative Career Progression Employees

a. Employees transitioned to an administrative career progression position during the 12-month rating period, will receive the full Non-capped ECP, but no increase to base salary.

b. Employees who were in administrative career progression for the entire PFP period will receive the Administrative Career Progression Bonus, and no increase to base.

c. Employees who were promoted to a full performance Administrative Band (GS-11, step 1 equivalent) during the 12

month period will receive the full non-capped Employee Earned Cash Payout, and a pro-rated increase to base calculated on the number of days in the full performance position.

8) Base Salary Increase and Earned Cash Payout Rules

- 1) PFP increases and earned cash payouts (ECP)/bonus payouts are effective the first official pay period the succeeding calendar year, following the PFP rating period.
- 2) Percent increases to the Base Salary and Earned Cash Payout (ECP) amounts are based on the 12-month period from October 1, through September 30.
- 3) Base salary is adjusted by computing the percent of earned increase from the employee's September 30 base salary to determine the amount of base salary increase, then adding that amount to the employee's end of Calendar Year (December) base salary. COLA, if eligible, is then applied.

Source: USPS OIG policy 102.4 - Employee Pay for Performance Evaluation Program.

Appendix F Structure of 2007 PFP Payout Matrix

2007 PFP Payout Matrix

	Score	Manager /Director		Non-Capped Employees		Capped Employees		Career Ladder Journey Band		Career Ladder Admin Band	
Low Contributor	100										
Contributor	340										
	350										
	360										
	370										
High Contributor	380										
	390										
	400										
	410										
	420										
Exceptional Contributor	430										
	440										
	450										
	460										
	470										
	480										
	490										

Source: Data from USPS OIG, columns left blank intentionally.

Note: Cash and percentage increase to base identified for each category.

Cash will be pro-rated if total cost exceeds available funding.
Specific details of payout matrix evolves each year.

APPENDIX G OIG 5-Year Strategic Goals Related to the Office of Audit

GOAL	BSC	USPS OIG 5-Year Strategic Goals - Office of Audit
Goal 1	\$	Add value to Postal Service operations.
1a	\$	Support USPS efforts to generate revenue and cut costs, by identifying \$3.6 billion in new revenue and cost reduction opportunities for the Postal Service.
1b	CS	Measurably contribute to improved customer service in Postal Service operations.
1d	\$	Support the Postal Service's strategic priority to enhance sustainability through demonstrating environmental leadership and reducing energy use.
1e	P	Fulfill our new mandates and support the Postal Service's strategic priority to meet its reporting obligations under the Postal Act of 2006.
Goal 2	CS	Preserve integrity and security for the Postal Service.
2c	HC	Conduct audits of the Postal Service, investigative services, and security programs and make recommendations that will improve the safety and security of the nation's mail systems and its employees.
Goal 3	P	Continuously improve OIG products and services.
3b	P	Develop and implement new knowledge-based tools and processes, and streamline existing ones, to improve OIG productivity.
3c	P	Continuously improve the responsiveness and value of products and services to internal (OIG) and external stakeholders.
Goal 4	HC	Pursue a highly satisfying, performance-based culture within the OIG.
4a	HC	Collectively achieve and maintain the organizational competencies necessary to deliver products and services expected by stakeholders in a high quality and timely manner.
4b	HC	Measure and improve employee satisfaction during the next 5 years.

Source: Adapted from USPS OIG *Five-Year Strategic Plan FY 2007-FY 2011 2008 Update: Promoting Integrity and Accountability in America's Postal System*.

Note: Definition of symbols in BSC (Balanced Scorecard):
 \$=Dollars; P=Policy, Process, Procedures; HC=Human Capital;
 CS=Customer Service.

Appendix H Office of Audit Performance Measure Results

FISCAL YEAR ACTUALS

PERFORMANCE MEASURES	FY 06	FY 07	FY 08	FY 09
Total OA Monetary Benefits including Revenue Protection (not including DCAA or safeguarding assets)	\$535 million	\$2,043 million	\$1,386 million	\$4.12 billion¹
Dollar value of assets safeguarded	\$36.1 million	\$1,423.3 million	\$1.048 billion	\$1.517 billion
Issue final audit reports, on average by performance directorate and by type of field financial audit, within specified calendar day timeframes and staff days.	270 calendar days	235 calendar days	257 calendar days	225 calendar days
	206 staff days	207 staff days	274 staff days	240 staff days
Field Financial Average # Staff Days (All Types)	48 staff days	47 staff days
Field Financial Adjusted Calendar Days Based on Actual Reports and Planned Days	48 calendar days	44 calendar days
Total Number of Audit Reports	440	407	455	374
# of significant recommendations	131	160	270	214

Sources: Data adapted from *Semiannual Reports to Congress*, USPS OIG OA production reports, audit scorecards, and balanced scorecard in online databases, where available.

Notes: No data available indicated by:

Data is rounded.

Assets safeguarded includes \$ value of assets/accountable items at risk, \$ value of data at risk, \$ value of IT assets at risk, \$ value of physical assets at risk - safety and security, \$ value of potential lost work (system downtime/ data loss), & \$ value of potential lost work/staff - safety & security.

¹ Total monetary benefits for FY 09 were \$10.07 billion; however, due to an anomaly one study was responsible for \$5.95 billion in monetary benefits. Thus the monetary benefits for FY 09 are identified as \$4.12 billion in the table.

Appendix I OA Human Sigma Survey Questions and Spring and Fall 2008 Results

Questions were ranked from 1 = "Not at all" to 5 = "Very Much". For FY 2008, there were 273 respondents in Spring, and 284 respondents in Fall.

Category	Survey Question	FY 2008 Results			
		Spring		Fall	
Basic Needs	Do you know what is expected of you at work?	4.29	4.18	4.32	4.28
	Do you have the materials and equipment to do your work right?	4.08		4.24	
Management Support	At work, do you have the opportunity to do what you do best every day?	3.83	3.75	3.93	3.94
	In the last 7 days, have you received recognition or praise for doing good work?	3.34		3.77	
	Does your supervisor, or someone at work, seem to care about you as a person?	4.02		4.13	
	Is there someone at work who encourages your development?	3.79		3.92	
Teaming	At work, do your opinions seem to count?	3.74	3.66	3.86	4.02
	Does the mission/purpose of the Office of Audit make you feel like your job is important?	3.78		4.17	
	Are your co-workers committed to doing quality work?	3.90		4.28	
	Do you have a close friend at work?	3.20		3.75	
Growth	In the last 6 months, have you talked with your manager about your progress?	3.70	3.78	4.08	4.11
	In the last year, have you had opportunities to learn and grow?	3.86		4.14	
OVERALL SCORE		3.79		4.05	
Source: Data provided by USPS OIG OA.					
Note: The results were rounded.					

Appendix J Work Life Survey Questions from 2006, 2007, and 2009

2006 Work Life Enhancement Survey

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know

1. My job makes good use of my skills and abilities.
2. My work gives me a feeling of personal accomplishment.
3. I like the kind of work I do.
4. I have enough information to do my job well.
5. The people I work with cooperate to get the job done.
6. I recommend my organization as a good place to work.
7. I am given a real opportunity to improve my skills in my organization.

Part II

Following questions are ranked as follows:

{Choose one}

- Very Good
- Good
- Fair
- Poor
- Very Poor
- Don't Know

8. Overall, how good a job do you feel is being done by your immediate manager / team leader?
9. How would you rate the overall quality of work done in your work group?
10. Taking salary completely out of the picture, what is the most important thing USPS OIG could do to improve the quality of your work life? {Enter answer in paragraph form}

Appendix J continued.

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know

11. I know how my work relates to the agency's goals and priorities.

12. My talents are used well in the workplace.

13. My work unit is able to recruit people with the right skills.

14. The work I do is important.

15. Awards in my work unit depend on how well employees perform their jobs.

16. Employees are rewarded for providing high quality products and services to customers.

17. High-performing employees in my work unit are recognized or rewarded on a timely basis.

18. Promotions in my work unit are based on merit.

19. I am held accountable for achieving results.

20. Supervisors review and evaluate the organization's progress toward meeting its goals and objectives.

21. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.

22. My training needs are assessed regularly.

23. Managers in my work unit support employee development.

24. My manager supports my need to balance work and family issues.

Appendix J continued.

25. I receive the training I need to perform my job.
26. I have a high level of respect for my colleagues, senior leaders, and customers.
27. My performance appraisal is a fair reflection of my performance.
28. In my work unit, personnel decisions are based on merit.
29. Employees use information technology (for example, intranet, shared networks) to perform work.
30. Employees have electronic access to learning and training programs readily available at their desk.
31. Supervisors promote communication among different work units (for example, about projects, goals, and needed resources).
32. Employees in my work unit share job knowledge.
33. Supervisors communicate the goals and priorities of the organization.
34. Discussions with my manager about my performance are worthwhile.
35. Complaints, disputes or grievances are resolved fairly in my work unit.
36. Supervisors/managers/team leaders work well with employees of different backgrounds.
37. Employees use information technology (for example, intranet, shared networks) to gather and share knowledge.
38. Managers provide employees with constructive suggestions to improve their job performance.
39. Creativity and innovation are rewarded.
40. I feel encouraged to come up with new ways of doing things.

Appendix J continued.

Following questions are ranked as follows:

{Choose one}

- Very Satisfied
- Satisfied
- Neither Satisfied Nor Dissatisfied
- Dissatisfied
- Very Dissatisfied
- Don't Know

41. How satisfied are you with Smart Workplace?

42. How satisfied are you with alternative work schedules?

43. How satisfied are you with the training you receive for your present job?

44. How satisfied are you with work/life programs (e.g., employee assistance, reasonable accommodation)?

45. How satisfied are you with the information you receive from management on what's going on in your organization?

46. How satisfied are you with the recognition you receive for doing a good job?

47. How satisfied are you with your involvement in decisions that affect your work?

48. How satisfied are you with your opportunity to get a better job in your organization?

49. How satisfied are you with your job?

50. How satisfied are you with your organization?

51. How would you rate your organization as a place to work compared to other organizations

{Choose one}

- One of the Best
- Above Average
- Average
- Below Average
- One of the Worst
- Don't Know

Appendix J continued.

Additional Comments (optional):

{Enter answer in paragraph form}

56. Are you:

{Choose one}

- Male
- Female

57. Optional: Would you describe your racial or ethnic background as:

{Choose one}

- White (Non-Hispanic)
- Black (Non-Hispanic)
- American Indian or Alaska Native
- Asian/Pacific Islander
- Hispanic

58. Optional: What is your age group?

{Choose one}

- Under 20
- 20-29
- 30-39
- 40-49
- 50-59
- 60 or older

55. What is your supervisory status?

{Choose one}

- Journey-level or Specialist: You do not supervise other employees.
- Team-leader: You are not an official supervisor; you provide employees with day-to-day guidance in work projects, but do not have managerial responsibilities or conduct performance appraisals.
- Manager (for example, Manager, ASAC): You are responsible for employees' performance appraisals and approval of their leave, but you do not manage other supervisors.
- Supervisor (for example, director, SAC): You are in a management position and supervise one or more manager(s).
- Executive: Member of Senior Executive Service or equivalent.

Appendix J continued.

60. How long have you been with the Federal Government
(excluding military service)?

{Choose one}

- Less than 1 year
- 1 to 3 years
- 4 to 5 years
- 6 to 10 years
- 11 to 20 years
- More then 20

Continued on next page.

Appendix J continued.

2007 WORK LIFE ENHANCEMENT SURVEY

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know

1. The people I work with cooperate to get the job done.
2. I am given a real opportunity to improve my skills in my organization.
3. I have enough information to do my job well.
4. I feel encouraged to come up with new and better ways of doing things
5. My work gives me a feeling of personal accomplishment.
6. I like the kind of work I do.
7. I have trust and confidence in my supervisor
8. I recommend my organization as a good place to work.

Following questions are ranked as follows:

{Choose one}

- Very Good*
- Good*
- Fair*
- Poor*
- Very Poor*
- Don't Know*

9. Overall, how good a job do you feel is being done by your immediate manager / team leader?
10. How would you rate the overall quality of work done in your work group

Appendix J continued.

11. Taking salary completely out of the picture, what is the most important thing USPS OIG could do to improve the quality of your work life?

{Enter answer in paragraph form}

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know

12. The OIG workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

13. My manager supports my need to balance work and family issues.

14. Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills.

15. My work unit is able to recruit people with the right skills.

16. The skill level in my work unit has improved in the past year.

17. I have sufficient resources (for example, people, materials, budget) to get my job done.

18. My workload is reasonable.

19. My talents are used well in the workplace.

20. I know how my work relates to the agency's goals and priorities.

21. The work I do is important.

22. Promotions in my work unit are based on merit.

23. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve

Appendix J continued.

24. Employees have a feeling of personal empowerment with respect to work processes.

25. Employees are rewarded for providing high quality products and services to customers.

26. High-performing employees in my work unit are recognized or rewarded on a timely basis.

27. Creativity and innovation are rewarded.

28. Pay raises depend on how well employees perform their jobs.

29. Awards in my work unit depend on how well employees perform their jobs.

30. In my work unit, differences in performance are recognized in a meaningful way.

31. My performance appraisal is a fair reflection of my performance.

32. Discussions with my manager / team leader about my performance are worthwhile.

33. I am held accountable for achieving results.

34. Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.

35. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).

36. Managers work well with employees of different backgrounds.

37. I have a high level of respect for my organization's senior leaders.

38. In my organization, leaders generate high levels of motivation and commitment in the workforce.

Appendix J continued.

39. My organization's leaders maintain high standards of honesty and integrity.
40. Managers communicate the goals and priorities of the organization.
41. Managers review and evaluate the organization's progress toward meeting its goals and objectives.
42. My organization has prepared employees for potential security threats.
43. Complaints, disputes or grievances are resolved fairly in my work unit.
44. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.
45. Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.
46. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.
47. Managers provide employees with constructive suggestions to improve their job performance.
48. Managers in my work unit support employee development.
49. My training needs are assessed effectively.
50. I receive the training I need to perform my job.
51. Managers promote communication among different work units (for example, about projects, goals, needed resources).
52. Employees in my work unit share job knowledge with each other.

Appendix J continued.

Following questions are ranked as follows:

{Choose one}

- Very Satisfied
- Satisfied
- Neither Satisfied Nor Dissatisfied
- Dissatisfied
- Very Dissatisfied
- Don't Know

53. How satisfied are you with your involvement in decisions that affect your work?

54. How satisfied are you with the information you receive from management on what's going on in your organization?

55. How satisfied are you with the recognition you receive for doing a good job?

56. How satisfied are you with the policies and practices of your senior leaders?

57. How satisfied are you with your opportunity to get a better job in your organization?

58. How satisfied are you with the training you receive for your present job?

59. How satisfied are you with work/life programs (for example, health and wellness, employee assistance and support groups)?

60. How satisfied are you with Smart Workplace?

61. How satisfied are you with alternative work schedules?

62. Considering everything, how satisfied are you with your job?

63. Considering everything, how satisfied are you with your pay?

64. Considering everything, how satisfied are you with your organization?

Appendix J continued.

65. Additional Comments (optional):
{Enter answer in paragraph form}

Following questions are ranked as follows:
{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know

66. Over the last year, the PFP process improved as an
OIG incentive/reward for high performance.

67. My manager met with me in a timely fashion for a
"one-on-one" planning conversation.

68. The planning phase conversation with my manager
helped me understand the expectations and goals that
would be used to evaluate my performance for PFP this
year.

69. My manager met with me in a timely fashion for a
"one-on-one" PFP coaching conversation.

70. The coaching phase conversation with my manager
helped me understand how I was performing and what, if
anything, I could do to improve my productivity and
performance this year.

71. My manager considered my individual accomplishments
in determining my PFP rating this year.

72. I was not surprised by the year-end review discussion
with my manager.

73. Overall, the PFP program motivates me to be a highly
productive, high performing employee.

74. Overall, the PFP appeal process allows for a fair
opportunity for reconsideration of my PFP rating.

75. What would enhance the PFP program to improve your
productivity and performance?
{Enter answer in paragraph form}

Appendix J continued.

Part III - PFP Questions

79. Are you:

{Choose one}

- Male
- Female

78. What is your supervisory status?

{Choose one}

- Journey-level or Specialist: You do not supervise other employees.
- Team-leader: You are not an official supervisor; you provide employees with day-to-day guidance in work projects, but do not have managerial responsibilities or conduct performance appraisals.
- Manager (for example, Manager, ASAC): You are responsible for employees' performance appraisals and approval of their leave, but you do not manage other supervisors.
- Supervisor (for example, director, SAC): You are in a management position and supervise one or more manager(s).
- Executive: Member of Senior Executive Service or equivalent.

77. Where do you work?

{Choose one}

- Headquarters
- Field office outside of the Washington D.C Metro area
- Field office in the Washington D.C Metro area

76. Which of the following best describes the functional area of your primary work?

{Choose one}

- Office of Audit
- Office of General Counsel
- Office of CIO
- Office of Investigations
- Mission Support
- Front Office

Appendix J continued.

Part IV

80. How long have you been employed with the USPS OIG?

{Choose one}

- Less than 1 year
- 1 to 3 years
- 4 to 5 years
- 6 or more years

Thank you for taking the Work Life Enhancement Survey.

Please click on the "Finish" button below to submit survey responses.

81. Optional: Would you describe your racial or ethnic background as:

{Choose one}

- White (Non-Hispanic)
- Black (Non-Hispanic)
- American Indian or Alaska Native
- Asian/Pacific Islander
- Hispanic

82. Optional: What is your age group?

{Choose one}

- Under 20
- 20-29
- 30-39
- 40-49
- 50-59
- 60 or older

Continued on next page.

Appendix J continued.
2009 WORK LIFE ENHANCEMENT SURVEY

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know / NA

The people I work with cooperate to get the job done.

I am given a real opportunity to improve my skills in my organization.

My work gives me a feeling of personal accomplishment.

I like the kind of work I do.

I have trust and confidence in my supervisor.

Following question is ranked as follows:

{Choose one}

- Very Good
- Good
- Fair
- Poor
- Very Poor
- Don't Know / NA

Overall, how good a job do you feel is being done by your immediate supervisor/team leader?

Following questions are ranked as follows:

{Choose one}

- Strongly Agree
- Agree
- Neither Agree Nor Disagree
- Disagree
- Strongly Disagree
- Don't Know / NA

The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

Appendix J continued.

My supervisor supports my need to balance work and other life issues.

My work unit is able to recruit people with the right skills.

My workload is reasonable.

My talents are used well in the workplace.

I know how my work relates to the agency's goals and priorities.

The work I do is important.

Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.

Promotions in my work unit are based on merit.

In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.

Employees have a feeling of personal empowerment with respect to work processes.

Creativity and innovation are rewarded.

Pay raises depend on how well employees perform their jobs.

In my work unit, differences in performance are recognized in a meaningful way.

My performance appraisal is a fair reflection of my performance.

Discussions with my supervisor/team leader about my performance are worthwhile.

In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).

Appendix J continued.

Managers/supervisors/team leaders work well with employees of different backgrounds.
I have a high level of respect for my organization's senior leaders.

In my organization, leaders generate high levels of motivation and commitment in the workforce.

Managers communicate the goals and priorities of the organization.

Managers review and evaluate the organization's progress toward meeting its goals and objectives.

Employees are protected from health and safety hazards on the job.

My organization has prepared employees for potential security threats.

Supervisors/team leaders in my work unit support employee development.

My training needs are assessed.

Following questions are ranked as follows:

{Choose one}

- Very Satisfied
- Satisfied
- Neither Satisfied Nor Dissatisfied
- Dissatisfied
- Very Dissatisfied
- Don't Know / NA

How satisfied are you with your involvement in decisions that affect your work?

How satisfied are you with the information you receive from management on what's going on in your organization?

How satisfied are you with the recognition you receive for doing a good job?

How satisfied are you with the policies and practices of your senior leaders?

Appendix J continued.

Which of the following best describes the functional area of your primary work?

{Choose one}

- Office of Audit
- Office of General Counsel / JLSC
- Office of CIO
- Office of Investigations
- Mission Support / JMSC
- Front Office

Where do you work?

{Choose one}

- Headquarters
- Field office outside of the Washington D.C Metro area
- Field office in the Washington D.C Metro area

What is your supervisory status?

{Choose one}

- Journey-level or Specialist: You do not supervise other employees.
- Team-leader: You are not an official supervisor; you provide employees with day-to-day guidance in work projects, but do not have managerial responsibilities or conduct performance appraisals.
- Manager (for example, Manager, ASAC): You are responsible for employees' performance appraisals and approval of their leave, but you do not manage other supervisors.
- Supervisor (for example, director, SAC): You are in a management position and supervise one or more manager(s).
- Executive: Member of Senior Executive Service or equivalent.

Are you:

{Choose one}

- Male
- Female

Thank you for taking the Work Life Enhancement Survey.

Please click on the "Finish" button below to submit survey responses.

Appendix K 2006 Work Life Survey Results for OA

Leadership & Knowledge Mgmt - Audit Work Life Survey - 2006

8. Overall, how good a job do you feel is being done by your immediate manager / team leader?

	Count	Percent
(Not Answered)	1	0.32 %
Very Good	117	37.03 %
Good	108	34.18 %
Fair	64	20.25 %
Poor	16	5.06 %
Very Poor	9	2.85 %
Don't Know	1	0.32 %
Total Responses	316	100.00

20. Supervisors review and evaluate the organization's progress toward meeting its goals and objectives.

(Not Answered)	1	0.32 %
Strongly Agree	70	22.15 %
Agree	169	53.48 %
Neither Agree Nor Disagree	42	13.29 %
Disagree	12	3.80 %
Strongly Disagree	3	0.95 %
Don't Know	19	6.01 %
Total Responses	316	100.00

26. I have a high level of respect for my colleagues, senior leaders, and customers.

(Not Answered)	2	0.63 %
Strongly Agree	88	27.85 %
Agree	140	44.30 %
Neither Agree Nor Disagree	68	21.52 %
Disagree	15	4.75 %
Strongly Disagree	3	0.95 %
Total Responses	316	100.00

29. Employees use information technology (for example, intranet, shared networks) to perform work.

Strongly Agree	164	51.90 %
Agree	146	46.20 %
Neither Agree Nor Disagree	3	0.95 %
Disagree	2	0.63 %
Don't Know	1	0.32 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
30. Employees have electronic access to learning and training programs readily available at their desk.		
Strongly Agree	103	32.59 %
Agree	180	56.96 %
Neither Agree Nor Disagree	22	6.96 %
Disagree	6	1.90 %
Strongly Disagree	1	0.32 %
Don't Know	4	1.27 %
Total Responses	316	100.00
31. Supervisors promote communication among different work units (for example, about projects, goals, and needed resources).		
(Not Answered)	5	1.58 %
Strongly Agree	49	15.51 %
Agree	147	46.52 %
Neither Agree Nor Disagree	64	20.25 %
Disagree	36	11.39 %
Strongly Disagree	12	3.80 %
Don't Know	3	0.95 %
Total Responses	316	100.00
32. Employees in my work unit share job knowledge with each other.		
(Not Answered)	2	0.63 %
Strongly Agree	87	27.53 %
Agree	179	56.65 %
Neither Agree Nor Disagree	31	9.81 %
Disagree	15	4.75 %
Strongly Disagree	2	0.63 %
Total Responses	316	100.00
33. Supervisors communicate the goals and priorities of the organization.		
(Not Answered)	2	0.63 %
Strongly Agree	61	19.30 %
Agree	175	55.38 %
Neither Agree Nor Disagree	50	15.82 %
Disagree	22	6.96 %
Strongly Disagree	6	1.90 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
35. Complaints, disputes or grievances are resolved fairly in my work unit.		
(Not Answered)	1	0.32 %
Strongly Agree	25	7.91 %
Agree	84	26.58 %
Neither Agree Nor Disagree	104	32.91 %
Disagree	39	12.34 %
Strongly Disagree	22	6.96 %
Don't Know	41	12.97 %
Total Responses	316	100.00
36. Supervisors/managers/team leaders work well with employees of different backgrounds.		
(Not Answered)	1	0.32 %
Strongly Agree	63	19.94 %
Agree	153	48.42 %
Neither Agree Nor Disagree	61	19.30 %
Disagree	17	5.38 %
Strongly Disagree	14	4.43 %
Don't Know	7	2.22 %
Total Responses	316	100.00
37. Employees use information technology (for example, intranet, shared networks) to gather and share knowledge.		
(Not Answered)	1	0.32 %
Strongly Agree	118	37.34 %
Agree	177	56.01 %
Neither Agree Nor Disagree	16	5.06 %
Disagree	4	1.27 %
Total Responses	316	100.00
38. Managers provide employees with constructive suggestions to improve their job performance.		
(Not Answered)	2	0.63 %
Strongly Agree	64	20.25 %
Agree	149	47.15 %
Neither Agree Nor Disagree	56	17.72 %
Disagree	31	9.81 %
Strongly Disagree	12	3.80 %
Don't Know	2	0.63 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
45. How satisfied are you with the information you receive from management on what's going on in your organization?		
(Not Answered)	1	0.32 %
Very Satisfied	32	10.13 %
Satisfied	140	44.30 %
Neither Satisfied Nor Dissatisfied	82	25.95 %
Dissatisfied	46	14.56 %
Very Dissatisfied	15	4.75 %
Total Responses	316	100.00

53. Which of the following best describes the functional area of your primary work?

Office of Audit	316	100.00 %
Total Responses	316	100.00

Job Satisfaction Questions - Audit Work Life Survey 2006

	Count	Percent
1. My job makes good use of my skills and abilities.		
(Not Answered)	2	0.63 %
Strongly Agree	65	20.57 %
Agree	169	53.48 %
Neither Agree Nor Disagree	35	11.08 %
Disagree	40	12.66 %
Strongly Disagree	5	1.58 %
Total Responses	316	100.00

2. My work gives me a feeling of personal accomplishment.

(Not Answered)	2	0.63 %
Strongly Agree	65	20.57 %
Agree	157	49.68 %
Neither Agree Nor Disagree	47	14.87 %
Disagree	34	10.76 %
Strongly Disagree	11	3.48 %
Total Responses	316	100.00

3. I like the kind of work I do.

(Not Answered)	1	0.32 %
Strongly Agree	103	32.59 %
Agree	151	47.78 %
Neither Agree Nor Disagree	42	13.29 %
Disagree	16	5.06 %
Strongly Disagree	3	0.95 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
4. I have enough information to do my job well.		
(Not Answered)	2	0.63 %
Strongly Agree	33	10.44 %
Agree	186	58.86 %
Neither Agree Nor Disagree	52	16.46 %
Disagree	31	9.81 %
Strongly Disagree	10	3.16 %
Don't Know	2	0.63 %
Total Responses	316	100.00
6. I recommend my organization as a good place to work.		
(Not Answered)	1	0.32 %
Strongly Agree	67	21.20 %
Agree	129	40.82 %
Neither Agree Nor Disagree	71	22.47 %
Disagree	33	10.44 %
Strongly Disagree	15	4.75 %
Total Responses	316	100.00
9. How would you rate the overall quality of work done in your work group		
(Not Answered)	2	0.63 %
Very Good	133	42.09 %
Good	138	43.67 %
Fair	38	12.03 %
Poor	5	1.58 %
Total Responses	316	100.00
14. The work I do is important.		
(Not Answered)	1	0.32 %
Strongly Agree	99	31.33 %
Agree	164	51.90 %
Neither Agree Nor Disagree	34	10.76 %
Disagree	13	4.11 %
Strongly Disagree	2	0.63 %
Don't Know	3	0.95 %
Total Responses	316	100.00
25. I receive the training I need to perform my job.		
(Not Answered)	2	0.63 %
Strongly Agree	37	11.71 %
Agree	157	49.68 %
Neither Agree Nor Disagree	64	20.25 %
Disagree	44	13.92 %
Strongly Disagree	12	3.80 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
40. I feel encouraged to come up with new and better ways of doing things.		
(Not Answered)	2	0.63 %
Strongly Agree	50	15.82 %
Agree	129	40.82 %
Neither Agree Nor Disagree	68	21.52 %
Disagree	46	14.56 %
Strongly Disagree	19	6.01 %
Don't Know	2	0.63 %
Total Responses	316	100.00
47. How satisfied are you with your involvement in decisions that affect your work?		
(Not Answered)	1	0.32 %
Very Satisfied	28	8.86 %
Satisfied	124	39.24 %
Neither Satisfied Nor Dissatisfied	79	25.00 %
Dissatisfied	57	18.04 %
Very Dissatisfied	25	7.91 %
Don't Know	2	0.63 %
Total Responses	316	100.00
48. How satisfied are you with your opportunity to get a better job in your organization?		
(Not Answered)	3	0.95 %
Very Satisfied	15	4.75 %
Satisfied	69	21.84 %
Neither Satisfied Nor Dissatisfied	119	37.66 %
Dissatisfied	64	20.25 %
Very Dissatisfied	34	10.76 %
Don't Know	12	3.80 %
Total Responses	316	100.00
49. Considering everything, how satisfied are you with your job?		
Very Satisfied	62	19.62 %
Satisfied	165	52.22 %
Neither Satisfied Nor Dissatisfied	50	15.82 %
Dissatisfied	31	9.81 %
Very Dissatisfied	8	2.53 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
50. Considering everything, how satisfied are you with your organization?		
(Not Answered)	1	0.32 %
Very Satisfied	45	14.24 %
Satisfied	154	48.73 %
Neither Satisfied Nor Dissatisfied	59	18.67 %
Dissatisfied	38	12.03 %
Very Dissatisfied	18	5.70 %
Don't Know	1	0.32 %
Total Responses	316	100.00

51. How would you rate your organization as a place to work compared to other organizations

(Not Answered)	3	0.95 %
One of the Best	56	17.72 %
Above Average	116	36.71 %
Average	84	26.58 %
Below Average	35	11.08 %
One of the Worst	12	3.80 %
Don't Know	10	3.16 %
Total Responses	316	100.00

53. Which of the following best describes the functional area of your primary work?

Office of Audit	316	100.00 %
Total Responses	316	100.00

Results Oriented Performance Questions - Audit Work Life Survey - 2006

	Count	Percent
5. The people I work with cooperate to get the job done.		
(Not Answered)	2	0.63 %
Strongly Agree	87	27.53 %
Agree	172	54.43 %
Neither Agree Nor Disagree	30	9.49 %
Disagree	22	6.96 %
Strongly Disagree	3	0.95 %
Total Responses	316	100.00

11. I know how my work relates to the agency's goals and priorities.

Strongly Agree	98	31.01 %
Agree	181	57.28 %
Neither Agree Nor Disagree	25	7.91 %
Disagree	8	2.53 %
Strongly Disagree	2	0.63 %
Don't Know	2	0.63 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
15. Awards in my work unit depend on how well employees perform their jobs.		
(Not Answered)	2	0.63 %
Strongly Agree	35	11.08 %
Agree	97	30.70 %
Neither Agree Nor Disagree	72	22.78 %
Disagree	62	19.62 %
Strongly Disagree	29	9.18 %
Don't Know	19	6.01 %
Total Responses	316	100.00
16. Employees are rewarded for providing high quality products and services to customers.		
(Not Answered)	2	0.63 %
Strongly Agree	29	9.18 %
Agree	89	28.16 %
Neither Agree Nor Disagree	76	24.05 %
Disagree	77	24.37 %
Strongly Disagree	24	7.59 %
Don't Know	19	6.01 %
Total Responses	316	100.00
17. High-performing employees in my work unit are recognized or rewarded on a timely basis.		
(Not Answered)	2	0.63 %
Strongly Agree	25	7.91 %
Agree	74	23.42 %
Neither Agree Nor Disagree	85	26.90 %
Disagree	83	26.27 %
Strongly Disagree	25	7.91 %
Don't Know	22	6.96 %
Total Responses	316	100.00
18. Promotions in my work unit are based on merit.		
(Not Answered)	1	0.32 %
Strongly Agree	25	7.91 %
Agree	80	25.32 %
Neither Agree Nor Disagree	88	27.85 %
Disagree	58	18.35 %
Strongly Disagree	33	10.44 %
Don't Know	31	9.81 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
19. I am held accountable for achieving results.		
(Not Answered)	2	0.63 %
Strongly Agree	96	30.38 %
Agree	186	58.86 %
Neither Agree Nor Disagree	23	7.28 %
Disagree	7	2.22 %
Strongly Disagree	1	0.32 %
Don't Know	1	0.32 %
Total Responses	316	100.00
21. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.		
(Not Answered)	2	0.63 %
Strongly Agree	18	5.70 %
Agree	86	27.22 %
Neither Agree Nor Disagree	93	29.43 %
Disagree	45	14.24 %
Strongly Disagree	21	6.65 %
Don't Know	51	16.14 %
Total Responses	316	100.00
24. My manager supports my need to balance work and family issues.		
(Not Answered)	1	0.32 %
Strongly Agree	109	34.49 %
Agree	140	44.30 %
Neither Agree Nor Disagree	38	12.03 %
Disagree	18	5.70 %
Strongly Disagree	10	3.16 %
Total Responses	316	100.00
27. My performance appraisal is a fair reflection of my performance.		
(Not Answered)	1	0.32 %
Strongly Agree	54	17.09 %
Agree	129	40.82 %
Neither Agree Nor Disagree	50	15.82 %
Disagree	55	17.41 %
Strongly Disagree	18	5.70 %
Don't Know	9	2.85 %
Total Responses	316	100.00
28. In my work unit, personnel decisions are based on merit.		
(Not Answered)	1	0.32 %
Strongly Agree	29	9.18 %
Agree	89	28.16 %
Neither Agree Nor Disagree	91	28.80 %
Disagree	46	14.56 %
Strongly Disagree	35	11.08 %
Don't Know	25	7.91 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
34. Discussions with my manager about my performance are worthwhile.		
(Not Answered)	1	0.32 %
Strongly Agree	74	23.42 %
Agree	139	43.99 %
Neither Agree Nor Disagree	57	18.04 %
Disagree	29	9.18 %
Strongly Disagree	13	4.11 %
Don't Know	3	0.95 %
Total Responses	316	100.00

	Count	Percent
39. Creativity and innovation are rewarded.		
(Not Answered)	1	0.32 %
Strongly Agree	29	9.18 %
Agree	83	26.27 %
Neither Agree Nor Disagree	108	34.18 %
Disagree	59	18.67 %
Strongly Disagree	21	6.65 %
Don't Know	15	4.75 %
Total Responses	316	100.00

46. How satisfied are you with the recognition you receive for doing a good job?		
(Not Answered)	3	0.95 %
Very Satisfied	40	12.66 %
Satisfied	120	37.97 %
Neither Satisfied Nor Dissatisfied	82	25.95 %
Dissatisfied	45	14.24 %
Very Dissatisfied	21	6.65 %
Don't Know	5	1.58 %
Total Responses	316	100.00

53. Which of the following best describes the functional area of your primary work?		
Office of Audit	316	100.00 %
Total Responses	316	100.00

Continued on next page.

Appendix K continued.
Talent Mgmt - Audit Work Life Survey - 2006

	Count	Percent
7. I am given a real opportunity to improve my skills in my organization.		
(Not Answered)	1	0.32 %
Strongly Agree	36	11.39 %
Agree	139	43.99 %
Neither Agree Nor Disagree	79	25.00 %
Disagree	48	15.19 %
Strongly Disagree	13	4.11 %
Total Responses	316	100.00

12. My talents are used well in the workplace.

(Not Answered)	4	1.27 %
Strongly Agree	50	15.82 %
Agree	158	50.00 %
Neither Agree Nor Disagree	54	17.09 %
Disagree	44	13.92 %
Strongly Disagree	6	1.90 %
Total Responses	316	100.00

13. My work unit is able to recruit people with the right skills.

(Not Answered)	2	0.63 %
Strongly Agree	29	9.18 %
Agree	91	28.80 %
Neither Agree Nor Disagree	93	29.43 %
Disagree	64	20.25 %
Strongly Disagree	22	6.96 %
Don't Know	15	4.75 %
Total Responses	316	100.00

22. My training needs are assessed regularly.

(Not Answered)	2	0.63 %
Strongly Agree	33	10.44 %
Agree	168	53.16 %
Neither Agree Nor Disagree	68	21.52 %
Disagree	32	10.13 %
Strongly Disagree	12	3.80 %
Don't Know	1	0.32 %
Total Responses	316	100.00

23. Managers in my work unit support employee development.

(Not Answered)	2	0.63 %
Strongly Agree	72	22.78 %
Agree	153	48.42 %
Neither Agree Nor Disagree	52	16.46 %
Disagree	23	7.28 %
Strongly Disagree	14	4.43 %
Total Responses	316	100.00

Appendix K continued.

	Count	Percent
43. How satisfied are you with the training you receive for your present job?		
(Not Answered)	2	0.63 %
Very Satisfied	40	12.66 %
Satisfied	142	44.94 %
Neither Satisfied Nor Dissatisfied	77	24.37 %
Dissatisfied	42	13.29 %
Very Dissatisfied	13	4.11 %
Total Responses	316	100.00

53. Which of the following best describes the functional area of your primary work?		
Office of Audit	316	100.00 %
Total Responses	316	100.00

Leadership & Knowledge Mgmt - Audit Work Life Survey 2007

	Count	Percent
9. Overall, how good a job do you feel is being done by your immediate manager / team leader?		
(Not Answered)	1	0.34 %
Very Good	96	32.21 %
Good	97	32.55 %
Fair	63	21.14 %
Poor	24	8.05 %
Very Poor	12	4.03 %
Don't Know	5	1.68 %
Total Responses	298	100.00

14. Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills.		
Strongly Agree	69	23.15 %
Agree	136	45.64 %
Neither Agree Nor Disagree	58	19.46 %
Disagree	25	8.39 %
Strongly Disagree	9	3.02 %
Don't Know	1	0.34 %
Total Responses	298	100.00

17. I have sufficient resources (for example, people, materials, budget) to get my job done.		
Strongly Agree	28	9.40 %
Agree	150	50.34 %
Neither Agree Nor Disagree	48	16.11 %
Disagree	49	16.44 %
Strongly Disagree	22	7.38 %
Don't Know	1	0.34 %
Total Responses	298	100.00

Appendix K continued.

	Count	Percent
18. My workload is reasonable.		
(Not Answered)	1	0.34 %
Strongly Agree	26	8.72 %
Agree	157	52.68 %
Neither Agree Nor Disagree	56	18.79 %
Disagree	38	12.75 %
Strongly Disagree	20	6.71 %
Total Responses	298	100.00

Appendix L 2007 Work Life Survey Results for OA

Leadership & Knowledge Mgmt - Audit Work Life Survey 2007

	Count	Percent
36. Managers work well with employees of different backgrounds.		
(Not Answered)	1	0.34 %
Strongly Agree	42	14.09 %
Agree	138	46.31 %
Neither Agree Nor Disagree	64	21.48 %
Disagree	24	8.05 %
Strongly Disagree	14	4.70 %
Don't Know	15	5.03 %
Total Responses	298	100.00

37. I have a high level of respect for my organization's senior leaders.

(Not Answered)	1	0.34 %
Strongly Agree	49	16.44 %
Agree	125	41.95 %
Neither Agree Nor Disagree	74	24.83 %
Disagree	32	10.74 %
Strongly Disagree	13	4.36 %
Don't Know	4	1.34 %
Total Responses	298	100.00

40. Managers communicate the goals and priorities of the organization.

(Not Answered)	3	1.01 %
Strongly Agree	43	14.43 %
Agree	170	57.05 %
Neither Agree Nor Disagree	50	16.78 %
Disagree	21	7.05 %
Strongly Disagree	8	2.68 %
Don't Know	3	1.01 %
Total Responses	298	100.00

41. Managers review and evaluate the organization's progress toward meeting its goals and objectives.

(Not Answered)	2	0.67 %
Strongly Agree	42	14.09 %
Agree	154	51.68 %
Neither Agree Nor Disagree	70	23.49 %
Disagree	13	4.36 %
Strongly Disagree	5	1.68 %
Don't Know	12	4.03 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
42. My organization has prepared employees for potential security threats.		
(Not Answered)	3	1.01 %
Strongly Agree	26	8.72 %
Agree	105	35.23 %
Neither Agree Nor Disagree	82	27.52 %
Disagree	50	16.78 %
Strongly Disagree	10	3.36 %
Don't Know	22	7.38 %
Total Responses	298	100.00
43. Complaints, disputes or grievances are resolved fairly in my work unit.		
(Not Answered)	2	0.67 %
Strongly Agree	16	5.37 %
Agree	65	21.81 %
Neither Agree Nor Disagree	99	33.22 %
Disagree	40	13.42 %
Strongly Disagree	23	7.72 %
Don't Know	53	17.79 %
Total Responses	298	100.00
44. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.		
(Not Answered)	2	0.67 %
Strongly Agree	33	11.07 %
Agree	82	27.52 %
Neither Agree Nor Disagree	85	28.52 %
Disagree	30	10.07 %
Strongly Disagree	24	8.05 %
Don't Know	42	14.09 %
Total Responses	298	100.00
45. Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.		
(Not Answered)	1	0.34 %
Strongly Agree	42	14.09 %
Agree	109	36.58 %
Neither Agree Nor Disagree	61	20.47 %
Disagree	20	6.71 %
Strongly Disagree	12	4.03 %
Don't Know	53	17.79 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
46. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.		
(Not Answered)	2	0.67 %
Strongly Agree	36	12.08 %
Agree	105	35.23 %
Neither Agree Nor Disagree	81	27.18 %
Disagree	31	10.40 %
Strongly Disagree	17	5.70 %
Don't Know	26	8.72 %
Total Responses	298	100.00
47. Managers provide employees with constructive suggestions to improve their job performance.		
(Not Answered)	3	1.01 %
Strongly Agree	34	11.41 %
Agree	149	50.00 %
Neither Agree Nor Disagree	53	17.79 %
Disagree	33	11.07 %
Strongly Disagree	17	5.70 %
Don't Know	9	3.02 %
Total Responses	298	100.00
51. Managers promote communication among different work units (for example, about projects, goals, needed resources).		
(Not Answered)	3	1.01 %
Strongly Agree	38	12.75 %
Agree	128	42.95 %
Neither Agree Nor Disagree	70	23.49 %
Disagree	35	11.74 %
Strongly Disagree	15	5.03 %
Don't Know	9	3.02 %
Total Responses	298	100.00
52. Employees in my work unit share job knowledge with each other.		
(Not Answered)	1	0.34 %
Strongly Agree	72	24.16 %
Agree	162	54.36 %
Neither Agree Nor Disagree	34	11.41 %
Disagree	18	6.04 %
Strongly Disagree	9	3.02 %
Don't Know	2	0.67 %
Total Responses	298	100.00

Continued on next page.

Appendix L continued.

	Count	Percent
54. How satisfied are you with the information you receive from management on what's going on in your organization?		
(Not Answered)	3	1.01 %
Very Satisfied	34	11.41 %
Satisfied	149	50.00 %
Neither Satisfied Nor Dissatisfied	75	25.17 %
Dissatisfied	28	9.40 %
Very Dissatisfied	7	2.35 %
Don't Know	2	0.67 %
Total Responses	298	100.00

56. How satisfied are you with the policies and practices of your senior leaders?

(Not Answered)	3	1.01 %
Very Satisfied	24	8.05 %
Satisfied	117	39.26 %
Neither Satisfied Nor Dissatisfied	94	31.54 %
Dissatisfied	33	11.07 %
Very Dissatisfied	19	6.38 %
Don't Know	8	2.68 %
Total Responses	298	100.00

76. Which of the following best describes the functional area of your primary work?

Office of Audit	298	100.00 %
Total Responses	298	100.00

Job Satisfaction Questions- Audit Work Life Survey 07

	Count	Percent
3. I have enough information to do my job well.		
Strongly Agree	41	13.76 %
Agree	178	59.73 %
Neither Agree Nor Disagree	44	14.77 %
Disagree	30	10.07 %
Strongly Disagree	5	1.68 %
Total Responses	298	100.00

4. I feel encouraged to come up with new and better ways of doing things

(Not Answered)	1	0.34 %
Strongly Agree	48	16.11 %
Agree	128	42.95 %
Neither Agree Nor Disagree	57	19.13 %
Disagree	47	15.77 %
Strongly Disagree	17	5.70 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
5. My work gives me a feeling of personal accomplishment.		
Strongly Agree	51	17.11 %
Agree	146	48.99 %
Neither Agree Nor Disagree	56	18.79 %
Disagree	30	10.07 %
Strongly Disagree	13	4.36 %
Don't Know	2	0.67 %
Total Responses	298	100.00
6. I like the kind of work I do.		
Strongly Agree	92	30.87 %
Agree	140	46.98 %
Neither Agree Nor Disagree	45	15.10 %
Disagree	17	5.70 %
Strongly Disagree	4	1.34 %
Total Responses	298	100.00
8. I recommend my organization as a good place to work.		
Strongly Agree	73	24.50 %
Agree	125	41.95 %
Neither Agree Nor Disagree	64	21.48 %
Disagree	28	9.40 %
Strongly Disagree	5	1.68 %
Don't Know	3	1.01 %
Total Responses	298	100.00
10. How would you rate the overall quality of work done in your work group		
(Not Answered)	1	0.34 %
Very Good	130	43.62 %
Good	121	40.60 %
Fair	40	13.42 %
Poor	5	1.68 %
Don't Know	1	0.34 %
Total Responses	298	100.00
21. The work I do is important.		
Strongly Agree	98	32.89 %
Agree	151	50.67 %
Neither Agree Nor Disagree	28	9.40 %
Disagree	18	6.04 %
Strongly Disagree	2	0.67 %
Don't Know	1	0.34 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
50. I receive the training I need to perform my job		
(Not Answered)	2	0.67 %
Strongly Agree	34	11.41 %
Agree	151	50.67 %
Neither Agree Nor Disagree	72	24.16 %
Disagree	27	9.06 %
Strongly Disagree	10	3.36 %
Don't Know	2	0.67 %
Total Responses	298	100.00
53. How satisfied are you with your involvement in decisions that affect your work?		
(Not Answered)	2	0.67 %
Very Satisfied	28	9.40 %
Satisfied	132	44.30 %
Neither Satisfied Nor Dissatisfied	72	24.16 %
Dissatisfied	50	16.78 %
Very Dissatisfied	13	4.36 %
Don't Know	1	0.34 %
Total Responses	298	100.00
57. How satisfied are you with your opportunity to get a better job in your organization?		
(Not Answered)	2	0.67 %
Very Satisfied	19	6.38 %
Satisfied	71	23.83 %
Neither Satisfied Nor Dissatisfied	87	29.19 %
Dissatisfied	67	22.48 %
Very Dissatisfied	36	12.08 %
Don't Know	16	5.37 %
Total Responses	298	100.00
62. Considering everything, how satisfied are you with your job?		
(Not Answered)	3	1.01 %
Very Satisfied	69	23.15 %
Satisfied	142	47.65 %
Neither Satisfied Nor Dissatisfied	53	17.79 %
Dissatisfied	21	7.05 %
Very Dissatisfied	9	3.02 %
Don't Know	1	0.34 %
Total Responses	298	100.00

Continued on next page.

Appendix L continued.

	Count	Percent
63. Considering everything, how satisfied are you with your pay?		
(Not Answered)	3	1.01 %
Very Satisfied	64	21.48 %
Satisfied	151	50.67 %
Neither Satisfied Nor Dissatisfied	44	14.77 %
Dissatisfied	25	8.39 %
Very Dissatisfied	10	3.36 %
Don't Know	1	0.34 %
Total Responses	298	100.00

64. Considering everything, how satisfied are you with your organization?

(Not Answered)	4	1.34 %
Very Satisfied	56	18.79 %
Satisfied	149	50.00 %
Neither Satisfied Nor Dissatisfied	59	19.80 %
Dissatisfied	23	7.72 %
Very Dissatisfied	6	2.01 %
Don't Know	1	0.34 %
Total Responses	298	100.00

76. Which of the following best describes the functional area of your primary work?

Office of Audit	298	100.00 %
Total Responses	298	100.00

Results Oriented Performance Questions – Audit Work Life Survey 2007

	Count	Percent
1. The people I work with cooperate to get the job done.		
Strongly Agree	92	30.87 %
Agree	169	56.71 %
Neither Agree Nor Disagree	21	7.05 %
Disagree	8	2.68 %
Strongly Disagree	8	2.68 %
Total Responses	298	100.00

13. My manager supports my need to balance work and family issues.

(Not Answered)	1	0.34 %
Strongly Agree	116	38.93 %
Agree	102	34.23 %
Neither Agree Nor Disagree	44	14.77 %
Disagree	24	8.05 %
Strongly Disagree	6	2.01 %
Don't Know	5	1.68 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
20. I know how my work relates to the agency's goals and priorities.		
Strongly Agree	79	26.51 %
Agree	180	60.40 %
Neither Agree Nor Disagree	25	8.39 %
Disagree	10	3.36 %
Strongly Disagree	4	1.34 %
Total Responses	298	100.00
22. Promotions in my work unit are based on merit.		
Strongly Agree	27	9.06 %
Agree	68	22.82 %
Neither Agree Nor Disagree	87	29.19 %
Disagree	50	16.78 %
Strongly Disagree	42	14.09 %
Don't Know	24	8.05 %
Total Responses	298	100.00
23. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve		
(Not Answered)	1	0.34 %
Strongly Agree	17	5.70 %
Agree	84	28.19 %
Neither Agree Nor Disagree	84	28.19 %
Disagree	39	13.09 %
Strongly Disagree	36	12.08 %
Don't Know	37	12.42 %
Total Responses	298	100.00
24. Employees have a feeling of personal empowerment with respect to work processes.		
Strongly Agree	19	6.38 %
Agree	116	38.93 %
Neither Agree Nor Disagree	93	31.21 %
Disagree	38	12.75 %
Strongly Disagree	22	7.38 %
Don't Know	10	3.36 %
Total Responses	298	100.00
25. Employees are rewarded for providing high quality products and services to customers.		
(Not Answered)	1	0.34 %
Strongly Agree	17	5.70 %
Agree	97	32.55 %
Neither Agree Nor Disagree	74	24.83 %
Disagree	69	23.15 %
Strongly Disagree	27	9.06 %
Don't Know	13	4.36 %
Total Responses	298	100.00

Appendix L continued.

26. High-performing employees in my work unit are recognized or rewarded on a timely basis.

	Count	Percent
Strongly Agree	19	6.38 %
Agree	74	24.83 %
Neither Agree Nor Disagree	87	29.19 %
Disagree	71	23.83 %
Strongly Disagree	30	10.07 %
Don't Know	17	5.70 %
Total Responses	298	100.00

27. Creativity and innovation are rewarded.

(Not Answered)	1	0.34 %
Strongly Agree	13	4.36 %
Agree	77	25.84 %
Neither Agree Nor Disagree	106	35.57 %
Disagree	61	20.47 %
Strongly Disagree	25	8.39 %
Don't Know	15	5.03 %
Total Responses	298	100.00

28. Pay raises depend on how well employees perform their jobs.

Strongly Agree	22	7.38 %
Agree	81	27.18 %
Neither Agree Nor Disagree	73	24.50 %
Disagree	57	19.13 %
Strongly Disagree	46	15.44 %
Don't Know	19	6.38 %
Total Responses	298	100.00

29. Awards in my work unit depend on how well employees perform their jobs.

(Not Answered)	1	0.34 %
Strongly Agree	20	6.71 %
Agree	75	25.17 %
Neither Agree Nor Disagree	91	30.54 %
Disagree	54	18.12 %
Strongly Disagree	34	11.41 %
Don't Know	23	7.72 %
Total Responses	298	100.00

30. In my work unit, differences in performance are recognized in a meaningful way.

(Not Answered)	1	0.34 %
Strongly Agree	17	5.70 %
Agree	73	24.50 %
Neither Agree Nor Disagree	98	32.89 %
Disagree	56	18.79 %
Strongly Disagree	31	10.40 %
Don't Know	22	7.38 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
31. My performance appraisal is a fair reflection of my performance.		
(Not Answered)	2	0.67 %
Strongly Agree	38	12.75 %
Agree	113	37.92 %
Neither Agree Nor Disagree	61	20.47 %
Disagree	38	12.75 %
Strongly Disagree	34	11.41 %
Don't Know	12	4.03 %
Total Responses	298	100.00
32. Discussions with my manager/team leader about my performance are worthwhile.		
Strongly Agree	44	14.77 %
Agree	121	40.60 %
Neither Agree Nor Disagree	60	20.13 %
Disagree	35	11.74 %
Strongly Disagree	29	9.73 %
Don't Know	9	3.02 %
Total Responses	298	100.00
33. I am held accountable for achieving results.		
Strongly Agree	88	29.53 %
Agree	184	61.74 %
Neither Agree Nor Disagree	23	7.72 %
Disagree	1	0.34 %
Strongly Disagree	1	0.34 %
Don't Know	1	0.34 %
Total Responses	298	100.00
34. Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.		
(Not Answered)	1	0.34 %
Strongly Agree	49	16.44 %
Agree	122	40.94 %
Neither Agree Nor Disagree	81	27.18 %
Disagree	13	4.36 %
Strongly Disagree	10	3.36 %
Don't Know	22	7.38 %
Total Responses	298	100.00
35. Policies and programs promote diversity in the workplace (recruiting minorities and women, training in awareness of diversity issues, mentoring).		
(Not Answered)	2	0.67 %
Strongly Agree	41	13.76 %
Agree	125	41.95 %
Neither Agree Nor Disagree	72	24.16 %
Disagree	22	7.38 %
Strongly Disagree	13	4.36 %
Don't Know	23	7.72 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
39. My organization's leaders maintain high standards of honesty and integrity.		
(Not Answered)	1	0.34 %
Strongly Agree	41	13.76 %
Agree	117	39.26 %
Neither Agree Nor Disagree	80	26.85 %
Disagree	29	9.73 %
Strongly Disagree	15	5.03 %
Don't Know	15	5.03 %
Total Responses	298	100.00

55. How satisfied are you with the recognition you receive for doing a good job?

(Not Answered)	2	0.67 %
Very Satisfied	33	11.07 %
Satisfied	99	33.22 %
Neither Satisfied Nor Dissatisfied	75	25.17 %
Dissatisfied	62	20.81 %
Very Dissatisfied	23	7.72 %
Don't Know	4	1.34 %
Total Responses	298	100.00

76. Which of the following best describes the functional area of your primary work?

Office of Audit	298	100.00 %
Total Responses	298	100.00

Talent Mgmt Questions - Audit Work Life Survey 2007

	Count	Percent
2. I am given a real opportunity to improve my skills in my organization.		
Strongly Agree	43	14.43 %
Agree	150	50.34 %
Neither Agree Nor Disagree	52	17.45 %
Disagree	45	15.10 %
Strongly Disagree	6	2.01 %
Don't Know	2	0.67 %
Total Responses	298	100.00

7. I have trust and confidence in my supervisor

Strongly Agree	82	27.52 %
Agree	97	32.55 %
Neither Agree Nor Disagree	64	21.48 %
Disagree	24	8.05 %
Strongly Disagree	29	9.73 %
Don't Know	2	0.67 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
12. The OIG workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.		
Strongly Agree	38	12.75 %
Agree	184	61.74 %
Neither Agree Nor Disagree	48	16.11 %
Disagree	19	6.38 %
Strongly Disagree	6	2.01 %
Don't Know	3	1.01 %
Total Responses	298	100.00
15. My work unit is able to recruit people with the right skills.		
(Not Answered)	1	0.34 %
Strongly Agree	33	11.07 %
Agree	95	31.88 %
Neither Agree Nor Disagree	91	30.54 %
Disagree	43	14.43 %
Strongly Disagree	17	5.70 %
Don't Know	18	6.04 %
Total Responses	298	100.00
16. The skill level in my work unit has improved in the past year.		
Strongly Agree	54	18.12 %
Agree	131	43.96 %
Neither Agree Nor Disagree	67	22.48 %
Disagree	24	8.05 %
Strongly Disagree	7	2.35 %
Don't Know	15	5.03 %
Total Responses	298	100.00
19. My talents are used well in the workplace.		
(Not Answered)	1	0.34 %
Strongly Agree	35	11.74 %
Agree	142	47.65 %
Neither Agree Nor Disagree	54	18.12 %
Disagree	44	14.77 %
Strongly Disagree	20	6.71 %
Don't Know	2	0.67 %
Total Responses	298	100.00
48. Managers in my work unit support employee development.		
(Not Answered)	1	0.34 %
Strongly Agree	63	21.14 %
Agree	146	48.99 %
Neither Agree Nor Disagree	48	16.11 %
Disagree	25	8.39 %
Strongly Disagree	13	4.36 %
Don't Know	2	0.67 %
Total Responses	298	100.00

Appendix L continued.

	Count	Percent
49. My training needs are assessed effectively.		
(Not Answered)	2	0.67 %
Strongly Agree	34	11.41 %
Agree	143	47.99 %
Neither Agree Nor Disagree	64	21.48 %
Disagree	38	12.75 %
Strongly Disagree	13	4.36 %
Don't Know	4	1.34 %
Total Responses	298	100.00
58. How satisfied are you with the training you receive for your present job?		
(Not Answered)	2	0.67 %
Very Satisfied	33	11.07 %
Satisfied	146	48.99 %
Neither Satisfied Nor Dissatisfied	61	20.47 %
Dissatisfied	41	13.76 %
Very Dissatisfied	11	3.69 %
Don't Know	4	1.34 %
Total Responses	298	100.00
76. Which of the following best describes the functional area of your primary work?		
Office of Audit	298	100.00 %
Total Responses	298	100.00

Appendix M 2009 Work Life Survey Results for OA

Leadership & Knowledge Mgmt- Audit Work Life Survey 09

	Count	Percent
Overall, how good a job do you feel is being done by your immediate supervisor/team leader?		
Very Good	148	46.69 %
Good	94	29.65 %
Fair	50	15.77 %
Poor	12	3.79 %
Very Poor	11	3.47 %
Don't Know / NA	2	0.63 %

Total Responses 317 100.00

My workload is reasonable.

Strongly Agree	72	22.71 %
Agree	167	52.68 %
Neither Agree Nor Disagree	32	10.09 %
Disagree	38	11.99 %
Strongly Disagree	8	2.52 %

Total Responses 317 100.00

Managers/supervisors/team leaders work well with employees of different backgrounds.

Strongly Agree	98	30.91 %
Agree	147	46.37 %
Neither Agree Nor Disagree	38	11.99 %
Disagree	16	5.05 %
Strongly Disagree	12	3.79 %
Don't Know / NA	6	1.89 %

Total Responses 317 100.00

I have a high level of respect for my organization's senior leaders.

Strongly Agree	96	30.28 %
Agree	135	42.59 %
Neither Agree Nor Disagree	58	18.30 %
Disagree	19	5.99 %
Strongly Disagree	8	2.52 %
Don't Know / NA	1	0.32 %

Total Responses 317 100.00

In my organization, leaders generate high levels of motivation and commitment in the workforce.

Strongly Agree	69	21.77 %
Agree	118	37.22 %
Neither Agree Nor Disagree	77	24.29 %
Disagree	35	11.04 %
Strongly Disagree	17	5.36 %
Don't Know / NA	1	0.32 %

Total Responses 317 100.00

Appendix M continued.

	Count	Percent
Managers communicate the goals and priorities of the organization.		
Strongly Agree	79	24.92 %
Agree	167	52.68 %
Neither Agree Nor Disagree	43	13.56 %
Disagree	23	7.26 %
Strongly Disagree	5	1.58 %
Total Responses	317	100.00

Managers review and evaluate the organization's progress toward meeting its goals and objectives.

Strongly Agree	85	26.81 %
Agree	149	47.00 %
Neither Agree Nor Disagree	52	16.40 %
Disagree	14	4.42 %
Strongly Disagree	7	2.21 %
Don't Know / NA	10	3.15 %
Total Responses	317	100.00

Employees are protected from health and safety hazards on the job.

Strongly Agree	128	40.38 %
Agree	153	48.26 %
Neither Agree Nor Disagree	26	8.20 %
Disagree	2	0.63 %
Strongly Disagree	1	0.32 %
Don't Know / NA	7	2.21 %
Total Responses	317	100.00

My organization has prepared employees for potential security threats.

Strongly Agree	51	16.09 %
Agree	153	48.26 %
Neither Agree Nor Disagree	68	21.45 %
Disagree	22	6.94 %
Strongly Disagree	7	2.21 %
Don't Know / NA	16	5.05 %
Total Responses	317	100.00

How satisfied are you with the information you receive from management on what's going on in your organization?

Very Satisfied	71	22.40 %
Satisfied	157	49.53 %
Neither Satisfied Nor Dissatisfied	47	14.83 %
Dissatisfied	33	10.41 %
Very Dissatisfied	8	2.52 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

Appendix M continued.

	Count	Percent
How satisfied are you with the policies and practices of your senior leaders?		
Very Satisfied	62	19.56 %
Satisfied	151	47.63 %
Neither Satisfied Nor Dissatisfied	67	21.14 %
Dissatisfied	25	7.89 %
Very Dissatisfied	9	2.84 %
Don't Know / NA	3	0.95 %
Total Responses	317	100.00
Are you considering leaving your organization within the next year?		
(Not Answered)	9	2.84 %
Yes	59	18.61 %
No	249	78.55 %
Total Responses	317	100.00
Which of the following best describes the functional area of your primary work?		
Office of Audit	317	100.00 %
Total Responses	317	100.00
Job Satisfaction Questions - Audit Work Life Survey 09		
	Count	Percent
My work gives me a feeling of personal accomplishment.		
Strongly Agree	98	30.91 %
Agree	152	47.95 %
Neither Agree Nor Disagree	44	13.88 %
Disagree	16	5.05 %
Strongly Disagree	7	2.21 %
Total Responses	317	100.00
I like the kind of work I do.		
Strongly Agree	120	37.85 %
Agree	147	46.37 %
Neither Agree Nor Disagree	39	12.30 %
Disagree	5	1.58 %
Strongly Disagree	5	1.58 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00
The work I do is important.		
Strongly Agree	131	41.32 %
Agree	147	46.37 %
Neither Agree Nor Disagree	30	9.46 %
Disagree	8	2.52 %
Strongly Disagree	1	0.32 %
Total Responses	317	100.00

Appendix M continued.

	Count	Percent
How satisfied are you with your involvement in decisions that affect your work?		
Very Satisfied	65	20.50 %
Satisfied	161	50.79 %
Neither Satisfied Nor Dissatisfied	53	16.72 %
Dissatisfied	26	8.20 %
Very Dissatisfied	12	3.79 %
Total Responses	317	100.00

How satisfied are you with your opportunity to get a better job in your organization?

Very Satisfied	53	16.72 %
Satisfied	99	31.23 %
Neither Satisfied Nor Dissatisfied	79	24.92 %
Dissatisfied	52	16.40 %
Very Dissatisfied	23	7.26 %
Don't Know / NA	11	3.47 %
Total Responses	317	100.00

Considering everything, how satisfied are you with your job?

Very Satisfied	100	31.55 %
Satisfied	156	49.21 %
Neither Satisfied Nor Dissatisfied	39	12.30 %
Dissatisfied	16	5.05 %
Very Dissatisfied	6	1.89 %
Total Responses	317	100.00

Considering everything, how satisfied are you with your pay?

Very Satisfied	101	31.86 %
Satisfied	155	48.90 %
Neither Satisfied Nor Dissatisfied	38	11.99 %
Dissatisfied	16	5.05 %
Very Dissatisfied	6	1.89 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

Which of the following best describes the functional area of your primary work?

Office of Audit	317	100.00 %
Total Responses	317	100.00

Continued on next page.

Appendix M continued.

Results-Oriented Performance – Audit Work Life Survey 09

	Count	Percent
The people I work with cooperate to get the job done..		
Strongly Agree	150	47.32 %
Agree	143	45.11 %
Neither Agree Nor Disagree	16	5.05 %
Disagree	4	1.26 %
Strongly Disagree	3	0.95 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

My supervisor supports my need to balance work and other life issues.

Strongly Agree	172	54.26 %
Agree	104	32.81 %
Neither Agree Nor Disagree	26	8.20 %
Disagree	10	3.15 %
Strongly Disagree	5	1.58 %
Total Responses	317	100.00

I know how my work relates to the agency's goals and priorities.

Strongly Agree	113	35.65 %
Agree	167	52.68 %
Neither Agree Nor Disagree	20	6.31 %
Disagree	11	3.47 %
Strongly Disagree	5	1.58 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.

Strongly Agree	130	41.01 %
Agree	142	44.79 %
Neither Agree Nor Disagree	29	9.15 %
Disagree	13	4.10 %
Strongly Disagree	2	0.63 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

Promotions in my work unit are based on merit.

Strongly Agree	64	20.19 %
Agree	92	29.02 %
Neither Agree Nor Disagree	75	23.66 %
Disagree	26	8.20 %
Strongly Disagree	24	7.57 %
Don't Know / NA	36	11.36 %
Total Responses	317	100.00

Appendix M continued.

	Count	Percent
In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.		
Strongly Agree	34	10.73 %
Agree	97	30.60 %
Neither Agree Nor Disagree	80	25.24 %
Disagree	33	10.41 %
Strongly Disagree	22	6.94 %
Don't Know / NA	51	16.09 %
Total Responses	317	100.00

Employees have a feeling of personal empowerment with respect to work processes.

Strongly Agree	58	18.30 %
Agree	147	46.37 %
Neither Agree Nor Disagree	60	18.93 %
Disagree	34	10.73 %
Strongly Disagree	11	3.47 %
Don't Know / NA	7	2.21 %
Total Responses	317	100.00

Creativity and innovation are rewarded.

Strongly Agree	65	20.50 %
Agree	130	41.01 %
Neither Agree Nor Disagree	70	22.08 %
Disagree	26	8.20 %
Strongly Disagree	13	4.10 %
Don't Know / NA	13	4.10 %
Total Responses	317	100.00

Pay raises depend on how well employees perform their jobs.

Strongly Agree	63	19.87 %
Agree	111	35.02 %
Neither Agree Nor Disagree	62	19.56 %
Disagree	35	11.04 %
Strongly Disagree	28	8.83 %
Don't Know / NA	18	5.68 %
Total Responses	317	100.00

In my work unit, differences in performance are recognized in a meaningful way.

Strongly Agree	56	17.67 %
Agree	107	33.75 %
Neither Agree Nor Disagree	74	23.34 %
Disagree	41	12.93 %
Strongly Disagree	14	4.42 %
Don't Know / NA	25	7.89 %
Total Responses	317	100.00

Appendix M continued.

	Count	Percent
My performance appraisal is a fair reflection of my performance.		
Strongly Agree	92	29.02 %
Agree	120	37.85 %
Neither Agree Nor Disagree	42	13.25 %
Disagree	34	10.73 %
Strongly Disagree	19	5.99 %
Don't Know / NA	10	3.15 %
Total Responses	317	100.00

Discussions with my supervisor/team leader about my performance are worthwhile.

Strongly Agree	96	30.28 %
Agree	137	43.22 %
Neither Agree Nor Disagree	42	13.25 %
Disagree	24	7.57 %
Strongly Disagree	16	5.05 %
Don't Know / NA	2	0.63 %
Total Responses	317	100.00

In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (i.e., Fully Successful, Outstanding).

Strongly Agree	89	28.08 %
Agree	119	37.54 %
Neither Agree Nor Disagree	50	15.77 %
Disagree	31	9.78 %
Strongly Disagree	21	6.62 %
Don't Know / NA	7	2.21 %
Total Responses	317	100.00

How satisfied are you with the recognition you receive for doing a good job?

Very Satisfied	92	29.02 %
Satisfied	125	39.43 %
Neither Satisfied Nor Dissatisfied	55	17.35 %
Dissatisfied	30	9.46 %
Very Dissatisfied	14	4.42 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

Which of the following best describes the functional area of your primary work?

Office of Audit	317	100.00 %
Total Responses	317	100.00

Appendix M continued.
Talent Mgmt - Audit Work Life Survey 09

	Count	Percent
I am given a real opportunity to improve my skills in my organization.		
Strongly Agree	90	28.39 %
Agree	149	47.00 %
Neither Agree Nor Disagree	45	14.20 %
Disagree	21	6.62 %
Strongly Disagree	11	3.47 %
Don't Know / NA	1	0.32 %
Total Responses	317	100.00

I have trust and confidence in my supervisor.

Strongly Agree	135	42.59 %
Agree	94	29.65 %
Neither Agree Nor Disagree	53	16.72 %
Disagree	17	5.36 %
Strongly Disagree	18	5.68 %
Total Responses	317	100.00

The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

Strongly Agree	74	23.34 %
Agree	172	54.26 %
Neither Agree Nor Disagree	41	12.93 %
Disagree	22	6.94 %
Strongly Disagree	2	0.63 %
Don't Know / NA	6	1.89 %
Total Responses	317	100.00

My work unit is able to recruit people with the right skills.

Strongly Agree	55	17.35 %
Agree	108	34.07 %
Neither Agree Nor Disagree	77	24.29 %
Disagree	43	13.56 %
Strongly Disagree	13	4.10 %
Don't Know / NA	21	6.62 %
Total Responses	317	100.00

My talents are used well in the workplace.

Strongly Agree	81	25.55 %
Agree	152	47.95 %
Neither Agree Nor Disagree	43	13.56 %
Disagree	29	9.15 %
Strongly Disagree	12	3.79 %
Total Responses	317	100.00

Appendix M continued.

	Count	Percent
Supervisors/team leaders in my work unit support employee development.		
Strongly Agree	106	33.44 %
Agree	153	48.26 %
Neither Agree Nor Disagree	34	10.73 %
Disagree	17	5.36 %
Strongly Disagree	7	2.21 %
Total Responses	317	100.00

My training needs are assessed.

Strongly Agree	83	26.18 %
Agree	158	49.84 %
Neither Agree Nor Disagree	41	12.93 %
Disagree	25	7.89 %
Strongly Disagree	8	2.52 %
Don't Know / NA	2	0.63 %
Total Responses	317	100.00

How satisfied are you with the training you receive for your present job?

Very Satisfied	70	22.08 %
Satisfied	142	44.79 %
Neither Satisfied Nor Dissatisfied	57	17.98 %
Dissatisfied	37	11.67 %
Very Dissatisfied	9	2.84 %
Don't Know / NA	2	0.63 %
Total Responses	317	100.00

Which of the following best describes the functional area of your primary work?

Office of Audit	317	100.00 %
Total Responses	317	100.00

**Appendix N Federal Human Capital Survey Impact Items:
Combined Strongest Predictors of Satisfaction and Intent to
Leave**

Survey Question #	Survey Question	Percent Positive 2008
6	I like the kind of work I do.	84%
5	My work gives me a feeling of personal accomplishment.	73%
9	Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	66%
2	I am given a real opportunity to improve my skills in my organization.	64%
18	My talents are used well in the workplace.	62%
62	Considering everything, how satisfied are you with your pay?	60%
17	My workload is reasonable.	60%
40	Managers communicate the goals and priorities of the organization. (new impact item in '08)	60%
60	How satisfied are you with the training you receive for your present job?	55%
55	How satisfied are you with your involvement in decisions that affect your work?	53%
37	I have a high level of respect for my organization's senior leaders.	52%
57	How satisfied are you with the recognition you receive for doing a good job?	50%
56	How satisfied are you with the information you receive from management on what's going on in your organization?	48%
24	Employees have a feeling of personal empowerment with respect to work processes.	44%
58	How satisfied are you with the policies and practices of your senior leaders?	42%
59	How satisfied are you with your opportunity to get a better job in your organization?	39%

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