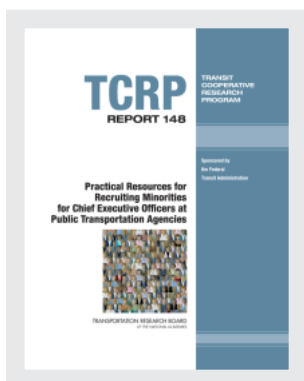


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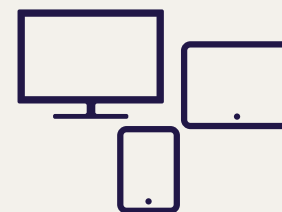
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TRANSIT COOPERATIVE RESEARCH PROGRAM

TCRP REPORT 148

**Practical Resources for
Recruiting Minorities
for Chief Executive Officers at
Public Transportation Agencies**

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WASHINGTON, D.C.
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TRANSIT COOPERATIVE RESEARCH PROGRAM

The nation's growth and the need to meet mobility, environmental, and energy objectives place demands on public transit systems. Current systems, some of which are old and in need of upgrading, must expand service area, increase service frequency, and improve efficiency to serve these demands. Research is necessary to solve operating problems, to adapt appropriate new technologies from other industries, and to introduce innovations into the transit industry. The Transit Cooperative Research Program (TCRP) serves as one of the principal means by which the transit industry can develop innovative near-term solutions to meet demands placed on it.

The need for TCRP was originally identified in *TRB Special Report 213—Research for Public Transit: New Directions*, published in 1987 and based on a study sponsored by the Urban Mass Transportation Administration—now the Federal Transit Administration (FTA). A report by the American Public Transportation Association (APTA), *Transportation 2000*, also recognized the need for local, problem-solving research. TCRP, modeled after the longstanding and successful National Cooperative Highway Research Program, undertakes research and other technical activities in response to the needs of transit service providers. The scope of TCRP includes a variety of transit research fields including planning, service configuration, equipment, facilities, operations, human resources, maintenance, policy, and administrative practices.

TCRP was established under FTA sponsorship in July 1992. Proposed by the U.S. Department of Transportation, TCRP was authorized as part of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). On May 13, 1992, a memorandum agreement outlining TCRP operating procedures was executed by the three cooperating organizations: FTA, the National Academies, acting through the Transportation Research Board (TRB); and the Transit Development Corporation, Inc. (TDC), a nonprofit educational and research organization established by APTA. TDC is responsible for forming the independent governing board, designated as the TCRP Oversight and Project Selection (TOPS) Committee.

Research problem statements for TCRP are solicited periodically but may be submitted to TRB by anyone at any time. It is the responsibility of the TOPS Committee to formulate the research program by identifying the highest priority projects. As part of the evaluation, the TOPS Committee defines funding levels and expected products.

Once selected, each project is assigned to an expert panel, appointed by the Transportation Research Board. The panels prepare project statements (requests for proposals), select contractors, and provide technical guidance and counsel throughout the life of the project. The process for developing research problem statements and selecting research agencies has been used by TRB in managing cooperative research programs since 1962. As in other TRB activities, TCRP project panels serve voluntarily without compensation.

Because research cannot have the desired impact if products fail to reach the intended audience, special emphasis is placed on disseminating TCRP results to the intended end users of the research: transit agencies, service providers, and suppliers. TRB provides a series of research reports, syntheses of transit practice, and other supporting material developed by TCRP research. APTA will arrange for workshops, training aids, field visits, and other activities to ensure that results are implemented by urban and rural transit industry practitioners.

The TCRP provides a forum where transit agencies can cooperatively address common operational problems. The TCRP results support and complement other ongoing transit research and training programs.

TCRP REPORT 148

Project F-15

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Transportation Research Board

TCRP Report 148: Practical Resources for Recruiting Minorities for Chief Executive Officers at Public Transportation Agencies provides strategies to recruit minorities for chief executive officer (CEO) positions and offers resources to assist governing boards of public transportation agencies in the recruitment of minority CEOs. The report also assesses the transit industry's recruitment processes for CEOs and provides a case for diversity that documents the benefits of minorities in public transportation leadership positions. This report will be helpful to members of public transportation governing boards, executive search firms, directors of human resources, and other key transit officials.

The report addresses key issues and concerns in recruiting minority candidates at the CEO level in the public transportation industry. In addition, the report describes best practices, recruitment initiatives, and actions used by boards and executive search firms to recruit minorities for the CEO position at public transportation agencies. The report presents assessment and recruitment tools used for executive leadership positions. The report also describes strategies for retaining CEOs at public transportation agencies.

It is well documented that CEOs and their governing boards set the corporate agenda. CEOs provide the leadership to achieve diversity and inclusion goals for any organization and drive results that recognize the business imperative of reaching diverse consumers, clients, and employees. Public transportation governing boards are responsible for appointing the chief executive. Governing boards and recruitment consultants express difficulty in finding qualified minorities for CEO positions. The results of this research may help alleviate the challenges faced by public transportation governing boards and recruiters who are striving to obtain a diverse workforce, beginning with the executive ranks.

To assist in the development of *TCRP Report 148*, the research team conducted a survey to identify the current practices used to recruit minorities into executive-level positions, with an emphasis on CEO positions at public transportation agencies. The survey participants were from public transportation agencies, executive search firms, public transportation governing boards, and other industries. Based on the information gathered from the survey results, the researchers identified successful examples of processes used to recruit minorities into the CEO position, both inside and outside of the public transportation industry.

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Note: Many of the photographs, figures, and tables in this report have been converted from color to grayscale for printing. The electronic version of the report (posted on the Web at www.trb.org) retains the color versions.

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S U M M A R Y

Practical Resources for Recruiting Minorities for Chief Executive Officers at Public Transportation Agencies

The 2000 U.S. Census revealed that minorities occupied only 20% of the leadership roles in the top 20 public transit agencies in the nation. The low incidence of minority leaders is not restricted to these prominent agencies. In fact, this percentage actually decreased as the pool of agencies increased beyond the top 20.

TCRP Project F-15 was initiated to provide executive recruiters and governing boards of directors with a practical guide for recruiting, selecting, developing, and retaining minority chief executive officers (CEOs) at public transit agencies. Unique methods for executive talent acquisition and strategic human resource management are needed because public transit agencies find identifying a qualified pool for CEO positions difficult.

Chapter 2 of this research report discusses the main findings of relevant literature and incorporates the knowledge of previous diversity recruitment techniques and experiences that are of significant importance to the project's objectives.

Chapter 3, "Resources for Recruiting Minority CEOs at Public Transit Agencies," discusses the growing relevance of diversity in the workplace, as well as the recruitment of, and statistics concerning, minority executives. This chapter provides insight into social and demographic trends in transportation and the strategic impact of diversity models on organizations. Chapter 3 is designed primarily to address the needs of executive recruiters and governing boards of directors who express difficulty in finding qualified minorities for CEO positions for U.S. transit agencies. Transit providers of all sizes will find suggestions in this "resources" chapter helpful and are welcome to modify recommendations to meet their needs.

Chapter 3 is organized into three major sections:

- Diversity CEO Recruitment Models,
- Executive Selection Processes, and
- Retention.

Each section provides practical recommendations that can be applied in public transit and private sector industries. Effective implementation of the practices assumes specific knowledge, skills, and abilities in human resources management and will require adjustment to unique organizational circumstances.

There are 11 appendices. Appendix A contains an executive leadership selection process. Appendices B and C outline a competency model worksheet for the position and organization. Appendix D is a sample library of competencies. Appendix E presents the different types of staffing assessments used in the selection process. Appendix F provides an informational outline and process protocol for competency-focused structured interviews. Appendices G, H, and I are guidelines and tools to support successful interviewing. Appendix J outlines the process for succession management within organizations and Appendix K provides a success profile template.

CHAPTER 1

Literature Review

Research has been conducted over the years on various methods and processes used to recruit, select, and retain executives, but there is a paucity of information available on minority executives in the public transit industry or elsewhere.

The TCRP F-15 Project research team conducted a comprehensive review of relevant literature related to the recruitment, selection, and retention of executives in both the public and private sectors, focusing on information related to minority executives in the public transit industry. Included in the research were best practices, challenges, and trends that shed light on current and past executive talent management (that is, the system by which minority individuals are recruited, hired, developed, promoted, and retained) into leadership positions. Key reference materials and sources of information are identified in the References, and the review and findings from these materials are discussed below.

A computerized bibliographic search was conducted using the following databases: Regional Business Review, PsycINFO, PsycArticles, ERIC, Academic Search Premiere, Business Source Elite, Business Source Complete, and Academy of Management. These databases consist of abstracts, conference papers, and peer-reviewed research articles from various research journals. In addition, a manual search was conducted of journals that publish research findings on mentoring. Some of these were as follows:

- *Academy of Management Journal*,
- *Journal of Applied Psychology*,
- *Journal of Vocational Behavior*,
- *Personnel Psychology, Work, Gender and Behavior Journal*,
- *Consulting Psychology Journal: Practice and Research*, and
- *Journal of Career Development*.

Other sources included the Society of Human Resources Management, Society of Industrial Organizational Psychology, Human Capital Institute, Center for Creative Leadership, Gallup Research, Institute for Executive Development, the Federal Transit Administration, and the Conference Board.

There were a number of major findings and themes from the study team's literature review. A common recommendation was to make diversity an integral part of the organization. For example, several articles advise that diversity at any level, particularly the executive level, requires active endorsement from senior leaders, including the board of directors (Edmonds-Wickman, 2008; Gardenswartz and Rowe, 2006; Hastings, 2007). Many experts suggest that linking pay to diversity would drive the required outcomes (Edmonds-Wickman, 2008; Gardenswartz and Rowe, 2001; Hastings, 2007; Hewlett et al., 2005). The healthcare industry, for example, has increasingly tied measures of commitment to ethnic and gender diversity directly to annual performance evaluations (Larson, 2008).

There were several topics related to the barriers for recruiting minority executives. Many authors cited as a common barrier the fact that managers and recruiters believe that talented minority candidates are either difficult to find or nonexistent, according to Gardenswartz and Row (2004). Several authors (Digh, 2005; Edmonds-Wickman, 2008; Ford, 2004) suggest that the ways in which organizations search for minority candidates and the places they search should expand to nontraditional avenues. The National Football League (NFL) addressed similar challenges by adopting the Rooney Rule, which required decisionmakers to include at least one qualified minority candidate in the recruitment and selection process (Wheaton, 2010). Consequently, the number of minorities occupying head football coaching positions increased. The State of Oregon adopted this practice when it signed legislation that will require all state universities to interview at least one minority candidate for each head coach and athletic director position that becomes available in the future.

Finally, one major barrier discussed by Larson is that some executives and boards are not accustomed to working with minority candidates and, frankly, do not know how to do so. In the GOLD study, *The New Leaders: Guidelines on Leadership Diversity in America* (Morrison, 1992), the Center for Creative Leadership (CCL) focused on addressing existing barriers and

implementing strategies for promoting and executing minority advancement at all levels, particularly in the executive suite. One key finding was that, in order for change and progress to occur, high-level executives within the organization, including CEOs, CEO-level (or “C-level”) employees, and boards of directors, must lead the effort and be active participants in making diversity an important part of the business plan.

Literature regarding retaining minority executives had a few common themes. For example, Chhabra and Mishra (2008) suggested mentoring programs and knowledge transfer. They found that mentoring is a good method for devel-

oping individuals professionally. Planning for succession and acceleration was another strong recommendation. Organizations need to identify, track, and develop key individuals who have the potential to rise to top-level positions.

The literature review includes seminal, dated, and current research articles on minorities in executive positions. More specifically, the research focused on best practices, challenges, trends, and strategies that companies and organizations have faced in recruiting and retaining minorities in executive leadership positions. The seminal research dates back to the 1970s and also includes sources as current as 2010.

CHAPTER 2

Introduction: The Case for Diversity

The Growing Relevance of Workplace Diversity

Globalization has changed the organizational fabric of companies and industries worldwide. The way businesses operate, create economic value, address customer demands, recruit and manage human capital, and contribute civically and socially to the communities they represent has completely changed over the last several decades. One significant change is the recognition of the need for workplace diversity to reflect the miscellany of global, national, and regional markets. As the Society for Human Resource Management (SHRM) reported, “Diversity and inclusion continue to be the next frontier for an organization’s competitive advantage” (2009).

Industries around the globe recognize that increasing diversity increases both innovation and market share. As early as 1997, 400 business executives at a Conference Board Symposium agreed that “diversity programs help to ensure the creation, management, valuing, and leveraging of a diverse workforce that will lead to organizational effectiveness and sustained competitiveness” (Hart, 1997). Lou Gerstner, former CEO of IBM, was one of the first national leaders to tout the importance of diversity and to implement a structure that positioned diversity as an area of strategic focus. Gerstner said, “the success of the program was achieved because the company made diversity a market-based issue” (Thomas, 2004). “Big Blue,” as IBM was affectionately called, created a philosophical shift in the mindsets of businesses that remains strong today. That emphasis on diversity has expanded beyond race and sexual orientation to employee abilities and broad-based relationship management.

As predicted in the landmark study *Workforce 2020* (Judy and D’Amico, 1997), “rapid technological change, globalization, the demand for skills and education, an aging workforce, and greater ethnic diversification in the labor market have forever redesigned the workplace and marketplace.” Today’s definition of diversity covers “visible dimensions of

race, age, sex, ethnicity, and gender to secondary influences such as culture, education, religion, socio-political beliefs, management and communications styles, and a variety of intangible factors that create the mixture in the workplace” (SHRM, 2009). After IBM’s success in its diversity initiatives, many companies began viewing the collaboration of cultures, ideas, and different perspectives as organizational assets.

In any organization, human capital and workforce relationships are the keys to success. As Carr-Ruffino states, “The flow of information between colleagues, work teams, customers, and suppliers . . . depends on the quality of relationships and talent in the workplace” (1999). Consequently, workforce diversity continues to be seen by businesses as essential to their competitiveness and a “tool for improving organizational performance” (Jayne and Dipboye, 2004, p 410).

Linking Diversity to Organizational Performance

Companies that tie workplace diversity to their organizational strategic goals and objectives exhibit greater flexibility and adaptability in fast changing marketplaces than companies that do not. They also attract and retain great talent and, therefore, reduce the risk management costs associated with turnover, absenteeism, and low productivity. The return on investment (ROI) can be seen in business initiatives, policies and procedures that assist with gaining market share, expanding customer and client bases, and—ultimately—increasing sales and profits.

The connection between workplace diversity and organizational performance can be direct or indirect. DuPont, for example, learned how one small change could directly translate into significant profits. After finding that the sales of an anticoagulant drug were low in Hispanic markets, a Hispanic manager noticed that the drug instructions were not in Spanish. Now the educational materials for the drug are translated into 15 languages and bring in millions of dollars in new business.

Nortel experienced a less direct, but just as persuasive, correlation between diversity and performance. Because their average cost of replacing an employee is \$55,000, Nortel views accessing and retaining talent from a worldwide diverse labor pool key to gaining a competitive edge in today’s global workplace (Martino, 1999).

Positive community relations are another argument for workplace diversity. When employees are proud of their organization for its connections to the community, they are likely to communicate that pride to friends and family. This goodwill can lead to a company’s reputation as an “employer of choice” (Richard and Johnson, 2001).

Similarly, the shift in purchasing power in the United States attests to the importance of workplace diversity. According to the Selig Center for Economic Growth, the purchasing power of minorities in the United States will outpace that of whites in the next 5 years. In 2009, the center reported the combined buying power of African Americans, Hispanics, Asian Americans, and Native Americans to be approximately \$1.1 trillion out of a total of \$11.1 trillion (www.terry.uga.edu, 2005). One of the most effective ways of reaching minority communities and markets is to employ representatives of minority groups to sell the company’s story. These representatives can establish trust in their communities because of their common language and experiences. The result of minority outreach can be seen in increased company profits.

Measuring the ROI for Diversity

Working in the evolving field of human capital metrics, business leaders are continuing to explore ways to validate diversity initiatives (Gates, 2005). Perhaps because they feel they do not have tangible results to measure, many organizations do not collect data on diversity initiatives. In the past, some organizations have explored climate surveys, cultural audits, employee attitude surveys, focus groups, customer surveys, and equal employment and affirmative action metrics. Performance evaluations, training and education evaluations, and incentive assessments also have been used as an attempt to measure the ROI of diversity. Some researchers are calling for metrics outside of these traditional boundaries.

Digh (2005) argues “HR leaders can better measure the return on investment of diversity by looking at the following:

- Demographics,
- Organizational culture,
- Accountability,
- Productivity,
- Profitability,
- Benchmarking, and
- Other pragmatic measures.”

Figure 2-1 shows Hubbard’s example of typical intangible variables linked with diversity (2004).

Although many intangible variables are associated with diversity results, monetary values can be established. Diversity return on investment (DROI) is calculated by using the diversity initiative cost and benefits to get the benefit/cost ratio (BCR). BCR equals diversity initiatives benefits divided by diversity initiative costs. This ratio also is referred to as a cost-to-benefit ratio. Specifically, the DROI calculation is the net benefit of the diversity initiative divided by the initiative costs:

$$DROI\% = (\text{net diversity initiative benefits} \div \text{initiative costs}) \times 100.$$

One also can derive monetary values through the following steps:

- Identify a unit of measure that represents a unit of improvement,
- Determine the value of each unit,
- Calculate the change in performance data,
- Determine an annual amount of the change, and
- Calculate the total value of the improvement.

This method is similar to others used to calculate ROI for other monetary programs.

Major corporations are involved in diversity measurement because of its importance for creating diversity training programs and corporate objectives. Businesses see these methods as ways to validate the success of employee retention,

Attitude Survey Data.....	Employee Transfers
Organizational Commitment.....	Customer Satisfaction Survey Data
Climate Survey Data.....	Customer Complaints
Employee Complaints.....	Customer Response Time
Grievances.....	Teamwork
Discrimination Complaints.....	Cooperation
Stress Reduction.....	Conflict
Employee Turnover.....	Decisiveness

Source: The Diversity Scorecard: Evaluating the Impact of Diversity on Organizational Performance, 2004.

Figure 2-1. Typical intangible variables linked with diversity.

satisfaction, and productivity goals. The results are translated into low employee turnover, market gain, market branding, and the applicants' perceptions of a company's employer-of-choice characteristics. In 2004, L'Oréal received the Diversity Best Practices Global Leadership Award for the work of Ed Bullock, chief diversity officer (*Global Cosmetic Industry*, 2005). Bullock tracks, monitors, and benchmarks the progress of the company's U.S. diversity programs, focusing on areas such as recruitment, retention, supplier relationships, community relationships, and support groups to create a culture of inclusion. Similarly, Nextel Communications developed scorecards to measure employee retention, diversity training, and employee satisfaction. The company determined that for every dollar spent on diversity training, it realized a \$1.63 net benefit (Kirkpatrick, Phillips, and Phillips, 2003).

Diversity Recruitment

Although Fortune 500 companies continue to recruit diverse candidates, diversity at the CEO level (the "C-Suite") is lagging. Blacks and Hispanics face a disproportionate challenge to employment, specifically in recessionary economies. Minorities who graduate from Ivy League colleges with advanced degrees are quickly hired and taken out of the marketplace. Minorities who are looking for someone like them in middle management to emulate and follow will see few minorities in the hierarchies.

Asian Pacific Americans represent 5% of the U.S. population; their education level is nearly double that of the general population. Approximately 2.2% held Fortune 100 board seats in 2009 (Zoppo, 2010). The Asia Society 2010 survey found that Asian Pacific Americans tended to be hired in two primary fields across industries, finance and technology, and often Asians become siloed in these occupations.

The EEOC reports, "of the companies in The Diversity Inc. Top 10 Companies for Asian Americans, 13.5% of promotions in management go to Asians, versus 4.5% of all U.S. managers." Statistics for Asian representation were higher for the top 10 companies than in national statistics. Boardroom representation in the top 10 companies reached 6% for Asians versus 1% nationally. Generally, workforces were 9.6% in these companies and new hires were 13.8% versus 5.5% nationally. Asian women represented 11.6% of the workforce and 14% of new hires compared with 2.5% identified by the EEOC. CEOs in the top 10 companies were 8.6% Asian compared to 3.7% identified by the EEOC (Zoppo, 2010).

The Asia Society survey identified the five best practices that helped Asians reach the C-Suite, as well as how well the surveyed companies organized and implemented the programs. The survey cited KPMG as the best company for promoting Asians to the C-Suite. Other companies cited for their best practices relative to recruitment and promotion of Asians

were American Express, IBM, JP Morgan Chase, Merck & Co., Sodexo, Time Warner, Novartis Pharmaceuticals Corporation, and PricewaterhouseCoopers (Zoppo, 2010).

Despite these examples of success, workplace diversity may be suffering, along with other programs, from cutbacks resulting from the recent economic decline. Janet Smith, a consultant specializing in recruiting diverse candidates for Fortune 500 companies, believes that without a concentrated focus on the recruitment and promotion of minority candidates fewer minorities will find their way to the C-Suite. She states that "For most recruiters or even hiring managers, things are relationship based—if you don't have diverse relationships, you can't hire different types of people" (Castro, 2010). The unprecedented budget cuts of the recession have negatively impacted the recruitment of minorities. In her case for diversity, Melissa Castro reported, "In 2009, the unemployment rate for African Americans hit 16% and for Hispanics 13%, as compared to 9% for whites, according to the Center for American Progress."

Smith cites companies such as Marriott International and Capital One Financial Corporation as examples of companies continuing to increase their recruitment, retention, and promotion of minorities even during tough times. Xerox also made an investment in diversity, and minorities were able to reach the C-Suite as a result of their senior-level experiences there. A. Barry Rand, for example, a Washington-based African American salesman with Xerox, became AARP's CEO in 2009 (Castro, 2010). Ironically, Rand was passed over for CEO at Xerox, which later hired Ursula Burns, an African American woman.

Xerox's investment in diversity became the subject of a *Harvard Business Case Review*. In a letter to its managers, Xerox presented a rationale for inclusiveness and creating opportunities for minorities: "It will also mean the creation of an enormous and affluent market for new products and services, and of an equally enormous pool of manpower to help meet the critical shortages of manpower predicted for the future" (Castro, 2010). Harvard found that between 1964 and 1974, the percentage of minorities in leadership positions grew from 1% to 6.9%. More importantly, Harvard found that the percent of revenue grew more than tenfold, from \$318 million to \$3.6 billion.

Today, companies such as the *New York Times*, pay executives to hire women and minorities, despite widespread criticism of the practice. In a March 18, 2010, speech, Lawrence Watkins stated, "the Compensation Committee of the *New York Times* retained their discretion to increase or decrease the individual component of the total bonus paid to each executive by up to 10% based upon the continuing development of a diverse workforce, including the inclusion of diverse candidates in hiring processes and the demonstration of personal commitment to diversity through participation in diversity-related activities."

Watkins noted that, although the *Times* is succeeding in its efforts to diversify, Google is ranked as the Number 1 company in America for minorities, according to *Forbes Magazine*. Minorities make up 36% of Google's employee population. Watkins believes that, by making a commitment to diversity, all companies can duplicate this success. Wesley Poriotis of Wesley, Brown and Bartle (W, B & B) a 4-decade-old executive search firm, echoes this point, "until a CEO mandates a balanced slate of candidates for every staffing engagement, hidden talent pools have little chance to compete for unadvertised positions" (www.prnewswire.com, 2009).

Poriotis notes that his own industry is at fault because many executive search firms have perpetuated the myth that qualified black and Hispanic executives cannot be found. To help resolve this issue W, B & B devised "an innovative strategic pipelining system external to a corporate client's succession plan whereby the firm creates a proprietary bank of qualified diverse executives for positions across multi-functions and multi-levels before they open." The corporate leaders and talented professionals socialize to simulate the traditional networking way to forge relationships. According to W, B & B, this "informal and confidential ice-breaking method has helped negate the myths that qualified minorities don't exist, they can't perform like their counterparts, or they are just not a cultural fit" (www.prnewswire.com, 2009).

In the global economy, industries are constantly searching for candidates who can manage communications and exercise leadership qualities across cultures. To climb the corporate ladder, minorities have always had to shift between two cultures, the corporate white male culture and that of their native culture. Some claim, "this fluid, back and forth movement allows minorities to think outside their cultural norms and more clearly understand how others see the world" (Flander, 2008).

In conjunction with organizational leaders, HR executives must implement mentoring and succession plans to ensure their workplace cultures welcome inclusion and believe in diversity. The CEO and HR executive must make the business case for diversity in the C-Suite. Stephanie Smith, senior vice president of HR for Kraft North America states, "HR's role is to ensure that managers understand that diversity should be the equivalent of other revenue generating ideas" (Flander, 2008).

Diversity Statistics for the C-Suite

Diversity efforts have progressed since the mid-1980s, at which time less than 40 African Americans were CEOs or within three levels of that rank at Fortune 500 companies and global equivalents, according to Damon Williams of the Alexandria, Virginia-based Executive Leadership Council

(Flander, 2008). By 1998, that number had increased to 150, and by 2003, more than 575 black executives were in America's workplaces. As a result of the economic recession and business mergers, that pace has slowed and now stands at 720 executives (Flander, 2008).

In 2007, there were seven black CEOs at Fortune 500 companies, the most ever, according to Williams. Since then, three of those have retired, and today, in 2010, four black CEOs head Fortune 500 companies. The numbers for Hispanics are even lower. In 2009, *Hispanic Magazine* sent a survey to Fortune 500 companies. Only 70 companies reported data and of those the magazine chose the Top 60 companies for Hispanics. Of those 60 companies, 63% reported they did not have any Hispanics among their 10 highest paid executives (Flander, 2008).

Minorities still find a glass ceiling when trying to ascend to the C-Suite. Many minorities occupy staff functions but do not have responsibility for profit/loss, which typically categorizes a position for the C-Suite. Many experts cite the lack of experience in this arena as a primary reason for companies to ignore otherwise well-qualified candidates. Without this kind of experience early in their careers, the path to the C-Suite becomes more difficult for minority employees.

Hiring practices are another reason for the discouraging statistics regarding workplace diversity. Not having experience with people of diverse cultures makes it difficult for companies to accept candidates who do not mirror their culture and values. Many companies do not have any diversity programs or initiatives, and the idea of spending revenue in an economic recession for something outside of the normal box of revenue generating programs is foreign to corporate decisionmakers.

Transportation Social and Demographic Trends

America's transportation systems are overly dependent on foreign oil and are strongly affected by a volatile economy, deteriorating environments, and climate changes. U.S. transportation systems have been unable to provide true competition to the automobile, despite the growing need for public transportation. Public transit agencies are not poised to handle the increased needs from aging adults, a growing population of individuals with disabilities, rural populations with limited transportation options, and an increase in transit-dependent ridership. The recognition that public transportation is severely underfunded has not occurred within the general public.

These circumstances mean that public transportation has an opportunity to revolutionize America and become an increasingly important player in confronting the economic and demographic challenges of the future. The rise of minority populations and ridership continues, especially in urban

and mega regions. Transit Vision 2050 reports, “It has been estimated that by 2050, more than 70% of the nation’s population will be concentrated in 10 extended metropolitan regions” (Federal Transportation Advisory Group, 2010).

The demand for public transportation services will increase with each decade. In 2007, America’s transit systems had more than 10 billion passenger trips for the first time since 1957. Between 1995 and 2008, public transportation ridership increased by 38%. Simultaneously, increases in minority populations occurred throughout the country. In its June 10, 2010, article “U.S. Minority Population Could be Majority by Mid-Century Census,” the *Huffington Post* reported that the minority population was 107.2 million compared to 199.9 million whites. One in ten counties in America has minority populations of 50% or greater. By 2050, minority populations will become the majority in America.

With these impending demographic changes, mirroring the diversity of their ridership in their managerial ranks becomes a strategic imperative for transit systems. The business case for diversity has been made in two previous TCRP studies: *TCRP Synthesis 46: Diversity Training Initiatives* (Simpson, 2003), and *TCRP Report 77: Managing Transit’s Workforce in the New Millennium* (Davis, 2004). Both studies cite the need for workplace diversity in transportation and the importance of CEO advocacy for understanding the link between the community’s transit services and the system’s employee base. This linkage will strengthen the transportation customer base and will develop the regional oversight for connectivity between urban, suburban, and rural communities in the future.

Service industries are established through a foundation of customer and employee relationship management. Transportation will continue to expand where these relationships are viewed as important to a system’s profit and loss financial statement. A model for expanding minority leadership in the transportation industry is an organizational tool that will tighten the gap between the profit/loss ratio and increase ridership statistics in the future. It is a methodology that will enable transportation organizations to connect diversity to their business goals.

Transportation CEOs

Not only has transportation, like other industries, experienced a decline in C-Suite employees, it has historically struggled with workforce development. Over the last 2 years, APTA has concentrated on workforce development in concert with TRB. Workforce development committees have responded to the challenge of creating avenues for recruiting, retaining, and sustaining qualified senior-level employees. Principal drivers of the workforce development crisis in transportation

include the fact that 60% of the industry’s workforce at the technical and managerial levels is reaching retirement age over the next 5 years. Rapidly changing technology, electronic communications, and new energy-efficient systems are becoming pervasive.

Although programs and groups such as Leadership APTA, NTI Training, CTAA Training, and the Eno Foundation are all designed to develop transportation’s future leadership, the reality is that these programs have only touched the surface. Transit organizations need CEOs who can understand business goals and translate them for customers. Markets boom and bust; however, transportation service is on the rise as a result of both phenomena, providing service to the transit dependent and working poor, assisting with traffic management in areas of congestion, and serving as a good alternative to the automobile by decreasing America’s dependence on oil.

Diversity Models and Strategic Alignment

Diversity models help companies tie inclusion strategies to revenue generation and, therefore, enhance business performance by aligning goals throughout all levels of an organization. Using a diversity model, an organization can identify the best employees, retain them, and—in turn—reap the benefits of the products and services they produce.

When implemented correctly, diversity models engage employees, positively impact recruitment, and strengthen the knowledge transference within an organization. When an organization is strategically aligned, it performs better. In a 2009 organizational survey where employees were engaged and business units aligned, “83% of the companies responding report outperforming the company median when it came to retention measures, customer loyalty, profitability, turnover, safety, absenteeism and quality” (Gallup, 2009).

Harvard Business School looked at characteristics of organizations that are strategically aligned and identified the following attributes:

- Positive branding,
- Low turnover,
- Fiscal stewardship,
- High discretionary effort,
- Effective communication,
- Trust/loyalty/security,
- Labor management unity,
- Clarity of mission/values,
- Breakthroughs,
- Possibility culture,
- High-performance teams, and
- Shared sense of vision.

Harvard identified Southwest Airlines as the Number 1 transportation organization with high levels of diversity and functional attributes. The strength of Southwest's diversity model is that it sustains on-time performance, shareholder investment, and employee engagement, while providing safe transportation and creating a collective culture that fosters support for organizational goals laterally and vertically. The model of diversity has allowed the airline to continue to prosper in slow economic times (Harvard School of Business, 2006).

Conclusion

Public transit agencies are proactively addressing the benefits of workplace diversity and the impending talent and leadership gap. The industry provides a number of avenues for the development of minority CEOs such as Leadership APTA, Conference of Minority Transportation Officials (COMTO), NTI, the Eno Foundation, Women's Transportation Seminar, Transit Labor Exchange, and the Transportation Learning Center. These initiatives, in conjunction with programs sponsored by FTA and conducted by TCRP, are continuing to put the case for diversity at the forefront of the industry.

Despite the lack of a model, transit systems have invested in diversity training initiatives and found those to be valuable in creating diverse workplace cultures and workforce retention. One of the key findings in *TCRP Synthesis 46* (Simpson,

2003) was that diversity was viewed as having played a major role in the governance structures of transit organizations. This suggests that ensuring a methodology for preparing and developing minority CEOs for the next generation of transportation leaders is a national transportation imperative.

In the past, transit systems were viewed as a vehicle for the transit dependent. In today's modern environment of escalating oil prices, recessionary economies, political uncertainty, and transportation comparators in other countries, the American public views public transportation as a mobility choice. It is valued by an increasingly diverse population that includes all levels of workers, all classes of people, persons with disabilities, and individuals preparing for primary, secondary, and higher education.

Developing a model to increase minority CEO leadership in transportation is not only timely but a touted business necessity correlating to the industry's general ledger. It is perceived to be one of the foundations for sustained "livable" communities, emerging mega regions, and expanded rural communities.

Managing diversity begins at the top and is about comprehending that America's melting pot continues to change with each generation. CEOs who appreciate diversity and are able to ascertain the creative advantage that comes with managing employee and customer relationships effectively will be successful in expanding the industry points of service to improve financial resources.

CHAPTER 3

Resources for Recruiting Minority CEOs at Public Transit Agencies

This chapter outlines a set of strategic recommendations. The recommendations focus on attracting, recruiting, selecting, and retaining minority CEOs in public transit agencies. While the “Resources” chapter provides recommendations for C-level recruitment for public transit systems of all sizes and types, prioritizing the recommendations will be based on the transit system’s specific needs and organizational strategy. In the acquisition of talent, one size does not fit all and, therefore, transit systems are advised to analyze their organizational needs against their requirements.

The contents of this chapter are presented in the following sections:

- Diversity CEO recruitment model,
- Executive selection process, and
- Retention.

Diversity CEO Recruitment Model

The research found six unique methods for recruiting and building a diverse executive candidate pool; these are shown in Figure 3-1.

Method 1: Combine Internal and External Executive Recruitment Methods

Description: Most transit agencies used either an internal or external recruitment source to identify, attract, recruit, and select CEO executives. The research suggests transit agencies combine the use of an internal agency recruiter (i.e., an agency’s in-house recruiting staff) with the efforts of an external executive recruiter (i.e., search firms).

Implementation of Method 1

- The internal transit agency recruiter owns and drives the recruitment and selection process in collaboration with an

executive search firm. The study team’s research indicated that the private sector uses both resources to mount a wide recruitment effort. In this case, the transit agency should use its resources to implement its recruitment strategy by, for example, leveraging its internal network. Agency board members and executive leadership have a circle of potential candidates or know someone who does.

- Internal recruiters partner with executive search firms to ensure the creation of a comprehensive recruitment strategy, selection process, and identification of appropriate staffing assessments without an overlap in efforts.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Cost 	<ul style="list-style-type: none"> • Internal recruiters
<ul style="list-style-type: none"> • Ownership of the recruitment and selection process 	<ul style="list-style-type: none"> • Board of directors’ search committee

Impact of Method 1

To succeed in building long-term diversity, these efforts must be driven from the executive level and even by the board of directors, according to Hewlett, Luce, and West (2005) and Stuart (2007). Implementing a combined approach that involves internal and external resources can help expand recruitment efforts. Additionally, for transit agencies that have proactive initiatives for promoting diversity, this method ensures that the diversity mind-set is incorporated into the process.

Method 2: Create Diversity Executive Recruitment Programs

Description: Companies that promoted diversity received tremendous benefits. Hewlett, Luce, and West, and Stuart explain that organizations that were proactive with diversity



Figure 3-1. Diversity executive recruitment strategies.

established good, measurable objectives that resulted in a clear diversity mind-set. The study team’s research shows that the majority of CEOs/GMs and HR professionals do not have a formal, fully established diversity recruitment program for senior executive roles at their organizations.

Implementation of Method 2

- Transit agencies should align diversity recruitment initiatives with pay. A study by Tom Warne and Associates (2005) questions the Department of Transportation’s lack of progressive infrastructure and pervasive inadequacies in the areas of planning, accountability, and vision pertaining to hiring minority CEOs and other C-level talent. One effective way in which to ensure that diversity is a priority among key stakeholders is to link it to pay, suggests Edmonds-Wickman; Garden and Rowe (2004); Hasting (2007); and Hewlett et al. (2005).
- Establishing affinity groups, also known as business resource groups or networking groups, provides employees with an opportunity to share ideas and to network with people who come from similar ethnic or cultural backgrounds. Larson (2008) points out aspiring leaders have a greater chance of success when they have a support system with experienced senior leaders. Hewlett highlights such companies as Eli Lilly, Ford Motor Company, and General Electric, which have supported a number of different affin-

ity groups formed by employees on the basis of ethnicity, gender, and religion.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Diversity may not be a top priority 	<ul style="list-style-type: none"> • Executive staff
<ul style="list-style-type: none"> • Lack of progressive compensation programs may prevent implementation 	<ul style="list-style-type: none"> • Board of directors
<ul style="list-style-type: none"> • Lack of diversity within the transit agency 	<ul style="list-style-type: none"> • In-house recruiters

Impact of Method 2

With a formal diversity program, transit agencies will be able to create a platform for a diversity mind-set that prioritizes diversity in the organization. *Guidelines on Leadership Diversity in America*, a study conducted by the Center of Creative Leadership, emphasized the necessity of active participation by executives and members of the board of directors to make change occur.

Method 3: Require a Mandatory Diverse Talent Pool

Description: The study team’s research indicated that industry search firms should have a mandatory requirement for identifying, attracting, and recruiting a diverse candidate pool. Wheaton (2010) points out, for example, that requiring at least one qualified African-American candidate in the interview selection process resulted in more black head coaches being hired in the NFL.

Implementation of Method 3

- Hiring the best candidate for the CEO position requires the development of a good job success profile.
- Agencies should develop a talent strategy that includes recruitment sources (i.e., COMTO) where qualified minority candidates can be recruited.
- Agencies should include a minimum of one qualified minority candidate in the interview selection.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Approach may be viewed as preferential treatment 	<ul style="list-style-type: none"> • Executive recruiters
<ul style="list-style-type: none"> • Viewed as not applicable to the public transit industry 	<ul style="list-style-type: none"> • Board of directors
<ul style="list-style-type: none"> • Viewed as an affirmative action approach 	

Impact of Method 3

Wheaton explains that although the Rooney Rule seemed too simple to work, it has increased the number of minority coaches in the NFL. At the start of the 2006 season, the number of minority head coaches had increased to 22% since the Rooney Rule was instituted in 2003. A 2000 U.S. Census revealed that only 4 of the nation’s 20 largest public transit agencies had minority CEOs at the helm. Implementing the Rooney Rule could provide many benefits, including the following:

- Increasing the total representation of minority CEOs leading public transit agencies;
- Fueling innovation and enhancing the culture of the organization (Executive Leadership Council, 2009);
- Bringing different perspectives regarding management and problem-solving practices to bear on organizations (Davis, 2000; Mayo, 1999); and
- Creating a ripple effect throughout the organization (Cole, 2008; Kalev et al., 2006).

Method 4: Create Succession Planning and Leadership Development Programs

Description: Succession planning is the process of identifying and preparing qualified employees through such vehicles as mentoring, coaching, training, and job rotation opportunities for key management positions that become vacant in the organization. Organizations must obtain a commitment from top executives to personally mentor successors, according to Greer and Virick (2008) and should identify leadership competencies. Additionally, they recommend that candidates with high potential should be informed of their place in the succession pipeline.

Implementation of Method 4

- Succession planning should involve the creation of leadership competencies for recruitment, selection, training and development, and performance evaluation.
- Succession planning requires determining broad capabilities and potential.
- Succession planning requires valid assessments to measure leadership potential. Prien, Schippmann, and Prien (2003) explain the importance of using standardized, validated assessments to ensure the inclusion of those with the greatest leadership potential in the leader succession plan.
- A secondary study conducted on the impact of the NFL’s Rooney Rule suggests that focused minority hiring at one

to three levels below the top position will be beneficial for building an internal diverse leadership pool.

- Research suggests that, in order to ensure a good pipeline of leadership talent, some organizations have now focused on developing the talent themselves. Cohn, Khurana, and Reeves (2005) recognize that organizations need to interweave their leadership development with talent management in a way that aligns with strategic priorities. This involves actively involving the CEO and board of directors in leadership development activities and creating leadership development programs that fill critical talent gaps.
- Hewitt’s Human Capital et al. (2008) revealed that successful execution of leadership development programs included activities that involved shared responsibility among managers and staff. For instance, senior leaders conducted talent reviews on at least a semi-annual basis; leadership performance reviews and activities were based on well-defined leadership competencies.
- Selection planning requires an assessment for readiness for the final selection and using additional assessment data to finalize decisions.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Transit agency may think it lacks the time and resources to start succession planning 	<ul style="list-style-type: none"> • Senior executives
<ul style="list-style-type: none"> • Transit agency may not have a leadership competency model 	<ul style="list-style-type: none"> • Board of directors
<ul style="list-style-type: none"> • Transit agency may not have executives able to train their successors 	

Impact of Method 4

Succession planning and leadership development, when executed well, will enable transit agencies to develop leadership with high potential for vacant leadership positions. By developing and promoting internal staff, transit agencies can save time and money on recruitment costs, ensure the right skills are developed, and increase the likelihood of greater retention.

Method 5: Leverage Professional Associations

Description: Utilizing public transit professional associations is an important element in building a deep and diverse talent pool. Both APTA and COMTO provide a rich source for identifying, meeting, and establishing a diverse talent

pool. Each association has an annual conference that brings together industry executives from around the country.

Implementation of Method 5

- Transit agencies should consistently send a representative to identify, meet, network, and cultivate a professional relationship with diverse talent.
- Transit agencies should set up an organization booth to meet potential applicants.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Transit agency may lack resources to attend the events 	<ul style="list-style-type: none"> • In-house recruiter(s)
<ul style="list-style-type: none"> • Transit agencies may not have a plan or strategy on the desired outcome of their attendance 	<ul style="list-style-type: none"> • In-house human resources executive
<ul style="list-style-type: none"> • Transit agency may not have executives able to train their successors 	<ul style="list-style-type: none"> • Executive recruiters

Impact of Method 5

Establishing a presence at the industry’s annual conference will help promote greater awareness of the agency, increase the chances of meeting passive candidates, and build an applicant pool for future openings.

Method 6: Extensive Internet Search

Description: Most transit agencies used the Internet to post positions on transit Web sites. The study team’s research revealed that most private-sector firms regularly use specialized Internet searches, rather than Web sites, to identify minority executive candidates. Effective use of the Internet expands recruitment strategies.

Implementation of Method 6

- Transit agencies should use key word searches using Google (e.g., a keyword string such as “*minority executives in high technology*”) as well as searching business and professional-oriented social networking sites such as LinkedIn.com.
- Transit agencies should subscribe to services that offer profiles of professionals in different industries such as Microquest, Zoominfo.com, Jigsaw.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Transit agency may lack budget to pay for resources beyond current use 	<ul style="list-style-type: none"> • In-house recruiters
<ul style="list-style-type: none"> • Transit agency may require specific training on how to leverage LinkedIn 	<ul style="list-style-type: none"> • Executive recruiters

Impact of Method 6

Maximizing the use of Internet searches will expand current recruitment strategies for executive-level professionals and increase the chances of attracting and recruiting passive minority executive professionals. It also provides a mechanism to proactively build a pool of future potential minority executive leads and prospects.

Executive Selection Process

Leadership Success Profile

To make optimal leadership hiring decisions and create systems and processes that enhance diversity in senior executive positions, public transit systems should first determine the competencies required for success in the leadership role(s). Research and practice has clearly determined that it is critical that the requirements for the executive leadership role(s) are clarified if candidates are to be effectively screened for their leadership skills, capabilities, and organizational fit (Gatewood and Feild, 2001). A competency modeling process will create an accurate and broadly useful leadership success profile. After the appropriate attributes and capabilities are identified and clearly outlined in the leadership success profile, assessments can be identified or created to determine the degree to which candidates possess those competencies. The basic leadership competency modeling steps are outlined in the following section (also see Prien, Schippmann, and Prien, 2003).

Implementation of Leadership Success Profile

- The profile starts with collecting and synthesizing existing organizational literature, information, and formal documents, such as the following:
 - Documented vision, mission, values, and culture;
 - Strategic plan, business strategy/annual report, and business goals;
 - Prior competency models or role requirement/responsibilities documents (could include existing relevant job descriptions);

- Performance evaluations (may be performance review documents, but also could be multi-rater feedback content, balanced scorecards, etc.); and
- Organizational charts and structural outlines (this information will illustrate the span of control, reporting relationships, and career options for the target job, and often yields some insights into how decisions are made in the organization as well as potential leadership needs).
- The profile requires a work environment assessment and competency identification as follows:
 - Interview with a broad/representative sample of key stakeholders to determine what behaviors leaders must demonstrate in order to be successful, and also what knowledge, skills, and abilities are required for success in the leadership role. See Competency Modeling Worksheet for a general guide (Appendix B).
 - Solicit input to determine the defining characteristics of organization. See Organization Modeling Worksheet for a general guide (Appendix C).
 - Utilize a competency library as a guide. See Sample Competency Library (Appendix D).
 - Include the following participants:
 - Executive incumbent;
 - Leadership team members;
 - Superiors to the executive (e.g., board, etc.); and
 - Key subject matter experts (HR lead, consultants, etc.).
- Synthesize all information collected to create a leadership competency profile, which
 - May have prioritized tiers (e.g., primary and secondary competencies);
 - Has tailored competencies as needed to align with organizational priorities; and
 - Typically is limited to between 6 and 12 competencies.
- Verify/validate the leadership competency model by
 - Establishing consensus among senior leaders regarding the accuracy and completeness of the competency model,
 - Making changes/revisions as needed, and
 - “Publishing” and socializing the new leadership competency model.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Stakeholder time/effort investment 	<ul style="list-style-type: none"> • Internal HR or talent management professionals experienced in competency modeling
<ul style="list-style-type: none"> • Effective use of the competencies may elude some agencies if properly trained personnel are not available 	<ul style="list-style-type: none"> • Consultants who specialize in creating leadership competencies

Impact of the Leadership Success Profile

Leadership competency models are essential for determining what knowledge, skills, abilities, and other characteristics leaders should possess in order to be successful in the organization. The process also ensures that the leader fits into the leadership team and enhances stakeholder support for the process resulting in decisions. Stakeholder involvement not only focuses the assessments on the competencies, but also helps build the enthusiasm and commitment needed to support decisions or actions that result from the hiring process. The competency model also can support on-boarding (i.e., a systematic process to socialize a new employee into the organization) and leadership development efforts, performance management, and leadership succession management.

Leadership Assessment for Selection

Once the competencies have been defined, clarified, and clearly documented in a leadership success profile, assessments can be chosen and configured to effectively evaluate candidates based on specific success criteria. Mapping assessments to the required competencies ensures that all assessments are relevant, fair, and accurately screen qualified candidates (Prien, Schippmann, and Prien, 2003). Outputs include reliable and valid information to assist in making the optimal hiring decision, which enhances opportunities for diverse, qualified applicants. Furthermore, utilizing high-quality assessment methods can build a performance-oriented organizational culture that values leadership capabilities over other unrelated characteristics. The basic leadership selection steps are outlined below (also see Hunt, 2007).

Implementation of Assessments

- Candidates’ work experiences, background checks, resumes, and other preliminary and relevant documents/information should be reviewed.
- Transit agencies need to use standardized assessments for skills, capabilities, attributes, interests, and preferences. For executive leadership positions, assessments can be categorized according to the following areas (see Appendix E for additional information):
 - Leadership skills inventories;
 - Personality assessments/inventories;
 - Values, interests, preferences inventories;
 - Cognitive ability tests;
 - Skill/knowledge tests; and
 - Organizational/environment fit indices.

(Note on selecting an assessment vendor: When seeking to utilize existing tests and assessments, be sure to check for evidence or relevance to the specific competencies being assessed. In addition, the vendor should provide assessment validity evidence specifically for leadership positions.)

- Transit agencies should create and use structured, competency-focused interviews (see Appendix F) as follows:
 - Assess relatively recent and relevant leadership behaviors in similar situations/circumstances;
 - Assess fit for the leadership team and organization as a whole;
 - Utilize a mix of types of interview questions (see Appendix G); and
 - Utilize interview templates to enhance standardization and consistency (see Appendix H).
- Interviewers should create and utilize simulations and leadership scenarios/role-plays focused on key leadership competencies (e.g., effective interpersonal communication, motivating others, building trust, etc.).
- Interviewers should use business case analyses to help determine business acumen, industry knowledge, strategic thinking, etc. (if needed).
- Transit agencies should integrate all assessment information and ratings for each leadership competency.
 - Weight assessment scores based on importance and prioritization of competencies and
 - Provide overall strengths, challenges, and recommendations.
- Transit agencies should make hiring decision utilizing an overall composite of the data.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Stakeholder time investment to choose standardized assessments, create tailored assessments, and implement 	<ul style="list-style-type: none"> • Internal HR or talent management professionals experienced in utilizing valid leadership assessments
<ul style="list-style-type: none"> • Effective use of the assessment information may elude some agencies if properly trained personnel are not available 	<ul style="list-style-type: none"> • Consultants who specialize in creating and/or using valid leadership assessments
<ul style="list-style-type: none"> • Using invalid predictors of leadership performance, such as: <ul style="list-style-type: none"> – Unstructured interviews – Invalidated selection tools and those lacking validity 	<ul style="list-style-type: none"> • Candidates tend to react favorably to organizations that utilize objective assessments and are seeking highly qualified candidates
<ul style="list-style-type: none"> • Rater biases are exacerbated with unstructured methods (see Appendix I) 	

Impact of Assessments

Impacts include better leadership selection decisions, which enhance opportunities for diverse, qualified applicants.

Furthermore, utilizing high-quality assessment methods can enhance a performance-oriented organizational culture that values leadership capabilities over other unrelated characteristics. Assessments also can enhance the effectiveness of leadership succession management systems (see Appendix J). Ultimately, placing more qualified leaders will contribute to enhanced, overall organizational performance (Cascio and Boudreau, 2008).

Retention

Retaining valuable employees remains a difficult challenge for organizations. This section provides practical recommendations on methods transit agencies may use to enhance retention, especially transit agencies that have budgetary constraints for offering monetary increases to C-level executives.

Effective retention strategies hinge on reliable, timely intelligence about employees and corporate culture (Judge, 1993; Lyness and Judiesch, 2001; Trevor, Gerhart, and Boudreau, 1997). According to Strickland (1997), executive coaching has emerged as a method of choice used for retention and leadership development. Additionally, Hayes (1997) explains that coaching helps a candidate transition into the role of an executive. The effectiveness of recruitment and leadership development practices is connected to future retention (ICF et al., 2010). For example, a minority executive professional without good coaching is more likely to leave the organization than someone who is in a structured coaching program to support the transition into the organization or executive role. This section will highlight effective practices that are specific to minority executives. Specific recommendations and practices to facilitate retention are listed in Figure 3-2.

Executive Coaching

Transit agencies should offer executive coaching to help retain minority executive leaders. This is especially important for transit agencies hiring a first-time CEO in their organization. The use of an executive coach will assist leaders by providing new perspectives, tools, and knowledge through support, encouragement, and feedback in the context of the organization.



Figure 3-2. Recommendations and practices of retention.

Implementation of Executive Coaching

- Use 360-degree feedback tools to understand current strengths as well as areas that require attention for improvement.
- Identify an executive coach. Using a coach is a short-term interactive process between a certified coach and a leader to improve leadership effectiveness by enhancing self-awareness and the development of new skills and behaviors (Kilburg, 2004).
- Foster factors that ensure a successful coaching engagement—such as establishing structure and the expectation of honest communication according to Hall, Otazo, and Hollenbeck (1999).
- Create a framework to determine and measure the success of executive coaching.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Transit agency lacks budget to pay for resources 	<ul style="list-style-type: none"> • Outside consultant
<ul style="list-style-type: none"> • Lack of objectivity if conducted by a transit agency resource 	<ul style="list-style-type: none"> • Human resources executives
<ul style="list-style-type: none"> • Lack of commitment by the executive 	
<ul style="list-style-type: none"> • Concerns of confidentiality 	

Impact of Executive Coaching

Research conducted by Kombarkaran, Yang, Baker, and Fernandes (2008) reported positive outcomes in coaching experiences by executives. They found that executives shared an increase in confidence and maximized their contribution to their organizations.

Realistic Job Previews (RJPs)

RJPs are designed to provide job prospects and applicants with realistic information related to the profession and position. The information captured in RJPs reflects both positive and negative aspects of the job. RJPs should be incorporated into all levels of the talent acquisition process.

Implementation of RJPs

- Breaugh (2008) indicates that utilizing RJPs in the beginning stages of the talent acquisition process is better than later because they have little effectiveness after someone has been hired.
- Current employees can be provided an RJP if they are facing a change in job status—such as a new assignment or promotion into a new position.

- RJPs can take a number of formats, including
 - *Company position overview (CPO)*. Writing and providing a comprehensive CPO will provide applicants with information beyond the standard job description. The CPO should include an overview of the organization, strategic direction, mission, values, organizational size, position success profile, position selling points, position goals and challenges, relocation information, and benefits. Additionally, it helps provide the framework for a one-on-one discussion between the applicant and hiring authority.
 - *Workplace tours*. Providing a tour before or during the interview process will help applicants see the organization in its true form. During the tours, applicants should have the opportunity to sit in on staff or board meetings.
 - *Assessment centers*. Using assessments during the recruitment and selection process helps organizations to identify potential variables that impact retention and to develop more effective strategies (Simms, 2008). The use of assessment centers is intended to maximize the effectiveness of executive selection by using multiple assessment methods and trained multiple raters’ evaluations (Gatewood and Feild, 2001).
 - *Organization brochure, lectures, and pre-screen questionnaires*. These are additional forms of one-way RJPs that can be used during the recruitment and selection process.
- Consider one-way approaches (e.g., videos, organization brochures, and pre-screen questionnaires), although these are less effective than two-way approaches that allow applicants to discuss and ask questions (Breaugh).

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Position may change often due to demands in the market 	<ul style="list-style-type: none"> • Current employees can be used to assist in the development of an RJP
<ul style="list-style-type: none"> • Costly to implement some forms of RJPs, particularly assessment centers 	<ul style="list-style-type: none"> • HR executives and executive recruiters are appropriate developers of RJPs since they implement the recruitment strategies
<ul style="list-style-type: none"> • Time it takes to obtain buy-in and information from multiple internal sources 	<ul style="list-style-type: none"> • Board of directors can assist with the development of RJPs
<ul style="list-style-type: none"> • Lack of expertise to develop videos 	

Impact of RJPs

According to Dahm (2006), RJPs serve as a “screening device” for certain types of individuals, namely, those who would be most likely to quit as a result of a poor “match” with the organization. Branham (2005) views RJPs as a means

of ensuring that expectations of new hire match on-the-job reality. Although RJPs may reduce a recruitment candidate pool, research indicates that RJPs reduce turnover for applicants who receive them and accept a job position (Reinach and Viale, 2007).

Mentoring

Mentoring is a form of providing support in which individuals with more advanced experience and knowledge (mentors) are matched with lesser-experienced and knowledgeable individuals (mentees) for the purpose of advancing the mentee’s development (Watson Wyatt Worldwide, 2004). The two most common styles of mentoring are formal and informal (Washington, 2007). The differences between the two types are based on the structure. Informal mentoring develops when protégés (i.e., mentees) seek out individuals they admire and emulate them (Armstrong, Allinson, and Hayes, 2002; Chao and Walz, 1992). Formal mentoring generally consists of an arrangement between mentors and mentees, who have mutual respect as well as similar career goals.

Implementation of Mentoring

- Support and establish a framework for informal mentoring through affinity groups.
- Develop a structured mentoring program for director, vice president, and C-level professionals.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Relationships forced or assigned can cause both mentors and mentees to display discontent (Washington, 2007) 	<ul style="list-style-type: none"> • C-Level executives who have excelled in their career
<ul style="list-style-type: none"> • Allocated time of C-Level executives 	
<ul style="list-style-type: none"> • Identifying mentors within the organization 	
<ul style="list-style-type: none"> • Difficult to measure informal mentoring 	
<ul style="list-style-type: none"> • Cost to develop formal executive mentoring program 	

Impact of Mentoring

Barriers that may have prevented career advancement for minorities have been broken due to mentoring support that created opportunities for promotions, higher salaries, and increased job satisfaction (Noe, 1998; Mullen, 1998; Ragins and Cotton, 1999). The Hunt and Michael, as well as the Chao

and Walz, studies found a positive impact on individuals, their level of motivation, and the mentees’ self-image, competence, and career advancement.

On-Boarding

On-boarding is a comprehensive process of assimilating new hires into the work environment. It involves helping new hires effectively perform their positions early and with a close connection to the organization’s culture. The process reaches beyond the standard new hire orientation, lasting between 3 to 6 months to ensure a successful integration into the work environment and position.

Implementation of On-Boarding

- Integrate on-boarding with recruitment and selection processes.
- Develop a formal on-boarding process that extends beyond the initial new hire orientation to include a 3- to 6-month assimilation.
- Offer executives the opportunity to learn without taking on major responsibilities.
- Develop internal networks to ensure executives meet a variety of key stakeholders.
- Consistently use a systemic on-boarding process.
- Utilize a Web-based technology solution to monitor and measure progress.

Potential Barriers	Potential Facilitators
<ul style="list-style-type: none"> • Unclear ownership of on-boarding between HR and hiring authority 	<ul style="list-style-type: none"> • Board of directors
<ul style="list-style-type: none"> • On-boarding not a priority 	<ul style="list-style-type: none"> • Human resources
<ul style="list-style-type: none"> • Viewing on-boarding as a checklist 	
<ul style="list-style-type: none"> • Lack of defined on-boarding processes 	

Impact of On-Boarding

Brodie (2006) incorporates the results of a study conducted by Korn/Ferry showing that too many organizations miss the opportunity to build relationships, clarify expectations, and establish priorities that formalize on-boarding efforts. A talent management report sponsored by Aberdeen Consulting concluded that drastic increases in employee retention and productivity could be traced back to effective on-boarding. DiBenedetto also indicates that a critical factor in assimilating leadership into a new role is to have a well-designed on-boarding program.

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APPENDIX A

Executive Leadership Selection Process

High-Level Executive Leadership Selection Process

Process	Recommended Practices
Step 1: Define Position Success	<ul style="list-style-type: none"> • Create a success profile that identifies specific leadership competencies (including knowledge, skills, and abilities) while involving top stakeholders • Define specific outcomes of the position • Align organizational culture that will impact the role
Step 2: Create a Selection Committee and Process	<ul style="list-style-type: none"> • Develop multi-hurdle selection process • Create position selling point and a realistic preview of the position • Partner with Human Resources and/or executive search firm
Step 3: Recruit and Develop a Diverse Pool	<ul style="list-style-type: none"> • Develop talent acquisition strategies that include both internal and external sources and methods targeted toward a diverse pool of applicants
Step 4: Evaluate	<ul style="list-style-type: none"> • Leverage trained and experienced interviewers • Integrate validated staffing assessment tools into the process • Conduct structured reference checks • Involve top stakeholders in candidate assessments
Step 5: Make an Offer and Close the Position	<ul style="list-style-type: none"> • Develop a fair and equitable offer • Describe the position in a realistic manner • Involve the final decisionmaker in the process, not just the Human Resources Department
Step 6: Bring On-Board	<ul style="list-style-type: none"> • Create a plan to bring the executive on board • Assign top performers to serve as mentors • Establish regular follow-up conversations or meetings
Step 7: Review and Measure	<ul style="list-style-type: none"> • Regularly review recruitment practices • Identify and reward excellent interviewers • Hold all candidate evaluators accountable for the quality of their hires

APPENDIX B

Competency Modeling Worksheet

Pre-Work: Determine What Information Currently Exists about the Role

- Examples of organizational charts involving this position (this information will illustrate the span of control, reporting relationships, and may yield some insight into decisionmaking);
- Copy of any existing job descriptions for the target job(s);
- Policies and procedures manuals (including training manuals, etc.);
- Performance evaluations/multi-rater feedback;

Potential Competency Modeling Questions

- What kinds of knowledge, skills, abilities, or personal characteristics (i.e., competencies) are required to perform

the job? (Identify three to five key or primary, several secondary.) Specifically, what kinds of leadership skills are required?

- What are the recurring or inescapable challenges and difficulties associated with this position?
- What activities or behaviors differentiate a top performer in this position from a marginal or poor performer (i.e., what does “success” mean in this role/position)?
- Beyond the formally defined reporting relationships, what is the nature of the interactions between this position and other positions (i.e., with whom are there close working relationships)? To what extent, and how, does someone in the target job get work done through others?
- How does the target job contribute to, and fit in with, business goals and plans?
- What key future challenges do you anticipate for this position?

APPENDIX C

Organization Modeling Worksheet

Background Materials

- Copy of the organization's annual report (learn something about the client's business).
- Copy of the organization's mission statement or published values and principles (they have the potential to shed light on the culture in which the target job exists).
- Gather any information about the context/environment

Potential Organization Assessment Questions

- Briefly describe the business and structure of the organization.
 - How does the target job contribute to, and fit in with, business goals and plans?
 - Describe the work culture of the organization. What kinds of people stay with the company and advance? What kinds of people leave or are "managed out" of the organization? Why?
 - Are there certain values that are widely held by the organization's founders or senior leadership team? What are they and how do they influence decisionmaking? What are desirable leadership styles?
 - If you consider the current incumbents in the target job, and in the job one level up, as a human talent portfolio, what are the strengths of that portfolio? What are the weaknesses?
 - What kind of person would enjoy working in the position and would thrive in this sort of environment (fit organizational culture, leadership team, etc.)?
-

APPENDIX D

Leadership Competency Library

To assist with identifying requisite leadership competencies and crafting a Leadership Success Profile, the following are examples of competencies.

Action-Oriented Competencies	Interpersonal Competencies	Intellectual Competencies
Driving results	Setting directions	Thinking commercially
Following procedures	Building relationships	Interpreting complex information
Taking decisive action	Displaying ethical behavior	Applying technical knowledge
Dealing with change	Influencing others	Analyzing problems
Managing stress	Communicating information	Thinking creatively
Planning and organizing	Working across cultures	Developing strategies

APPENDIX E

Types of Assessments

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Physical Exams						
Drug screens	Use medical screening procedures to detect whether candidates have used illegal or controlled substances (e.g., urinalysis, analysis of hair samples).	X			<ul style="list-style-type: none"> Identify people who may work under the influence of controlled substances and engage in other counter-productive behaviors associated with drug use 	<ul style="list-style-type: none"> Not useful for predicting superior job performance Will not identify poor hires who do not use drugs May be relatively costly compared to other assessments
Physical ability tests	Require candidates to perform physical tasks such as lifting weights, completing cardiovascular exercises, or demonstrating flexibility.			X	<ul style="list-style-type: none"> Determine if people can handle physical demands associated with a job 	<ul style="list-style-type: none"> Only relevant for jobs that have a clear and well-defined physical component May pose legal risks associated with Americans With Disabilities Act (ADA) and/or potential adverse impact against women May be relatively costly compared to other assessments

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Investigations						
Criminal record checks	Searches public records and private databases to determine if applicants have any prior criminal convictions.	X			<ul style="list-style-type: none"> Identify people with known criminal histories who are more likely to engage in counter-productive behavior 	<ul style="list-style-type: none"> Not useful for predicting superior job performance Will not identify poor hires who do not have a criminal record May be relatively costly compared to other assessments
Social Security verification	Searches online databases to ensure that a candidate's social security number is valid.	X			<ul style="list-style-type: none"> Verify candidate's identity Comply with regulations related to U.S. and state hiring laws 	<ul style="list-style-type: none"> Not useful for predicting actual job performance
Reference checks	Collect information from former employers or academic institutions to verify previous employment status and educational credentials; may also gather information about candidate performance in previous jobs.	X			<ul style="list-style-type: none"> Verify candidate employment and educational history Additional source of information about a candidate 	<ul style="list-style-type: none"> Many former employers are reluctant to provide reference information Reference information is often of questionable quality May be relatively costly compared to other assessments
Credit reports	Contact credit reporting agencies to obtain information about a candidate's financial history.	X			<ul style="list-style-type: none"> Provide insight into candidate's fiscal responsibility; may be particularly relevant for jobs where candidates will have direct access to cash 	<ul style="list-style-type: none"> Debate exists about appropriateness of using credit information to evaluate candidates; may be perceived as invasive by candidates May be relatively costly compared to other assessments

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Resume Screens						
Electronic recruiting agents	Search the Web for qualified candidates based on words found in resumes posted on internal or external career boards.	X			<ul style="list-style-type: none"> • Can uncover candidates that might have gone unnoticed otherwise • Good for finding candidates with unique skills and qualifications 	<ul style="list-style-type: none"> • Effectiveness is limited by quality of resumes posted on the Web • May overlook candidates who have incomplete resumes, and overly favor candidates with inflated resumes
Resume capture & reviews	Evaluate candidates based on the content of resumes they submit directly to the company or that are posted to Web-based job boards.	X			<ul style="list-style-type: none"> • Good for screening candidates based on unique skills and qualifications 	<ul style="list-style-type: none"> • May overlook candidates who have incomplete resumes, and overly favor candidates with inflated resumes • Can be time consuming and complex to use with large numbers of candidates sharing similar backgrounds
Interviews						
Unstructured interviews	Evaluate candidates by having a discussion with them about topics that seem relevant to the job.	Depends on the questions used	Depends on the questions used	Depends on the questions used	<ul style="list-style-type: none"> • Can be used to build relationships with candidates • Build "buy in" toward selection decisions among hiring process stakeholders 	<ul style="list-style-type: none"> • May not predict job performance
Structured interviews: motivational questions	Evaluate candidates by asking pre-defined questions about interests, career goals, and plans.		X		<ul style="list-style-type: none"> • All the benefits of unstructured interviews • May be useful for predicting tenure and organizational commitment 	<ul style="list-style-type: none"> • May not predict job performance as well as situational or behavioral interview questions

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Interviews						
Structured interviews: situational questions	Evaluate candidates by asking how they would respond to hypothetical situations similar to what they may encounter on the job.			X	<ul style="list-style-type: none"> All the benefits of unstructured interviews May be useful for predicting how candidates will handle situations they have not encountered in the past 	<ul style="list-style-type: none"> May not predict job performance as well as behavioral interview questions
Structured interviews: behavioral questions	Evaluate candidates by asking them to describe experiences and accomplishments that relate to things they will have to do on the job.	X			<ul style="list-style-type: none"> All the benefits of unstructured interviews Considered to be the most effective type of interview 	<ul style="list-style-type: none"> May be less valuable for predicting how candidates will handle situations they have not previously encountered
Self-Report Measures						
Pre-screening questionnaires/weighted application blanks	Ask very direct questions to candidates to determine if they possess specific skills, experiences, or credentials needed to perform a job (e.g., "are you willing to work weekends," "have you ever used MS Excel?").	X	X		<ul style="list-style-type: none"> Can be an efficient method to screen out poorly qualified candidates Readily available through many applicant tracking and staffing systems 	<ul style="list-style-type: none"> Provides little value for differentiating between top candidates Susceptible to candidate faking Can be difficult to develop effective questions
Personality questionnaires	Ask candidates a series of self-descriptive questions about their likes, preferences, behaviors, and past experiences that reflect personality traits associated with job performance.			X	<ul style="list-style-type: none"> Effective for predicting "soft" aspects of performance related to interpersonal style, emotional stability, attitudes, and motivation 	<ul style="list-style-type: none"> May be perceived as invasive or non-job-relevant by candidates Difficult to develop; easy to create measures that do not work well

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Self-Report Measures						
Integrity & reliability tests	Ask candidates about beliefs, preferences, and experiences that reflect a propensity counterproductive for behavior.	X		X	<ul style="list-style-type: none"> Useful for screening out applicants likely to engage in theft, drug use, and other highly deviant behaviors 	<ul style="list-style-type: none"> Little value for predicting superior job performance Only relevant for those jobs where employee counter-productivity is an issue Some questions may offend or insult applicants May be subject to legal restrictions in some states
Biodata inventories	Ask questions about previous life experiences and accomplishments that show statistical relationships to job performance.	X		X	<ul style="list-style-type: none"> Effective for predicting "soft" aspects of performance such as interpersonal style, emotional stability, attitudes, and motivation 	<ul style="list-style-type: none"> May be perceived as invasive or non-job-relevant by candidates Difficult to develop; easy to create measures that do not work well
Culture & work environment fit inventories	Ask questions about job preferences, values, beliefs, and desired work environment to predict organizational commitment and job satisfaction with a specific job or company.		X		<ul style="list-style-type: none"> Can be effective for predicting job satisfaction and tenure 	<ul style="list-style-type: none"> Tend to show low relationships to actual job performance Difficult to develop; easy to create measures that do not work well

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Knowledge, Skill, & Ability Tests						
Ability tests and measures of problem solving aptitude	Predict ability to solve problems and interpret information by asking applicants to solve questions that require processing information to arrive at logically based conclusions.	X		X	<ul style="list-style-type: none"> • Considered to be the single most accurate type of assessment for predicting job performance • Particularly valuable for jobs that require ongoing learning, processing complex information, and solving novel problems 	<ul style="list-style-type: none"> • Show adverse impact against certain EEOG protected groups • Tend to be disliked by applicants
Knowledge & skills tests and measures of past learning “achievement”	Assess familiarity and mastery with regard to specific types of information or tasks (e.g., knowledge of accounting rules, ability to use certain software programs, typing skills).	X		X	<ul style="list-style-type: none"> • Useful for determining candidates’ skill level with regard to critical job functions 	<ul style="list-style-type: none"> • May assess things that could be learned on-the-job
Situational Measures						
Low-fidelity job simulations/situational judgment tests	Ask candidates questions about different hypothetical work situations.	X	X	X	<ul style="list-style-type: none"> • Tap into a broad range of job-relevant interests, experiences, and abilities • Can predict “soft” skills associated with interpersonal behavior and work style • Highly job realistic; tend to be favorably received by applicants 	<ul style="list-style-type: none"> • May only be relevant for a narrow range of jobs • Can require somewhat more time to administer than measures of personality and ability that may predict the same aspects of job performance

Assessment tool	How does it evaluate candidates?	What it measures			What it does	Common limitations
		What people have done	What people want to do	What people can do		
Situational Measures						
High-fidelity job simulations/assessment centers/work samples	Use audio, video, computer simulations, and/or human actors to recreate actual job situations and then assess how candidates react to these scenarios.	X	X	X	<ul style="list-style-type: none"> • Tap into a broad range of job-relevant interests, experiences, and abilities 	<ul style="list-style-type: none"> • Labor intensive to construct • May only be relevant for a narrow range of jobs
					<ul style="list-style-type: none"> • Can predict “soft” skills associated with interpersonal behavior and work style • Highly job realistic; tend to be favorably received by applicants 	<ul style="list-style-type: none"> • Can require considerably more time to administer than other measures of personality and ability that may predict the same aspects of job performance • Can be very costly to create and support
Cognitive task simulations	Candidates perform simple tasks or “video games” that require the use of skills that influence job performance.			X	<ul style="list-style-type: none"> • Can be very effective for predicting performance of job tasks that involve processing and reacting to information in real time • If designed properly, can be highly engaging for applicants; provide a realistic preview of job activities 	<ul style="list-style-type: none"> • Relatively unexplored type of assessment • Scores on cognitive tasks tend to be related to ability test scores; may show adverse impact

APPENDIX F

Competency-Focused Structured Interviews (Information Outline and Process Protocol)

Informational Outline

- I. Objectives of the leadership job interview
 - a. Convey information about the leadership role
 - b. Provide the candidate with a realistic job preview
 - c. Become familiar with candidate
 - i. Establish rapport
 - ii. Determine interests
 - iii. Obtain/clarify information about work history
 - d. Assess leadership competencies
- II. What is a fully structured interview?
 - a. Should have standardization in terms of
 - i. Content—predefined set of questions and prompts (ask same questions of all applicants)
 - ii. Administration (same setting variables)
 - iii. Interpretation of responses; scoring (clear and explicit rating scales)
 - b. Questions must all be job-related (interview content based on key competencies)
 - c. Train interviewers on asking questions, probing, and scoring
- III. Why use structured interviews?
 - a. Make better decisions when it comes to hiring, promoting, transferring
 - i. More objectivity
 - ii. More reliable information
 - b. Minimize threats of litigation
 - i. Objective, relatively unbiased data collection method
 - ii. Focused on job-related knowledge, skills, abilities, interests, motivations, and other characteristics
 - iii. Avoid non-job-related and risky questions
 - iv. Will be seen as fair by applicants, selected leaders, etc.

Process Protocol

Pre-Interview

- 1) Establish key competencies and performance criteria (see Success Profile Template)
- 2) Select questions to be used in interview (have at least one question per competency and multiple questions for key competencies)

Interview

- 1) Opening the interview
 - Build rapport/increase comfort levels
 - Prepare interviewee for what's to come
- 2) Describe the job
 - Convey realistic job preview
 - Entice the candidate to the job
 - Clarify responsibilities and other information as needed
- 3) Begin competency-focused structured interview
 - Ask questions in order
 - Utilize standard prompts as needed
 - Record answers
- 4) Closing
 - Answer questions
 - Inform candidate about next steps
 - Assess candidate's perceptions of the interview

Post-Interview

- 1) Rate interview answers (immediate as possible)
- 2) Total applicant's interview scores
- 3) Integrate scores with other information

APPENDIX G

Typology of Structured Interviews

The job interview is generally for predicting how the candidate will perform on the job. You will always have a first impression. Because it is based on little information, it is rarely valid for predicting job performance. However, pay attention to what it is, note it, and forget it until the discussion later. When interviewers make quick judgments, the rest of the interview is spent trying to confirm them, not keeping open to learning more. Answering each main question should take nearly 5 minutes. The interviewer should use only about 10% of the total talk time.

Behavioral Interview Questions

These focus on *past* behavior. Based on your question, you want the candidate to describe the situation, specifically what they did, and what the results were.

Why use behavioral interview questions?

- The best predictor of future behavior (performance) is past behavior (performance) in similar situations,
- Recent or frequent/longstanding behaviors are more relevant, and
- Verifiable behaviors are more likely to be accurate.

Situational Interview Questions

These focus on *intended* behavior. Based on the question, the interviewer wants the candidate to describe what they would do in the future.

Why use situational interview questions?

- The interviewer can ask questions outside of the candidate's experience and
- Interviewer can more directly control probes.

Performance Interview Questions

These questions focus on *current* behavior. Based on your question, you want candidates to perform the task in real time, for you to observe.

Why use performance interview questions?

- The candidate must demonstrate the behaviors/competency and
- The interviewer can witness the behavior and have control over prompts.

APPENDIX H

Sample Interview Templates

Behavioral Interview Template

Interviewer Instructions: Read each question to the candidate exactly as it appears, and repeat the exact question if requested (including additional probes). Rate candidate responses as they correspond to the response options by placing a check to the left of the potential response (write notes as needed).

Focal Competency: Problem Solving

Core Question: Describe the last time you solved a **complex problem** that required a lot of thought and careful analysis on your part.

Probes:

- What was the problem?
- How did you go about analyzing it?
- What alternative solutions did you consider?
- What solutions did you decide to try and why?
- Tell me how you implemented your solution.
- What difficulties or obstacles did you have to overcome?
- What were the results?

Scoring Guide

1	2	3
Is slow to recognize or solve problems.	Quickly solves problems once they have been identified.	Quickly identifies problems and solves them before they get out of hand.
Gathers irrelevant information for decision making because has no system for getting it.	Gathers needed information for decisionmaking, but does not always get it efficiently.	Gathers relevant information for decisionmaking systematically.

Fails to examine information he/she has; fails to recognize information needed to address issues.

Carefully examines information that is presented to him/her and seeks information that is clearly missing.

Approaches problems by gathering and analyzing as much relevant information as possible or practical.

Explores only the surface when identifying solutions to problems; only uses the obvious solution.

Searches for a different solution if the obvious one will not work.

Thoroughly searches for the best solution even after an obvious solution has been identified.

Notes:

Total Score: ___/12

Situational Judgment Interview Template

Interviewer Instructions: Read each question to the candidate exactly as they appear below, and repeat the exact question if requested (including additional probes). Rate candidate responses as they correspond to the response options by placing a check to the left of the potential response (write notes as needed).

Focal Competency: Managing Conflict

Core Question: A coworker is upset with you about an issue at work. He/she confronts you by becoming hostile and insulting. How would you respond?

Probes

- Can you tell me more? (If needed, can only use once.)
- Can you be more specific? (If needed, can use only once.)

Scoring Guide

Examples of responses worth 1 point

- ___ Listen to the coworker’s concerns and acknowledge the coworker’s frustration.
- ___ Ask the coworker to clarify the issue if needed.
- ___ Explain your understanding of the problem in neutral terms.
- ___ Seek to find an acceptable solution for you and the other person.
- ___ Remain calm and respectful throughout the interaction.

Examples of responses worth 0 points

- ___ Respond by defending your position if you are certain that you are right.
- ___ Ignore the coworker and immediately get a supervisor.
- ___ Avoid the conflict by acting like you agree with the person even if you don’t.
- ___ Stand up to the person, otherwise they won’t respect you.

Notes:

Total Score: ___/5

APPENDIX I

Common Interviewer Biases

- *Similar-to-me* occurs when the candidate has interests or other characteristics that are similar as those of the interviewer and cause the interviewer to overlook negative aspects of the candidate
 - *Stereotyping* occurs when the interviewer assumes a candidate has specific traits because they are a member of a specific group
 - *Halo effect* occurs when the interviewer evaluates a candidate positively based on a single characteristic
 - *Horn effect* occurs when the interviewer evaluates a candidate negatively based on a single characteristic
 - *First impression* occurs when a candidate's first behaviors before or early in the interview influence the interviewer's attention to positive (or negative) stimuli only
 - *Recency* occurs when the interviewer recalls the most recently interviewed candidate more clearly than earlier candidates
 - *Overweighting competency* occurs when the interviewer overly emphasizes one or a few competencies
-

APPENDIX J

Sample Leadership Succession Management Process

Leadership succession management is a process of preparing leaders to meet an organization's leadership needs over time and is part of a larger strategic talent management approach intended to engage and develop key people through targeted leadership assessments and development efforts. The process outlined in this appendix can be used as a general guide.

Step 1—Strategy, Values, Culture

Align the Succession Management System with organizational strategy, values, and culture.

- Assess/evaluate the organization's structure, culture, climate, work context (determine what those are currently, how they are changing, and what the desired future state may be).
- Consider the importance of effective leadership at all levels and potential succession planning implications (e.g., is there a need to create a culture of shared leadership?).
- Determine what external/environment factors exist (industry, economics, leadership talent landscape, etc.) that may influence leadership needs.
- Ensure that succession management will be integrated with hiring, performance management, leadership development, total rewards, job design, and other elements of talent management.
- Determine who is accountable for successful leadership succession.

Step 2—Assess Organizational Readiness

Clarify organizational needs/objectives and assess organizational readiness through interviews, focus groups, or surveys of key stakeholders at multiple levels.

- Build executive commitment/alignment to succession planning.
 - Develop shared understanding,
 - Determine talent management needs based on business strategy, and
 - Link succession management to achievement of business success.
- Create a steering committee.
 - Determine criteria for steering committee members (leadership levels, cross-functional teams, etc.), and
 - Invite identified executives and facilitate steering committee on-boarding.
- Create a succession management communication plan (process/methods/content).
 - Communicate Succession Management System (useful for creating transparency and guiding overall succession plan buy-in and leadership development);
 - Inform all employees of the succession management process (e.g., purpose[s], the steps in this model, criteria for inclusion, participant responsibilities, benefits, etc.); and
 - Clarify that participation is not a guarantee of advancement, however, it could increase one's chances of advancement.
 - Advantages:
 - If people know they are in the succession plan, they are more likely to be committed to the organization;
 - Transparency builds trust in management, the process, etc.;
 - Leaders initially excluded may perform better in order to gain entry; and
 - Development can be tailored to the exact needs and interests of the participant.
 - Disadvantages:
 - Some excluded leaders might become disengaged and
 - There may be unhealthy competition among leaders to get into the succession plan.

Step 3—Define Success Factors

Create a Leadership Competency Model (confirm and/or enhance framework of leadership behaviors and performance criteria).

- Ensure a functional leadership competency model consists of the behaviors, knowledge, skills, and capabilities required for success in the leadership role (at all levels).
- Leadership competency model will inform:
 - Succession management nomination criteria,
 - Assessment of high potential readiness,
 - Leadership development focus, and
 - Leadership performance criteria.
- Analyze targeted leadership positions by performing the following:
 - Make the links between the organization’s mission, vision, values, strategic goals and the leadership role(s) explicit.
 - Determine future staffing needs for senior leadership positions. Identify the timeframe for when leadership roles will be open—consider “horizon mapping.”
 - Restructure roles as needed.
 - Examine total rewards for each role.

Step 4—Position Analysis

Map the existing pool of leaders against business strategy and identify specific positions critical for succession management and business success.

- Determine key positions for a strategic leadership succession plan.
 - Identify critical positions with likely vacancies and
 - Consider new positions that will be required in the future.
- Create talent map of all stakeholder groups.
 - Outline key job families/roles throughout the organization, link to strategic horizons.
 - Articulate talent objectives for each stakeholder group.
 - Develop high-level talent management plans for each stakeholder group.

Step 5—Identify High-Potential Talent Pool and Succession Mapping

Identify individuals who possess the interest and threshold skills/capabilities for performance at the target level of leadership.

- Assess general capabilities/potential (utilize performance reviews, existing 360 feedback, recommendations, etc.).
- Assess participant interest, values, career directions, etc.
- Nominate and verify successor candidates.
- Hold talent review sessions to calibrate succession management activities across the organization.
- Create succession maps and identify gaps in succession pool.
- Manage information (track succession pools/maps using succession management software applications, spreadsheet, etc.).

Step 6—Conduct Individual Assessment and Feedback

Gain additional insights into participants’ leadership strengths and development needs (assess leaders’ current skills, capabilities, and future potential).

- Utilize the following recommended assessments/processes to better assess and develop potential:
 - Standardized leadership capabilities inventories;
 - Structured interviews and situational judgment exercises;
 - Multi-rater (360) assessments;
 - Leadership development profile/plan/goals/feedback metrics; and
 - Ongoing one-on-one, peer and group feedback to succession participants.
- Integrate information from assessments into overall profiles and classify leaders relative to readiness for next-level roles (e.g., “ready,” “near-ready,” and “long-term potential”).
- Conduct group-level analysis to determine organization-level leadership strengths and deficits.

Step 7—Development Planning and Implementation

Guide high-potential development based on priority needs for the individual and the organization.

- Create development plans that link current role, aspired role, and leadership development content.
- Engage participants in development activities (such as action learning, mentoring, coaching, job shadowing, time-limited job rotations, task force participation, special projects/assignments, committee participation, conferences) and promote external training opportunities (certificates, etc.).

- Track development progress (with mentor and manager—individually and as a group).
 - Utilize 360-degree feedback system and other assessments to guide development.
 - Prepare an individual development plan that outlines specific activities to develop needed competencies; include a timetable with milestones to assess progress.
 - Track individual progress over time for use with reporting and determining adding or changing developmental opportunities (provide individuals with regular feedback).
- Modify leadership development plans as needed.
- Integrate succession management efforts with other HR/TM systems.
- Create/maintain candidate profiles in succession plan tracker.
 - Build a database of participants based on leadership potential for “next level,”
 - Regularly monitor skills and needs to determine any gaps and develop plans to meet deficiencies, and
 - Inventory current and future leadership needs and maintain that information for individual and group development.
- Develop staffing plans to fill gaps in succession pool.
- Place individuals into appropriate positions as openings arise.

Step 8—Monitor Progress & Measure Results

Create a transparent and measurable succession management process and conduct ongoing assessments of bench strength.

- Monitor talent readiness and movement (update organizationwide succession map periodically).
- Regularly communicate changes, updates, and organization implications to key stakeholders.
- Measure business return derived from leadership development investments and movement decisions.
- Determine key talent metrics that directly impact and fulfill the business strategy; potential metrics include:
 - Retention statistics of key talent,
 - Advancement of succession participants (percentage of senior roles filled by succession participants),
 - Perceived value of development/succession initiatives by key stakeholders,
 - Levels of organization engagement/conduct all-employee engagement survey,
 - Increased innovation (i.e., creation of new business models and products), and
 - Enhanced productivity and cross-functional collaboration.
- Collect/analyze/interpret relevant data to guide ongoing succession management.

APPENDIX K

Success Profile Template

JOB TITLE CEO		JOB REPORTS TO (Manager Title(s) / Direct & Dotted) BOARD OF DIRECTORS	
JOB BAND (circle one) LEAD			
STATUS <input checked="" type="checkbox"/> Exempt <input checked="" type="checkbox"/> Full-Time <input type="checkbox"/> Non-Exempt <input type="checkbox"/> Part-Time		PREPARED BY Self	
		APPROVED BY Self	
JOB CODE N/A	DEPARTMENT EXECUTIVE	DATE PREPARED	

MISSION: *A one sentence, motivating description of "why" the position exists. The purpose of the job. How the job adds value.*

This role exists to provide strategic direction and leadership for OSI as well as develop market and sell OSI products and services. The role also provides senior consulting and facilitation services to key clients.

CORE ACCOUNTABILITIES: *Up to 10 (preferably 5-7) principal responsibilities with expected results. List percentage weight (10% minimum) for each.*

% OF JOB	KEY ACCOUNTABILITIES/ RESPONSIBILITIES	OUTCOME/RESULT
20%	Business Development: Marketing and Selling OSI Products and Services	New Business
15%	Strategy Development/Leadership	Clear Future Direction
10%	Staff Development	Exceptionally Competent Staff
40%	Consulting/Facilitating	Revenue for Ongoing Overhead and Development Needs
10%	Product Development	New/Revised Products
5%	Admin	Organizational Efficiency

CORE JOB COMPETENCIES: *List up to 100 competencies from the Polaris Competency Model most required to achieve the core accountabilities for the position (the "how"). Encompass the key dimensions of overall competencies that collectively distinguish superior from less than superior job performance: knowledge, skills, self-image, values, traits and motives. For appraisal purposes, this is the "short list" of differentiating competencies. For career development applications, assessment against a larger dictionary of competencies is important, as long as each position has a unique set of core competencies.*

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Abbreviations and acronyms used without definitions in TRB publications:

AAAE	American Association of Airport Executives
AASHO	American Association of State Highway Officials
AASHTO	American Association of State Highway and Transportation Officials
ACI-NA	Airports Council International-North America
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASCE	American Society of Civil Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
ATA	Air Transport Association
ATA	American Trucking Associations
CTAA	Community Transportation Association of America
CTBSSP	Commercial Truck and Bus Safety Synthesis Program
DHS	Department of Homeland Security
DOE	Department of Energy
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
HMCRP	Hazardous Materials Cooperative Research Program
IEEE	Institute of Electrical and Electronics Engineers
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITE	Institute of Transportation Engineers
NASA	National Aeronautics and Space Administration
NASAO	National Association of State Aviation Officials
NCFRP	National Cooperative Freight Research Program
NCHRP	National Cooperative Highway Research Program
NHTSA	National Highway Traffic Safety Administration
NTSB	National Transportation Safety Board
PHMSA	Pipeline and Hazardous Materials Safety Administration
RITA	Research and Innovative Technology Administration
SAE	Society of Automotive Engineers
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005)
TCRP	Transit Cooperative Research Program
TEA-21	Transportation Equity Act for the 21st Century (1998)
TRB	Transportation Research Board
TSA	Transportation Security Administration
U.S.DOT	United States Department of Transportation