

# Publish Your Business & Professional Book **NOW**

A Step-By-Step Guide to Developing Your Book Idea,  
Securing a Book Contract, Writing Efficiently and Effectively,  
& Promoting Your Book

Jack J. Phillips, Ph.D.  
Patti P. Phillips, Ph.D.  
Hope Nicholas  
Kylie McLeod

ROI INSTITUTE®

Copyright © 2018. All rights reserved.



## Table of Contents

Chapter 1 – Is Writing a Book for You?.....	1
Chapter 2 – Developing Your Book Idea .....	13
Chapter 3 – Developing Your Proposal .....	27
Chapter 4 – Securing the Contract.....	103
Chapter 5 – The Contract.....	115
Chapter 6 – Sources of Assistance .....	137
Chapter 7 – Developing a Manuscript .....	141
Chapter 8 – Writing the Book .....	149
Chapter 9 – Editing and Production Process .....	155
Chapter 10 – Book Release and Initial Promotion.....	161
Chapter 11 – Continuous Marketing.....	167
Chapter 12 – Using the Book in Your Business .....	185





## Self-Assessment: Is Writing a Book for You?

Instructions: Please indicate your candid responses to each of the statements below, using a 1 to 5 scale where 5 sounds very much like me and 1 is not like me. Be candid and score your instrument using the 1-5 scale.

		5	4	3	2	1
		This is Very Much Like Me	This is Like Me	This is Somewhat Like Me	This is Somewhat Unlike Me	This is Not Like Me
<b>Content Generation</b>						
1.	I generally have many ideas about making things better.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	I have a passion about specific topics that I want to share with others.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	I have experience in the topics I feel passionate about.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	I have expertise that will attract the attention of others.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	I enjoy telling stories.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	I am a good at research.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	I have a collection of books that I consider to be valuable publications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	I can visualize when an idea is needed in professional work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Writing Discipline</b>						
9.	I am disciplined in my work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	I am organized in what I do.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	I have the tenacity to stay with a project until it is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	I meet my deadlines.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	I am good at multi-tasking.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	I am careful to follow guidelines, instructions, and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.	I have the patience to work through obstacles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.	I don't mind taking small steps as long as I can see the ultimate goal.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.	I can block out time in my schedule to complete my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Writing Skills</b>						
18.	I enjoy writing clear sentences and paragraphs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19.	I have good writing skills.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20.	I like to edit my own work to make it better.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21.	I don't mind rewriting and rewriting my work to make it perfect.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.	I take steps I need to improve my writing skills.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

		5 This is Very Much Like Me	4 This is Like Me	3 This is Somewhat Like Me	2 This is Somewhat Unlike Me	1 This is Not Like Me
23.	I am detail oriented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24.	I have an efficient way of getting my words onto paper.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.	I am willing to use the various tools to make writing easier and more efficient.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.	I enjoy reading a well-designed paragraph.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27.	I am a very logical thinker when it comes to putting things in order.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Motivation</b>						
28.	I have a desire to have a published book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.	I would like my published book to be a part of my business.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30.	I want others to read my work and take action because of it.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.	I am willing to learn about the publishing industry.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.	I am willing to do the work that is required to make my book a success.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33.	I relish the idea of having my book in print.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.	I enjoy seeing the results of my work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Promoting the Book</b>						
35.	I have a platform to market my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36.	I like promoting, marketing, and selling my work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37.	I am willing to be the principal marketing person for my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38.	I am willing to do constant promotion for my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39.	I will use the book routinely in my work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40.	I will develop products that will help sell my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41.	I will be involved in social media networking to promote my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42.	I will speak to groups about my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43.	I will teach others about the content in my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44.	I am willing to purchase a large quantity of copies of my book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Rejection, Criticism, Support</b>						
45.	I react well to rejection.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46.	I take criticism well.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47.	I maintain very effective relationships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48.	I have the resources available to complete the book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49.	My colleagues have encouraged me to write a book.”	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50.	I have the support of friends and family to write a book.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Interpretation of Score:

Score Range	
210 -250	What are you waiting on? Do it now! You are perfect for writing a book
170-209	You're almost there. Just a little tweaking is needed. You can make an excellent author.
130-169	You can get there, but it will take some time. Some particular actions for improvement are needed
90-129	Much improvement is required to be successful. It is possible, but will require much work.
50-89	I'm sorry, but you probably won't make it.











## The Rewards

- A. You leave a legacy.
- B. Writing a book is very self-satisfying.
- C. Some people will love your book.
- D. Some people will use your book.
- E. *“When you write a business book and profess to practice what you preach, you’re permanently putting your reputation on the line. Plus, your readers might actually do something with the advice you wrote about. That’s an awesome responsibility to live with.”* –Jack Stack, best-selling author of *The Great Game of Business*.
- F. Some people may consider your book a huge transformation for them in how they view your topic and approach.
- G. The book can be a very profitable.
- H. You can build a business around the book.
- I. The business can be very profitable.
- J. You earn more respect.
- K. Your credibility increases.
- L. Your book will be your “calling card.”
- M. Writing a book opens many doors.



*What is your greatest motivation for writing a book?*

---

---

---

---

---

---

---

---

---

---

---





## Chapter 2

### Developing Your Book Idea

After you have decided that writing a book is the right project for you, developing your book idea will be the first step. Fully developing your idea is critical. This idea must be different from other ideas because it will be the focus of your unique book. Perhaps your idea is something completely new and different, or if it is not completely new, your way of pursuing the topic is completely different from how others have approached the topic. If your idea is the same idea that someone else has developed and is already presenting in essentially the same way, your book will not attract attention and it won't sell. The key is to finely tune your idea.

Most people enter this process with one big idea that they want to pursue in one book. Some have several ideas and it may be necessary to consider each one with the issues presented in this chapter. After this chapter, you will have the information to narrow your ideas down to one main topic, and fine-tune the issues around your idea, make it more acceptable, engaging, and profitable.

#### Your Passion



*Exercise: Write a list of the topics you feel very passionate about. The passion will be something you enjoy, a topic where you have expertise, something for which you see value for others, and something that you can focus on for long periods of time and it feels like only a few moments have passed. List as many topics as you would like:*

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---



*Exercise: Now limit the list of topics you developed to five topics:*

---

---

---

---

---

---

---

---

---

---

---

---









## Make it Valuable

Let's review the Life is Good organization where they focus on this important issue:

“Do what you like.”

“Like what you do.”

We will add to this two more points:

“Profit from what you do.”

“Do good with your profits.”

This means that you will need an idea that is profitable, (there is a market for it, people will buy it, you can make money in a business related to it), and take the money you make from the business, and use that money to help others. If your passion is to help starving children in Africa, then maybe you take your book and business profits and use the money to feed many children in Africa. Otherwise, if you go to Africa to be a member of the Peace Corp, Save the Children, or some other organizations, you may be limited to a small number of people that you can help directly. Your profits might provide much more assistance and reach many more children. Certainly, your satisfaction along the way is improved because you not only live a better life with a little more money, but you can share with others and that may bring deeper enjoyment socially, emotionally, and spiritually.

## Your Book Niche

When you think about a book idea, you want to think about the topic, the title, and the subtitle. For example, one participant wanted to write a book that would help small businesses use technology properly. The idea was Helping Small Business Owners to Use Technology. The suggested title is, “There’s an App for that.” And the subtitle is “How technology can make your small business more efficient and profitable.”



*Exercise: Now considering all of the above—what’s your niche? Write the topic and then write the title of your book and a subtitle.*

Idea:

---

Title:

---

Subtitle:

---

Tag Line:

---

## **The Market**

Now, to identify who will buy your book. Be as specific as possible as you identify the market. For example, perhaps your book is designed for a sales team in a private business, environmental engineers, or managers at a particular level. Be careful to not include “all professional employees.” The more precisely you identify the market you wish to reach, the better we can understand the value.

The next step will be to think about how many people would be part of or interested in this professional field. Research how many people are occupied in the field you have identified in the USA and globally, although it may be helpful to keep these geographic areas separate. What percent of these interested participants do you think will buy the book? What do you think the retail price of the book should be?

Here is an example: Alexa wants to write a book to help people make speeches or presentations, recognizing that a lot of professionals, managers, administrators, consultants, and researchers have to make presentations. This book is about how to take the fear out of public speaking, make a presentation that is engaging and focused, and cause people to take action with practice and perfection.

To define this book’s market, first consider who will buy the book. Is the person employed? If so, what type of employee? Is the person a manager, professional, or administrator? Is the market just the USA? Or all countries? Suppose Alexa decides on managers and professionals employed in the USA. In the USA, there are about 200 million people employed, and if we assume that 15 percent of those are employed in professional and managerial roles where they could be making presentations at some point, that market share is now 30 million. Of those in those identified roles, suppose marketing can reach perhaps only 1 percent. One percent of 30 million is 300,000. If 10 percent of the audience buys the book, this represents 30,000 copies. This looks like a good audience. If the book sells for \$25 a copy, these sales are 30,000 times \$25 for a total sales of \$750,000. That will be excellent project for a publisher to assume. The key is to get to the 30,000 sales potential, and this should be possible with this book. Although this is a rough estimate at this point, this kind of thinking will be fine-tuned in the marketing plan. The upside potential is for much more sales, which creates a best seller.



## Will They Buy It?

Let's explore if your topic holds enough value for an individual to actually buy your book. For example, there is a book recently published about why changing our time each year for daylight savings is a bad idea. The sales of this book are very low although the book was reviewed in the *Financial Times*. Most people would conclude that it is probably a bad idea for a book. An article could most likely cover this topic thoroughly. A book should present more information than can be covered in an article and requires much more detail and insight.



*Exercise: What is it about your book that would make your audience want to buy this book instead of a short how-to guide, template, job aid, app, or article?*

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---









## Chapter 3

### Developing Your Proposal

Your book proposal is a critical document. Its purpose is to convince a publisher to invest in your book idea and that it fits into their publishing program. Also, it convinces them that you can deliver a book and that it will be profitable for them. With today's competitive market and with so many people wanting to write a book, the proposal is becoming even more critical.

This chapter focuses on the parts that are vital to having a compelling book proposal. Although your publisher may not require all of these items, and some publishers may require even more, this will be a great starting point for you. The topics explored here are not only the beginnings of a compelling proposal, but also represents an exercise that helps the prospective author fine-tune his or her thinking on the topic. Even if you are considering self-publishing, the proposal is a great way to understand your thinking upfront and a guide to make the process work for you.

#### **Proposed Title**

Your suggested title, subtitle, and tag line, if necessary. Alternative titles may be presented.

#### **Brief Description**

Proposals should start with a brief description, perhaps a single paragraph with a quick overview of the book. The subject, the topic, the audience, and the need—all rolled into one paragraph. This provides a quick review to stimulate interest. Just remember, someone reading a stack of proposals may continue (or reject the idea) based on this opening paragraph.

#### **The Need**

Details are needed to show why your topic is an issue, why hasn't it been addressed before and how it has evolved. For example, a book on showing the value of social media is being written based on the need that the investment in social media is quite high for organizations, yet the value to the organization is not clear. Executives are questioning all the efforts of social media and wonder if it is really adding value to the business. If the proponents of social media do not show the value in terms that executives understand, then the support for social media may diminish, and projects maybe pushed aside or not taken seriously.

This could be half a page to a full page or even more. The point not to make it so long, but to explore the important needs for the book. The more specifics the better. For example, in the previous example, showing the investments in social media about organizations would be a mind-numbing statistic. Showing the number of studies that have been conducted to show the value of social media to an organization would also be an astounding number because it is probably close to zero. The more data the better.

## **Reader-Focused Objectives**

Provide objectives for the book from the reader's perspective at four levels: reaction, learning, application, and impact.

## **The Market**

This will be an expansion to the market described earlier. Who is going to buy the book, where they will buy it, and how they will use it. The more specifics you provide, the better. This may even pinpoint the number of people who might want or need to purchase the book which could be a large number. Realistically, only a small percent of them will probably buy it. And that is the more practical number needed by the publisher.

## **The Competitor Analysis**

Competition can make or break the book, from a publisher's perspective. Your information tells the publisher two important things: what real competition exists, and how well you know the market. They are both important issues. If there are competitors, the publisher will quickly check the sales data of those books. If those books are not selling, they will question why another book should enter this perceived market space. If they are great sellers, maybe there is room for another. Although the book will be different, they are very similar. If there is no competition, the attention focuses on market potential. On the second issue, if there are obvious competitors, but you didn't see them, the publisher may be concerned about your knowledge of the market.

The details can make a big difference. Provide a list of those books that will be perceived to be competitors by a novice buyer. Describe each book very briefly, giving enough details on the books to see that it may be a competitor. Then, describe how the book you are writing is different from the competition.

## **How This Book is Different**

Although you provide notes on each competitor and how your book is different, now summarize the uniqueness of this book from all the competition. This might be four or five bullet points in a paragraph.

## **The Flow of the Book**

A few paragraphs regarding how the information will flow in your book may be helpful. The logical flow of the information and development of the ideas will be useful. Also showing how readers will use the information will be a plus. This is often described briefly chapter-by-chapter.

## **The Target Audience**

Next, identify the specific audiences. This defines the market potential. Almost every book will have multiple audiences. For example, a book aimed at sales teams might have another audience of sales managers or professors who teach sales, or researchers who are concerned about selling and market dynamics. The key is to identify the particular audiences and start from the main audience and go down the list to the smallest audience. This also helps the marketing team by alerting them about potential audiences and which outlets will reach these particular audiences.

## **Marketing Pitch**

Some publishers want a few marketing pitches or sales hooks included in your proposal. This accomplishes two things. First, it provides the marketing team some ideas that might be helpful, coming from the person who knows the content best. Secondly, it shows how well you have thought through the marketing of your book. Publishers want you to be marketing savvy, and you need to display your critical thoughts, insights, and actions.

## **Marketing Plan**

Perhaps the most critical part of the proposal is detailed plan for the marketing which covers a full range of possibilities that are discussed in a later chapter. This section includes:

- Magazines that will review the book
- Websites that will publicize the book
- Blogs that will support the book
- Social media campaign to support the book
- Marketing collateral that you will develop
- Speaking engagements that you will pursue
- Teaching that you will do to support the book
- Personal book signings that you will be organizing
- Giveaway promotions that you will create
- Advertising that you will pursue
- Auxiliary materials that you will use to support the book

This will also indicate the number of books that you plan to purchase as part of your promotion. Just a note here, unless a publisher has made special arrangements, they do not want the author to be in competition with the sales of the book. They are willing to sell your books to you at a deep discount, but those books are to be used in promotional activities.

## **Table of Contents**

The table of contents is essential so that the publisher can see the content that you will cover and the detail that you are providing. Most publishers want chapter headings and bullet points. Some publishers may prefer a paragraph summary. Some want both. The key is to show the detail of the content of what you are offering. Chapter headings that are not so boring are recommended. The extent of stories and examples will be helpful.

## **The Preface**

The preface explains why you are writing this book, providing the purpose and scope of the book. It gives the readers background information on the book's topic before they get started. Not every book has a preface, but most do. For publishers, this often gives them a good explanation of what the book is going to do. Some authors prefer to write the preface after they write the entire book because then they have a complete description of the book, putting in more detail with the content. It is best to write the preface first. This gives the guidance for the rest of the book. The preface contains these items.

- What the book is about
- Why you wrote this book
- Why this book is needed
- What experience base do you bring to the book
- The acknowledgements of others who helped you
- Tips to the reader and flow of the book

## **Sample Chapter**

For first-time authors it is helpful to have a sample chapter. This provides a publisher concrete evidence that you can actually develop a chapter. The publisher can also see your writing style, the detail, the flow, the grammar, and the amount of engagement you make with the reader. Some publishers may want two sample chapters. One with a more general part of the book and another with the functional part of the book. The key is to be prepared for this assignment and do your ultimate best to make the samples you provide great. Some would-be authors make the mistake of sending in a rough draft of a chapter and say, "I'll polish it up later." But that may get a quick rejection.

## **Format and Delivery**

This section provides a publisher a quick note on how the book will be formatted and the date for the delivery of the manuscript. The format will include approximately the number of pages, the style (if it is different from what the publisher expects), preference for hard cover or soft cover (if that is an option), and maybe the size dimensions of the book (a small book, big book,

coffee table book, etc.) Does it contains many photographs, illustrations, and charts? Figures, tables, and charts are very expensive for the publisher. Anything the publisher needs to know about this book that has not already been covered is presented here.

### **Ancillary Materials**

Ancillary material can help sell the book and make it useful. If the book is going to be used in a college course, providing a facilitators guide or instructors guide is helpful to sell it. Even having tools that can go along with the book may help readers not only buy it, but use it as well. Sometimes the extra tools can be offered at a small price. The additional price can be a good source of revenue for the publisher, and will also add more royalties for the author. These items would include:

- Instructor Guide
- Website with more detailed information
- Tools
- Templates
- Examples
- Case Studies
- Networking Sites
- Interactive Media to keep the dialogue active

### **Biography**

The biography should be not too long, but focused on issues related to this book. Although it is good to know, the experiences of the author as related to this book are more critical. The biography should be written in a way to show why your background and experiences are perfect now to write this book.



*Exercise: Taking all of the information into consideration and working with the sample proposals contained in this workbook, make a first draft of your proposal.*

---

---

---

---

---

---

---

---



# Measuring ROI in Healthcare: Tools and Techniques to Measure the Impact and ROI in Healthcare Projects, Programs, and Initiatives

A Proposal to AHA Press

12/22/10

Jack J. Phillips, Ph.D.

Victor Buzachero

Patti P. Phillips, Ph.D.

Zack L. Phillips, RCP, RRT

Sample

**ROI** INSTITUTE™

Proposal

***Measuring ROI in Healthcare:  
Tools and Techniques to Measure the Impact and ROI  
in Healthcare Projects, Programs, and Initiatives***

**AUTHORS**

Jack J. Phillips, Ph.D.  
350 Crossbrook Drive  
Chelsea, AL 35043  
(205) 678-8101 · Fax: (205) 678-8102  
info@roiinstitute.net

Victor Buzachero  
14081 Collins Ranch Place  
San Diego, CA 92130  
(858) 678-6168  
buzachero.victor@scrippshealth.org

Patti P. Phillips, Ph.D.  
350 Crossbrook Drive  
Chelsea, AL 35043  
(205) 678-8101 · Fax: (205) 678-8102  
info@roiinstitute.net

Zack L. Phillips, RCP, RRT  
1482 Bellsmith Drive  
Roswell Georgia 30076, (770) 843-9929  
zackphi254@yahoo.com, zack.phillips@emoryjohnscreek.com

# *Measuring ROI in Healthcare: Tools and Techniques to Measure the Impact and ROI in Healthcare Projects, Programs, and Initiatives*

## Overview and Objectives

### Need

Healthcare expenditures will continue to grow in the next two decades. With this level of spending, healthcare executives and top administrators need to understand the value of healthcare projects, programs, and initiatives in a straightforward and meaningful format. Changes in payment methods from a fee for service (utilization) to a more quality-centered, pay-for-performance product will reward providers that show improvement in quality and efficiency. CMS and others will likely award contracts and favorable revenue arrangements to providers that demonstrate value via the outcomes. All healthcare systems are working toward building internal systems to not only deliver better outcomes but also prove them. Executives are now asking for the ROI on major healthcare projects in technology, quality, patient satisfaction, procurement, process improvement, case management, staffing, compliance, innovation, marketing, and other functional areas.

The ability to connect the dots and show bottom-line accountability while maintaining quality and efficiencies will be the key to survival in the industry. When the measurement processes in the healthcare industry are examined, there is no method that is consistently used to show the value of various projects and programs. The ROI Methodology, developed and refined over two decades, has worked its way into the healthcare field with dramatic results. We are now assisting a variety of healthcare organizations, healthcare delivery firms, and healthcare providers, to show the value of investing in technology, marketing, human resources, quality processes, new procedures, risk management, and even medical meetings and conferences.

The public is aware of healthcare cost and quality initiatives, and it's inevitable that consumers' spending decisions will be influenced by these two issues. This situation will create more projects and programs aimed at quality and cost. The ROI Methodology is the only system that focuses on results throughout the project, helping create a project that is successful.

Because of the pending short supply of healthcare professionals, talent retention will be a critical issue. The demand for necessary healthcare services will outpace the supply of professionals, leaving many organizations fighting for available talent. This will spark a stream of programs to invest in employee engagement, retention, and development. The ROI Methodology is the only tool that can provide a credible analysis of the success of these programs.

This new book will provide a way of demonstrating value based on clinical outcomes, demonstrating lower overall health Costs to Medicare Services (CMS), insurance carriers, and employers with self-insured health plans. This is important as payments based

on commodity pricing shift to value-based pricing or purchasing. This is important because CMS will begin value-based payments by 2012, and health reform will use bundled payment systems under accountable care organizations that will be paid based on unit price and quality outcome benchmarks. Medicare is typically around 40% of a healthcare organization's revenue

## Purpose

With the reality of increased expenditures and government regulation in the healthcare arena, accountability and efficiency must be addressed early and often in new projects and programs. This book will show healthcare professionals and managers how to measure the success of their projects, events, programs, and initiatives with a balanced profile of success, including the financial ROI. Healthcare managers must focus on projects with results in productivity, cost control, and quality healthcare. The ROI Methodology delivers a credible, CFO-friendly view of results.

## Knowledge Base

This book describes a credible, reliable process that is being used by 4,000 organizations worldwide to measure the success of projects and programs in a variety of industries. The methodology captures and generates these types of data to measure the success of healthcare projects:

- **Reaction** to the project
- The **learning** necessary to make the project successful
- The progress with the **application and implementation** of the project
- Business **impact** data related to the project
- The financial **ROI**
- The **intangible** benefits of the project

Collectively, these outcome measures capture a profile of success, representing qualitative and quantitative data taken at different timeframes and reflecting both financial and non-financial outcomes. When the ROI Methodology is applied, as described in this book, the results will be comprehensive and always credible.

With its conservative standards, the Methodology is CFO- and CEO-friendly. The results enable the manager to secure funding, build support for projects, improve processes and procedures, improve relationships with administrators, and enhance the image of healthcare delivery. An important advantage of this process is that it is dynamic and focuses on process improvement. If a particular project or program is not adding value, steps are taken to make it successful. If an existing program is not working, this process will reveal the actions needed to improve it or discontinue it. Also, the ROI Methodology complements quality programs and other measurement processes.

The book will include many examples to illustrate how the ROI Methodology is used. Among the healthcare case studies that will be included are technology acquisition, physician leadership, communication improvement, procedure changes in intensive care,

risk management, patient satisfaction, reduction of error rates, nurse retention solutions, new media marketing for healthcare, and work scheduling systems.

## Market Analysis

### Intended Audience

The **primary** audience is **the professional and managerial team** in the healthcare system that must show the value of their projects. These individuals need to justify funding based on the value of the project or to improve the project if it is not working properly. This audience needs a framework, process, and standards to conduct studies. The results can be translated into support, funding, commitment, and process improvement. This book will show them how to conduct credible studies with results that are CEO- and CFO-friendly.

**Specific Job Titles:** Managers, coordinators, project leaders, any specialists in healthcare administration, quality, risk management, case management, marketing, human resources, procurement, planning, information technology, and support services. These are professionals who manage projects or are in the position of improving specific processes in their organization.

#### Uses:

1. To align project to specific organizational needs
2. To set objectives at multiple levels and provide the focus for provide the focus for projects
3. To plan an evaluation study
4. To collect data during the life of the project
5. To isolate the effects of the program or project on the data
6. To convert data to monetary value
7. To capture the appropriate costs for the project
8. To complete the study and report results to proper audiences

The **second** audience is **the administrators and executives** concerned about efficiency and effectiveness of all types of healthcare initiatives, including technology, quality, new procedures, risk management, case management, and a variety of human resources initiatives. Even in healthcare marketing and public relations, there is a need to show value with consistent, credible data that pass the muster of the CFO. Executives need a tool and process that can be applied across functions. This book will provide the methodology that will work in all of these settings.

**Specific Job Titles:** Chief Administrator, Chief Financial Officer, Chief of Surgery, Director of Nursing, Director of Quality, Director of Marketing, Director of Human Resources, Director of Procurement, Director of Risk Management, Chief Information Officer.

#### Uses:

1. To become familiar with the ROI Methodology
2. To recommend the Methodology to the staff
3. To support the Methodology

4. To use the results from ROI studies to make improvements
5. To provide appropriate resources for ROI studies

The **third** audience is **experts, monitors, and advisors** who must support and make commitments to a variety of healthcare delivery alternatives. This includes governments, nonprofits, and a variety of delivery cooperatives and associations. These groups may be funding new projects or monitoring the success of projects that involve the efficiency and effectiveness of the healthcare system. They are interested in a process to measure success that is credible, replicable, and sustainable. Above all, the process must gain the approval of financial executives. The methodology outlined in this book provides the accountability system needed to help guarantee efficient, effective healthcare delivery while maintaining quality and patient satisfaction.

**Specific Job Titles:** Government manager, healthcare manager, foundation executive, healthcare association executive, NGO executive.

**Uses:**

1. To become aware of the ROI Methodology and how it works
2. To recommend the ROI Methodology
3. To support the ROI Methodology and its implementation
4. To review the results from ROI studies
5. To support the improvements from ROI studies

A **fourth** group consists of **managed care and contracting managers and executives** in healthcare systems and hospitals that are responsible for negotiating payer contracts or pricing for health services. These executives will be interested in a process that improves the effectiveness and efficiency of healthcare while maintaining patient satisfaction.

**Specific Job Titles:** Health Plan Chief Executive, Managed Care Executive, Contracting Managers, Health Plan Medical Officer, Quality Manager.

**Uses:**

1. To negotiate value-based reimbursement contracts
2. To support outcome-based incentive payments
3. To demonstrate performance to payors
4. To justify medical management infrastructure within Administrative Fees
5. To support clinical performance improvement

The **fifth** audience includes **professors, researchers, and evaluators**. This book will be an excellent addition to current literature, providing a system with enough flexibility for cross-functional use. It is also user-friendly, CFO-friendly, and based on sound theoretical concepts. These attributes provide comfort to professionals who are critical of evaluation systems.

**Specific Job Titles:** Professor, healthcare researcher, healthcare consultant, healthcare advisor.

**Uses:**

1. To be aware of the ROI Methodology and how it works
2. To compare this Methodology with others
3. To be able to support and defend this Methodology when considering its reliability and validity
4. To review studies using this Methodology
5. To adopt this Methodology for specific courses, programs, and applications
6. To use this particular Methodology in evaluating programs

**Related and Competing Books**

While there is no other book like *Measuring ROI in Healthcare*, several books might be perceived as market competitors.

*The Power of Clinical and Financial Metrics: Achieving Success in Your Hospital* by Steven Berger (Health Administration Press, 2005) is a great book on measurement, focusing on issues such as benchmarking, best practices, balanced scorecards, Six Sigma, and pay-for-performance models. It also provides a variety of metrics that might be used to improve impact. It does not, however, provide a system to measure a particular project with a balanced set of data, offering a step-by-step process with acceptable standards.

*Evidence-based Management in Healthcare* by Anthony R. Kovner, David J. Fine, and Richard D'Aquila (Health Administration Press, 2009) is an excellent book about evidence-based management. It contains a variety of essays on how this concept is applied throughout different healthcare organizations. Eleven case studies show how evidence-based management is being applied. However, not all the case studies show the value in business terms, and none of the case studies actually takes the evaluation to the financial ROI level. The studies are inconsistent in terms of their definitions, framework, and processes. Our proposed book provides a systematic way to capture six types of data credibly and accurately for every application.

*The Innovator's Prescription: A Disruptive Solution for Healthcare* by Clayton M. Christensen (Harper Paperbacks, 2003) presents a comprehensive analysis of the strategies that will improve healthcare and make it affordable. The author describes how precision medicine reduces costs and makes good on the promise of personalized care. The focus is on how disruptive business models improve quality, accessibility, and affordability. It also provides tools and processes that can theoretically improve healthcare. The book does not include a system of measurement that shows the results of healthcare programs.

*A Marketer's Guide to Measuring ROI: Tools to Track the Returns From Healthcare Marketing Efforts* by David Marlowe (HCPro, 2007) examines ROI using tools to track the returns from healthcare marketing efforts. While the book provides useful information for one facet of the field, it has a narrow concentration, whereas our proposed title addresses measurement of multiple types of programs.

*Essentials of Health Care Finance*, William O. Cleverley, Andrew Cameron (Jones & Bartlett Learning, 2007). This book is a primer on healthcare finance for the novice healthcare

leader. It is an excellent desk reference for the non-financial manager or leader of healthcare organizations. ROI is a minor section of the book and explains basic principles and application. This book would not provide the full, comprehensive approach to using and applying ROI in healthcare.

*How to Measure Anything: Finding the Value of Intangibles in Business*, Douglas W. Hubbard (John Wiley & Sons, Inc., 2007). This insightful book shows how to measure those things that are often considered immeasurable, including customer satisfaction, organizational flexibility, technology risks, and technology ROI. This is an excellent work to deal with intangibles, which is one of the data sets in the ROI Methodology. It does not focus specifically on healthcare, but would be a valuable reference and will not directly compete with this book.

*Understanding Return on Investment (Finance Fundamentals for Nonfinancial Manager Series)*, George T. Friedlob, Franklin J. Plewa, Jr. (John Wiley & Sons, 1996). This book explains the ROI concept, primarily from a financial perspective. It is an excellent reference for more detail, but does not compete with this book. It does not provide a system, structure, process, or even standards, and is very generic for all types of businesses, not specifically with healthcare.

*Real ROI From Health Management: Cost Savings Through Coaching and Disease Management*, Ariel Linden, DrPh, MS; Craig Nelson, MS; Dexter Shurney, MD, MBA, MPH; Paul Terry, Ph.D. (Healthcare Intelligence Network, 2009). This is a special report rather than a text, and focuses only on the cost savings that are derived through coaching and disease management. It takes the reader all the way through to the ROI, but stops short of showing the issues around the financial calculation itself. It is a good reference, but does not compete because of its narrow focus, lack of structure, systems, and standards.

### **Potential Textbook Adoption**

In terms of course work, the best application would be financial management at the graduate level in the MHA or MPH programs. It would be particularly useful as applied in the area of capital decision-making. Secondary courses would be those focused on strategic planning and marketing, again using ROI for priority setting and useful asset or program assessment. In addition, courses on quality improvement and project management will all benefit from this book.

Additional potential from a textbook standpoint would be its incorporation by the Annual Congress on Healthcare Leadership (ACHE), one of the largest gatherings of healthcare leaders in the world. This book would offer an excellent format for professional development and networking opportunities using the ROI Methodology, and could be used in earning ACHE credits to be applied toward earning the FACHE credential.

### **Author Promotion**

The authors clearly understand that for a book to be successful, it must be promoted. A full range of promotions are planned for this book. Included in these marketing efforts are:

1. All authors will appear at speaking engagements at various association events, promoting the book and its content.
2. Articles targeting healthcare executives and management will be written for various publications. Ten articles the first year and five in subsequent years are planned.
3. Appropriate reviews will be secured for Amazon.com from ROI users and colleagues.
4. At least 200 copies of the book will be provided to various conferences and key executives.
5. A special direct mail campaign will include a free book.
6. The book will be used as the key reference for multiple workshops. We anticipate that in the first year of publication, we will conduct a minimum of 10 workshops with 25 attendees. This number will grow significantly after the first year.

## **Content, Structure, and Scope**

### **Alternative Book Titles**

Suggested alternative titles for this book are:

- “Value in Healthcare...Using ROI to Make a Difference”
- “Healthcare ROI for Community Benefit”
- “Reducing Healthcare Costs with ROI Analysis”
- “Healthcare Transformation: The Need for ROI Now”
- “Adopting an ROI Culture: Why Now?”
- “The Coming Healthcare Changes: Why ROI is Necessary”
- “Saving Healthcare: Why ROI is Critical”

### **Outline of the Contents**

#### **Chapter One: Healthcare Accountability: A Critical Issue**

- A. The Status of Healthcare
- B. Healthcare Funding Issues
- C. Healthcare Quality Concerns
- D. Healthcare Efficiency Dilemma
- E. What Must Change in the Future
- F. Key Challenges

#### **Chapter Two: Measurement and Evaluation Systems in Healthcare**

- A. Current Systems for Measuring Healthcare Efficiency and Effectiveness
- B. Healthcare Metrics
- C. Limitations of Healthcare Measurement Systems
- D. What is Needed in the Future
- E. The ROI Methodology: A Tool for the Future

### **Chapter Three: How the ROI Methodology Works**

- A. The Results-Based Approach
- B. The Evaluation Framework
- C. The Alignment Process
- D. The ROI Process Model
- E. ROI Standards
- G. ROI Applications
- H. ROI Implementation

### **Chapter Four: Aligning Projects to Business Measures**

- A. The V Model
- B. Payoff Needs
- C. Business Needs
- D. Performance Needs
- E. Learning Needs
- F. Preference Needs

### **Chapter Five: The Power of Objectives**

- A. Importance of Specific Objectives at Different Levels
- B. Reaction Objectives
- C. Learning Objectives
- D. Performance Objectives
- E. Impact Objectives
- F. ROI Objectives

### **Chapter Six: Planning for ROI Studies**

- A. Importance of Planning
- B. The Planning Meeting
- C. Data Collection Plan
- D. ROI Analysis Plan
- E. Project Plan

### **Chapter Seven: Data Collection**

- A. Data Collection at Different Timeframes
- B. Data Collection Methods
- C. Questionnaires and Surveys
- D. Interviews and Focus Groups
- E. Performance Monitoring
- F. Action Planning/Performance Contracting
- G. Improving Response/Participation Rates

### **Chapter Eight: Taking Credit When Credit Is Due: Isolating the Effects of the Healthcare Program**

- A. Importance of Isolating the Effects of a Project or Program
- B. The Experimental vs. the Control Group
- C. Analysis Techniques
- D. Expert Input
- E. Making It Credible
- F. Selecting the Best Method

## **Chapter Nine: Show Me the Money: Converting Data to Money**

- A. Why Money Is So Important
- B. Use of Existing Standard Values
- C. Finding Values Externally
- D. Calculating the Value
- E. Estimating the Value
- F. When Not to Convert

## **Chapter Ten: Capturing the Cost of the Project**

- A. The Concept of Fully Loaded Costs
- B. Cost Proration
- C. Cost Categories
- D. Direct Costs
- E. Indirect Costs
- F. Using Costs

## **Chapter Eleven: The Intangible Measures: Hard to Measure and Hard to Value**

- A. Importance of Intangibles
- B. Typical Intangibles in Healthcare
- C. When to Capture Intangibles
- D. The Analysis of Intangibles
- E. Reporting Intangibles Credibly

## **Chapter Twelve: The ROI Calculation and Its Meaning**

- A. ROI: The Ultimate Level of Accountability
- B. Benefit/Cost Ratio
- C. The ROI Calculation
- D. The Payback Period
- E. Interpretation, Use, and Communications

## **Chapter Thirteen: Reporting Results**

- A. Importance of Communicating Results
- B. Planning for Communication
- C. Live Face-Face Meetings
- D. The Impact Study Report
- E. Streamlined Methods
- F. Using Electronic Media
- G. Using Routine Communication Tools
- H. The Healthcare Scorecard

## **Chapter Fourteen: Implementing and Sustaining ROI Use**

- A. Classic Resistance to ROI
- B. Building Blocks for Overcoming Resistance: The Implementation
- C. Planning the Implementation
- D. Involvement of Stakeholders
- E. Building Capability
- F. Communicating Results and Progress

G. Funding  
H. Reporting Results

Notes and Index.

### **Special Materials**

The Facilitator's Guide will be developed if there appears to be a demand for particular courses and/or special programs. We have experience with developing instructors' guides and facilitators' materials, as many of our books have been adopted for use in college courses.

### **Length**

We estimate this new book to be 250 published pages.

### **Timetable**

The manuscript will be delivered by June 30, 2011 unless needed sooner by the publisher.

### **Writing Samples**

Under separate cover, we have enclosed several copies of books that we have written, which demonstrate our ability to complete publications. We have also included a recent article authored by Vic Buzachero.

### **Field Review**

#### **Possible Reviewers**

- Christopher D. Van Gorder, CEO of Scripps Health and Chairman of the American College of Healthcare Executives
- Hank Walker, Retired CEO of Providence Health System and current Board Member of multiple health systems
- Bob Ligon, Regional Vice President, Revenue Management Solutions of Med Assets
- Alan Wang, M. D., Chief Quality Medical Officer, Emory University
- Doug Gardenhire, RRT Director of Clinical Education, Georgia State University
- Jeffrey Hershey, M. D., Chief of Cardiology Services, Emory University
- Thomas DeMarini, M.D., FCCP, MBA, Chief of Staff, Emory Johns Creek Hospital

## Background Information

### Jack J. Phillips, Ph.D.

Jack J. Phillips is a world-renowned expert on accountability, measurement, and evaluation. Phillips provides consulting services for Fortune 500 companies and major global organizations. The author or editor of more than fifty books, he conducts workshops and presents at conferences throughout the world.

Phillips has received several awards for his books and work. On two occasions, *Meeting News* named him one of the 25 Most Influential People in the Meetings and Events Industry, based on his work on ROI. The Society for Human Resource Management presented him an award for one of his books and honored a Phillips ROI study with its highest award for creativity. The American Society for Training and Development gave him its highest award, Distinguished Contribution to Workplace Learning and Development for his work on ROI.

His expertise in measurement and evaluation is based on more than 27 years of corporate experience in the aerospace, textile, metals, construction materials, and banking industries. Phillips has served as training and development manager at two Fortune 500 firms, as senior human resource officer at two firms, as president of a regional bank, and as management professor at a major state university.

This background led Phillips to develop the ROI Methodology revolutionary process that provides bottom-line figures and accountability for all types of learning, performance improvement, human resources, technology, and public policy programs. Phillips regularly consults with clients in manufacturing, service, and government organizations in over 50 countries in North and South America, Europe, Africa, Australia, and Asia.

Phillips and his wife, Patti P. Phillips, recently served as authors and series editors for the *Measurement and Evaluation Series* published by Pfeiffer (2008), which includes a six-book series on the ROI Methodology and a companion book of 14 best-practice case studies. Other books recently authored by Phillips include *The Green Scorecard: Measuring the ROI in Sustainability Initiatives* (Nicholas Brealey, 2011); *ROI for Technology Projects: Measuring and Delivering Value* (Butterworth-Heinemann, 2008); *Return on Investment in Meetings and Events: Tools and Techniques to Measure the Success of all Types of Meetings and Events* (Butterworth-Heinemann, 2008); *Show Me the Money: How to Determine ROI in People, Projects, and Programs* (Berrett-Koehler, 2007); *The Value of Learning* (Pfeiffer, 2007); *How to Build a Successful Consulting Practice* (McGraw-Hill, 2006); *Investing in Your Company's Human Capital: Strategies to Avoid Spending Too Much or Too Little* (Amacom, 2005); *Proving the Value of HR: How and Why to Measure ROI* (SHRM, 2005); *The Leadership Scorecard* (Elsevier Butterworth-Heinemann, 2004); *Managing Employee Retention* (Elsevier Butterworth-Heinemann, 2003); *Return on Investment in Training and Performance Improvement Programs*, 2nd ed. (Elsevier Butterworth-Heinemann, 2003); *The Project Management Scorecard*, (Elsevier Butterworth-Heinemann, 2002); *How to Measure Training Results* (McGraw-Hill, 2002); *The Human Resources Scorecard: Measuring the Return on Investment* (Elsevier Butterworth-Heinemann, 2001); *The Consultant's Scorecard* (McGraw-Hill, 2000); and *Performance Analysis and Consulting* (ASTD, 2000). Phillips served as

series editor for ASTD's In Action casebook series, an ambitious publishing project featuring 30 titles. He currently serves as series editor for Elsevier Butterworth-Heinemann's Improving Human Performance series.

Phillips has undergraduate degrees in electrical engineering, physics, and mathematics; a master's degree in Decision Sciences from Georgia State University; and a Ph.D. in Human Resource Management from the University of Alabama. He has served on the boards of several private businesses—including two NASDAQ companies—and several nonprofits and associations, including the American Society for Training and Development and the National Management Association. He is chairman of the ROI Institute, Inc., and can be reached at (205) 678-8101, or by e-mail at jack@roiinstitute.net.

### **Victor V. Buzachero**

Vic Buzachero is currently a corporate senior vice president with Scripps Health in San Diego. Since Buzachero joined the company in 2001, Scripps has been recognized by AARP for six years and *Working Mother Magazine* annually for five years as a top employer. Scripps has also been ranked annually by *Fortune Magazine's* Top 100 Employers in 2008, 2009, and 2010.

Buzachero has more than 30 years of experience in the healthcare field. He joined Scripps from the Providence Health System, leading its e-Health strategy and HIPAA compliance efforts.

Prior to his tenure at Providence, he served as senior vice president of Human Resources and Organizational Development for the Banner Health System and senior vice president of Human Resources for the Samaritan Health System, which is now a part of Banner. During this time, he led new programs for leadership development, service excellence, reduction in employee turnover, and improved employee satisfaction. His efforts in organizational development and effectiveness were recognized by Franklin/Covey with a 1999 "Organization of Excellence" award. He has also held senior executive roles in the Presbyterian Health System (Texas Health Resources) and Baptist Health System. Additionally, he served as vice president of marketing (hospital acquisitions) for Quorum Health and was co-owner and principal of a national labor relations and executive compensation consultancy.

Vic is frequently sought out to speak at the national level on ROI in workforce initiatives and labor relations among many other topics. He is the current chairman of the American Hospital Association Solutions Board in addition to serving on various other boards.

### **Patti P. Phillips, Ph.D.**

Patti P. Phillips is president and CEO of the ROI Institute, Inc., the leading source of ROI competency building, implementation support, networking, and research. A renowned expert in measurement and evaluation, she helps organizations implement the ROI Methodology in

countries around the world, including South Africa, Australia, Chile, Brazil, Romania, Ireland, Canada, and the United States.

Since 1997, following a 13-year career in the electric utility industry, Phillips has embraced the ROI Methodology by committing herself to ongoing research and practice. To this end, she has implemented ROI in private sector and public sector organizations. She has conducted ROI impact studies on programs such as leadership development, sales, new-hire orientation, human performance improvement, K-12 educator development, and educators' National Board Certification mentoring. Her current work includes research and application of the ROI Methodology in workforce development, community development, and social sector programs.

Phillips teaches others to implement the ROI Methodology through the ROI certification process, as a facilitator for ASTD's ROI and Measuring and Evaluating Learning Workshops, and as adjunct professor for graduate-level evaluation courses. She serves on numerous doctoral dissertation committees, assisting students as they develop their own research on measurement, evaluation, and ROI.

Phillips speaks on the topic of ROI and accountability at conferences and symposia in countries around the world. She is often heard over the Internet as she presents the ROI Methodology to a wide variety of audiences via webcasts.

Phillips's academic accomplishments include a Ph.D. in International Development and a master's degree in Public and Private Management. She is a certified in ROI evaluation and has been awarded the designations of Certified Professional in Learning and Performance and Certified Performance Technologist. She contributes to a variety of journals and has authored a number of books on the subject of accountability and ROI, including *The Green Scorecard: Measuring the ROI in Sustainability Initiatives* (Nicholas Brealey, 2011); *Return on Investment in Meetings and Events: Tools and Techniques to Measure the Success of All Types of Meetings and Events* (Elsevier, 2008); *Show Me the Money: How to Determine ROI in People, Projects, and Programs* (Berrett-Koehler, 2007); *The Value of Learning* (Pfeiffer, 2007); *Return on Investment Basics* (ASTD, 2005); *Proving the Value of HR: How and Why to Measure ROI* (SHRM, 2005); *Make Training Evaluation Work* (ASTD, 2004); *The Bottom Line on ROI* (Center for Effective Performance, 2002), which won the 2003 ISPI Award of Excellence; *ROI at Work* (ASTD, 2005); the ASTD In Action casebooks *Measuring ROI in the Public Sector* (2002), *Retaining Your Best Employees* (2002), and *Measuring Return on Investment Vol. III* (2001); the ASTD Infoline series, including *Planning and Using Evaluation Data* (2003), *Managing Evaluation Shortcuts* (2001), and *Mastering ROI* (1998); and *The Human Resources Scorecard: Measuring Return on Investment* (Butterworth-Heinemann, 2001). Patti Phillips can be reached at [patti@roiinstitute.net](mailto:patti@roiinstitute.net).

### **Zack L. Phillips, RRT, RCP**

With more than twenty years of experience in the healthcare industry, Zack Phillips is currently the Director of Cardiopulmonary Services at Emory Johns Creek Hospital. This new hospital opened in 2007, with Phillips as an integral part of the opening team. He served as project manager for the launch of the cardiopulmonary service line and was instrumental in

developing physician relationships to build a profitable referral base. Under his leadership, the hospital opened the Center for Sleep Medicine and engaged some of the country's most renowned physicians in its operation.

Phillips has served at nearly every level of the healthcare industry. As a senior-level director of the world's largest healthcare organization, he has experience with and accountability for the profitability and efficiency of the service lines he oversees. His broad base of professional experience is fortified by his interest and advanced certifications in emergency medicine and response for hospitals and government organizations.

Phillips offers a unique blend of expertise and experience in the field of healthcare. He has a keen understanding of what it means for a hospital to operate efficiently, even in the face of pending legislation that is likely to change the operating paradigm for healthcare industry-wide. He is a trusted colleague, an engaged leader, and a gifted motivator for his staff and peers. His perspective is a valuable asset as healthcare organizations work not only to become more efficient, but also to show verifiable return on investment in human resources, technology, and services.

Sample

**SHOW ME THE MONEY:  
PLACING VALUE ON PEOPLE, PROCESSES AND PROJECTS –  
BEFORE AND AFTER IMPLEMENTATION**  
ALTERNATIVE TITLE  
**THE BUSINESS CASE:  
SHOWING THE VALUE OF PEOPLE, PROCESSES, AND PROJECTS –  
BEFORE AND AFTER IMPLEMENTATION**  
Jack J. Phillips and Patricia Pulliam Phillips

### **The Need**

In recent years, we have witnessed change in corporate and organizational accountability for people, programs, projects, and processes. Individuals who sponsor these projects and have responsibility for their success have always been concerned about the resulting value. Today, this concern translates into financial impact – the actual monetary value that can and should be derived from the project. The monetary value is sometimes compared to the cost of the project and is reflected in an ROI calculation.

“Show me the money!” has become the favorite response for individuals who are asked to support or invest in these efforts. At times, this response is appropriate; at other times, it may be inappropriate. Intangibles and other types of are important, if not critical, to most projects. However, the monetary component must be one of the measures included in a success profile. Sometimes, the monetary value is needed before the project is approved or as the project is being designed and developed.

Professionals in all types of settings and organizations will continue to need assistance with issues of placing a value on programs, projects, people, and processes. These individuals need a definitive book that shows them how to address the value of a project:

- before the project is initiated;
- during design and development so that value can be planned for maximum value;
- during implementation so that value can be added throughout execution; and
- during post-analysis to assess the delivered value compared with anticipated value.

This book will address all four scenarios.

### **General Description**

This book is a basic guide for anyone involved in implementing major projects – human capital programs, technology implementations, systems integration, new processes, Six Sigma, product design, new policies and procedures, or any type of project where significant expenditures of time and money are at stake. This book shows how to forecast the value of the project in advance and how to collect data during and after project implementation. It addresses

improvements throughout the process so that the project delivers what is intended. This is a results-based approach to project implementation, focusing on a variety of measures, categorized into six data types:

1. Reaction and Perceived Value,
2. Understanding and Confidence,
3. Application and Implementation,
4. Impact and Consequences,
5. Return on Investment, and
6. Intangibles.

*Show Me the Money* presents a step-by-step guide for identifying, collecting, analyzing, and reporting all six types of data.

The book explores the challenges of measuring the hard-to-measure and placing monetary value on the hard-to-value. As a reference for those who are seeking ways to assign value to these measures, the book will clarify and resolve much of the mystery surrounding the allocation of monetary values. Building on a tremendous amount of experience, application, practice, and research, the book will draw upon the work of many individuals and organizations, particularly those who have been reaching the ultimate levels of accountability using the ROI Methodology. Developed in an easy-to-read format and fortified with examples, tips, and checklists, this will be an indispensable guide for those who seek to understand accountability issues.

### **Target Audience**

The primary audience will be managers and executives who are concerned about the value of projects, programs, processes, and people. Although executives are often committed to these projects, they need to see value in terms they can appreciate and understand – monetary value.

This book is also designed for professionals, analysts, and practitioners who are responsible for collecting, analyzing, and reporting data. It shows how the various types of data are processed.

Another audience will be consultants, researchers, and professors who are unraveling the value mystery, trying to understand more about the difficult and demanding challenges of developing measures and values. This book represents a source of basic research techniques, applications, experiences, and resources available to tackle these critical issues.

### **Functional Areas**

*Show Me the Money* is designed for a variety of functional areas in organizations. Professionals in the following areas represent ideal target markets:

1. Human resources, human capital
2. Learning and development, performance improvement
3. Technology, information technology systems
4. Meeting and events

5. Quality, six sigma
6. Operations, methods, engineering
7. Research and development, innovation
8. Finance and compliance
9. Logistics, distribution, supply chain
10. Sales, marketing
11. Public relations, community affairs, and government relations

## Competition

Although other books explore various topics and issues that are related to, or included in this book, there is little direct competition. Books are available in seven categories that may be perceived to be competition for this new publication:

1. **Value-based books.** Several publications examine value, the meaning of value, and how to create value. Sample titles include:

*Valuing People: How Human Capital Can Be Your Strongest Asset*, Lisa Aldisert.

Chicago: Dearborn Trade Publishing, 2002.

*Value Planning: The New Approach to Building Value Every Day*, Lawrence Serven.

New York: John Wiley & Sons, 1998.

*Cracking the Value Code: How Successful Businesses Are Creating Wealth in the New Economy*, Richard Boulton, Barry Libert, and Steve Samek. New York: Harper Business, 2000.

*The Value Enterprise: Strategies for Building a Value-Based Organization*, John Donovan, Richard Tully, and Brent Wortman. Toronto: McGraw-Hill, 1998.

*On Value and Values: Thinking Differently About We in an Age of Me*, Douglas Smith. Upper Saddle River, NJ: Prentice Hall, 2004.

These are more narrowly focused than our book often covering topics that represent only a part of *Show Me the Money*. They will not compete directly with this book.

2. **Intangibles.** Several publications focus on the importance of intangibles and how they are developed and analyzed. Sample titles include:

*Intangibles: Management, Measurement, and Reporting*, Baluch Lev, Washington, D.C.: Brookings Institution Press, 2001.

*Invisible Advantage: How Intangibles are Driving Business Performance*, Jonathan Low and Pam Kalafut. Cambridge, MA: Perseus Publishing, 2002.

*Why the Bottom Line ISN'T!: How to Build Value Through People and Organization*, Dave Ulrich and Norm Smallwood. Hoboken, N.J.: John Wiley & Sons, 2003.

*The New Bottom Line: Bridging the Value Gaps that are Undermining your Business*, Alan Mitchell, Andreas Bauer, and Gerhard Hausrucking. West Sussex, England: Capstone, 2003.

*The Sustainability Advantage: Seven Business Case Benefits of a Triple Bottom Line*, Bob Willard. British Columbia, Canada, New Society Publishers, 2002.

These books would compete only with the parts of our book that relate to intangibles and converting data directly to money, essentially two chapters.

3. **Process Improvement.** Several books focus directly on process improvement, including business process re-engineering, process re-design, re-inventing, activity-based costing, performance improvement, and several other notable topics. These books explore detailed steps as they methodically and systematically show how to improve processes. They do not show the monetary impact of a process or project nor do they show the costs vs. benefits. Consequently, they compete with only a part of this book.
4. **Project Management:** Dozens of books are available on project management. Most of these follow traditional approaches, providing and explaining the use of tools, templates, and software to manage projects as well as how to complete projects on time and within the budget. These books rarely collect the types of data outlined in this book and they struggle to place value on the hard-to-value measures. *Show Me the Money* is not a book on project management, although the methodology presented could reveal the impact and ROI of a project management solution.
5. **Measurement:** There are literally hundreds of books on measurement of all types. The books that appear to be competition are those on measuring people systems and human capital projects. Sample titles include:

*The Balanced Scorecard: Translating Strategy into Action*, Robert Kaplan and David Norton. Boston, MA: Harvard Business School Press, 1996.

*Rethinking Performance Measurement: Beyond the Balanced Scorecard*, Marshall Meyer. Cambridge, England: Cambridge University Press, 2002.

*The Workforce Scorecard: Managing Human Capital to Execute Strategy*, Mark Huselid, Brian Becker, and Richard Beatty. Boston, MA: Harvard Business School Press, 2005.

*How to Measure Human Resources Management*, 3<sup>rd</sup> Edition, Jac Fitz-enz and Barbara Davison. New York: McGraw-Hill, 2002.

*Measuring Human Capital: Converting Workplace Behavior into Dollars*, Dennis Kravetz. Mesa, AZ: Kravetz Publishing, 2004.

*Investing in Your Company's Human Capital: Strategies to Avoid Spending Too Little or Too Much*, Jack J. Phillips. New York: AMACOM, 2005.

These books show measurement systems and how to manage with them. For the most part, they do not show how to convert data to money or how to measure ROI. Also, they do not show how to isolate the effects of projects from other influences. Our book explores these issues.

6. **ROI:** Several books (primarily ours) have been developed on the non-traditional use of ROI. These include the following titles:

- The ROI of Human Capital: Measuring the Economic Value of Employee Performance*, Jac Fitz-Enz. New York: AMACOM, 2000.
- Return on Investment of Training and Performance Improvement Programs*, 2<sup>nd</sup> Edition, Jack J. Phillips. Burlington, MA: Butterworth-Heinemann (an imprint of Elsevier Science), 2003.
- The Human Resources Scorecard: Measuring the Return on Investment*, Jack J. Phillips, Ron D. Stone, and Patricia P. Phillips. Burlington, MA: Butterworth-Heinemann, 2001.
- Proving the Value of HR: How and Why to Measure ROI*, Jack J. Phillips and Patricia Pulliam Phillips. Alexandria, VA: SHRM, 2005.
- The Consultant's Scorecard: Tracking Results and Bottom-Line Impact of Consulting Projects, including ROI*, Jack Phillips. New York: McGraw-Hill, 2000.
- The Leadership Scorecard: How to Measure the Return on Investment in Leadership Development*, Jack J. Phillips and Lynn Schmidt. Burlington, MA: Elsevier Butterworth-Heinemann, 2004.
- ROI at Work: Best Practice Case Studies from the Real World*, Jack J. Phillips and Patricia Pulliam Phillips. Alexandria, VA: ASTD, 2005.

Our ROI books show the six types of data outlined in this book. The current books on ROI typically concentrate on a particular area, while this book will take a broad-based approach. The ROI books will not compete directly with this book. *Show Me the Money* is not another book on ROI, although ROI is part of it. This book shows a total system to show the value of a project, making the business case – before and after implementation.

7. **Forecasting:** Several books have been developed on forecasting, attempting to estimate the value of projects before they are implemented. These include titles on the technical aspect of forecasting – how to do it mathematically using a variety of models. Other books focus on the importance of forecasting, identifying trends, and understanding scenarios in the future. Since forecasting will be only one chapter in our book, the books on forecasting will not compete directly with our book.

In summary, while there are many books that touch on certain parts of this book, no book directly competes with the objectives, content, and issues addressed in this new publication.

### **Delivery**

The manuscript can be delivered on March 31, 2006.

**SHOW ME THE MONEY:  
PLACING VALUE ON PEOPLE, PROCESSES AND PROJECTS –  
BEFORE AND AFTER IMPLEMENTATION**  
ALTERNATIVE TITLE  
**THE BUSINESS CASE:  
SHOWING THE VALUE OF PEOPLE, PROCESSES, AND PROJECTS –  
BEFORE AND AFTER IMPLEMENTATION**

Jack J. Phillips and Patricia Pulliam Phillips

**Table of Contents**

Chapter 1. What’s Different: The Challenge

This chapter focuses on trends toward increased accountability, particularly on the need to show the monetary contribution for programs, projects, processes, and even people in organizations. Tracing the use, and perhaps abuse, of the term “show me the money,” this chapter examines the forces – both economic and social – that have created the present level of demand for accountability.

Chapter 2. The Starting Point: Defining the Need

Most projects, processes, and programs go astray because of the lack of initial alignment with business needs. Upfront analysis conducted before proposing the implementation of a particular project or program does not usually include a direct connection to articulated business need. These projects are doomed from the beginning. This chapter explores how to make and articulate this alignment in simple, straightforward terms.

Chapter 3. Forecasting Value: In the Beginning

This chapter shows how to develop a forecasted monetary value. Before the project enters the design and development phase, planners can forecast the potential impact, monetary contribution, application and implementation measures, and intangible benefits. This chapter shows how to obtain the best sources of input for forecasting, the key steps necessary to build a forecast, and the best ways to communicate forecast data for decision-making.

Chapter 4. Measuring Reaction and Perceived Value: The Consumer Viewpoint

This chapter explores basic measures of reaction and perceived value from various individuals and groups involved with the program or project. These “consumers” are actively involved in the project and information from them is easily captured. Reaction and perceptions of value are crucial in early decision-making and must be captured quickly and routinely so that planners and managers can make adjustments.

## Chapter 5. Measuring Understanding and Confidence

Individual stakeholders who are involved directly in the project must understand their role in achieving success. They must have the knowledge, skills, and confidence necessary to meet their responsibility. This chapter explores the various ways in which learning, understanding, and confidence can be quickly assessed and used to make adjustments as the project progresses.

## Chapter 6. Measuring Application and Implementation and Their Value

As projects are implemented, individuals are expected to do things differently – conduct meetings, perform tasks, use tools, take action, implement steps, and use new skills. Projects, programs, and processes encourage and promote a range of new behaviors and actions. This chapter explores how application and implementation are monitored routinely so that planners and managers can use relevant data for program corrections. This chapter also shows how monetary values can be placed directly on competencies, offering a shortcut to ROI. Although it has its limitations, this technique may be helpful for evaluating many projects where new competencies are critical to success.

## Chapter 7. Measuring Impact and Consequences

This chapter explores the measures that represent the ultimate outcome or consequence of a project, connecting the project to identifiable impact measures. As the project is implemented, measuring impact and consequences answer the questions “So what?” and “What if?” Essentially, this chapter examines business impacts of the project, which are measured as output, productivity, efficiency, costs, quality, time, or employee satisfaction. This chapter also explores the important issue of isolating the impact of a given program or project.

## Chapter 8. Measuring the Hard-to-Measure

This chapter delves into the issue of measuring items that, at first glance, appear hard to measure. These are often considered soft or intangible measures, such as leadership, innovation, experience, employee engagement, customer loyalty, alignment and many others. The latest research and application from best practice organizations will be included.

## Chapter 9. Converting Data to Money

This key chapter explores a variety of practical techniques to show how data are credibly converted to monetary value. Much progress has been made in this important area. At least ten techniques will be presented along with many examples. The total value stream timeline (i.e., the time period for benefits) is determined in this chapter.

## Chapter 10. Valuing the Hard-to-Value

This critical chapter shows the creative and credible ways in which monetary value is placed on soft items such as creativity, competencies, leadership, customer loyalty, employee engagement, and so forth. Using the latest research and application, this chapter shows how to address and resolve this difficult issue in routine, meaningful, and credible ways.

## Chapter 11. The Intangibles: Value without Money

This chapter discusses when measures should not be converted to money. If a conversion to monetary value cannot be accomplished with minimum resources and appropriate levels of credibility, the measure in question should be considered intangible. Specific rules for making this determination are included in this chapter.

## Chapter 12. The ROI: The Ultimate Value

This chapter explores the ultimate level of accountability – the comparison of the monetary benefits of a project to the costs of the project. This chapter describes how to take the monetary data generated in chapters 9 and 10 and compare that value to the fully loaded costs of the project or process. Three calculations are presented to show this comparison: the benefit-cost ratio, the ROI percentage, and the payback period. This chapter explains how these measures relate to financial measures and how they should be used with other data. A key point is to avoid overreaction to, and abuse of, this calculation.

## Chapter 13. Communicating Value: Letting the Stakeholders Know

This chapter describes the various ways in which data are communicated to a variety of stakeholder and audience groups. After exploring rules, pitfalls, problems, and opportunities that exist when communicating data, the chapter explores the credibility of data and how this issue varies with particular audiences. The needs of multiple stakeholders are explored along with the methods of efficiently and credibly communicating the results to these stakeholders using technology and the Web.

## Chapter 14. How to Make It Work: Sustaining the Process

This chapter examines how accountability processes can be implemented and sustained. Showing the value in monetary terms should be routine. This chapter shows the resources required, competencies needed, and the actions necessary to change the culture to make this a routine and successful methodology.

## Chapter 15. Case Studies

This chapter closes the book with at least a dozen case studies showing a variety of applications of this methodology. Using a consistent format, each case study will be presented in about two pages and will illustrate the power of developing, assessing, and communicating value.

# **Making Human Capital Analytics Work: Value-Based Human Capital Processes and Outcomes**




Patricia Pulliam Phillips, Ph.D.  
Jack J. Phillips, Ph.D.  
August 9, 2013

**ROI** INSTITUTE™

Phone: 205-678-8101 • Fax: 205-678-8102

Email: [info@roiinstitute.net](mailto:info@roiinstitute.net)

Web site: [www.roiinstitute.net](http://www.roiinstitute.net)

Follow, Like or Visit us:   

Copyright © 2013 ROI Institute, Inc.

No part of this may be reproduced, stored in a retrieval system, or transmitted in any form or by any means without written permission

## **Brief Description**

*Making Human Capital Analytics Work: Value-Based Human Capital Processes and Outcomes* provides useful practical tools for HR managers and specialists to show the value of human capital programs and processes. Written in an easy to understand format, this new book shows how to develop relationships between variables, how to predict the success of HR programs, how to determine the cost of intangibles that are hard to value, how to show the business value of particular HR programs, and how to calculate and forecast the ROI of various HR projects and programs. This comprehensive book focuses on three types of analytics: descriptive, predictive, and prescriptive. It also shows how to measure the success of various HR programs with the financial ROI. By reading this book, human capital professionals will learn how to develop actionable information through their analytics practice.

*Making Human Capital Analytics Work* will be an indispensable guide for the HR team as they show the value of what they do and their connection to the business. It is not just a book on data collection and analysis, but a template to change the mindset of the team and influence the image of HR, focusing on the results throughout the HR process. It shows how to use data to drive decisions and build support for the HR function through the use of analytics. In summary, this new book will be a valuable addition to the library of anyone involved in, and supporting, human capital programs.

## **Need**

Although human capital is important to executives, the human resource function is not always viewed as a viable contributor to the organization. The HR budget is often cut more than any other function during tough economic times, although many would argue, including us, that it should probably be increased during those time periods. HR is of the basis of jokes, Dilbert cartoons, and water cooler horror stories. Some view the HR team as the HR police force, concerned more with compliance than strategic direction. According to Jack Welch, the most admired CEO of all time, some see HR as a “health and happiness slide show.” In an effort to demonstrate its importance, HR often focuses on transactional activities, principally administrative. This administrative focus and activity can cause many organizations to dismiss HR altogether.

While this appears to be a dismal picture, on the bright side, showing and proving the value of this function credibly in an organization can be one of the most significant actions to take. The most admired organizations and the best places to work evolve as a result of top executive support of Human Capital. This support occurs when HR demonstrates business value. Research continues to show that investment in human resources programs often correlates with increased productivity, profitability, and customer satisfaction, and even share price for publicly traded companies. So value in HR exists. The question is: How can HR demonstrate value in these terms that resonate with key stakeholders and influence their decision making?

What is needed is a set a tools that can show HR managers, leaders, and practitioners how to connect HR to the business, how to predict the value of HR projects and programs, and how to optimize the value of human capital. On a practical basis, there is a need for HR executives to know how to place monetary value on the hard- to- value measures, such as employee

engagement, job satisfaction, conflicts, stress, and customer satisfaction. In addition, it is helpful to understand relationships between different variables taking the mystery out of what is causing certain low productivity, inadequate quality, delayed processes, and excessive costs. There is sometimes a need to predict outcomes (e.g. which employees are most likely to stay with an organization, which have high potential, which ones are prone to have an accident). Finally, there is a need to show the business value, including the financial ROI for some HR programs in a practical, rational way, and use that data to optimize the human capital function.

In summary, the HR function needs practical tools and a road map to connect to the business, to help drive business, and to show the value of this function. Delivering and using credible results will help HR professionals transform HR into the business contributor that it can be. This book is based on practice and research by many users. HR managers, administrators, specialists and consultants, who may not have the luxury of the formal statistics and analytics training, will find proven techniques, tools, and approaches to help position the HR function as a critical business driver.

## Key Questions

This book answers many important and persistent questions that have irritated and haunted the HR function for years. At the macro level, questions are:

1. What is the payoff for investing in human capital?
2. How do we set the appropriate investment level?
3. How do we optimize human capital programs?
4. How do we show the value of employee engagement, commitment, and satisfaction?
5. How do we translate the above information into support, commitment, and funding?

At the micro level, there are many questions such as:

1. What's the value of workforce planning?
2. What is the best recruiting source or channel?
3. Is it possible to predict retention from a recruiting source?
4. Which selection tools can predict employee success?
5. How can onboarding be optimized?
6. How can job skills development drive business measures?
7. What is the ROI in leadership development?
8. What is the payoff of succession planning?
9. Does career development work?
10. What is the cost of unhealthy employees and the value of healthy employees?
11. How does a wellness and fitness center drive business performance?
12. Can behavioral safety programs prevent accidents?
13. Which employee benefits plans drive organizational performance?
14. How can the compensation system contribute to the company's performance?
15. Do incentives and bonuses drive business performance?
16. What is the ROI in employee motivation and recognition?
17. What is the relationship between job satisfaction and customer satisfaction?
18. Does culture make a difference in organizational performance?
19. What is the cost of excessive stress?

20. How can working at home boost financial performance?
21. Can compliance programs have a positive business impact?
22. How can diversity and inclusion connect to productivity and innovation?
23. How does unplanned absenteeism affect the bottom line?
24. How can job engagement drive safety, retention, and productivity?
25. How can the answers to these questions be used to create a culture of accountability and change the image of HR?

These and many other questions will be addressed in this book as the analytics process comes to life with many applications and examples.

## **Audience**

The principal audience will be HR managers, executives, directors, coordinators, and advisors in medium to large-sized organizations. The target organizations include private businesses, governments, nonprofits, educational institutions, healthcare firms, and non-governmental organizations (NGO's). For any organization where there is a formal HR function, this book will be a helpful guide for HR leaders to show the value of HR.

The second audience is Executives who fund any request HR projects and programs. These "ultimate clients" want to see the business value of human capital. This book will encourage them in terms of what's possible and provide tips, techniques, and strategies to create, fund, and support a productive analytics practice in the organization.

The third audience is the HR specialists who often execute studies, collect data, provide the analysis, write the report, and communicate the results. These are the analytics practitioners. This book will be an indispensable guidebook for this audience, providing tools, templates, and tips to make analytics work.

The fourth audience will include managers who are in supportive roles, not within HR. They are concerned about the HR contribution and are interested in analytics projects or studies. This book offers insight and information for those in support roles. It shows them what is possible with HR analytics and projects.

The fifth audience includes those who have an external role to support HC/HR accountability. These are the consultants, professors, researchers, and analysts who track the HR function, assist the HR function, or collect data, and provide services to many about HR. This audience should find this book to be a helpful tool to explore what must be done to show the value accomplished to this important function.

## **Competing Books**

Several books may appear to be competitors to this new publication. First, there are the books that focus on analytics. These books show how analytics have entered the HR function, breaking down the different processes, analyzing responsibilities and applications. This new book complements the analytics books because it shows a philosophy, practice, and the tactics that

must be in place to deliver value, regardless to what type of project or program is being implemented.

The first set of potentially competitive books are those focusing strictly on analytics.

1. *The New HR Analytics: Predicting the Economic Value of Your Company's Human Capital Investment*. Fitz-enz, Jac. New York: American Management Association, 2010. As the name implies, this book focuses on the predictive scenarios and works through a variety of papers, short stories, and articles provided by various professionals. It is full of information but lacks a systematic way to apply analytics. There is very little information on analytical techniques.
2. *Human Capital Analytics: How to Harness the Potential of Your Organization's Greatest Asset*. Pease, Gene, Boyce Byerly, and Jac Fitz-enz. Hoboken: Wiley and SAS, 2013. This book delves into the analytics focusing primarily on the relationships between variables but does not cover ROI or show how to convert measures such as stress, job satisfaction, and conflict to monetary values.
3. *Predictive Analytics: The Power to Predict who will Click, Buy, Lie, or Die*. Siegel, Eric. Hoboken: John Wiley & Sons, Inc., 2013. This is an interesting book that focuses on the predictive nature only, usually from the marketing perspective. This is essentially a book of case studies on predictive analytics. It is not a competing book.
4. *Delivering Business Analytics: Practical Guidelines for Best Practice*. Stubbs, Evan. Hoboken: John Wiley & Sons, Inc., 2013. This book provides an overview of analytics from all functional areas with much of the emphasis on managing information and IT. This is an excellent guide for the IT staff but would be threatening to the human capital or HR team. This is not a competing book.
5. *Big Data: A Revolution That Will Transform How We Live, Work, and Think*. Mayer-Schroenberger, Viktor, and Cukier, Kenneth. New York: Houghton Mifflin Harcourt Publishing Company, 2013. This book is written more from the overall IT function and it shows applications in a variety of different areas. It is too intimidating for classic HR/human capital applications and is very technology oriented. This is not a competing book.
6. *Human Capital Analytics: Measuring and Improving Talent Development*, 2<sup>nd</sup> ed. Self-published, 2011. This book is published by KnowledgeAdvisors to promote their software. This book doesn't contribute much to the analytics field. This is not a competing book.

Also, there are books that just focus on measurement, evaluation, and research. Several of these books have been produced by the authors from the ROI Institute. In these books, the focus on accountability is usually on the measurement side only, most notably, the books that cover measuring ROI in HR.

1. *Proving the Value of HR: When and How to Measure ROI*. 2<sup>nd</sup> ed. Phillips, Jack J., Patricia Pulliam Phillips. Alexandria: Society for Human Resource Management, 2012. This book describes the methods to evaluate HR at the impact and ROI level. The new proposed book takes a much broader perspective and includes other analytical functions and processes. This is not a competing book.

2. *How to Measure Human Resource Management. 3<sup>rd</sup> ed.* Fitz-enz, Jac, and Davison, Barbara. New York: McGraw- Hill, 2012. This is a classic book on benchmarking, showing how to measure HR activities, which is a prerequisite for analytics. It is not a competitor, but would be a good companion book.
3. *Investing in Your Company's Human Capital: Strategies to Avoid Spending Too Little-or Too Much.* Phillips, Jack J. New York: American Management Association, 2005. As the name implies, this book focuses primarily on setting the investment strategy, with five chapters, and only three chapters for analytics. This book explains the analytics topic from a very high-level view. This is not a competing book.

## **Marketing**

The authors will be marketing this book with several special initiatives on their own.

The ROI Institute will conduct a variety of workshops using this new book as a primary text.

1. The book will be the primary reference in a 5-day workshop to prepare individuals for a Certified Analytics Professional (CAP) designation offered by the ROI Institute.
2. The book will be used in a two day Human Capital Analytics Skill Building workshop offered about 10 times each year, including a special offering sponsored by The Conference Board each year.
3. Articles will be placed in HR magazines around the world to support and promote the book.
4. Presentations will be made at large conferences, particularly SHRM and Workforce Management.
5. A variety of social media tools will be used to promote the book.
6. This book will be marketed to several universities for adoption for an HR text at the advanced undergraduate or graduate level.
7. The ROI Institute will purchase 2,000 to 3,000 copies at a significant discount. These books will be used in all types of promotions such as conference presentation and special promotions.

## **Format and Delivery**

The book will be about 250 pages published in paperback, and the manuscript can be delivered by September 2013.

**Making Human Capital Analytics Work:  
Value-Based Human Capital Processes and Outcomes**

**Table of Contents  
Part One  
Developing the Framework**

Chapter One

**The Need for Results**

- The importance of Human Capital  
Trends and Challenges for Measuring Human Capital
- Paradigm Shifts are Necessary
- Payoff of Measuring the HC Contribution
- A Self-Assessment Tool

Chapter Two

**Measuring the HC Contribution and Connection: A Survey of Approaches**

- Surveys
- HC Reputation
- Human Capital Accounting
- HC Auditing
- HC Case Studies
- Key Indicators
- HC Cost Monitoring
- Competitive Benchmarking
- Human Capital Measures
- Macro Studies (Relationships)
- HC Profit Centers
- Balanced Scorecards
- Return on Investment (Micro Studies)
- Final Thoughts

Chapter Three

**Developing a Results-Based Approach and a New Model**

- The Opportunity to Influence Results
- Purposes of Measurement, Evaluation, Metrics, Analytics (MEMA)
- HC Accountability Myths
- Obstacles to Measuring the Contribution
- Levels of Evaluation
- Sharing Responsibilities for HC Measurement and Evaluation,
- A Results-Based Model for HC Analytics
- Final Thoughts

Chapter Four

**Human Capital Analytics Defined**

- Descriptive (Current state)
- Prescriptive (Improvement Possibilities)
- Predictive (Forecasting)

- Descriptive (Validation)
- Examples
- Applications
- Final Thoughts

## **Part Two**

### **Data Collection and Analysis**

#### Chapter Five

##### **Data Collection Techniques**

- Data Collection Considerations
- Questionnaires
- Surveys
- Test
- Interviews
- Focus Groups
- Observations
- Organization Performance Data
- Summary
- Final Thoughts

#### Chapter Six

##### **Data Analysis – Causation and Attribution**

- Importance of Causation and Attribution
- Experimental vs. Control Groups
- Correlation and Regression
- Time Series Analysis
- Expert Estimation
- Other Analytical Tools
- Final Thoughts

#### Chapter Seven

##### **Data Analysis: Converting Data to Money**

- Importance of Showing the Money
- Using Historical Records and Costs
- Linking With Other Measures
- Expert Input
- External Studies
- Combining Approaches
- Final Thoughts

#### Chapter Eight

##### **Costs of Projects**

- Importance of Having Proper Costs
- Direct vs. Indirect Costs
- Assessment /Analysis Costs
- Development Costs

- Costs for Acquisition
- Implementation Costs
- Evaluation Costs
- Examples
- Final Thoughts

#### Chapter Nine

##### **ROI Analysis**

- Importance of ROI Analysis
- Types of Data
- Planning
- Data Collection
- Analysis
- ROI and its Meaning
- Standards
- Final Thoughts

#### Chapter Ten

##### **Forecasting ROI**

- Importance of Forecasting
- Challenges
- Types of Data
- Expert Inputs
- Error Analysis
- Sensitivity and Scenario Analysis
- Forecasting
- Case Study
- Guidelines
- Final Thoughts

#### Chapter Eleven

##### **Using Benchmarking to Measure HC Effectiveness**

- Benchmarking: A Strategic Evaluation Tool
- Types of Benchmarking Data
- Phases of the Benchmarking Process
- Participating in Existing Benchmarking Projects
- Building Your Own Benchmarking Project
- Making the Process Work
- Final Thoughts

### **Part Three Communication, Sustainability, and Cause Studies**

#### Chapter Twelve

##### **Communication of Results**

- Importance of Communicating Project Results
- The Process of Communicating Results

- Communicating with Target Audiences
- Developing the Analytics Report
- Brief Reports
- Communicating with Top Management
- Management Meetings
- Newsletters/General Interest Publications
- Brochures/Booklets/Pamphlets
- Success Stories
- Final Thoughts

#### Chapter Thirteen

##### **Management Influence on HC Results**

- The Critical Role of Top Executives
- Partner Relationships
- Top Management Commitment
- Management Support and Reinforcement
- Management Involvement
- Focusing on Results with Managers
- Roles, Responsibilities, Risks, and Rewards
- Improving Relationships with Managers
- Final Thoughts

#### Chapter Fourteen

##### **Case Studies**

- Recruitment and Selection
- Learning and Development
- Compensation and Benefits/Rewards
- Legal and Compliance
- Employee and Labor Relations
- Safety, Health, and Wellness
- Final Thoughts

#### Appendix One

##### **How Results-Based Are Your Human Capital Programs? Scoring and Interpretation**

#### Appendix Two

##### **CEO: Check Your Commitment to Human Capital**

#### Appendix Three

##### **Managing the HC Analytics Function**

#### Appendix Four

##### **HC Performance Improvement Plan**

### About the Authors

#### **Patti Phillips, Ph.D.**

Dr. Patti Phillips is president and CEO of the ROI Institute, Inc., the leading source of ROI competency building, implementation support, networking, and research. A renowned expert in measurement and evaluation, she helps organizations implement the ROI Methodology in 50 countries around the world.

Since 1997, following a 13-year career in the electric utility industry, Phillips has embraced the ROI Methodology by committing herself to ongoing research and practice. To this end, she has implemented ROI in private sector and public sector organizations. She has conducted ROI impact studies on programs such as leadership development, sales, new-hire orientation, human performance improvement, K-12 educator development, and educators' National Board Certification mentoring.

Phillips teaches others to implement the ROI Methodology through the ROI Certification process, as a facilitator for ASTD's ROI and Evaluating Learning Impact workshops, and as professor of practice for The University of Southern Mississippi Gulf Coast Campus Ph.D. in Human Capital Development program. She also serves as adjunct faculty for the UN System Staff College in Turin, Italy, where she teaches the ROI Methodology through their Evaluation and Impact Assessment Workshop and Measurement for Results-Based Management. She serves as Distinguished Principal Research Fellow for The Conference Board where she helps develop research and content on human capital analytics.

Phillips's academic accomplishments include a Ph.D. in International Development and a master's degree in Public and Private Management. She is a certified in ROI evaluation and has been awarded the designations of Certified Professional in Learning and Performance and Certified Performance Technologist.

She, along with her husband Jack Phillips, contributes to a variety of journals and has authored a number of books on the subject of accountability and ROI, including *Survey Basics* (ASTD, 2013); *Measuring the Success of Coaching* (ASTD, 2012); *10 Steps to Successful Business Alignment* (ASTD, 2012); *The Bottomline on ROI* 2nd Edition (HRDQ, 2012); *Measuring Leadership Development: Quantify your Program's Impact and ROI on Organizational Performance* (McGraw-Hill, 2012); *Measuring ROI in Learning and Development: Case Studies from Global Organizations* (ASTD, 2011); *The Green Scorecard: Measuring the ROI in Sustainability Initiatives* (Nicholas Brealey, 2011); *Return on Investment in Meetings and Events: Tools and Techniques to Measure the Success of All Types of Meetings and Events* (Elsevier, 2008); *Show Me the Money: How to Determine ROI in People, Projects, and Programs* (Berrett-Koehler, 2007); *The Value of Learning* (Pfeiffer, 2007); *Return on Investment Basics* (ASTD, 2005); *Proving the Value of HR: How and Why to Measure ROI* (SHRM, 2005); *Make Training Evaluation Work* (ASTD, 2004); *The Bottom Line on ROI* (Center for Effective Performance, 2002), which won the 2003 ISPI Award of Excellence; *ROI at Work* (ASTD, 2005); the ASTD In Action casebooks *Measuring ROI in the Public Sector* (2002), *Retaining Your Best Employees* (2002), and *Measuring Return on Investment Vol. III* (2001); the ASTD Infoline series, including *Planning and Using Evaluation Data* (2003), *Managing Evaluation Shortcuts* (2001), and *Mastering ROI* (1998); and *The Human Resources Scorecard: Measuring Return on Investment* (Butterworth-Heinemann, 2001). Patti Phillips can be reached at [patti@roiinstitute.net](mailto:patti@roiinstitute.net).

### **Jack J. Phillips, Ph.D.**

Dr. Jack J. Phillips is a world-renowned expert on accountability, measurement, and evaluation. Phillips provides consulting services for Fortune 500 companies and major global organizations. The author or editor of more than fifty books, he conducts workshops and presents at conferences throughout the world.

Phillips has received several awards for his books and work. On three occasions, Meeting News named him one of the 25 Most Powerful People in the Meetings and Events Industry, based on his work on ROI. The Society for Human Resource Management presented him an award for one of his books and honored a Phillips ROI study with its highest award for creativity. The American Society for Training and Development gave him its highest award, Distinguished Contribution to Workplace Learning and Development for his work on ROI. His work has been featured in the Wall Street Journal, BusinessWeek, and Fortune magazine. He has been interviewed by several television programs, including CNN. Phillips served as President of the International Society for Performance Improvement.

His expertise in measurement and evaluation is based on more than 27 years of corporate experience in the aerospace, textile, metals, construction materials, and banking industries. Dr. Phillips has served as training and development manager at two Fortune 500 firms, as senior human resource officer at two firms, as president of a regional bank, and as management professor at a major state university.

This background led Dr. Phillips to develop the ROI Methodology—a revolutionary process that provides bottom-line figures and accountability for all types of learning, performance improvement, human resource, technology, and public policy programs.

Dr. Phillips regularly consults with clients in manufacturing, service, and government organizations in 44 countries in North and South America, Europe, Africa, Australia, and Asia.

Phillips and his wife, Dr. Patti P. Phillips, have recently published books such as *10 Steps to Successful Business Alignment* (ASTD Press, 2011); *Measuring the Success of Coaching* (ASTD Press, 2012); *Measuring Leadership Development: Quantify your Program's Impact and ROI on Organizational Performance* (McGraw-Hill, 2012); *The Green Scorecard: Measuring the Return on Investment in Sustainability Initiatives* (Nicholas Brealey, 2011); and *Project Management ROI* (John Wiley, 2011). They also recently served as authors and series editors for the *Measurement and Evaluation Series* published by Pfeiffer (2008), which includes a six-book series on the ROI Methodology and a companion book of 14 best-practice case studies. Other books recently authored by Phillips include *ROI for Technology Projects: Measuring and Delivering Value* (Butterworth-Heinemann, 2008); *Return on Investment in Meetings and Events: Tools and Techniques to Measure the Success of all Types of Meetings and Events* (Butterworth-Heinemann, 2008); *Show Me the Money: How to Determine ROI in People, Projects, and Programs* (Berrett-Koehler, 2007); *The Value of Learning* (Pfeiffer, 2007); *How to Build a Successful Consulting Practice* (McGraw-Hill, 2006); *Investing in Your Company's Human Capital: Strategies to Avoid Spending Too Much or Too Little* (Amacom, 2005); *Proving the Value of HR: How and Why to Measure ROI* (SHRM, 2005); *The Leadership Scorecard* (Elsevier Butterworth-Heinemann, 2004); *Managing Employee Retention* (Elsevier Butterworth-Heinemann, 2003); *Return on Investment in Training and Performance Improvement Programs*, 2nd ed. (Elsevier Butterworth-Heinemann, 2003); *The Project Management Scorecard*, (Elsevier Butterworth-Heinemann, 2002); *How to Measure Training Results* (McGraw-Hill, 2002); *The Human Resources Scorecard: Measuring the Return on Investment* (Elsevier Butterworth-Heinemann, 2001); *The Consultant's Scorecard* (McGraw-Hill, 2000); and *Performance Analysis and Consulting* (ASTD, 2000). Phillips served as series editor for ASTD's In Action casebook series, an ambitious publishing project featuring 30 titles. He currently serves as series editor for Elsevier Butterworth-Heinemann's Improving Human Performance series.

Dr. Phillips has undergraduate degrees in electrical engineering, physics, and mathematics; a master's degree in Decision Sciences from Georgia State University; and a Ph.D. in Human Resource Management from the University of Alabama. He has served on the boards of several private businesses—including two NASDAQ companies—and several nonprofits and associations, including the American Society for Training and Development and the National Management Association. He is chairman of the ROI Institute, Inc., and can be reached at (205) 678-8101, or by e-mail at [jack@roiinstitute.net](mailto:jack@roiinstitute.net).

Sample

***ROI for the Public Good:  
How Return on Investment is Improving  
Social Programs and Contributing to the Public Good***

Patricia Pulliam Phillips, PhD  
Jack J. Phillips, PhD  
Gina Paone, MSOD

**Social Investors**

Investing in social programs is not new; what is new is the growing number of individuals and organizations who are doing it. Never before has so much effort been focused on contributing to the greater good. Historically, social investing was the responsibility of government. Now, the burden is being shared by companies, non-governments, foundations, charitable trusts, and other nonprofits. According to the Urban Institute, in the last ten years, the number of registered nonprofits increased 8.6 percent from 1.32 million to 1.44 million. Between 2002 and 2012, public charities grew 29.6 percent, faster than the growth of all other registered nonprofits, making up the largest share of the nonprofit sector at 67.0 percent. In 2014, nonprofits contributed products and services that added \$887 billion to the U.S. gross domestic product; 5.3 percent of GDP. Investing in social programs is big business.

When Bill and Melinda Gates, Bill Clinton, Warren Buffett, Bono, and Oprah Winfrey along with organizations such as Ben and Jerry's, Starbucks, and Herman-Miller are investing, the concept is becoming an important trend. But, with the huge investments come accountability. Making funding choices and ensuring those choices reap the desired rewards is a critical issue with those who help or propose to help others.

**The Accountability Imperative**

All types of public organizations, ranging from governments to non-governmental organizations and nonprofits, are being subjected to higher levels of accountability than previously imagined. For example, the donors to the United Nations are insisting that programs be connected to specific impact measures (e.g. infant mortality, domestic violence) and are requiring documentation showing how much is attributed to the UN program. In a few cases, the donors want to see the efficiency of using the money, pushing the analysis up to ROI. Even nonprofits are now moving to this category of measurement. For example, the provincial government of Alberta, Canada has asked Catholic Family Services to show the ROI for providing counseling at a food bank. Previously, the evaluations were based on the reaction of those who were counseled, as they used the food bank. Now, this new requirement forces the nonprofit to connect the counseling to key impact measures such as becoming employed, breaking an

addiction, avoiding incarceration, discontinuing welfare assistance, and other important impacts that cost the provincial government money. Organizations such as the Save the Children Leadership Academy are building ROI into their measurement strategy. Even military groups are asking to step up to show the value of what they do. For example, the National Guard in the USA was criticized for spending 88 million dollars on sponsorship for recruiting, only to achieve no recruits from the sponsorship efforts. In fact, the analysis showed that this particular sponsorship was not appropriate for the target audience they were recruiting. By definition this results in a negative 100% ROI for this program.

Recent history documents fraud and misallocation of funds for some of the oldest and most well-respected organizations supporting social and environmental good. According to John H. Graham IV, president and CEO of the American Society of Association Executives in Washington, DC, there is a “general erosion of trust in institutions that 40 years ago people trusted without question.” This erosion of trust is causing an even greater focus on accountability than in the past. This accountability is well beyond program activity – it requires the reporting of outcomes. Progress is being made to address accountability needs, but questions remain unanswered for many programs including:

- Are the programs working as planned?
- How much of the success reported for programs is actually due to the program under investigation or some other program or influence?
- What do the programs really cost?
- How much, in cost savings or avoidance, are the programs delivering?
- How do these monetary benefits (cost avoidance) compare to the actual, fully-loaded costs of the programs?
- What changes in program implementation are needed to enhance the programs and achieve even greater results?
- How are programs contributing to the three pillars of sustainability – people, planet, and profit?
- How do we know it is the program that caused improvement in the measure?

The proposed book, *ROI for the Public Good*, provides a proven methodology that can answer these critical questions.

### **The ROI Reach**

This book describes how a variety of organizations are using the ROI Methodology to show the financial return on investment. Many nongovernmental organizations are using ROI. For example, in 2008 with a General Assembly resolution, the United Nations adopted the ROI Methodology as the evaluation system of choice. Now, the UN has almost fifty ROI studies showing that programs are adding value, acknowledging cost savings or avoidance which exceed the cost of the program. These programs focus on issues such as HIV/AIDS, infant mortality, domestic violence, security, and empowerment of women. Another example is the Save the Children-United Kingdom Leadership Academy, which is using the ROI Methodology to demonstrate success of its program, Advancing the Right to Read in Rwanda.

Over one hundred nonprofits are using the ROI Methodology. For example, a nonprofit organization is showing the monetary value of providing water purification to rural areas. Another nonprofit program is showing the monetary value of teaching school children how to accept accountability, take responsibility, and operate as a team.

Over twenty-five federal governments have adopted the ROI Methodology. The British government is using ROI to decide to invest in job skills training. The Australian government has used the ROI Methodology to show the value of new technology in the healthcare area. In the USA, most of the Federal Agencies are using this methodology to describe success of and make improvements to their programs. Hundreds of state and local governments are using ROI in a variety of ways. For example, the City of Denver used ROI to show the value of an absenteeism policy change with bus drivers.

Over 300 healthcare delivery organizations are using the ROI Methodology. In Canada, the government of British Columbia is using ROI to show the value of a new medical procedure. Scripps Health, a California healthcare nonprofit, is showing the ROI of a wellness and fitness center.

Over 150 universities are using the ROI Methodology to evaluate internal, external, outreach and research programs. For example, George Washington University has calculated the ROI on a Master's Degree offered at the National Security Agency. The Ohio State University has used ROI to show the value of a tenure policy change, and the University of California – Berkeley has used ROI to show the value of continuing executive education.

In this economic climate, there is a fundamental need for those who invest in these programs to see the value for their money. In most cases, value is the costs that are being reduced or avoided. For example, the Alberta Canada Health System invests in a program to stop smoking, and it is successful with many citizens below the age of 35 stopping smoking. Because of this program's success, healthcare costs are avoided. The key question is, "Is the cost of the program less than the cost avoided?" If it is not, maybe the program is not the most efficient way to tackle the issue. ROI becomes a very fundamental tool of accountability and is labeled the ultimate measure of accountability by executives, administrators, and program funders who provide money for these programs.

These and other examples are multiplied literally hundreds of times across the world. While the ROI reach is extensive, only the surface has been scratched. In the last two decades, ROI Institute has implemented the ROI Methodology over the world, teaching individuals how to use this methodology. This is only the beginning, as there are at least one million people who need this information. The ROI Methodology is the most used and documented evaluation system in the world. Over 4,000 individuals have become certified in the ROI Methodology with the designation of Certified ROI Professional (CRP), demonstrating they know how to conduct these studies. The work of ROI Institute is replicated in 60 countries, facilitated by 41 international partners. All of this has been achieved without a reference book specifically targeting the public and social sectors. Now is the time to develop this book.

### **The Uniqueness of this New Book**

*ROI for the Public Good* provides a straight-forward approach to measuring the success of programs and projects. Using this balanced approach to evaluating program success, the ROI Methodology generates six types of outcome data (five levels, plus intangibles).

- Reaction to the program
- Learning that is necessary for program success
- Application and Implementation of the program
- Impact of the program on individuals and communities
- Financial return on investment (ROI) from the program
- Intangibles connected to the program

Data are collected, analyzed, and reported using an enhanced logic model. The process is guided by twelve conservative standards to provide the credibility needed by top administrators. Data generated through the methodology shows the actual contribution programs make to the individuals and communities they serve, and also provide program managers and their administrators with data they need to improve the programming.

In comparison with traditional evaluation models, the ROI Methodology complements and enhances current evaluation systems with five areas of distinction. The first area is the model. Many models use classic, logical analysis—a logframe approach where the model is based on inputs, activities, outputs, and immediate, intermediate, and long term impacts. The ROI model picks up at the point where the project is implemented and captures five levels of outcome data. The classic three categories of outcomes (immediate, intermediate, and long term) are now as five levels representing reaction, learning, application, impact, and ROI. These have the advantage of being very distinct as to when they occur. There is no confusion as to whether it is immediate or intermediate. It is based on the sequence of how the data evolves.

The second area of distinction is the attribution issue. The ROI Methodology always uses a step to account for other influences. This is one of the standards. As with other models, it uses the classic experimental versus control group and sometimes other mathematical or analytical approaches to sort out the effects of the program. If none of those work, then it uses a concept of expert estimation with error adjustment which has proven to be very accurate and reliable way to sort out the impact of the particular program. This discipline—to always tackle this issue—makes this model stand apart from others.

A third area of distinction is that in each evaluation, there is always an option of going to the cost-benefit analysis, expressed as both the benefit-cost ratio and the business focused, ROI.

A fourth area of distinction is that the process allows for quick, periodic adjustments at different stages of the process to make sure that the results are delivered. This dynamic adjustment is important because it helps ensure that programs deliver the value desired.

Finally, that the last area of distinction is a set of standards that are very conservative, often taking the error out of the process or examining worst case scenarios. These standards become very executive-friendly and CFO-friendly as they explore these types of analysis.

### **Course Adoption**

This book will serve as a primary text for the following types of courses:

1. Economic based evaluation in an evaluation program or curriculum.
2. Impact and ROI evaluation in a public administration program.
3. Impact and ROI evaluation in a sociology program.
4. Impact and ROI evaluation in healthcare administration.
5. Measurement for results-based management in non-governmental academies.
6. Program evaluation in international development programs.
7. Program evaluation in an education program.

In addition, it can serve as a text in other courses, wherever there is a need for accountability, analytics, measurement, and evaluation.

### **Ancillary Materials**

The textbook will have an instructor's guide that will assist instructors to use the course. The instructor's guide will include exercises, quizzes, and presentation slides. Because our faculty currently teach courses on this topic, they will serve to coach faculty new to the topic. In addition, faculty will be invited to attend ROI Certification at no charge. ROI certification is our most comprehensive learning event on the topic. Faculty would only have travel and lodging expenses. These programs are offered in about 20 countries each year. They are taught by the founders of ROI Institute and the developers of the ROI Methodology, who are also co-authors of the proposed book.

### **Competitor Analysis**

Several categories of books that might be considered to be direct competitors. Books that focus on measuring the impact of social programs may be considered competitors and include:

- *Measuring and Improving Social Impacts: A Guide for Nonprofits, Companies, and Impact Investors*, by Marc J. Epstein and Kristi Yuthas (San Francisco, CA: Berrett-Koehler Publishers, 2014), offers a five-step process that helps gain clarity about the impacts that matter most and provides methods to measure and improve them.
- *Money Well Spent: A Strategic Plan for Smart Philanthropy*, by Paul Brest and Hal Harvey (New York: Bloomberg Press, 2008), gives readers the framework they need to design a strategy, addressing key issues and drawing on examples from over 100 foundations and non-profits
- *Making Sustainability Work: Best Practices in Managing and Measuring Corporate, Social, Environmental and Economic Programs*, by Mark J. Epstein and John Elkington

(San Francisco, CA: Berrett-Koehler Publishers, 2014), is a guide to implementing and measuring the effectiveness of sustainability initiatives.

- *Corporate Impact: Measuring and Managing your Social Footprint*, by Adrienne Henriques (New York: Taylor & Francis, 2010), provides a coherent approach to identifying, understanding, measuring and accounting for corporate social impact.
- *Measuring Social Impact for Policies, Programmes, and Projects: Getting it Done, Volume 2*, by Rory Dillon and Tom Burgess (Grimsby, UK: Institute of Productivity, 2012), uses real-life case studies and examples to illustrate best practice in planning and executing a social impact assessment in a variety of project contexts.

Also the books on classic program evaluation models may be considered competitors and include:

- *Program Evaluation: A Step-by-Step Guide*, by Nancy Barrett (Urbana, IL: Sunnycrest Press, 2013), provides practical tips for developing and implementing your own evaluations
- *Program Evaluation Theory and Practice: A Comprehensive Guide*, by Donna Mertens and Amy Wilson (New York: Guilford Press, 2012), shows how theory informs methodological choices (the specifics of planning, implementing, and using evaluations) and offers balanced coverage of quantitative, qualitative, and mixed methods approaches.
- *Program Evaluation: Alternative Approaches and Practical Guidelines*, by Jody Fitzpatrick and James Sanders (New York: Pearson, 2010), provides practical guidelines for conducting evaluations, from identifying the questions that the evaluation should address, to determining how to collect and analyze evaluative information, to ascertaining how to provide evaluative information to others.
- *Handbook of Practical Program Evaluation*, by Joseph Wholey and Harry Hatry (Hoboken, NJ: John Wiley & Sons, 2010), covers a variety of approaches to analyzing the operations and results of past and current programs, providing guidance for designing ongoing program performance monitoring systems and advice on implementing studies of program processes and program outcomes.

All of these books provide encouraging and promising models for evaluation. None of these books provide the comprehensive economic analysis needed in today's market, with the option of pushing evaluations to benefit-cost analysis and ROI. Also, while most make mention of the attribution issue, the processes described in the texts do not require this step. In many cases, attribution is only assumed based on the author's theory of change. The ROI Methodology recognizes that measurement of attribution is absolutely necessary for credibility. That is why an entire chapter is devoted to the topic. Many of them don't allow for dynamic adjustment through the process. Finally, almost all have confusion on terms of outcome data, not clearly indicating at what point the outcome data is measured. Rarely, do they have standards that are executive friendly. There is no book on the market that provides a model that is executive and CFO-

friendly, while at the same time based on a sound, logical, valid, and reliable process that is also user-friendly, keeping the complexity and mathematics at a minimum.

### **Table of Contents**

This new book begins with an overview of the ROI Methodology, then provides details that will allow readers to apply the process to their programs. In approximately 300 pages, the book will address these topics:

#### **Chapter 1: The Need for Higher Levels of Accountability in Social Programs**

- A. Accountability issues in social programs
- B. Value redefined
  - 1. Types of value
  - 2. The importance of monetary value
  - 3. The perspective of the participant
  - 4. The perspective of the evaluator
  - 5. The perspective of the funder
  - 6. The perspective of the situation
  - 7. The new definition of value
- C. Why the concern now
  - 1. Program disappointments
  - 2. Program costs
  - 3. Accountability trend
  - 4. Scarce resources
  - 5. Evolution of fact-based management
- D. Challenges along the way
  - 1. The commitment dilemma
  - 2. Preparation and skills
  - 3. Fear of ROI
  - 4. Time to respond
  - 5. Power and politics
  - 6. Misleading hype
  - 7. Sustainability

#### **Chapter 2: An Enhanced Logic Model: A Results-Based Approach**

- A. The problems with the current models
- B. The key ingredients of an effective system
- C. Types of data
- D. The process model
  - 1. Planning the evaluation
  - 2. Collecting data
  - 3. Isolating the effects of the project
  - 4. Converting data to monetary values
  - 5. Identifying intangible benefits
  - 6. Tabulating project costs
  - 7. Calculating the return on investment
  - 8. Reporting

- E. Operating standards and philosophy
- F. Implementing and sustaining the process
- G. Benefits of this approach
  1. Aligning with business
  2. Validating the value proposition
  3. Improving the processes
  4. Enhancing the image; building respect
  5. Improving support
  6. Justifying or enhancing budgets
  7. Building a partnership with key executives
  8. Earning a seat at the table

### **Chapter 3: Program Alignment: Linking Programs to Key Metrics at All Stages**

- A. Creating “business” alignment
  1. Business measures are everywhere
  2. The purpose of alignment
  3. Disciplined analysis
- B. Determining the potential payoff need
  1. Obvious versus not-so-obvious
  2. The cost of a problem
  3. The value of an opportunity
  4. To forecast or not to forecast?
- C. Determining business needs
  1. The opportunity
  2. Hard data measures
  3. Soft data measures
  4. Tangible versus intangible benefits: a better approach
  5. Impact data sources
- D. Determining performance needs
  1. Analysis techniques
  2. A sensible approach
- E. Determining learning needs
- H. Determining preference needs

### **Chapter 4: Developing Objectives and Indicators that Link to Key Outcomes**

- A. Reaction objectives
- B. Learning objectives
- C. Application objectives
- D. Impact objectives
- E. ROI objectives
- F. The power of objectives
  1. Objectives drive programs
  2. Objectives enhance design and development
  3. Objectives improve facilitation and coordination
  4. Objectives help participants understand what is expected
  5. Objectives excite sponsors

6. Objectives simplify evaluation
7. Objectives inform the stakeholders

## **Chapter 5: Designing Programs for Results**

- A. Communication with results in mind
  1. Announcements
  2. Brochures
  3. Memos
  4. Workbooks
- B. Changing the role of participants
  1. Why this is necessary
  2. Defining the role
  3. Documenting the role
- C. Creating expectations
  1. Identifying measures before the program
  2. Involving the managers and administrators
  3. Messages from executives
- D. Design for relevance
- E. Design for results
  1. Activities
  2. Skill practices
  3. Simulations
  4. Problems
  5. Case studies
- F. Build-in application tools
  1. Action plans
  2. Improvement plans and guides
  3. Application tools/templates
  4. Performance contract
  5. Job aids
- G. Use tools to transfer to the environment
- H. Involving the participant's manager, administrator, or coordinator
  1. The most influential group
  2. Preprogram activities
  3. During-the-program activities
  4. Post-program activities
  5. Reinforcement tools

## **Chapter 6: Collecting Data at All Levels**

- A. Sources of data
  1. Client/senior managers
  2. Consulting participants
  3. Consulting team
  4. Internal customers
- B. Data collection methods
  1. Surveys

2. Questionnaires
3. Tests
4. Interviews
5. Focus groups
6. Observations
7. Action planning and contracting
8. System monitoring
- C. The Importance of Measuring Inputs, Level 0
  1. Define the project
  2. Reflects commitment
  3. Facilitates benchmarking
  4. Issues in measuring input
- D. Importance of measuring Reaction, Level 1
  1. Customer satisfaction is essential
  2. Making adjustments early
  3. Benchmarking data from other projects
  4. Methods
- E. The importance of measuring Learning, Level 2
  1. Knowledge management is important
  2. Learning is critical for complex projects
  3. Methods
- F. Topics for Reaction and Learning
- G. Using Reaction and Learning data
  1. Monitor satisfaction levels
  2. Identify strengths and weaknesses of the project
  3. Develop norms or standards
  4. Identify planned improvements for a forecast
  5. Marketing future projects
  6. Providing individual feedback to build confidence
- H. The importance of measuring Application and Implementation, Level 3
  1. The value of the data
  2. It's the key focus of many projects
  3. Barriers and enablers
  4. Rewards for success
  5. Types of data
  6. Methods
- I. Importance of measuring Business Impact, Level 4
  1. Higher-level data
  2. The business driver for projects
  3. It's the payoff for clients
  4. Easy to measure
  5. Types of data
  6. Methods
- J. Data collection key issues
  1. Timing of data collection
  2. Sources
  3. Selecting the methods

## **Chapter 7: Separating the Impact of the Program from Other Influences**

- A. The importance of isolating the effects of the program
- B. Preliminary issues
  - 1. Chain of impact
  - 2. Identifying other factors
- C. Use of control groups
- D. Analytical approaches
  - 1. Trend-line analysis
  - 2. Relationship modeling
  - 3. Calculating the impact of other factors
- E. Estimates from credible sources
  - 1. Participant's estimate of impact
  - 2. Administrator's estimate of impact
  - 3. Client estimates of impact
  - 4. Expert estimates of impact
- F. Using the Techniques

## **Chapter 8: Converting Program Impact to Monetary Value**

- A. Importance of converting data to monetary values
- B. The five key steps to convert data to money
- C. Standard monetary values
  - 1. Converting output data to money
  - 2. Calculating the cost of errors, mistakes, waste
  - 3. Converting staff time to money using compensation
  - 4. Finding standard values
- D. When standard values are not available
  - 1. Calculating the value using historical costs from records
  - 2. Using expert input
  - 3. Using values from external databases
  - 4. Linking with other measures
  - 5. Using estimates from participants
  - 6. Using estimates from the management team

## **Chapter 9: Accounting for all Program Costs and Calculating the Return on Investment**

- A. The importance of costs and ROI
- B. Developing costs
  - 1. Costs are credible
  - 2. Fully loaded
  - 3. The danger of reporting costs without the benefits
  - 4. Developing and using cost guidelines
- C. Cost tracking issues
  - 1. Sources of costs
  - 2. Process steps and costs
  - 3. Prorated versus direct costs
  - 4. Employee benefits factor
- D. Major cost categories
  - 1. Initial analysis and assessment

2. Design and development of the project
  3. Acquisition costs
  4. Capital expenditures (if appropriate)
  5. Application and implementation costs
  6. Maintenance and monitoring
  7. Administrative support and overhead
  8. Evaluation and reporting
- E. Basic ROI issues
1. Definitions
  2. Annualized values: a fundamental concept
- F. ROI measures
1. Benefits/Costs ratio
  2. ROI formula
- G. Other ROI measures
1. Payback period
  2. Discounted cash flow
  3. Internal rate of return
- H. Advantages of the ROI Methodology

### **Chapter 10: Identifying and Analyzing Intangible Benefits**

- A. Measuring the hard to measure and the hard to value
- B. Why intangibles are important
1. Intangibles are the invisible advantage
  2. We are entering the intangible economy
  3. More intangibles are converted to tangibles
  4. Intangibles drive projects
  5. The magnitude of the investment
- C. Measuring and analyzing intangibles
1. Measuring the intangibles
  2. Converting to money
  3. Identifying and collecting intangibles
  4. Analyzing intangibles
- D. Confronting intangibles
1. Service levels
  2. Innovation and creativity
  3. Reputation
  4. Leadership
  5. Human life
  6. Image
  7. Trust
  8. Brand
  9. Engagement
  10. Accountability

### **Chapter 11: Reporting Results and Making Adjustments**

- A. Why the concern about communicating results
1. Communication is necessary to make improvements
  2. Communication is necessary to explain the contribution
  3. Communication is a politically sensitive issue

4. Different audiences need different information
- B. Principles of communicating results
  1. Communication must be timely
  2. Communication should be targeted to specific audiences
  3. Media should be carefully selected
  4. Communication should be unbiased and modest in tone
  5. Communication must be consistent
  6. Testimonials are more effective when they come from respected individuals
  7. The audiences' opinion of the project will influence the communication strategy
- C. The process for communicating results
- D. The need for communication
- E. The communication plan
- F. The audiences for communications
  1. Basis for selecting the audience
  2. Audience needs
- G. Information development: the impact study
- H. Media selection
  1. Meetings
  2. Interim and progress reports
  3. Routine communication tools
  4. E-mail and electronic media
  5. Project brochures and pamphlets
  6. Case studies
- G. Routine feedback on project progress
- H. Presentation of results to senior management
- I. Reactions to communication
- J. Improving programs with ROI data
  1. Using the data
  2. Securing approvals
  3. Managing the changes
  4. Reporting progress

## **Chapter 12: Sustaining the Use of ROI to Improve Public Organizations**

- A. Why the concern about implementing and sustaining evaluation?
  1. Resistance is always present
  2. Implementation is key
  3. Consistency is needed
  4. Efficiency is necessary
- B. Implementing the process: overcoming resistance
- C. Assessing the climate
- D. Developing roles and responsibilities
  1. Identifying a champion
  2. Developing the evaluation leader
  3. Establishing a task force
  4. Assigning responsibilities
- E. Establishing goals and plans
  1. Setting evaluation targets
  2. Developing a timetable for implementation
- F. Revising or developing policies and guidelines

- G. Preparing the team
  - 1. Involving the team
  - 2. Using measurement and evaluation as a learning tools
  - 3. Teaching the team
- H. Initiating evaluation studies
  - 1. Selecting the initial program
  - 2. Developing the planning documents
  - 3. Reporting progress
  - 4. Establishing discussion groups
- I. Preparing the sponsors and management team
- J. Removing obstacles
  - 1. Dispelling myths
  - 2. Delivering bad news
- K. Monitoring progress

### **Chapter 13: Writing and responding to grant proposals with ROI in mind**

- A. The power of Impact and ROI grants
- B. Why ROI makes a difference
- C. How to include ROI in the grant RFP
- D. How to include ROI in the proposal
- E. Credibility
- F. Follow through

### **Chapter 14: Case Study Summaries**

This will include a snapshot of eight to ten case studies covering a variety of different social program applications.

#### **Target Audiences**

The target audiences for this book include:

1. Professors and facilitators who need an evaluation text or reference that will meet the demands of today's economic climate.
2. Government administrators, leaders, and elected officials who must ensure that programs and services deliver the desired results.
3. Executives and administrators of nonprofit, faith-based, and nongovernmental organizations who want to ensure that programs are achieving intended results, and are also interested in improving performance of internal processes.
4. Administrators, faculty, and researchers in universities who want to show the value of programs, services, research, and outreach initiatives.
5. Program managers in all types of organizations charged with implementing programs that address public concerns.
6. Researchers and professors charged with tracking the success of public sector organizations.
7. Grant administrators in foundations, charitable trusts, institutions, and governments who want to ensure grant recipients build accountability into their programs and process deliverables.
8. Grant respondents who want a methodical approach to accountability that is easily adaptable to projects and provide credible, valid results.

9. Directors and program managers of organizations (nonprofit, public, and private) who support non-profit, faith-based, and government organizations to enable them to show value for the services they provide.

### **Marketing Efforts**

Publications developed by the authors are a key component of the ROI Institute business strategy. With the publication of a new book, workshops and briefings are developed and delivered using the book as a reference. Through these workshops, consulting projects evolve, providing the authors new opportunities to apply the concepts in actual settings. These new opportunities lead to additional research which is incorporated into future editions of the book.

Specific marketing plans include:

1. A special ROI Certification will be offered for governments, nonprofits, and NGOs. This five-day intensive workshop, with on-line follow-up coaching to develop an ROI study, will lead to the designation of Certified ROI Professional. Over 4,000 individuals have achieved this designation since it was first offered to the public in 1995, and it is now in demand more than ever. This new book will be the principle text for this special ROI certification for the public.
2. Donors and non-profit resource groups will be contacted for their support to purchase these books for non-profits. We expect some large donors to purchase copies for non-profits. After all, Impact and ROI are desired by this group.
3. In addition to workshops and briefings, the authors will develop articles, case studies, and blog postings for a variety of publications and outlets. Each author routinely conducts webinars for a variety of journals and associations. Through these webinars, the book will be highly promoted.
4. Each year, the authors speak at over 50 conferences focused on this topic. The book will be promoted on the ROI Institute website. Flyers and other marketing materials will be disseminated at conferences and workshops where the authors are presenting.
5. Press Releases will be developed for national or regional audiences.
6. The services of a publicist will be secured for a six-month period.
7. A social media program will be launched, utilizing consistent messaging, quality copy / graphics, and properly timed posts through LinkedIn and Twitter. This program approach should help boost awareness and increase book sales revenue.
8. With regard to online marketing, the following domain names have been secured:
  - roiforthepublicgood.com
  - roiforthepublicgood.net
  - roiforthepublicgood.biz
  - roiforthepublicgood.org
9. In addition to marketing and promoting the book, the authors will obtain appropriate reviews and endorsements for the book from professionals and leaders of nonprofit organization, non-governmental organizations, foundations, and private sector entities with particular focus on corporate social responsibility.
10. Finally, the authors will purchase at least 2,000 copies of the book to use in promotional efforts, workshops, chapter presentations, and groups without budgets.

## **The Authors**

Patti Phillips, Ph.D. is an author, consultant, and facilitator of return on investment (ROI) evaluation. She works with private sector and public sector organizations to build accountability processes within their organization. Patti is the President and CEO of the ROI Institute, the leading source of research, education, and consulting in ROI evaluation. She serves on the faculty for the UN System Staff College in Turin, Italy, where she led the design of the Measurement for Results-Based Management course and their Evaluating Impact and Assessment course. She facilitates these courses on line and face-to-face for UN programs around the world. Patti is co-author of Berrett-Koehler's *Show Me the Money* (2007) and 40 other publications. Her book *The Bottomline on ROI* (2002) published by CEP Press, won the Outstanding Contribution Award by the International Society for Performance Improvement. Patti has a Ph.D. in International Development and a Masters degree in Public and Private Management. Her work has been featured on CNBC, Euronews, and dozens of business and professional publications.

Jack Phillips, Ph.D. is developer of the ROI Methodology™ and Chair of the ROI Institute, Inc. Co-author with Patti on *Show Me the Money* (2007), Jack has authored or co-authored more than 50 books on the topic of measurement, evaluation, and accountability and has edited more than 30 case study books. He is the recognized global leader in the ROI Methodology. A former business executive and bank president, Jack has devoted the last two decades to teaching others to show the value of their work. In the last decade, most of his work has been in the public sector. His work has been featured in the Wall Street Journal, Fortune Magazine, BusinessWeek, and CNN.

Gina Paone joined the International Monetary Fund (IMF) in February 2011 after nearly eleven years in Human Resources with the World Food Programme and ten years in the private sector in a marketing capacity. She is currently the Advisor in the IMF's Institute for Capacity Development where she is responsible for the HR function in the department of more than 170 staff around the world. Previously she was Deputy Division Chief, Talent Acquisition and Management Division where she was responsible for developing and implementing strategies around Leadership and career development as well as Performance management and succession planning for the IMF. In 2009, Gina implemented the ROI Methodology in the World Food Programme in Rome, Italy. Now she is implementing the same process in the IMF. Ms. Paone holds a bachelor's degree in Business Administration and psychology from the University of Western Ontario in London, Ontario Canada and a Masters degree in Organizational Development from Pepperdine University in Malibu, California USA.

## **Timeline for Manuscript Development**

A detailed proposal can be developed (if needed) within two weeks of concept approval. The manuscript for *ROI for the Public Good* can be delivered to publisher by December 31, 2015.

## **Book Reviewers and Affiliations**

Jean-Serge Quesnel  
Associate Professor  
National School of Public Administration  
Gatineau, Quebec, Canada

David Butler, Ph.D.  
Associate Professor  
Director International Development Doctoral Program

Department of Political Science, International Development, and International Affairs  
The University of Southern Mississippi  
Hattiesburg, Mississippi USA

Andrea Massey  
Acting Associate Director of the M&E Unit  
Veteran's Health Administration  
Saint Louis, MO

Katherine Majewski  
Librarian  
U.S. National Library of Medicine  
Washington, DC

Joanne Murray  
Executive Director  
John Howard Society  
Southeastern New Brunswick  
Moncton, New Brunswick, Canada

Sample

## General Description

### Brief Overview





*So, What's Your ROI?* shows individuals how to measure and improve success in achieving personal, work, and project goals. Building on an ROI process that has been evolving for more than two decades, this approach is proven to be a powerful way to measure and manage individual contribution. In a step-by-step, easy-to-read format, with numerous examples, this book shows how to measure individual success at five levels. These levels provide answers to key questions that motivate readers to improve, grow, and prosper.

The process can take the perspective of the individual. For example, if an individual is pursuing a particular activity, project, or initiative, the measurement defines how that individual is *reacting* to the project; what the individual is *learning* from the project; the *action* the individual is taking as a result of the project; and the *impact* it is having in his or her work or life.

In total, these measures present a balanced profile of success in a credible, convincing way. The levels form a chain of impact as success at one level is a prerequisite for success at the next. For example, impact will not occur without action and action is not possible without learning the knowledge and skills needed to take action. This book presents ways to easily collect data at each level in order to understand progress and uncover barriers to success. With this information, it is easy to make adjustments and re-plan specific actions to meet objectives. The book shows how to develop these objectives to stay focused on the outcomes. In short, it presents a system that will be an indispensable guide to professionals who want to improve their success.

### The Need

Almost every professional is interested in achieving success. How that success is measured—and viewed by others—is critical and often a mystery. The types of measures needed and the actions that must be taken to improve those measures are essential for these individuals. Success is often achieved in logical, rational, and easy-to-follow steps. These steps commonly referred to as levels, provide a systematic approach to positioning one's efforts for success. For example, consider one of the earlier versions of these levels of success. John Quincy Adams once put it into perspective. "If your actions inspire others to

1. *dream more,*  REACTION
2. *learn more,*  LEARNING
3. *do more, and,*  ACTION
4. *become more,*  IMPACT

you are a leader." These steps, or levels, are logical and rational.

There is perhaps a fifth level that asks, "So what's the payoff on this?" The ultimate payoff may or may not be formally calculated, but there is a mental calculation that is often taken. "Is it worth my time?" "Is it worth my effort?" "Is it worth my resources?" "Is it worth my money?" This is the ultimate measure of success.

We are impressed with an executive that we encountered at the World Food Programme (WFP), an agency of the United Nations based in Rome, Italy. This executive has a habit of asking staff members at all levels, "What is your impact on the World Food Programme?" He is blunt and direct, challenging individuals to show their impact on the WFP. His approach often catches individuals by surprise, creating a volley of questions that must be addressed. How is impact defined? How is impact achieved? What are the prerequisites for that? What can lead to specific impacts? What are the types of impacts?

Questions like these cause individuals to think about levels of success and how to measure them. The key is to set specific objectives and measure progress, either formally or informally, making adjustments along the way. This book describes how accomplish this with easy to use steps.

With so many books on achieving success, the logical question becomes, “Is another book needed?” Professionals are constantly striving to improve themselves, their work, and their level of contribution. They need to assess how well they are doing against specific objectives and measure their success using simple tools. Success in today’s world is defined in many ways, and achieving it requires taking stock along the way. Some measures of success have more value than others, and sorting out the difference is critically important to individual success. A step-by-step guide is needed that shows how to accomplish the desired success and measure it easily.

“Take it to the Next Level” is often desired and may be considered to be complex and difficult, almost impossible to achieve. That’s not necessarily the case. The book will show that when specific objectives are in place, it is easy to determine what to measure, whether to collect data in an informal manner, or implement a formal system to measure that success. Measurement does not have to be a confusing, difficult process. It can be performed simply, logically, and rationally, using the ROI Methodology.

## Scenarios

Perhaps it is helpful to examine specific instances where individuals have measured their success or influence. Juan Pablo, a marketing analyst for Bimbo Bakery, Barcelona, Spain, was interested in using social media advertising for the firm. To date, Bimbo has been uninvolved in social media advertising and wanted to pursue, or at least explore, this new concept. To use it properly, Juan Pablo decided to attend the annual conference of the American Marketing Association, including a pre-conference workshop on using social media advertising. At the conference, Juan Pablo planned to attend several sessions related to the use of social media with topics about effectiveness, processes, pitfalls, and even best practices.

Juan Pablo attended the conference with a clear focus, and used the ROI Methodology to evaluate this particular effort. He only attended sessions concerning topics that were relevant to his project, important to his own success, and had a practical aspect (the reaction). Juan Pablo paid close attention to sessions, collecting information about ways to buy media advertising, ad design principles, implementation tips, specific measures of effectiveness, etc. (learning). Immediately upon his return, Juan Pablo explored the possibilities, followed up on some of the marketing contacts, studied the case studies, contacted social media ad agencies, and ultimately initiated a project (action). With Juan Pablo’s project in place, using what he had learned from the conference, he measured the impact of the ads and compared the effectiveness of the advertising with traditional advertising (impact). Next, considering the cost and benefits, Juan Pablo compared the approach of the new media, including the cost of his time, travel, and fees for the AMA conference. This yielded a positive ROI on his venture, clearly showing the organization that this new process had a value-add.

Claudia Gassmeier is a manager of events for one of the divisions of SAP, the world’s largest business software company. She recently became concerned that the value of her particular function has come into question. She has been asked several questions about contribution, value, and measurement of the function, and is concerned that without clear data showing the value of the function, her work could be marginalized in the future. Previously, Claudia collected data about the success of each event, detailing how individuals have responded to those events – but this has been the only information available, and she needs more to validate her work. Claudia uses the ROI Methodology as a framework to show the value. She collects reaction data about each event in terms of relevance and importance, and measures the takeaways – the actual learning – from each event. She then combines this into a scorecard to provide a clear profile of important reaction and learning data. Next, she follows up on a small

number of events to understand how individuals have used what they learned – the actions from their takeaways. Using consistent questions, she compiles these successes as important measures of action from each event. Finally, for a select number of events, she measures the impact the events have on sales, delivery, service, and cost control. Although these data are compiled by individual project, she combined her overall scorecard of performance. She is now able to show not only the reaction to the experience, but the reaction to the content of the event, the takeaways (learning), the specific actions taken, and the impact on the organization. In at least a couple of events each year, Claudia calculates the financial ROI by showing the cost of the event compared to the monetary benefits when the impact data are converted to money. This has enabled Claudia to show the value of her function in ways the executives have not seen before. It has increased her influence, respect, and her funding.

Chris Fagiolo serves on the faculty of the New Jersey State Police Academy. Chris wants to “make his mark” as an individual; he is an expert in the field of constitutional rights as it relates to police officers interacting with suspects. Chris wants to influence others. He began his career with the New Jersey State Police as a trooper, attained a law degree, and focused on the important area of helping fellow police officers avoid violating constitutional rights of individuals they confront and pursue. Chris teaches officers in the academy and helps others on an individual basis. He wants to have an impact, ultimately preventing charges of constitutional rights violations and having cases dismissed because constitutional rights were violated. These impact measures have captured Chris’ interest. To achieve his objectives, he uses the ROI Methodology with its five levels. Chris has outlined the reaction he wants others to have toward his work, and the key takeaways from his teaching (learning). He also is very concerned about the actions of others – the habits they change and the actions others take to ensure that constitutional rights are not violated throughout the process. Finally, Chris has fully defined impact and data not only within the New Jersey State Police, but for others whom he has had an opportunity to influence. Although Chris could calculate the financial ROI in his work, instead, he made the mental calculations. To him, his accomplishments and improvements are worth the efforts that he has dedicated.

Katy Kanaan is a business change officer at Byblos Bank in Beirut, Lebanon. Katy volunteered for a project to automate the auto loan process in the bank’s branches. In this type of project, Katy would normally search for the appropriate software, evaluate specific references, and implement the system. Katy realized that this approach was not acceptable to others, and that the evaluation needed to be more concrete and convincing. Katy began using the ROI Methodology and its five levels to show the value of this project. She detailed the specific reaction that she wanted individuals to have as they changed the process. Previously, the auto loan process took much longer than necessary, resulting in excessive amounts of paper that became a storage problem for the branches. Katy believed that the proper use of this new software would dramatically decrease loan-processing time, reduce paper, and free storage space for other uses. She realized that individuals must learn how to use this system properly and fully understand the reasons for the change (learning). She also had to ensure that the system was used properly, and that the changes with paper usage were actually occurring (action). Finally, she detailed the impact of this process, tracking the time savings, paper reduction, and space allocation (impact). In addition, she tracked customer satisfaction as well as job satisfaction of the staff involved (intangible benefits). She became keenly aware of the corporate social responsibility of the bank in its paper reduction efforts. Katy isolated the effect of the new project on the impact measures, converted it to money, and calculated the ROI – all on a pilot basis in one branch. Using these data made a very convincing case for system-wide implementation of this project.

These and other scenarios show how this methodology can demonstrate the value of individual tasks or specific projects. Figure 1 shows the definitions of the levels.

Level	Measure Definition	Key Questions Addressed
<b>Reaction</b>	Measures the reactions to the task or project	What are the reactions to the task or project? Is it relevant, important, and valuable?
<b>Learning</b>	Measures knowledge, information and insights gained from the task or project	What is learned from the project or task? What are the key takeaways?
<b>Action</b>	Measures specific actions taken as a result of the task or project	What actions were taken? Is your work a catalyst for action? Is the project being implemented properly?
<b>Impact</b>	Measures the consequences of the actions taken in business terms	What impacts have occurred? What is the impact of your work? What is the impact of your task or project?
<b>ROI</b>	Compares the monetary benefits of the impact to the cost of the effort	What is the economic value the task? Can you “show the money” on your project?

**Figure 1. Five Levels to Measure Success**

### The Scope of the Book

*So, What’s Your ROI?* spans the evaluation of the influence of an individual, an individual’s work, and particular projects. As illustrated in the previous scenarios, the process applies for all of these settings

Concepts described in this book can be helpful in daily life to gauge how people react to you and what they learn and do because of you. For many readers, this will be a useful tool to show the value of their work, detailing accomplishments as they monitor how people react, learn, and take action as a result of their work or projects. Ideally, the work should have an impact on others.

When individuals undertake a particular project to show the value of the project itself, the ROI Methodology provides the process to do it. This clearly demonstrates the reaction to the project, what has been learned, the actions taken to make it successful, and the impact in the work unit, organization, or both. First-level team leaders will find this a useful tool to show the value of their team. With expenditures under close scrutiny, this is an excellent way to show the contributions of a team as they perform specific tasks, routine work, and assignments.

Figure 2 outlines the various possibilities for using this approach, all described in the book. As the figure shows, evaluating daily life is very informal; data collection requires only informal feedback; and action, or possibly impact, may be the highest level of success desired. It takes little time to evaluate success in daily life. While the approaches may not be as credible as those used in other situations, they are credible enough given the resources involved. As the scope of evaluation moves toward a team’s work, the approaches vary, becoming more formal, comprehensive, and credible. A particular reader may use the book in all four of these categories; others may choose to work in one or two areas. The important point is that this is a useful tool that can guide the success of individuals, regardless of what they are doing.

## What Do You Want to Measure?

	Your Daily Life	Your Work	Your Project	Your Team's Work
Formality	Very Informal	Somewhat Formal	Formal	Very Formal
Data Collection	Informal Feedback	Survey	Surveys and Records	Variety of Methods
Highest Level of Evaluation	Action to Impact	Impact	Impact/ROI	ROI
Time Required	Very Little	Low	Low to Moderate	Moderate
Credibility	Somewhat Credible	Credible	Very Credible	Very Credible

Figure 2. The Possibilities for Measuring Success

### Uniqueness of This Book

This book is based on over two decades of research and application. The authors have been measuring the success of individuals involved in leadership development, coaching, teambuilding, training, communication, empowerment, consulting, and a variety of self-help processes. They have measured the success of seven habits, crucial conversations, power communications, reflective learning, behavioral safety, multipliers, social networking, and other hard-to-measure programs. The ROI Methodology described in the book is a proven process that places success on different levels.

Each additional level adds more value to the profile of success, although success at the lower levels is essential for success at the higher levels. For example, if others react negatively to you or your work, they will not learn from you and certainly will not take action because of your efforts. Consequently, there will not be any impact. Each level is important, in a chain on impact where one level builds on another in a logical flow, from reaction, to learning, to action, to impact, and to ROI. The concept is unique, novel, and effective. There is no success-based book that takes this approach. Figure 3 shows this chain of impact that must exist to have a positive impact.

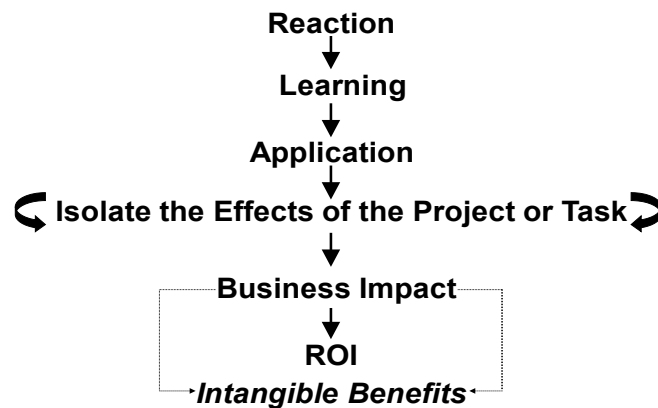


Figure 3. Chain of Impact

## Market Analysis

### The Audience

Designed for specialists, free agents, professionals, and managers who want to achieve success individually, in their work environment, or both. This book is a personal guide that could benefit anyone who wants to be more successful or to make a project more successful. Five specific categories of audiences will find this book to be helpful:

**Individual contributors** will find this book extremely valuable to help them to progress in an organization. Individual contributors are those who are in a professional, technical, or administrative role in an organization. They may not be connected to a team, but their own performance makes a difference in what they do and how they progress in the future.

**Free agents** will find this book valuable to their growth and success. A free agent is an independent contractor, operating as a freelancer, providing services and support to a variety of organizations. More professionals are choosing to be free agents as they contract their work to others. These freelancers must be able to show the value of what they do and what they contribute as a valuable tool to help them gain new clients and increase fees.

**Experienced professionals** will also find this book to be helpful to boost a blocked career. Although they have a wealth of experience, these professionals may be stuck in a job assignment and not changing, advancing, or learning. This book will show them how to broaden horizons as they show the value of what they do, attracting the attention of others, and gaining the recognition and success they need.

**Team leaders/managers**, particularly at the lower levels in an organization, will find this book to be a valuable resource to show the contribution of the work they are performing, or the work of the team. In many cases, it is the work of the team that reflects on the performance of the team leader. This book will show how to define and capture the value of the team in terms of accomplishments and contributions they are making – drawing the appropriate attention to a potentially high-performance team.

**Career Coaches** will find this book valuable as they help individuals and students achieve success, improve performance, and advance in an organization. Also, it could help them shift to another organization, occupation, or career. This is a tool that can help them show the value of what they do, attracting the attention of the right individuals, and making the desired progress.

### How This Book will be Used

The book will enjoy four major areas of usage: It will be **purchased by individual contributors, professionals, team leaders, and free agents** as a self-improvement book. It will help these individuals track their success and use the information to make progress with colleagues, clients, and career. As such, the book should be positioned in both the business and self-improvement genres. *So, What's Your ROI?* is an ideal book for airport bookstores and newsstands. Written in an easy-to-read style with simple tool and checklists, the book is well-suited for e-book distribution.

This book will be **purchased by organizations** for their employees. The focus for these purchases will be in one of two areas. First, the book could be helpful in the area of career improvement and development. It will be distributed in special training and career development programs, management training programs, professional development initiatives, and to high-potential employee groups. The second area of focus is to bring more accountability in employees' work. Some organizations will buy the book for employees as a tool to help them add more value to their own work projects, which in turn, adds more value to the organization.

**Professional associations will sponsor** and promote this book, and make it available to their members at a discount. Many professionals want to validate what they do and show others the successes they are achieving. Professional societies such as the American Marketing Association, the Association for Talent Development, the American Institute of Engineers, the National Association of Accountants, the Society for Human Resource Management, and the Public Relations Society of America are just a few organizations that should purchase this book or make it available through their bookstores.

This book will be the basis for a “train the trainer” workshop conducted by ROI Institute. These **trainers** (consultants, professors, and managers) will teach others to improve themselves and measure success in a one-day workshop offered in many locations. This will be a powerful developmental opportunity.

## Competing Books

There are many personal-improvement, motivational, and empowerment books available on the market. In some respects, the market is cluttered with too many publications. This book will be unique in terms of its approach and content, but will also complement many other books. There are two book categories that might be considered competition.

The first competing book category is the books that focus on success, and there are many of them. For example, Stephen Covey’s classic bestseller, *The Seven Habits of Highly Effective People*, is focused on making people more successful. The authors of *So, What’s Your ROI?* worked with Stephen Covey on other projects and clearly understand the *Seven Habits* book. This new book will complement *Seven Habits of Highly Effective People* by showing readers how to measure success of internalizing each habit. *So, What’s Your ROI?* takes success beyond habits (Level 3) and examines the consequences of effective habits, moving to impact (Level 4) – and perhaps the ultimate evaluation, the ROI (Level 5). This takes the concept of personal achievement and development to a higher level.

Another successful book, *Awaken the Giant Within: How to Take Immediate Control of Your Mental, Emotional, Physical, and Financial Destiny!* by Anthony Robbins, focuses on developing a positive mental attitude and approach. It is an important self-improvement book that was heavily marketed and very helpful for individuals. The book focuses on the attitude that is necessary for success. It is short on how to measure progress, and does not push accomplishment to the ultimate level. Our new book will complement this book, not compete with it.

Another set of books that might appear to compete is a group of books from the Gallup Organization, beginning with *First Break All the Rules* by Marcus Buckingham and Curt Coffman. This book focuses on a significant amount of data detailing what managers should do to be successful. This was followed by *Now, Discover Your Strengths* by Marcus Buckingham and Donald Clifton. This book focuses on a program that shows individuals how to develop unique talents and strengths, and how to help people they manage. This was followed by another book, *Follow This Path*, by Curt Coffman and Gabriel Gonzalez- Molina, which continued the process by showing how the world’s greatest organizations drive growth by unleashing human potential. This focused on organizational efforts through improved employee performance. Finally, this was followed by a fourth book, *How Full is Your Bucket?* by Tom Rath and Donald Clifton. This book is about positive strategies for work and life. Collectively, this set of books bridges the individual, managerial, and organizational perspectives, and show these books may target the same audience as this proposed book. However, these books are short on the measurement, strategy re-planning processes, and specific goal-setting, which will be inherent in *So, What’s Your ROI?*.

Other books may be perceived as competitors as well. *Empowerment Takes More Than a Minute* by Ken Blanchard, John P. Carlos, and Alan Randolph focuses on the manager, not necessarily on the individual employee. Although the book is a powerful tool for business, it does not place much focus on individual specific goal setting, a measure that is necessary to see how progress is being made in the re-planning strategy, which is at the heart of this book. Another book, *It's Easier to Succeed than to Fail* by S. Truett Cathy, is a great personal motivator aimed at entrepreneurs starting and building a business, and focuses on the value systems built along the way. This book is complementary rather than competitive to our new book. Finally, the classic book, *Zapp! The Lightning of Empowerment: How to Improve Productivity, Quality, and Employee Satisfaction*, by William Byham and Jeff Cox, is an effort to empower employees to improve quality, productivity, and employee satisfaction. It is aimed at managers and is an excellent contribution, but for the reasons outlined above, does not compete with the proposed book.

Books focusing on accountability is the other category of perceived competing works. For years, many organizations have been interested in accountability to ensure that the employees focus on the right things, and that they accept the responsibility for good work and perform at their best. These books were developed because of the perceived decline in productivity in some areas, and the low levels of employee engagement and satisfaction.

Perhaps some of the most popular books on accountability are written by Roger Connors and Tom Smith: *The Oz Principle: Getting Results Through Individual and Organizational Accountability* and the follow-up book, *Journey to the Emerald City: Achieve a Competitive Edge by Creating a Culture of Accountability*. These books attempt to show a direct link between a company's culture and the results it produces. These books provide a program to transform and trans-pattern using new, potent ways of being and doing. They examine methods that get to the core of why people and the dynamic process of motivation, while demanding that leaders take control of the culture to create experiences that foster beliefs that drive action and produce the ultimate competitive advantage. These two books are the closest competition to our proposed book. The difference is that the linkage provided in our new book is based on a more expanded chain of impact that must occur to achieve success. In our proposed book, more emphasis is placed on how to actually measure some of these levels of success, and use them in feedback. Also, the Connors-Smith books are somewhat dated, and do not include a necessary concept in today's culture – ROI. The concept of ROI attracts attention everywhere, particularly in today's economy.

*The Accountability Revolution*, by Mark Samuel, targets managers and business leaders. Samuel focuses on the flaws in traditional business thinking, and provides powerful strategies and practical tools to control a company's future. This book is written from the organizational perspective, and is about building systems in the organization. Our new book is written more from an individual perspective, starting with the individual contributor, and perhaps advancing only to the first level of leader. *The Accountability Revolution* should not compete, but should complement this book. Another book, *Results Rule*, by Randy G. Pennington, focuses on building a culture that exceeds or beats the competition. This book is more about the organizational leaders building accountability, and not viewed as much from an individual perspective. It is a complementary book and not necessarily a competing book.

*Success is a Journey: Seven Steps to Achieving Success in the Business of Life*, by Jeffrey J. Mayer, focuses on the seven steps to success. It does focus on the individual, in particular those who are in a position to influence others, such as the manager. It also focuses on personal organization and time management. Although it identifies seven characteristics of successful people, they are not arranged in a chain of impact that must take place for the ultimate success to occur. There is little focus on measurement and soliciting feedback along the way to make changes. Also, the book is somewhat dated.

Finally, the book *Results: Keep What's Good, Fix What's Wrong, and Unlock Great Performance* by Gary L. Neilsen and Bruce A. Pasternack, is aimed at fixing things in an organization and unlocking great performance. This book focuses on the organizational view of achieving results and how to build in a results-oriented culture in the organization. For similar reasons stated above, it does not compete, but complements our new book.

When compared to other books addressing the subject of accountability, this new book is unique. When examining the success of the other books, the authors are fully aware that best-sellers were systematically and persistently promoted by the authors and their publishers. This new book is planned with that approach in mind. Marketing and promotional activities will reflect similar practices of those authors of the top-selling publications. The marketing plan described below is intended to position this book as a standard book for individual contributors and team leaders alike.

## **Marketing Plan**

The authors have an ambitious marketing plan that will turn this book into a bestseller. The goal is to sell 500,000 in the first two years. Here are some of the planned activities:

1. The authors will speak at major conferences on the subject of ROI and what it means to individuals personally. The authors currently speak at over 50 conferences per year, and after publication, this book will be the principal focus of their speaking.
2. A workshop will be designed with the supporting materials and facilitators' guides. A one-day workshop will be an efficient way to teach professionals interested in this topic. The book will be distributed in each workshop. As part of that process, both authors will serve as train-the-trainers, preparing others to teach this workshop, in effect certifying trainers in organizations throughout the world. The authors will purchase at least 2,000 copies for this purpose.
3. Partnership agreements will be sought with professional societies and associations to offer the books to members through their bookstores, and to offer the workshop to the members as well. Some professional associations will have certified trainers on tap so that the course can be offered as part of their routine professional development programs.
4. At least a dozen articles will be developed per year for the first four years after this book release, placing them in business and professional magazines. The emphasis will be on self-improvement publications, and publications for human resources professionals.
5. Cooperative ads will be sought for mainstream publications. The authors will team up with the publisher to invest in ads to promote the book.
6. Co-publishing with key customers is a real possibility. A customized version would be offered to larger organizations that envision large purchases. With a print run of at least 1,000, the book would be customized to that particular organization.
7. The authors will purchase and give away at least 2,000 books at all types of promotional events and to conference attendees, which will help bring attention to this important area.
8. Particular emphasis will be placed on agreements with professional societies that touch human resources in an organization. The Society for Human Resource Management, the International Society for Performance Improvement, the Association for Talent Development, and World at Work will be targeted with special programs and partnerships aimed at getting this information to many employees in an organization through the HR or training manager.
9. A social media program will be launched, utilizing consistent messaging, quality copy / graphics, and properly timed posts through Facebook, LinkedIn, and Twitter. This approach should help boost awareness and increase book sales.

10. A publicist will be engaged to promote the book. The publisher and authors will make the selection of the publicist, with the expense absorbed by the authors. This should be a six-month engagement.

### **Format and Delivery**

The book will be written in an informal, upbeat style, and will be illustrated with charts, diagrams, and tables. Icons will be used as identifiers to key issues and elements of the book. A variety of scenarios, stories, and examples will be presented to connect readers to concepts. Personal action plans will facilitate use of the content. The final product will be an enjoyable and engaging publication that will not only be easy to read, but will be a valuable reference and guide as readers continue to make progress. So, *What's Your ROI?* will be 6" x 9" with 150 - 200 pages. It can be delivered by **March 2016**.

## **Table of Contents**

Preface

Acknowledgement

Foreword

### **Chapter I – Measuring Success is Not Always on Track**

- A. Image is not enough
- B. Personal drive is not enough
- C. Personality is not enough
- D. Emotional intelligence is not enough
- E. Habits are not enough
- F. Trust is not enough
- G. Integrity is not enough
- H. You get the picture

### **Chapter II – Moving to the Next Level: The Five Levels of Success**

- A. The importance of success levels
- B. Level 1: Reaction
- C. Level 2: Learning
- D. Level 3 : Action
- E. Level 4: Impact
- F. Level 5: ROI
- G. Consider the chain of impact
- H. You need rules
- I. Try it quickly
- J. Make it routine

### **Chapter III – Begin with the End in Mind**

- A. A new hierarchy of needs
- B. The need for positive ROI
- C. The need to have an impact
- D. The need for action
- E. The need for learning
- F. The need for the right reaction

#### **Chapter IV – Setting Objectives: The Ultimate Step for Direction and Clarity**

- A. The importance of objectives
- B. Reaction objectives
- C. Learning objectives
- D. Action objectives
- E. Impact objectives
- F. ROI objectives
- G. Making the connection between need and success

#### **Chapter V –Reaction: How People Respond to Work, Projects, or Your Efforts**

- A. The importance of reaction
- B. Reaction categories
- C. Examples of reaction
- D. How to measure reaction
- E. Using the data

#### **Chapter VI – Learning: What are the Takeaways? Do They Learn from Me?**

- A. The importance of learning
- B. Learning knowledge; concepts, facts, trends
- C. Learning behavior, habits, and skills
- D. Are you a teacher?
- E. Breaking down the barriers to learning
- F. Measuring learning
- G. Forming Information
- H. Using the data

#### **Chapter VII – Application: Driving Behavior, Change, and Actions. Do I Cause Action?**

- A. Importance of Driving Action
- B. Activity vs. Results
- C. Behavior change and habits
- D. Specific tasks and processes
- E. How to measure action
- F. The barriers to action
- G. The enablers to action
- H. Using the data

#### **Chapter VIII – Impact: Capturing Consequences, the impact. Do I Have An Impact On Others?**

- A. Measuring impact and consequences
- B. Tangible vs. intangible data
- C. Driving productivity
- D. Improving quality
- E. Reducing time
- F. Lowering cost, improving efficiency
- G. Influencing satisfaction/attitudes
- H. Sorting out influences
- I. Using the data

## **Chapter IX – ROI: The Ultimate Influence. What’s Your ROI?**

- A. The importance of ROI
- B. Is ROI possible?
- C. Is ROI necessary?
- D. Converting data to money
- E. Tabulating the costs of the effort
- F. Measuring ROI
- G. The Intangibles
- H. Using ROI data

## **Chapter X – Making it Routine**

- A. Assessing the situation
- B. Making adjustments
- C. Re-planning strategy
- D. Sustaining it

## **References**

Byham, William C., Ph.D.; Cox, Jeff. *Zapp! The Lightning of Empowerment*, Ballantine Books, New York (1988).

Cathy, S. Truett. *It’s Easier to Succeed than to Fail*, Oliver-Nelson Books, Nashville (1989).

Covey, Stephen R. *The 7 Habits of Highly Effective People*, Simon & Schuster, New York (1989).

Blanchard, Ken; Carlos, John P.; Randolph, Alan. *Empowerment Takes More than a Minute*, Berrett-Koehler, San Francisco (1996).

Buckingham, Marcus; Coffman, Curt. *First, Break all the Rules: What the World’s Greatest Managers do Differently*, Simon & Schuster, Inc., New York (1999).

Connors, Roger; Smith, Thomas A. *Journey to the Emerald City: Achieve a Competitive Edge by Creating a Culture of Accountability*, Prentice Hall Press, Paramus, NJ (1999).

Mayer, Jeffrey. *Success is a Journey: 7 Steps to Achieving Success in the Business of Life*, McGraw-Hill (1999).

Samuel, Mark. *The Accountability Revolution: Achieve Breakthrough Results in Half the Time!*, Impaq Publishing, Los Angeles (2000)

Buckingham, Marcus; Coffman, Curt. *Now, Discover Your Strengths*, The Free Press, New York (2001).

Coffman, Curt; Gonzalez-Molina, Gabriel, Ph.D.; *Follow This Path: How the World’s Greatest Organizations Drive Growth by Unleashing Human Potential*, Warner Books, Inc., New York (2002).

Rath, Tom; Clifton, Donald C., Ph.D.; *How Full is Your Bucket? Positive Strategies for Work and Life*, Gallup Press, New York (2004).

Neilson, Gary L.; Pasternack, Bruce A.; *Results: Keep What's Good, Fix What's Wrong, and Unlock Great Performance*, Crown Publishing Group, New York (2005).

Pennington, Randy. *Results Rule! Build a Culture that Blows the Competition Away*, John Wiley and Sons, Hoboken, NJ (2006)

Roger Connors and Tom Smith; *The Oz Principle: Getting Results Through Individual and Organizational Accountability*, Prentice Hall Press, New York, NY (1994)

Roger Connors and Tom Smith: *Journey to the Emerald City: Achieve a Competitive Edge by Creating a Culture of Accountability*, Prentice Hall Press, New York, NY (1999)

Mark Samuel; *The Accountability Revolution*, Facts on Demand Press, Tempe, AZ (2000)

Jeffrey J. Mayer; *Success is a Journey: Seven Steps to Achieving Success in the Business of Life*, McGraw-Hill, New York, NY (1999)

Gary L. Neilsen and Bruce A. Pasternack; *Results: Keep What's Good, Fix What's Wrong, and Unlock Great Performance*, Crown Publishing Group, New York, NY (2005)

## The Authors

### **Jack J. Phillips, Ph.D.**

Dr. Jack J. Phillips is a world-renowned expert on accountability, measurement, and evaluation. Phillips provides consulting services for Fortune 500 companies and major global organizations. The author or editor of more than seventy five books, he conducts workshops and presents at conferences throughout the world.

Phillips has received several awards for his books and work. On three occasions, Meeting News named him one of the 25 Most Powerful People in the Meetings and Events Industry, based on his work on ROI. The Society for Human Resource Management presented him an award for one of his books and honored a Phillips ROI study with its highest award for creativity. The American Society for Training and Development gave him its highest award, Distinguished Contribution to Workplace Learning and Development for his work on ROI. His work has been featured in the Wall Street Journal, BusinessWeek, and Fortune magazine. Several television programs have interviewed him, including CNN. Phillips serves as President of the International Society for Performance Improvement.

His expertise in measurement and evaluation is based on more than 27 years of corporate experience in the aerospace, textile, metals, construction materials, and banking industries. Dr. Phillips has served as training and development manager at two Fortune 500 firms, as senior human resource officer at two firms, as president of a regional bank, and as management professor at a major state university.

This background led Dr. Phillips to develop the ROI Methodology—a revolutionary process that provides bottom-line figures and accountability for all types of learning, performance improvement, human resource, technology, and public policy programs.

Dr. Phillips regularly consults with clients in manufacturing, service, and government organizations in sixty-five countries in North and South America, Europe, Africa, Australia, and Asia.

Dr. Phillips has undergraduate degrees in electrical engineering, physics, and mathematics; a master's degree in Decision Sciences from Georgia State University; and a Ph.D. in Human Resource Management from the University of Alabama. He has served on the boards of several private businesses—including two NASDAQ

companies—and several nonprofits and associations, including the Association of Training and Development, International Society for Performance Improvement, and the National Management Association. He is chairman of ROI Institute, Inc., and can be reached at (205) 678-8101, or by e-mail at [jack@roiinstitute.net](mailto:jack@roiinstitute.net)

**Patti Phillips, Ph.D.**

Dr. Patti Phillips is president and CEO of ROI Institute, Inc., the leading source of ROI competency building, implementation support, networking, and research. A renowned expert in measurement and evaluation, she helps organizations implement the ROI Methodology in sixty-five countries around the world.

Since 1997, following a 13-year career in the electric utility industry, Phillips has embraced the ROI Methodology by committing herself to ongoing research and practice. To this end, she has implemented ROI in private sector and public sector organizations. She has conducted ROI impact studies on programs such as leadership development, sales, new-hire orientation, human performance improvement, K-12 educator development, and educators' National Board Certification mentoring. Her current work includes research and application of the ROI Methodology in workforce development, community development, and social sector programs.

Phillips teaches others to implement the ROI Methodology through the ROI Certification process, as a facilitator for ASTD's ROI and Measuring and Evaluating Learning Workshops, and as adjunct professor for graduate-level evaluation courses. She serves on numerous doctoral dissertation committees, assisting students as they develop their own research on measurement, evaluation, and ROI.

Phillips speaks on the topic of ROI and accountability at conferences and symposia in countries around the world. She is often heard over the Internet as she presents the ROI Methodology to a wide variety of audiences via webcasts.

Phillips's academic accomplishments include a Ph.D. in International Development and a master's degree in Public and Private Management. She is a certified in ROI evaluation and has been awarded the designations of Certified Professional in Learning and Performance and Certified Performance Technologist. She contributes to a variety of journals and has authored over fifty books on the subject of accountability and ROI. Patti Phillips can be reached at [patti@roiinstitute.net](mailto:patti@roiinstitute.net).

## Preface

### The Initial Spark

Every new book is a journey and the journey begins with an initial spark. This book has its beginning in 1973, when Jack saw an opportunity to show the value of a particular program at Lockheed Martin. Although Jack was an individual contributor with a part-time assistant, he coordinated the cooperative education program, where engineering students alternated work and school to complete their degrees. He knew the executives were always concerned about the value of programs, particularly if they were perceived to be expensive. This one was expensive just by the sheer numbers, with 350 co-op students. At any given time, about 170 were paid from his cost center, so he decided to show the value of this program. Jack measured the reaction to the program, what stakeholders actually knew about it and its purpose, how it was actually working in terms of administration and job assignments, and the impact the program on the organization. Finally, he calculated the financial ROI for the senior management team.

Jack was able to secure an audience with some executives, including the chief engineer, to present the complete analysis, and the feedback was amazing. The funding for the program was left intact in the downturn; the program was improved based on recommendations, and relationships were improved with these executives who were important to Jack and his work and career. His image, and that of his work and this program, was actually enhanced. It made a difference in his career, life, and work. That was the beginning of the use of a process that was relatively crude at that time, but has now evolved into an accepted framework and process for measuring success of individual projects or programs. To date, over 5,000 organizations are using this methodology, primarily to measure the success of major projects, initiatives, events, systems, programs, and processes. It is the most used evaluation system in the world, and has even been adopted as the measurement system of choice by the United Nations.

### Development of the Methodology

As we used this process and taught professionals how to measure the success of their projects, many individuals quickly realized that they could apply it to their work and their lives...and they did. We taught others how this could be applied to any achievement desired, and this level of accountability became an important part of their own personal thinking— how to measure and improve it. We continue to work with this methodology in different fields, developing books and case studies with a variety of publishers and in partnerships with many professional associations. We tackled not only the learning and development community, but leadership, consulting, coaching, human resources, risk management, compliance, technology, marketing meetings and events, communications, public affairs, quality, and employee engagement, among others.

Our books and our support in those areas are thorough, credible, and complete. The books and materials are specialized, showing the technology specialist, for example, how to measure the success of new software, including the financial ROI, in a way that is credible and consistent, accepted by the chief financial officer. Admittedly, our books were too complicated for a person trying to figure out the ROI on what they do. We knew that someday we would write the book that would be appropriate for any person, in any setting. We knew that the book would have to take an easy-to-understand and even lighthearted approach. That day has now arrived and this is the book.

The good news is that this book is based on literally thousands of people using this process in one way or another. Our challenge is to make it comprehensive enough for it to be

valuable, but simple enough for it to be usable. We think we have done that, with a simplistic, easy-to-understand, and usable process that can be powerful, motivating, and ultimately, extremely rewarding.

### **Basis for the Book**

This new book rests on several important conclusions that we see in our clients across organizations globally. The first is that success comes in a chain of impact that must be there for ultimate success to be achieved. In our work in the last two decades, we have validated the chain of impact presented in this book. Second, the concept of measurement is critical. As Peter Drucker and others have said, the only way to manage anything is to measure it. That concept applies to any process, even our own personal success. The book focuses on measurement that comes in a range of options, from perceptive, informal measures to more formal data collection processes. A third principle is the only way to achieve the desired success is by constantly adjusting, re-charting the course, and improving, based on observations and data. We are always making it better, whether we are building on our strengths to make it stronger, or observing challenges and problems (opportunities) that directly capture our focus. Fourth, in today's economic climate, the ultimate accountability, particularly since the global recession, is ROI. The concept of ROI has many meanings. To a finance and accounting executive, it means return on investment, which is a financial term that had its beginnings over 200 years ago. To some, it is a mere expression comparing the value of something to the effort put into it. This book uses both, showing how to achieve the financial ROI, if it is feasible, appropriate, and necessary.

We think you will find this book to be engaging and enjoyable. It is our hope that it will be extremely valuable and helpful to you as you continue to improve what you do and what you contribute in your life, work, projects, and to your team.

### **Acknowledgement**

This book is obviously not the development of the authors alone. Many people over the years have supported us along the way. First, we want to thank the literally hundreds of organizations that have allowed us to work with them, personally experimenting with them, and learn from them. These are some of the most respected and admired organizations in the world, and we are honored to have the privilege of their trust, support, and confidence. Also, we thank the thousands of professionals we have trained and who have achieved ROI Certification. Over ten thousand individuals have devoted at least a week of their lives to learn about ROI on a formal basis, and countless weeks to execute ROI in their work and lives. These are the true pioneers in this methodology, and we are indebted to them because their investment in time and money has enabled this to be implemented in sixty-five countries and thousands of people worldwide.

## Chapter 4

### Securing the Contract

With your compelling proposal written and perfected, what is the next course of action? Some important decisions need to be made about a publisher, who to contact, how to make contact, and how to pursue an acquisition editor to review the proposal. This can be very challenging. Even if you have written many books, or perhaps even have a best seller, it doesn't mean that you will get a response from an editor at a publishing house. There are just too many proposals being presented. This may eventually lead an author to conclude that self-publishing is an option. This chapter discusses the key steps to take to landing the contract, having the contract presented to you in a way that is acceptable, and negotiating the contract.

#### Finding the Right Publisher

A good first step is to identify a publisher who publishes books very much like the one that you are writing. You want a publisher who already has a marketing outlet and marketing success for the audience that you are trying to reach. For example, if you are publishing a book in finance and accounting, you would ideally like to have a publisher who specializes in finance and accounting books. If you have a book that is going to focus on the healthcare field, you want to make sure your publisher has healthcare books published.

You want to make sure that the publisher publishes your type of book. Some publishers focus is on detailed reference books that contain a lot of information and many pages. Others publish books in the 250-300 page range. Still other publishers prefer their books to be less than 100 pages. Sometimes, the publisher defines the format of the book. Pricing is also an important point when finding a publisher. Some very specialized, technical publishers price their books over \$100 a copy. This may not be a good choice, because the publisher may not be able to sell very many books, and a low level of sales can be disappointing. Although the royalties are higher with higher priced books, if the sales are down dramatically, this is not a good economic decision. Plus, the disappointing number of sales may reflect poorly on you when you present your next book proposal to the next publisher.

The old-fashion way of finding a publisher may be best. Ask someone working in the same professional field as your book to examine their bookshelf to see who has published the books already there. This may provide a hint to locating appropriate publishers—publishers already familiar to the target audience that you are seeking. Publishers who have published the books considered to be competition to your book might be another route to follow.

Sometimes, it is helpful to go in to a large book store like Barnes & Noble or Books a Million and go to the section where your book will be located. This could be either the business section, professional section, or reference section. When you find the section, note the publishers. What publishers are interested in covering those topics? You can also find many publisher options on Amazon as you conduct your competitor analysis.

Additionally, it is helpful to review a writing resource, such as *Writer's Markets* or *Books in Print*. This could be helpful and enlightening as there are many different guides and websites to publishers that could be helpful.

Finally, it is good to examine the books you have in your business and professional book collection. Would your book fit with those publishers and be a good addition to their product lines? After all, you will be referencing what others have done as you develop your book. This means that you may have a list of potential publishers already right in front of you. When you have decided on your preferred publisher, you can begin the next step of identifying a contact.

### **Finding the Proper Contact**

When you have decided on a publisher, a contact for the acquisition editor can be found by searching through some of their reference materials such as the websites, publishing guides, manuscript instructions, submissions instructions, etc. The best route to take is to try and find a person who can refer you to the contact. This is where your networking with current authors is most beneficial. If you know an author who has been published with the chosen publisher, then perhaps they can arrange an introduction. The key is to bring attention for your proposal.

For example, one of our publishers is Berrett Koehler, a specialized publisher located in San Francisco. Berrett Koehler is a very successful publisher, and all of their books are related to the business and professional field. We have two books with them, and we have had a good relationship with the CEO of the company for many years. We maintained a good relationship with him even when he was president of Jossey-Bass, a current imprint of Wiley and formerly with Macmillan. We published two books with Jossey-Bass, one of which won an award from the Society for Human Resource Management. Given our history and background, this CEO, Steve Piersanti, respects our judgment and our understanding of the industry. Consequently, when we refer a potential author to him, he will read the manuscript. He has made that commitment to us. But he also reminds us the only manuscripts that he reads are those that are recommended to him. We need to be sure not to recommend anything to him unless we really think that it is viable for their publishing program. This referral process works the same with many other publishers.

When you have a name, it helps. When you have a friendly contact, it's even better.



*Exercise: Take a few moments to find the right potential publisher. Try to find the contact for that publisher.*

---

---

---

---

---

---

---

---

---







## Sample Query Letter

Dear Dan,

Attached is a proposal for a new book, “Publish Your Business and Professional Book Now”. We think this book satisfies an important need in the publishing field and that it should complement your books, *Science Writers’ Handbook*, *Will Write for Food*, and *One Year to a Writing Life*.

### **The Need:**

As you know, business books are a big business. According to *Business Week*, over 12,000 books are published in the business genre each year, with the vast majority of them missing the mark in any measure. Most are losers, except for feeding the ego of the authors. According to *New York Times*, 81 percent of professionals want to write a book. The problem is that so many people want to write a book, but yet they don’t know how to get there. Potential business authors will buy a book if it meets their needs. They need a standalone book, taking them from selecting a niche for the book to using the book in their business.

### **Book Features:**

This book has several important features:

1. A sales focus. The book should not be written, unless there is a niche, a need, and a market.
2. The content is comprehensive. The book covers all the topics an author will need to develop a best-selling book.
3. The book is strong on writing techniques. In addition to style, flow, and format, the book includes methods to be efficient and effective, avoiding mental block.
4. The use of experts. At least twenty best-selling business authors will be interviewed for their input on how and why they write books.
5. The relentless focus on the author’s promotion role. The book’s marketing and promotion chapters are thorough and action oriented.

### **Our Experience:**

This new book proposal is based on our broad experience as well as the experience of others. We have written over a hundred books ranging from 500-page detailed business books to a 100-page introduction which, incidentally, won a book award from the International Society for Performance Improvement (ISPI). We have served as series editors for four publishers, and we have self-published 3 books. We write six to eight books a year with major publishers, usually from McGraw Hill, AMACOM, Routledge, Wiley, and association publishers. Our strengths lie in five areas:

1. Identifying a niche topic that is worthy of a book and that is needed in the market. We actually conduct sessions on this topic.
2. Developing a compelling book proposal. It is rare for us to be rejected with a proposal.
3. Writing the book efficiently, moving from research and experience to putting it on paper—quickly, efficiently, and on time. We know how to do this.
4. Building a business around your book, which is so essential these days. Almost all of our books support our primary business, the ROI Institute, which operates in 65 countries.
5. Marketing the book to a very targeted audience. We take a very active role in marketing our books.

### **Marketing Efforts:**

Business book writing is such an important area for us that we have decided to develop a business writer’s conference to be held annually beginning next July ([www.business-writers-](http://www.business-writers-)

conference.com). This new book will be distributed at the conference and will also be used in our writer's boot camp workshop that we offer periodically. Our marketing efforts will be extensive, including:

1. Employing a publicist for the book.
2. Purchasing 2000 copies for giveaways.
3. Building a business around the book called the Business Writers Exchange.

Because we have written many books, we are routinely asked about the writing and publishing business. These professionals want to write a book and need help. We are writing this book because we do not see a book that fits the needs of our colleagues who want help with this process. While there are many great books available and many of them with great content, there is no book with all of the content our colleagues need in one volume, which is our goal. We would appreciate it if you take a few minutes to review the proposal. Da Capo Press is our first choice and we wait to hear from you before we move to another publisher.

Best Regards,

Jack Phillips Ph.D.  
Chairman

Sample

## Sample Query Letter

Dear Helen,

Attached is a book proposal for a publication we have been contemplating for some time, ROI for the Public Good, coauthored with Gina Paone with the International Monetary Fund. In 2007, Berrett-Koehler published our book, *Show Me the Money*, written primarily for business executives, which described how the ROI Methodology is being used to show the value of all types of projects in all types of organizations. To support the book, we purchased 7,000 copies to use in our workshops, consulting, and speaking engagements.

In the last decade, much of our work has been in the public arena—governments, nonprofits, nongovernmental organizations (NGOs) universities, and healthcare organizations (one of our recent books is *Measuring ROI in Healthcare: Tools and Techniques to Measure the Impact and ROI in Healthcare Improvement Projects and Programs*). We have had much success, but yet we do not have a book that tackles the use of ROI in the public sector. This will be an important reference for program managers, project managers, administrators, and evaluators. Our approach to demonstrating outcomes, which includes ROI, works extremely well in the public sector when program managers fully understand ROI and use the results to drive improvements.

The good news is that this process is very effective in the public sector. More good news is that there is much opportunity to introduce this methodology to nonprofits, governments, and NGOs around the world. This book will have a global reach, and will be promoted heavily among the UN system, where we do a tremendous amount of work now. The UN is our No. 1 client for the ROI Institute in the last five years.

Recently, in a two-week period, we noticed four events that underscore the need for this book. First, we just conducted the second internal ROI certification for the Healthy Living Group in Calgary, Alberta, Canada. This five-day program teaches participants how to measure ROI on their projects. This group is part of Alberta Health Services as they implement preventive programs such as smoking-cessation, nutrition, fitness, and other preventive processes. Although everyone realizes that preventive processes will ultimately reduce healthcare costs in the future, sometimes these connections are not as clear as top administrators would like. They only receive about 2 percent of the Alberta Health Service's budget, and the top executive is willing to include more if they could show the ROI of the current programs.

The second event is a conference being organized in September by the largest foundation in Saudi Arabia sponsored by a Saudi Prince. This foundation, which provides funding to a variety of nonprofits in Saudi Arabia and the Middle East, is concerned about how well the nonprofits are using their funds. The title of the conference is "Measuring the ROI for Non-Profits." Jack Phillips will serve as the opening keynote for the conference and will provide a two-day post conference workshop on ROI for non-profits.

The third event is that the University of Wisconsin has asked for a presentation in a TED Talk style format for their annual conference on distance teaching and learning in August. This is the longest running conference on distance education and is now in its 31<sup>st</sup> year. This presentation is about using ROI for distance learning and eLearning in an educational environment. The concern is that funders are not supporting eLearning to the extent that they should.

Finally, the fourth event involves writing grants and responding to proposals for grants. John White, a 35-year veteran in grant writing and one of the most successful grant writers in the United States, has assisted organizations in achieving all types of grants particularly in the educational area. As he engaged services from the ROI Institute, John made a comment, “if a grant proposal has ROI built into it, the chances of receiving the grant are now doubled.”

These four scenarios underscore the need for pushing evaluations to the ROI level, using a credible process.

This book should add to your published books on evaluation, because it differs from most of them. Although the models presented vary, most are based on a typical logic model. Our book presents an advanced logic model with five levels of outcomes (The UN has labeled our system as “the enhanced logic model”). The ROI Methodology is guided by standards, called guiding principles, which are CEO, top administrator, and CFO friendly. Our system always has the option of taking the evaluation to the benefits-cost level, if needed. Finally, our system has been adopted by 5,000 organizations, making it the most used evaluation system in the world. We see this book to be a deeper dive into measuring the success of social programs. Many of the readers of your other books will buy this book.

Please let me know if you are interested. Sage is our first choice for this book. We have used Sage books and materials for years. The book should fit into your approach of publishing books that address environmental and social issues with an academic slant. If you need more detail, just let us know and we will provide it.

Best Regards,

Patti P. Phillips, PhD and Jack J. Phillips, PhD



## Should You Self-Publish?

Since 2007, the self-publishing business has exploded. Although it has been around for many years, it is really taking off as a viable option for authors. Self-publishing is growing in part by enhanced technology to make it easy, various websites and services to make it affordable, and an increase in demand from authors who want to write books that might not receive a contract offer from a publisher.

Self-publishing has a stigma. When the book is clearly a self-published work, some will argue that no one would actually publish the book; and therefore, the quality might not be there. After all, for a publisher to agree to publish your book, it's committing to a project that might cost \$50,000 to \$100,000 dollars. For a publisher to invest that kind of money, it has to be a great book with quality content written in an engaging way. The concern is that a self-published book didn't meet those standards. This can be an unfair perception, but it's a reality. There are many examples of self-published books that went on to become best sellers. But those books, usually, became best sellers after they were converted from self-publishing to a regular publishing contract.

For a first-time author, we would not recommend self-publishing unless there is no publisher willing to publish the book. Still, we would suggest the book be written along routine publishing standards and follow all of the same processes, including marketing, that would go along with a regular publisher. The author must take all the steps necessary to make the book successful. The good news is that if it successful, then it will be a good money-making venture because you get to keep more than just the royalties for the process—you keep all of the profits. Keep in mind, the self-published author is usually the book's marketing person. You may be the *only* one who will be marketing the book and selling the book. Some mechanism and plan must be in place to market and sell the book. Otherwise, it won't become a publicized or popular book. Some organizations will serve as a self-publisher for you and conduct limited marketing for you. Even in those situations, the financial burden usually goes to the author. This leads to the second disadvantage of self-publishing, which is that the author absorbs the costs of printing the book.

In our work, we often buy large quantities of our own books from a publisher because we want to use them in our work. The publishers will usually offer a large discount, sometimes 70 to 80 percent of the retail price. Sometimes our purchase quantity is quite high, to the point where we have, in some cases, covered the full cost of publishing the book with our initial purchase. So why would we want to do this when we could just self-publish it ourselves and save money? We wanted a reputable publisher to be connected with our work. Also, we want someone else to do the marketing and sales. We were not in the business of selling books. Also, a well-known publisher provides additional exposure. We are now more geared-up for marketing and selling, and we are willing to take on self-published books ourselves because we can do a decent job of marketing the books.

In summary:

- Self-publishing is a viable option
- For a first book, self-publishing should be considered as the fallback option.
- Self-publishing should follow the same rigors of a book developed for another publisher.
- Self-publishing is complicated by the fact that there have been some horrible books that have been self-published. By the mere name, you are publishing whatever you want and



## Chapter 5

### The Contract

The contract is the legal document between the author and the publisher describing expectations, arrangements, and conditions for publishing the book. For the most part, contract issues should not present problems for the author, although there are a few important issues that should be examined, discussed, and perhaps even negotiated.

#### **Deliverables**

The deliverable paragraph is the part of the contract that documents all you are committing to complete. It is important that you examine the book title, description, the due dates, and any other parameters around the manuscript you are delivering. All conditions must be clearly stated and be agreeable with the author.

#### **Royalties**

The royalty percentage may be the most important thing to you. First-time authors may have a low royalty rate offered to them, perhaps in the 6 to 10 percent range. To the publisher, the author is unknown so the offered rate maybe on the low side of what is considered normal. We would recommend a 10-12 percent royalty rate. If it is not offered in your contract, you should raise the issue. Your royalty is a percentage of the retail price of each book sold, although there are exceptions. It would be helpful to read the exceptions of what is not covered when calculating a royalty. Most contracts follow a standard format and the verbiage is usually quite standard, so this section of the contract might not be much of a concern to you.

#### **Competing Works**

If you intend to write more material or additional books on the same topic, it may be helpful to focus on the competing works section of the contract. Your publisher is concerned about the possibility of an author writing another, similar book that will be published by another publisher; thus, harming or cannibalizing the sales of this book. Consequently, some publishers prohibit competing works without their approval.

We generally recommend striking this paragraph out if you plan to write additional material. At the same time, you don't want to compete with your own book. Our key point is to be upfront with the publisher and let them know that it is not to your best interest to limit your future publications. You may not be considering another publication and this point, but in case you do, you may still like to discuss it with them. The key is to not constrain the ability to develop your business. You may need to develop other materials in the future that might be in the same copyright domain as your current book.

## **Right of First Refusal**

Some publishers want the right to refuse your next book (i.e. they would like to have first choice of your next publication). This may not be a problem, but if the current publisher does not live up to your expectations, you might not want to use them again. You might want to strike this section if you think you may have another book planned or in the works. Striking this section is particularly favorable for the author if the publisher is unknown to the author or gives any cause for concern at this point. This section will obviously will be worded in the favor of the publisher and not the author, so read each line of this agreement carefully.

## **Additional Copies Purchase**

The authors' purchase of additional copies must be outlined in the contract, referencing a purchase the author may make beyond what is provided free to the author from the publisher as author's copies. This additional purchase normally is offered with an author's discount outlined in the contract. This is a huge issue with publishers. They want you to buy large quantities for three reasons: 1) it helps to cover the costs of publishing, sometimes all of it, 2) it validates that you have a platform to promote and market the books, and 3) it shows your commitment to the book. If you are purchasing 2,000 copies of a book, you will want to make it a great book.

If you plan to use a large quantity of your books in the work you do, you will want to negotiate and purchase the books at a very low price. The publisher may not want to lower the price as much as you would like. We recommend that for purchasing quantities of 500 books that you get at least 70 percent off of the retail price. If you purchase 1,000 copies, 75 percent; and for 2,000 copies, 80 percent would be appropriate. These numbers can vary, but the key is purchase your books at the lowest price possible. After all, you are giving many of these away copies, or you are using them in promotions or workshops. One concern from the publisher is how you will use the books you purchase. Unless you have made resale arrangements, they don't want you to sell the books . . . instead use them in promotions.

## **Contract Negotiations**

It may be helpful to review each item on the contract to make sure that you are familiar with it. Then, decide when open up negotiations if you find there are issues causing you concern. Remember, most things are negotiable, and the publisher expects some requests. But at the same time, if you are a first author, it is not in your best interest to annoy the publisher by making excessive demands or unreasonable requests. You can bring up issues that you are concerned about in a very nice way, perhaps even during a telephone conversation or text message before you try to make any actual changes to the contract.

## **Typical Contracts**

Three sample contracts are included at the end of this chapter for your review.



AGREEMENT made on \_\_\_\_\_ between \_\_\_\_\_ Publishers, Inc. ("the Publisher") and \_\_\_\_\_ ("the Author").

The Author and Publisher agree to collaborate in the publication of a work ("the Work") on \_\_\_\_\_ (tentative title) and to carry out their respective responsibilities as described below.

**1. Grant of Rights.** The Author grants to the Publisher the exclusive rights during the full term of this Agreement: (a) to publish and sell the Work, under its own name and under other imprints and trade names, in all languages throughout the world; (b) to make and sell, and authorize others to make and sell, all translations, abridgements, excerpts, other editions, and other versions and derivatives of the Work, whether in print, electronic, digital, audio, video, or any other form or format now known or hereafter discovered or created; and (c) to use or authorize others to use the Author's name and likeness or photograph in conjunction with the foregoing. The Publisher will take the necessary steps to register the copyright on behalf of the Author and in the Author's name (or in the name designated by the Author) and will place copyright notice in the Author's name (or in the name designated by the Author) in all copies of the Work. The Publisher acknowledges that the general ideas and concepts contained in the Work may be used by the Author in the normal course of the Author's day-to-day business, and the use of such general ideas and concepts in the Author's day-to-day business will not be deemed a violation of the Agreement.

**2. Delivery of Manuscript.** The Author agrees to submit to the Publisher, on or before \_\_\_\_\_, one electronic copy of the draft manuscript of the Work to be sent via e-mail as a Microsoft Word or RTF (Rich Text Format) document. The Author agrees to subsequently undertake such revisions of the manuscript as in the Author's and Publisher's judgment, based on critical reviews of the manuscript, are necessary to enhance the quality, usefulness, and salability of the Work. The Author further agrees to prepare and submit to the Publisher, on or before \_\_\_\_\_, one printed hard copy and one electronic copy of the complete and final manuscript of the Work, to consist of approximately 85,000 to 90,000 words, including all materials specified in Paragraph 7 below. The printed hard copy of the final manuscript will be sent to the Publisher's office and the electronic copy will be sent via e-mail as a Microsoft Word or RTF (Rich Text Format) document. If the final manuscript contains any illustrations, charts, diagrams, art work, forms, photographs, or other figures and exhibits, they will be prepared according to the Publisher's specifications and put in a separate file from the body of the manuscript, with notation in the manuscript of where each such material should be placed.

**3. Publication, Principal Royalties, and Advance Payments.** When the Author has delivered to the Publisher the copies of the complete and final manuscript, it will be published at the Publisher's expense. The Publisher will pay the Author a royalty based on cash received by the Publisher of (a) 10% on the first 10,000 copies sold, 15% on the next 20,000 copies sold, and 20% on copies sold thereafter on sales of any hardcover edition of the Work; and (b) 10% on the first 10,000 copies sold, 15% on the next 20,000 copies sold, and 20% on copies sold thereafter on sales of any softcover edition or other edition, version, or derivative of the Work in any format, excluding electronic editions or versions. The Publisher will pay the Author a royalty of 20% of the cash received by the Publisher from the sale of any electronic edition or version or from the sale or licensing to another party of any rights to make or sell an electronic edition or version of the Work. As used in this Agreement, an "electronic edition or version" means a copy of the Work, or of any version, derivative, or portion of the Work, that is sold, distributed, or accessed in an electronic or digital format using any process or technology for retrieving, transmitting, displaying, or delivering electronic or digital content. The Publisher will pay to the Author an advance of \$5,000.00 in two payments, which will be applied against royalties to be earned and other sums accruing to the Author under this Agreement: \$2,500.00, due within 30 days after the Publisher's receipt of fully executed copies of this Agreement; and \$2,500.00, due within 30 days after the Publisher's initial publication of the Work.

**4. Income from Subsidiary Rights Sales.** The Publisher will pay the Author 50% of the cash received by the Publisher, after deducting any foreign taxes and any payments to the Publisher's or Author's agents to solicit such sales, from sales to third parties of any of the following subsidiary rights in the Work: (a) the right to publish, broadcast and/or sell the Work or any edition, version or derivative of the Work, in whole or in part, in audiotapes, videotapes, television and radio programs, films or any other audio or video media, book club distributions, foreign language translations, other print editions, reprints or adaptations, microfilm versions, or in Braille or large-print versions; and (b) the right to use excerpts, quotations, serializations, and abridgements from the Work in periodicals, anthologies, or educational and training materials. The Publisher may authorize use of the Work by others without compensation to the Publisher or Author, if, in the judgment of the Publisher, such use may benefit the sale of the Work or of subsidiary rights in the Work. If, in connection with any subsidiary rights sales, remainder sales, or other sales, the Publisher sells any stock of the Work at a price below the manufacturing costs of the Work plus the royalties otherwise due to the Author, no royalties will be paid to the Author on the sale of that stock. Sales under Paragraph 4 will be excluded in computing the number of copies sold as specified in Paragraph 3 and will be computed and shown separately in reports to the Author.

**5. Reports and Payments.** The Publisher will report on sales of the Work and subsidiary rights sales on or before \_\_\_\_\_ of each year for the twelve-month period ending the prior December 31. With each report of sales, the Publisher will make settlement to the Author for any royalty balance shown to be due in excess of advance payments made to the Author. The Author or the Author's representative will have the right, upon written request, to inspect the Publisher's books of account as they relate to the Work. Such inspection will be at the expense of the Author unless errors of accounting amounting to 5% or more of the total sum paid to the Author are

found that are to the Author's disadvantage, in which case the cost will be paid by the Publisher. During any accounting period, the Publisher may withhold a reasonable reserve against returns to be set by the Publisher. Any reserve against returns withheld by the Publisher in a given accounting period will be added to the Author's royalty account in the next accounting period. If, for this Work or any other work subject to an agreement between the Author and the Publisher, the Publisher does not fully recoup any amounts paid to the Author in excess of the royalty balance actually due to the Author, or any other expenses the Publisher is entitled to apply against the Author's royalty account (which account includes both royalties and subsidiary rights income), the Publisher may recoup such excess payments or expenses from royalties or subsidiary rights income otherwise payable to the Author under this Agreement or any other agreement between the Author and the Publisher for any other work.

**6. Author's Copies.** The Author will receive \_\_\_\_ free copies of the initial edition of the Work for personal and marketing use and to send to persons who have endorsed, contributed to, or otherwise supported the Work; the Author may decide how many of these 150 copies are print copies and how many are copies of a digital edition sold directly by the Publisher. The Author may purchase in any quantity at a 50% discount of the list price additional copies of any print or digital edition of the Work sold directly by the Publisher. The Author may also purchase bulk quantities of any print or digital edition of the Work sold directly by the Publisher at a special prepublication discount of 60% off list price for 500 to 999 copies, 65% off list price for 1,000 to 1,999 copies, 70% off list price for 2,000 to 2,999 copies, and 75% off list price for 3,000 or more copies, provided that the order and payment are received by the Publisher at least two months in advance of the date that the printed and bound Work is scheduled to ship from the printer, so that the Author's bulk purchase may be added to the printing of the Work. On copies of the Work purchased by the Author, no royalties will be paid to the Author, no credit or payment will be given for any copies returned to the Publisher, and the Author's purchases will be excluded in computing the number of copies sold as specified in Paragraph 3. The Publisher's usual and customary shipping charges will be added to the cost of copies purchased by the Author.

**7. Manuscript Preparation.** The manuscript will be deemed to be "complete and final" for purposes of this Agreement when (a) the revisions of the manuscript described in Paragraph 2 are completed; (b) the manuscript is in proper form for use by the copyeditor, in accordance with the Publisher's guidelines for manuscript preparation, including being double-spaced throughout every page (including quotations, references, notes, and heads); and (c) the manuscript includes the following materials: a title page; preface; acknowledgments; dedication; author's biographical statement; table of contents; list of tables, figures, and exhibits (if any); complete references; and complete and final copies of all illustrations, charts, diagrams, art work, forms, photographs, and other figures and exhibits (if any). If the Publisher and Author determine that an index to the Work is desirable, the Publisher will prepare or engage a third party to prepare the index in such manner as the Publisher deems appropriate, and the Publisher will pay the cost of preparing the index. If the Author and the Publisher decide to include illustrations, art work, figures, exhibits, and the like in the Work, the Author will deliver such materials with the final manuscript, and any costs incurred by the Publisher in excess of \$2500.00 for preparing such materials for reproduction and publication will be charged against the Author's royalty account.

In the event that the Author elects not to or fails to provide on a timely basis complete and final copies ready for publication of any manuscript materials, or in the event that developmental editing is needed to help revise the manuscript to make it complete and final and ready for copyediting, then the Publisher may elect to have these materials prepared or this work done by others, and the cost of such preparation and work will be charged against the Author's royalty account.

**8. Copyrighted Material and Permissions.** The Author agrees to obtain permissions covering all the rights granted in this Agreement for the use of any copyrighted material included in the Work; to submit written and complete copies of all permissions, in accordance with the Publisher's guidelines for permissions, with the complete and final manuscript when it is delivered to the Publisher; and to pay any permissions fees charged by the copyright holders or their agents, assigns or licensees.

**9. Copyediting and Proofreading.** The Publisher will have the right to edit the Work for the original printing and for any reprinting, and the Author will have the right to review and alter the editing so that the edited manuscript is reasonably and substantially acceptable to the Author. The Author will also have the right to review the typeset proofs of the Work, which the Author shall correct and promptly return to the Publisher. If the costs of the Author's alterations in the proofs (other than for correcting composition errors) or the costs of any composition or design work necessitated by the Author's changes in the proofs exceed 5% of the cost of composition, the excess amount will be charged against the Author's royalty account.

**10. Publishing Details.** The Author and Publisher will jointly decide the title of the Work and the copy on the front cover ("Cover") of the Work. The Publisher will consult with the Author and solicit the Author's advice and ideas concerning the design of the Cover as well as soliciting input from the Publisher's sales, marketing, design, and editorial representatives. The Publisher will take the lead in developing and refining the design of the Cover, and the Author and Publisher will jointly approve the final Cover design. The Publisher will also consult with the Author and seek the Author's advice and ideas concerning the trim size and format of the Work, the type of cover, the design and layout of the interior text, and the plans for marketing the Work through direct mail, bookstore and trade distribution, special sales, media reviews and publicity, and other marketing channels; the Publisher will have the right to make final decisions in these matters. The Publisher will also have the right to decide all other publishing details, including prices at which the Work is sold, discounts and other sales policies, and paper, printing, and binding details. The Publisher will not be liable to the Author for damages, if any, resulting from the loss or destruction of manuscripts, art work, electronic files, printer's files, or other materials connected to the publication of the Work.

**11. Revised Editions of the Work.** The Author agrees to revise the Work if the Author and Publisher agree that a revision is warranted. The provisions of this Agreement, including the schedule of royalties in Paragraph 3, will apply to each revision of the Work as though the revision were the Work being published for the first time under this Agreement, except that there will be no additional advance paid to the Author for any revised edition. If the Author is deceased or unable to revise the Work, the Publisher may have the Work revised by others and charge the cost of such revision (up to a maximum of 50% of the royalties for the revised Work)

against royalties due the Author for the revised Work and may display in the revised Work and in advertising the name of the person who revised the Work along with the name of the Author.

**12. Author's Warranties.** The Author warrants and represents that the Work is the Author's original creation, that the Author owns or is the authorized licensee of all rights granted under this Agreement, that the Author has full power and authority to copyright the Work and make this Agreement, that the uses of the Work authorized in this Agreement will not infringe any other person's copyrights or other proprietary rights, that the Work does not violate any privacy or publicity rights or contain any libelous or unlawful matter, and that all statements of fact in the Work are based upon deliberative research and to the best of the Author's knowledge are true. The Author agrees to indemnify and hold harmless the Publisher and its licensees against any damages or expenses, including reasonable legal fees, incurred in connection with the Author's breach of any of these warranties or with any third party claim, demand, or action arising out of such a breach (a "third party claim"). The Publisher will have the right to take the lead in defending any third party claim, and the Author will have the right to choose an attorney, to be paid at the Author's expense, to co-defend such a claim. Any settlement of a third party claim will be subject to the Author's approval, which will not be unreasonably withheld. If a third party claim is sustained in a court of competent jurisdiction or settled by common agreement between the Author and Publisher, the Publisher may withhold sums otherwise due the Author under this Agreement and apply them to the reduction of the Author's obligations under this Paragraph 12. The above warranties and indemnities will survive the termination of this Agreement.

**13. Right to Terminate Agreement.** The Author will have the right to terminate this Agreement after the Work is published if, for any reason, the Author is not satisfied, in the Author's sole judgment, with any aspect of the relationship with the Publisher or with the Publisher's performance in any aspect of publishing and selling the Work. To exercise this right, the Author must send the Publisher written notification of the Author's intention to terminate the Agreement, along with a statement of problems causing dissatisfaction. The Publisher will then have 6 months after receiving such notification to remedy the problems to the satisfaction of the Author, and if at the end of this period the Author continues to not be satisfied, the Author may send the Publisher written notice of termination, which termination of this Agreement will take effect 120 days after the Publisher receives such notification, unless there are any outstanding sums owed by the Author to the Publisher in connection with the Work at that time, in which case the termination will not take effect until such outstanding sums have been paid. The Author will also have the right to terminate this Agreement (a) if the Publisher fails to publish the Work within 12 months after receiving the complete and final manuscript from the Author, (b) if the Publisher fails to make any report of sales or payment pursuant to Paragraph 5, or (c) in the event that the Publisher files for bankruptcy or enters into a liquidation proceeding; in such cases, the Author must send the Publisher written notification of the Author's intention to terminate the Agreement, and termination will take effect 60 days after the Publisher's receipt of such notification unless the Publisher has remedied the problem justifying the termination during the 60-day period. The Publisher will have the right to terminate this Agreement if the Author does not fulfill the Author's obligations named in Paragraph 2, provided, however, that the Author will be

allowed a 9-month grace period in which to submit any delinquent materials before the Publisher may exercise this right; if the Publisher exercises this right after this 9-month grace period, the Author will promptly repay to the Publisher any advance payments and other sums paid to the Author under this Agreement. Either party may terminate this Agreement, effective 30 days after written notification of termination to the other party, if (a) the Publisher sends written notification to the Author of a decision to put the Work out of print, or (b) the work is available only in electronic or digital versions and/or in a print-on-demand format, and the Author's royalties and subsidiary rights income from the Work total less than \$100 in a single royalty accounting period. The parties' respective obligations to pay any sums owed to the other under the terms of this Agreement will survive any termination of the Agreement.

**14. Reversion of Rights to Author.** Upon termination of this Agreement pursuant to any of the provisions of Paragraph 13, all rights in the Work granted to the Publisher in this Agreement will revert back to the Author, provided that any license or contract previously granted to a third party as authorized by this Agreement will remain in effect, and the Publisher will continue after the termination to have the right to its share of the proceeds from any such licenses or contracts. In addition, the Author will have the option to purchase within 30 days of the notice of termination any remaining copies of the Work in inventory at 20% of the list price of the work and any remaining printer's files at 25% of the cost to produce them; if the Author does not exercise this right, the Publisher may dispose of these materials in any manner, without obligation to the Author.

**15. Dispute Resolution.** In the event of a dispute arising under this Agreement that the Publisher and Author are unable to resolve themselves, the Publisher and Author will first attempt to resolve the dispute through mediation, and, if that fails, the dispute will then be settled in binding arbitration before a single arbitrator in \_\_\_\_\_, in accordance with the rules of the American Arbitration Association, and judgment upon the award may be entered in any court of law having jurisdiction thereof. In the event of arbitration, the prevailing party shall recover its reasonable legal fees and costs in an amount to be determined by the arbitrator.

**16. Legal Details.** This Agreement represents the entire Agreement between the parties regarding the Work, which they have equally bargained for, and it supersedes all prior negotiations, writings and agreements with respect thereto. Any modifications of the Agreement must be in writing and signed or initialed by both parties. This Agreement will be construed and interpreted according to the laws of the \_\_\_\_\_ and will be binding upon the parties hereto, their heirs, successors, assigns, and legal representatives. No waiver of any term or condition of this Agreement, or of any breach of this Agreement or of any part thereof, will be deemed a waiver of any other term or condition of the Agreement or of any later breach of the Agreement or of any part thereof.

## PUBLISHING CONTRACT

This publishing agreement is entered into and effective on the date signed by both parties, initialized between **Author Name** \_\_\_\_\_ writing as **Pen Name** \_\_\_\_\_ herein called the Author, and \_\_\_\_\_ Publishing, LLC herein called the Publisher, for **Title** \_\_\_\_\_ herein called the work.

Grant of Publisher rights.

The Author, on behalf of himself, heir, executors, administrators, successors, and assignees, grants the following exclusive worldwide rights to the Publisher to produce, publish, and sell in e-book and print (paperback) formats such as, i-pod, lit, html, PDF, e-book on CD (print and/or audio) etc., and paperback book form, including any e-book formats invented while this contract is in effect. These are global rights. Author hereby retains all rights to the work not specifically granted to the Publisher in this contract such as movie rights. Should the Author wish their books to be translated into other languages, they may petition Publisher for print rights in a language other than English, as long as Publisher is not offering titles in another language. Should Publisher later add foreign language options to the titles, any Title already being printed in a language other than English will not be impacted, only Titles not under special agreement.

### Author Warranties

- A. The Author hereby represents and warrants to the Publisher the following:
  1. She/he (they are) is the Author and sole owner of the work, or has been assigned exclusive rights to the work.
  2. The work is original and no part of the work was taken from or based on any other literary, dramatic, musical, film, or graphic arts, except as identified in the writing by the Author.
  3. The work does not infringe upon any copyright, privacy rights, rights of a third party, or any common law or statutory law.
  4. The work does not contain any material of a libelous or obscene nature.
  5. The work is not the public domain, and has not been published in any format with any company that may still own such rights to the work.
  6. The Author holds the power of Authority to grant these rights.
  7. If this work has been previously published in any form, the Author warrants that the rights granted herein have been reverted to her/him. As an addendum to this agreement the Author shall provide a written memorandum documenting the reversion of the rights granted by any publishing company that may still own proprietary right to the work, along with documentation from the previous publisher stating that all rights belong to the Author.
  8. If a judgment is obtained against the Publisher for usurping rights still controlled by a Publisher or other entity other than the Publisher or the Author, the Author agrees to hold the Publisher harmless and to indemnify the Publisher for damages and costs. If the Publisher prevails against a suing party or resolves the matter by an out of court settlement, the Author will be liable to indemnify the Publisher for defense and settlement cost.
- B. Author Agrees to hold Publisher harmless and indemnify the Publisher against any claim, demand, action, suit, proceeding or any expense whatsoever, arising for claims of infringement of copyright or proprietary rights, or claims of libel, obscenity, invasion of privacy, or any other unlawfulness based upon or arising from the publication or any matter pertaining to the work.
- C. Author warrants and represents that to the best of Author's knowledge and belief, all statements of fact contained in the work are true and based on appropriate and diligent research. A note may be added to the work to show proof of research completed if Author so desires.
- D. Author warrants that she/he will not hereafter enter into any agreement or understanding with any person or entity that would conflict with the rights granted to the Publisher during the term of this contract.
- E. Should this title be part of a series, Author guarantees Publisher first option on the rest of the series, or on any titles in which the characters appear.

- F. If Publisher requests re-writes of the Author, Author guarantees prompt responses to all correspondence, either electronic or paper. If a re-write deadline is given and Author does not acknowledge the deadline within three (3) days, or keep the deadline, this contract may be terminated.

## **Manuscript**

- A. Author agrees to deliver to the Publisher the completed work requested on or before **(Date)** in the format agreed upon by the Publisher, executive director, and Author. Should Author wish to make any changes to the Work, it should be done prior to the due date. Author further understands that Publisher will endeavor to release the Work within six (6) months of receipt, but it may take up to fourteen (14) months of receipt, possibly longer if re-writes are requested of the Author.
- B. Author shall, at the time of submission of final work, include written Authorizations or permissions for the use of any copyrighted or other proprietary material that appears in the work, including but not limited to art, illustrations or quotes. These Authorizations and permissions shall be obtained at the Author's own expense.
- C. Publisher reserves the right of final approval on revised final work submissions. Author shall be notified of such acceptance of revised work.
- D. Author is responsible for maintaining backup copies of work.
- E. Publisher reserves the right to reject the work and terminate this contract if Author fails to meet deadlines, if work does not meet Publisher's minimum standard of quality, or if Author fails to do the required revisions.
- F. Publisher retains the right to edit and revise work for any and all uses described under the contract, provided that Author's original concept of work is not materially altered without Author's agreement. Author understands such changes are necessary for the overall improvement of work.
- G. Publisher will provide the cover art without approval of the Author. The Publisher will be the sole decision maker on the cover. The cover will be made one time and no revisions will be made to it unless there is a mistake in the title of the book or the Author's name. At that time, the Author may contact the Publisher for those changes to be made. No other reason will be accepted. Should the Author desire to have a cover done outside of the Publisher's company, the Author will incur all expenses for said cover art and will provide the Publisher with a copy in JPG high resolution format, as well as the artist's name. Author will be required to sign a cover art waiver.
- H. Publisher has final approval of the title of the book. The title you chose will be used unless there is another book with that same title listed with the Publisher, and then a change will have to be made. The Author will have the first chance to change it.
- I. Publisher will prepare the work for formatting. Author understands that the formatting the book is received in will not be used for the final work. A change of formatting may include margins, overall size, fonts, etc.
- J. Publisher shall have the right to produce, advertise, promote, and publish the work in a style in which the Publisher deems appropriate to the work, including format, pricing, and distribution. Publisher has the right of final approval of Author's manuscript. Publisher will distribute the book where the Publisher deems appropriate such as Amazon Kindle, Amazon (paperback), Lightning Source, and anywhere else that Publisher decides during the term of the contract. Publisher also reserves the right to advertise anywhere the Publisher deems appropriate such as: YouTube, forums, groups, review sites, magazines, Amazon, etc...
- K. The Publisher has the right to contract with distributors, bookstores, vendors, organizations and/or outlets of books to sell the work within the Publisher's name. For all sales through these outlets, the Author will be compensated royalty of the sale price to outlet, less any handling costs or discounts charged by the outlet. The Author may only contact booksellers in regards to promoting their own works (book signings, leaving bookmarks, etc.). Author does not have the authority to enter into any agreements on behalf of the Publisher.
- L. The Publisher holds the right to set the price of the work, put said work on sale, lower the price of the work if it is not selling copies. If the title has not sold any copies in (1) one month, the Publisher will automatically lower the price of the book. If at the end of (3) three months no copies have sold, the Publisher has the right to remove the work and void this contract, at which time all rights would revert to the Author.

## **Royalties**

- A. Royalties shall be paid quarterly within (30) thirty days following the end of the quarter (January through March payments will be sent in April; April through June payments will be sent in July; July through September payments will be sent in October; October through December payments will be sent in January) by a written check generated on-line with the bank. The checks will be mailed no later than the 25<sup>th</sup> of the payment month, if the royalty is \$10.00

or greater. If payment is not received for the last month of the quarter from outside retailers, a payment will be sent on the amount the Publisher has already received and the last month will be added to your next statement. Royalties for e-book are 40% of what the publisher receives. Royalties for print are 40% of what the publisher receives.

- B. Statements will be emailed to the Author by the 20<sup>th</sup> of each quarter. It is the Author's responsibility to keep up with statements for tax purposes.
- C. No royalties will be paid on any copies of the book sent for reviews, promotional purposes, advertising, or other similar purposes. No royalties will be paid on returned books. If sales in any calendar year are under \$600, the Publisher may issue a 1099 at its own discretion. Payment of taxes on royalties is the sole responsibility of the Author whether or not a 1099 is issued. If a 1099 is not issued the quarterly/monthly statements can be used for tax purposes on the Author's behalf.
- D. The Author is responsible for giving the Publisher any change of addresses, both email and postal mail, that they may have. This could cause statements and payments to be lost or late. If the Author does not provide the Publisher with this information in a timely fashion, the Publisher is not responsible for late or missing payments due to an incorrect address.
- E. Additional note of interest to the author. The manuscript will automatically go into print when the e-book does and will **not be returnable**. The option in this section are not returnable and most bookstores will not buy the books to stock their shelves with this option. As long as the author resides within the US one print copy will be shipped to the author at no cost.
- F. Or the Author can opt for the **Returnable Option**. This is through a different printer and the publisher can choose to make the books returnable. The fees are much higher with this company and the setup costs are as follows: \$75 to setup the cover and interior + \$12 to be put into the Ingrams Advanced Distribution Catalogue for a total of \$87. If any changes need to be made after sent to print they charge \$37.50 for each change be it the interior or cover. The author royalties would be increased to 50% as the author will be sharing in the costs of the setup. With this option there is no guarantee that the stores will stock their shelves with your book, but there is a chance that they would agree with this option. Since the Author will be petitioning bookstores to stock their books, the Author would be responsible for any unsold books returned to the publishing company. If the Author chooses this option, please initial here \_\_\_\_.

## Advertising

- A. The Publisher reserves the right to advertise however they deem appropriate.
- B. Authors are required to maintain a website. Free websites are available so this can be done at no cost to the Author. They may use the first three (3) chapters of their work, not to exceed thirty (30) pages of the final formatted and edited product, on their website in order to promote their book. If their work is a short story, they may use the first chapter, not to exceed five (5) pages, on their website in order to promote their book.
- C. A change of title of the work does not void this contract.
- D. The Publisher will advertise the book. We employ a couple of different marketing teams to assist us in promotion. The Author agrees to self-promote this book to the best of his/her ability. Author understands without self-promotion, their work may not sell as well, if at all, as it would with self-promotion.
- E. Author understands that the Publisher will submit their Work to various places for reviews. A review is free advertising and gives the Author feedback on their book or writing style. Author understands that not all reviews will be positive or as high a rating as they wish. Further, Author may submit their work to review sites, but must first let the Publisher know where the books will be sent, to ensure that duplicate copies are not sent to the same place.

## Terms of Contract

The contract will be for (2) two years from the publication release date of the manuscript. At the end of the contract term, it may be renewed for an additional (2) two years if both parties are in agreement. If the Author wishes the contract to continue, Author needs to contact the Publisher, in writing, at least (30) thirty days prior to the expiration of the contract.

The Publisher reserves the right to pull the title and terminate the contract at no cost to the Publisher or Author if no sales have been made within (3) three months of the release of the title. The Author will be notified if such a decision

is made and all rights will automatically revert to the Author. Any title under 40,000 words will be released in e-book only. Any title over 40,000 words will be released in e-book and trade paperback.

The Author may petition the Publisher to terminate the contract at any time during the term of the contract, but it will cost the Author \$350.00 for editing and formatting, and \$100.00 for the cover art making the total fee Four Hundred Fifty Dollars (\$450.00) to terminate this contract before the two (2) years has ended.

If for any reason the Publisher files bankruptcy, goes out of business or decides to no longer be in business, the contract will be void and all rights will revert back to the Author. Should the Publisher go through a name change or a change in ownership, all contract terms will stand.

#### Blurbs & Back Cover

The Author is responsible for submitting a blurb, or back cover text to the Publisher. The Publisher has the final say on this blurb. The Publisher reserves the right to either use the blurb the Author has submitted or use the one that the Publisher deems appropriate. The blurbs are due to the Publisher within two (2) weeks of the contract.

Title: \_\_\_\_\_

Author: \_\_\_\_\_ (Full Name as on SS Card)

Address: \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

SS# or Tax ID# \_\_\_\_\_

By signing this contract I agree that I have read or had read to me the contents of this agreement and do hereby accept all the terms and agreements within this contract.

\_\_\_\_\_  
Author

\_\_\_\_\_  
Date

AGREEMENT made the \_\_\_ th day of \_\_\_\_\_, between \_\_\_\_\_ of \_\_\_\_\_ (individually an "Author" and collectively the "Authors") and \_\_\_\_\_ ("Publisher"), with respect to a work on \_\_\_\_\_ tentatively entitled \_\_\_\_\_ (the "Work").

AUTHORS AND PUBLISHER AGREE THAT:

## 1 Grant of Rights

A. The Authors grant to the Publisher, for the full term of copyright including without limitation all extensions, throughout the world in all languages, the exclusive copyright in the Work, including without limitation the right to reproduce, publish, distribute and sell the Work, in whole or in part, in book and other print and in all non-print formats, to prepare, publish, distribute and transmit derivative works based on the Work in and through all existing and future media and forms of distribution, under the Publisher's name and other imprints or tradenames, together with the exclusive rights to license or permit others to do so. The Publisher shall print a notice of copyright in each copy of the Work in its or any other name and require its licensees to do so and shall have the right to register the Work with the U.S. Copyright Office.

B. The Publisher shall have the right to use the names, likenesses, and professional credits of the Authors on and in connection with any edition or derivative version of the Work and it may convey such rights to its licensees. The Authors shall provide in a timely manner any information reasonably requested by the Publisher for use in promoting and advertising the Work.

C. The rights in the title of the Work, and any series titles used on or in connection with the Work, including without limitation any trademark, service mark or trade dress rights (the "Branding") shall belong solely to the Publisher, and the Authors hereby transfer and assign to the Publisher in perpetuity any rights the Authors may have in the Branding.

## 2 Manuscript Delivery

A. The Authors shall prepare and deliver the manuscript for the Work, in complete and final form, satisfactory to the Publisher in organization, form, content and style, not later than \_\_\_\_\_ 2014 (the "Due Date"), time being of the essence. The Authors shall also submit sample chapters on the Publisher's request. The manuscript shall be delivered as each Author's next book-length work, whether alone or with any other party.

B. The manuscript shall consist of text of approximately \_\_\_\_\_ words to result in \_\_\_\_\_ double-spaced manuscript pages, together with title page, preface, foreword, table of contents, bibliography, list of sources, and the additional supplementary materials noted below. If the

final word count exceeds this number by an amount greater than 10 percent, the Publisher may, in its discretion, hire an outside editor who, in consultation with the Authors, will bring the work's length into compliance with agreed amount, and charge the cost of those services against any sums due the Authors.

A short description, up to 300 words, intended to be featured in the preliminary section of the book, that explains why the topic is important, what benefits the reader will gain by using the book, and how the materials are designed to be used.

A detailed description, intended to be featured in the introduction/first chapter under the heading "Getting the most from this resource," which explains ways in which the reader should/might want to use the materials provided.

C. The manuscript shall be delivered in computer disk format or other mutually-agreed electronic form. The corresponding text shall also be delivered in three copies on double-spaced 8 1/2" x 11" white paper printed on one side only, with pages numbered consecutively. All illustrative material shall be quality black and white drawings and/or photographs in form suitable, with reasonable and customary cost, for the Publisher to prepare for final production. The Authors shall retain a copy of the manuscript and supplementary material. While the Publisher shall, on request at the time of publication, make reasonable efforts to return material supplied by the Authors, it shall not be responsible for any loss or damage.

Any fonts used in material delivered to the Publisher in printer-ready form or otherwise intended to be reproduced in the form delivered whether in print or digitally shall be considered part of the Work and shall be limited to fonts from Adobe Font Folio 11 and/or approved open-source fonts. On the Due Date, Authors shall deliver a list of all fonts included in any such materials delivered to the Publisher.

The Authors shall, at their expense, submit written permissions, in form and scope acceptable to the Publisher, for any third-party material which is to be included in the Work. All permissions must be submitted before the Publisher prepares the Work for production. As provided in Paragraph 14, the Authors may not engage any other party to write any portion of the Work without the Publisher's prior written consent. The Publisher shall arrange for all illustrative material referenced in Paragraph 2.C. above to be rendered, and shall deduct 10% of the total costs of rendering all illustrative material from payments due the Authors. If the Publisher furnishes or pays for any supplementary material or any permissions, it will withhold an amount equal to the cost incurred from payments due the Authors. If the Publisher determines that an index to the Work is desirable, the Publisher shall prepare or engage a third party to prepare the index in such manner as the Publisher deems appropriate and charge the cost thereof against any sums due to the Authors.

D. If the Authors do not submit the final manuscript by the Due Date, the Publisher shall have the right to continue with or terminate this Agreement. The Publisher shall make such determination no later than 90 days after its receipt of the final manuscript. If the Publisher elects to terminate, it shall do so in writing and upon termination all rights (except for the Branding and any material provided by the Publisher) shall revert to the Authors and the Authors

and the Publisher shall not have any further obligation or liability to each other in connection with the Work or this Agreement, except that the Authors agree not to submit the manuscript to any other publisher without first offering it to the Publisher under the terms of this Agreement. Upon termination under this or any other provision in this Agreement, the Publisher shall use good faith efforts to remove the Authors' names from author listings for the Work in its systems (e.g. feeds for pre- publication publicity) but shall have no liability for any use of the Authors ' names in connection with the Work by third parties.

### 3 Manuscript Acceptance

If the Authors deliver the manuscript by the Due Date, but it is not satisfactory to the Publisher in its sole judgment, the Publisher shall, within 90 days of the later of delivery or Authors' request for comments, advise the Authors whether it believes the manuscript could be made satisfactory. If the Publisher believes the manuscript could be revised to its satisfaction, it shall afford the Authors reasonable additional time, as determined and confirmed in writing by the Publisher, to deliver a revised manuscript. If, following such additional time, the Authors have not delivered a manuscript satisfactory to the Publisher, the Publisher may make other arrangements to make the manuscript satisfactory and may charge the reasonable costs of such arrangements to any sums due the Authors, or the Publisher may elect to terminate. If the Publisher elects to terminate, it shall do so in writing and upon termination all rights (except for the Branding and any material provided by the Publisher) shall revert to the Authors and the Publisher shall not have any further obligation or liability to the Authors in connection with the Work or this Agreement.

### 4 Editing and Publication

A. The Publisher may edit and alter the Work at the original printing and at any reprinting, provided that it does not materially change the meaning. The Publisher shall deliver a set of the proofs to the Authors who agree to review and submit any corrections promptly. If costs of additions, deletions, corrections or alterations (other than those resulting from printer's errors or changes made by the Publisher without the Authors' approval) exceed 10% of the cost of composition, such excess cost shall be charged against any sums due to the Authors.

B. The Publisher shall publish the Work, at its own expense, in such electronic and/or print formats as it deems appropriate and it shall determine and implement all aspects of publication such as price, style, quantity, appearance and design, as well as such marketing and licensing arrangements, as it deems appropriate for the Work. Publisher shall consult with the Authors with regard to the title of the Work and the order in which the Authors' names shall appear; however, the final decision as to these matters shall remain with the Publisher. Subject to the terms and conditions contained herein, the Publisher shall publish or arrange publication of the Work within 24 months of its acceptance of the final manuscript or within 6 months of the Authors' written notice, whichever is later, or the Authors may terminate this Agreement and receive back all rights granted to the Publisher and the Publisher shall have no further obligation or liability to the Authors in connection with the Work or this Agreement. Notwithstanding the

foregoing, in the event publication is delayed due to legal questions concerning the Work, or is caused by the Authors or conditions beyond the control of the Publisher or its suppliers or contractors, then the Publisher shall publish the Work as soon as the Publisher deems practical.

## 5 Payments to Authors

A. The Publisher will pay the Authors the following percentages of the Publisher's "net dollar receipts" from sales and licenses of the Work.

1. Except as set forth below, on Publisher's sales of the original edition, whether in hardcover, paperback or other medium ("the regular edition") inside the United States: 12% on the first 5,000 copies and 15% on all copies of such edition thereafter (sales and licenses in the categories below shall not count toward these levels);
2. Except as set forth above and below, on Publisher's sales of a trade paperback or other softcover edition (except for a mass-market paperback edition) in the United States: 10%
3. On Publisher's sales of the regular edition outside of the United States: 10%
4. On Publisher's sales of a trade paperback or other softcover edition outside the United States: 7.5%
5. On Publisher's sales of a mass-market paperback edition either inside or outside the United States: 7.5%
6. On sales and licenses of the Work and material from the Work in electronic form, whether directly by the Publisher or indirectly through or with others: 10%
7. On Publisher's sales through direct-to-customer marketing, on sales at discounts of 56% or more from list price, on sales and licenses of the Work from on-demand editions, and for copies sold in bulk for premium or promotional use, or special sales outside the ordinary channels of trade: 5%
8. On licenses of the following subsidiary rights in the Work to third parties: reprint, book club, foreign language, audio/video, motion picture and dramatic adaptation rights, condensations, adaptations, commercial and merchandising rights, public performance rights, training materials based on the Work, and serial rights, and, in any media, permissions for quotations and short excerpts for inclusion in another work, in each case after deduction of Publisher's out-of-pocket costs, if any, incurred in connection with such licenses : 50%
9. Should Publisher undertake, either alone or with others, the activities described in (8) above, and for any derivative works not specified above: 7.5%
10. For uses of all or part of the Work in conjunction with other work(s), a fraction of the applicable royalty rate as pro-rated to reflect the portion that the percentage of the Work so used

bears to the entire new work, unless the percentage of the Work so used is less than 5% of the entire Work, in which case a standard permissions fee shall be paid.

B. Net dollar receipts are U.S. dollars received by the Publisher after discounts, bad debts, customer returns, and excluding sums received for sales, use, excise or similar taxes and for shipping and handling. Sales or licenses made to any subsidiary or affiliate companies shall be accounted as made at arms-length rates and shall be treated as though made to unrelated parties.

C. No royalties shall be paid for copies given away for promotion or charity or to the Authors or on copies sold below or at cost, or for complimentary licenses for persons with disabilities or for fees for material in the Work not created by Authors.

D. Upon publication the Publisher shall give \_\_\_\_\_ free copies of the Work to each Author, who may purchase, for personal use only and not to be resold, the Publisher's other publications, except journals, at a discount of 25% from the then-current United States catalog list price. Should the Authors purchase additional quantities of the Work for resale, the terms shall be in accordance with the Publisher's then-prevailing rates and policies. Royalties shall be earned on those copies of the Work purchased under the terms of this Paragraph accordingly. The Authors acknowledge that part of the consideration for the Publisher's obligations contained in this Agreement is the Authors' commitment to purchase not less than 2,000 units of the Work at a discount of 70% from the U.S. list price, plus shipping and handling and any applicable taxes at the release of the Work. It is understood that all orders after the initial order shall be at the following discounts (based on aggregate copies sold to Authors in a given order) from the U.S. list price, plus shipping and handling and any applicable taxes.

Quantity	Discount
26-499	60%
500-999	65%
1,000+	70%

No royalty shall be paid on copies purchased under the paragraph. The Authors agree that (i) such copies are non-returnable ; (ii) such copies may not be resold or distributed through traditional retail and wholesale book trade channels for works of this type; and (iii) such copies are to be use in connection with the Authors' own ongoing business and promotional activities. The Authors agree to make payment upon receipt of the Publisher's invoices. In the event the Publisher accepts an order to purchase copies under this clause from a third party on the Authors' behalf, the Authors shall remain personally obligated for such purchases under the terms hereof.

E. The payments due to the Authors and any charges against royalties under this Agreement shall be divided equally among the Authors.

## 6 Accountings

Reports and payments shall be made semi-annually the last day of \_\_\_\_\_ and \_\_\_\_\_ of each year for sums due for the preceding half-year ending the last day of \_\_\_\_\_ and \_\_\_\_\_

\_\_\_\_\_ respectively. Publisher may take credit for any returns for which royalties have been previously paid, and it may retain a 20% reserve for future returns for up to three accounting periods following first publication of any edition. Any offsets against royalties or sums owed by the Authors, or any of them, to the Publisher may be deducted from payments. With respect to this and any other deductions authorized under this or any other agreement between the parties, the Publisher may charge such deductions against any sums due to the Authors under this or any other agreement between the parties. If the balance due the Authors in any accounting period is less than \$100, no accounting or payment shall be made until the cumulative amount exceeds \$100 at any accounting period. Payments shall be sent to the Authors at the addresses set forth in the beginning of this Agreement unless an Author provides a different address in writing.

## 7 Available for Purchase

A. When the Publisher determines that the demand for the Work is not sufficient to warrant its continued manufacture and sale, the Publisher may discontinue maintaining an inventory of the Work and may remainder all bound copies and sheet stock.

B. If the Publisher decides that the public demand for the Work no longer warrants keeping it "available for purchase" and the Publisher does not, within six months after receipt of a written request from the Authors, make it available for purchase or contract to do so within a reasonable time, the Publisher will revert all rights (except for the Branding and any material provided by the Publisher) to the Authors subject to the Publisher's right to continue to publish and sell any derivative works then published or already scheduled for publication, and subject to any outstanding options or licenses to third parties. The Work will be deemed "available for purchase" if any English language version is available from the Publisher or any of its licensees in any format including without limitation copies manufactured or electronically transmitted on demand.

## 8 Warranties

A. The Authors jointly and separately represent and warrant that: the Work is original, except for material for which written permissions have been obtained; it has not previously been published and is not in the public domain; the Authors have the right to enter into this Agreement and own and can convey all of the rights granted to the Publisher; the Work contains no libelous or unlawful material, or instructions that may cause harm or injury; it does not infringe upon or violate any copyright, trademark, trade secret or other right or the privacy of others; and statements asserted as fact in the Work are true or based upon generally accepted professional research practices.

B. The Authors jointly and separately shall indemnify and hold harmless the Publisher and any of its licensees against all liability, including without limitation expenses and reasonable attorneys' fees from any claim which if sustained would constitute a breach of these warranties.

C. Each party shall give prompt notice of any claim made against any of them to the others and shall cooperate in the defense thereof. Pending any settlement, final resolution or clear abandonment of the claim, the Publisher may engage counsel of its choice and withhold sums due the Authors.

## 9 Revisions

If the Publisher considers it in the best interests of the Work, the Publisher may request one or more of the Authors to revise the Work and such Author(s) shall advise the Publisher within 60 days whether the Author(s) shall do so in accordance with the Publisher's schedule. If the Author(s) advise the Publisher that the Author(s) shall prepare the revised edition, the Author(s) shall diligently proceed with the revision, keep the Publisher advised of the Author(s)' progress, and deliver the complete manuscript to the Publisher on the scheduled due date. If an Author does not participate in the revision, or does not diligently proceed with the revision (a "nonparticipating Author"), the Publisher may arrange with any remaining Author(s) and, at the Publisher's option, others to do so. Revised editions may be published under the same title and may refer to the Authors by name, and credit may be given to the reviser(s) in the revised editions(s) and in related advertising and promotional material. The Publisher shall have the right to deduct from the non-participating Authors' royalties any sums to be paid to the revisers, provided that the nonparticipating Author(s)' royalties shall not be reduced by more than 50% for the first revised edition. No royalties shall be paid to any Author with respect to further revised editions not prepared by that Author. No royalties shall be paid to an Author with respect to further revised editions not prepared by that Author. Except as provided above in this paragraph, the provisions of this Agreement shall apply to each revision as though the Work was being published for the first time.

## 10 Author Disagreements

If there is disagreement among the Authors that impairs the timely delivery of a complete and satisfactory manuscript or the publication of the Work, the Publisher shall have the right but not the obligation to make a final and binding determination of how to resolve the dispute including, if reasonable and appropriate, the termination of this Agreement with one or more of the Authors and the re-allocation of royalties to reflect the contribution of each Author to the published Work.

## 11 Competing Works

Until the Work is no longer available for purchase, none of the Authors will publish or submit for publication any similar work on the same subject that would, in the Publisher's reasonable judgment, compete or conflict with sale of the Work. The Authors may draw on material contained in the Work in preparing articles and presentations for scholarly and professional journals and meetings, provided that credit is given to the Work and the Publisher.

12 Option

Intentionally omitted.

13 Enforcement of Copyright

If the copyright in the Work or in any derivative work is infringed, the Publisher shall have the right, but not the obligation, to pursue a claim for infringement in such manner as it deems appropriate. Upon request, the Author shall provide reasonable assistance to the Publisher in connection with the Publisher's pursuit of such claims.

14 General

Except for the right to receive monies, neither this Agreement nor any of the obligations assumed by the Authors may be assigned without the Publisher's prior written approval. Otherwise, this Agreement shall inure to the benefit of the heirs, successors, administrators and permitted assigns of the Authors and to the affiliates, subsidiaries and assigns of the Publisher. This Agreement may not be changed in whole or in part without a writing signed by all parties and no waiver of any provision shall be deemed a waiver of any other. All notices shall be sent in writing, with a copy of any notice sent to the attention of the President of the Publisher. These general provisions and the warranties and indemnities shall survive termination of this Agreement. This Agreement shall be construed and interpreted according to the laws of \_\_\_\_\_, without regard to such state's conflict of law rules, and any legal action shall be instituted in \_\_\_\_\_.

Agreed and Accepted:

\_\_\_\_\_

For Copyright (Please complete a separate form for each Author):

The United States Register of Copyrights will request most of the following data in the application for copyright on your book. The rest of the data requested is for Publisher's internal purposes. (Please type or print)

1. Has your Work, or any part of it, in lithographic or printed form, ever been previously copyrighted?
2. If so, when, and by whom?
  - a. (If previous copyright exists, Certificates of Registration, and Assignment, if any, should accompany this information, or be sent as soon as possible. We will arrange for assignment if no assignment has been made.)

3. If Work was first published in English outside the United States, has an interim copyright been obtained?
4. If so, on what date and by whom?
5. Has any of the material in your Work been created by others?

Name of Author

---

Home Address and Telephone

---

---

Office Address and Telephone

---

Email Address(es)

---

Citizenship of Author

---

Social Security Number or Tax Identification Number

---

Date of Birth

---

## Chapter 6

### Sources of Assistance

As you begin the writing journey, you may realize that you need help from others. Many resources are available to would-be authors—professionals who can assist you with your writing and can make a big difference in your work. They are there to help you be successful. Sometimes you may just need a good sounding board or a person who will nudge you along in the journey to write your book.

#### Writing Buddies

It may be extremely beneficial to team up with a colleague who is also writing a book. You and your buddy may create an arrangement for mutual support and encouragement on the journey. This writing friendship might be your best support mechanism to keeping each of you on track, challenging each other, and prodding each other through the rough spots.

#### Significant Other

A significant other may be a good support person . . . to encourage you or prod you along, check progress, and offer assistance. This person could be a spouse, parent, child, close relative, boss, or work colleague. You need the approval of this person. Their positive support and expectations will be a plus.

#### Research Assistant

Sometimes you may need to conduct a significant amount of research connected to your project. In this case, it may be a good option to consider an assistant to do the research for you. The duties could be finding the information you need, summarizing the research, formatting the information, making the appropriate reference notations, and securing permissions to use the research. With so many sources of information and options available for you on the internet, it can be time consuming to sort through all the information and choose what is pertinent. A research assistant might be extremely helpful.

#### Writing Mentor

A writing mentor can help you get writing, stay motivated and moving toward your goal of a completed manuscript. A good mentor can offer you advice, critiques of your writing, provide you direction, offer you support, and point you in the right direction. Some seasoned writers might like to serve as a mentor. Usually a writing mentor is someone you know or admire, and whose work you wish to emulate. This person should be willing to work with you in a nonpaid arrangement or in exchange for a similar service you might provide them.

Mentoring can sometimes be difficult because the mentor is committing a good bit of time, and that might place an unnecessary burden on this individual. Keep in mind that your mentor will have his or her own work and writing to complete. Clearly establishing expectations and limits of the mentor-relationship up front can ensure a beneficial outcome. If you have a friend who is published, who agrees to be your sounding board and to give you advice on certain writing issues with a low time commitment, a writing mentor could work.

### **Writing Coach**

A coach is a little more involved than a writing mentor. They are there to provide support, assistance, advice, encouragement, and tips. Their participation is a little more in depth than a writing mentor or writing buddy, and they are paid. Coaches can come with a fee as low as \$50 an hour or as high as \$200 an hour. The key issue with a writing coach is to understand clearly what your coach will do for you, the services they can provide, and then you can determine if that is what you really need.

### **Developmental Editor**

Sometimes your manuscript is just not coming together, it's not written very well, it doesn't flow well, and you need an editor who can really take charge, use the content, and make it sound much better. This person actually rewrites much of it. This is often referred to as a developmental editor, and it comes with a cost to the author as publishers do not furnish this service. More detail on a developmental editor's role is available from professional editors and publishers. Sometimes your publisher will recognize this service is needed and will recommend a developmental editor to help your situation.

### **Manuscript Doctor**

A manuscript doctor is a common term, but some individuals have this tagline on their work because they provide any service that you need for your writing or answer any questions you have about writing, providing any assistance you need to make your manuscript a reality. Their services may range from helping you find the right publisher, assisting with the contract, and helping with the writing. They may serve as a developmental editor or a final editor if you need the manuscript polished before it goes to the publisher. Additionally, they provide tips, critiques, and advice much like a coach. A manuscript doctor is the combination of a mentor, agent, coach, and developmental editor—all rolled into one person.

### **Agents**

A book agent can help during the manuscript development process as well, but not likely in a time-consuming way. Agents know the business and can match your book idea with the appropriate publisher, assist in the development of the proposal, submit the proposal to the publisher, and represent you in contract negotiations. They usually charge a percent of your

royalties. An agent is a good sounding board for an idea, market potential, audience needs, or other issues that might be important prior to going to the publisher.

### **Editorial Services**

Freelance editors are available to help edit your manuscript and prepare it for the publisher. This is a common process and a recommended service if this is your first book. This person would provide the services to finish off your book, make it flow well, and have correct grammar and structure. The editor can help with the references, charts, figures, and exhibits to make sure they conform to publisher’s requirements and are publisher-friendly. Basically, they polish your manuscript, package it, and send it to the publisher. Publishers really appreciate this effort because it makes the production of the book much quicker and easier.

### **Residential Writing Facilities**

Residential facilities or writing retreats are available in various locations, providing you a quiet place to write. Some of these locations often provide writing assistance as well. If it is important for you to get away, block out distractions, and find a few weeks to write—these facilities are a great option. Sometimes you can rent a cabin in the mountains in the summer or condo at the beach in the wintertime. The key is not to have too many distractions; but instead be in a quiet place to really get into your writing. A plus would be to have experienced authors nearby with whom you can work, or having your coach easily available to you online or by phone during your time in retreat.



*Exercise: Who would you need to help you write your book? What would be your description of the assistance that you need? Where would you find them?*

---

---

---

---

---

---

---

---

---

---



## **Part Two—Developing and Producing the Manuscript**

### **Chapter 7**

#### **Developing a Manuscript**

##### **Organizing for Writing**

Organizing for writing sets the stage for the writing process. This step determines how the writing is going to occur, how your thoughts and words will make their way onto the page, and how your words will be edited. You will need some type of organized system to develop the manuscript and deliver it on time. Every person is unique, and your approach has to fit what suits you best. The key is getting organized in a way that is comfortable for you, the author, while maximizing the efficiency of getting it completed on time and the effectiveness of having it done well.

Some people prefer to write one page at a time, and write the next page after the first one is completed. This is not the typical approach for a business and professional book. The approach that will be described here is different. This chapter shows a process that has worked for many authors, including the authors of this workbook/book. It is a logical, rational process that is both efficient and effective and is based on getting completely organized and then starting to write. The important point is to pick a style that works for you. If you have no particular style in mind, maybe what is presented next will be appropriate for you.

##### **The Detailed Outline**

Although an outline was furnished in the proposal, now it is time to complete a detailed version. For each chapter, this detailed outline should be at least a page in length, ideally more. It does not have to be in any particular format. It can be sentences or partial sentences. The key is to put into writing what you want to cover in each chapter. It may take several revisions to get the flow right and the content correctly sequenced. Your outline will help you sequence your presentation of information by chapter and also help you determine what is needed next in the book overall. A sample chapter outline is included at the end of this chapter.

With an outline of one or two pages for each chapter completed. You will begin collecting research, tables, figures, charts, references and other important information. You will need to create some form of a storage system for your information. We prefer to use folders, whether electronically or on paper-based. Each chapter has a folder, and filing information in the folder ensures that you have what you need, when you need it, where you need it.

## Sources for Research

In almost every book, you will need to refer to completed research that supports your book, or academic reviews of your topic, or trends surrounding your issue. Identify the sources that you want to use for reference. For example, if your book is in supply chain management, you will want to use the relevant publications, trade magazines, journals, and industry publications that cover supply chain management. Consulting organizations or benchmarking services may be available for that same industry. Some industries will even have research groups focused on the industry itself. Identifying sources is the starting point for your search.

## Collect Relevant Research

Collecting relevant research can be accomplished online, or it can be done the old fashioned way by reviewing journals, magazines, newspapers, and books. As with all processes, there are advantages and disadvantages of both. The difficulty of going online is that some important items are often missing. Much of the online material is available only if someone has placed it online or has made that connection of the reference to your topic. Online research has the advantage of being fast and efficient.

The old fashioned way is to quickly peruse the relevant articles, although this could also be done online. By perusing articles, flipping through the table of contents, skimming the index, you begin to see what information is available, discovering the things that you want to cover in the book. We suggest that you collect these pieces of research, either print the page, article, study, or chart. Print out or save all the documents that fit into your various chapters, and add the relevant research into the proper folders. Sometimes a document might fit into more than one of your chapters. When this happens make copies for each chapter and add them to your folders for each chapter. This works equally well for both electronic and paper-based systems. We prefer both online research and paper-based research. The paper-based is limited to the most important and recent books, journals, and magazines.



*Exercise: What is your approach to research for your book?*

---

---

---

---

---

---

## Stories

Everyone one loves a good story. Readers become engaged with your book through storytelling. It would be ideal to include at least one story in every chapter, perhaps opening the chapter with a story. Now is the time to begin collecting the stories. Perhaps, you can dictate the stories with a voice recognition system or digital recorder for transcription later. We will discuss more about dictation later. The key is to identify the stories you want to tell and record them. Maybe you will amplify them later in your book. The key is to make the notes now and have these easily available for your reference later.

## Interviews

Interviews may be appropriate for your book. This could be face-to-face, direct phone call, email correspondence, text messages, or an interview that has already been conducted by a magazine, book, newspaper, or blog. Of course, you would reference the source. This is helpful because you are bringing in quotes from people who are important to your topic or whose views are important to your idea.

## Case Studies

Readers want to see examples. Case studies are not just stories, but are actual examples of what, why, and how others have implemented or supported your topic or made your idea work. These case studies cover a few paragraphs, a page or two, or in some cases, a chapter. Also a case study may even be included in the appendix or be best presented in a companion book of case studies. The key is to have good examples from others, explaining how they support your topics and ideas.



*Exercise: To what extent are you planning to use stories, interviews, and case studies?*

---

---

---

---

---

---

---

---

---

---

---

---

## **Charts and Figures**

A chart or figure often adds to the book, helping clarify your ideas to readers. Publishers usually dislike them because they are more expensive to produce than text and they take up a lot of space on your pages. If a chart is needed to explain a concept—use it. If a table is needed to show detail that you don't want to put into the text—use it. What you don't want to do is say everything in the text that describes everything in the chart. You don't really need both. So make sure text and charts or tables complement each other.

## **The Flow**

All of the information (i.e., the relevant research, stories, interviews, charts, figures, and case studies) is collected and placed in the various folders by chapter. It's now time to sort out the flow. With each chapter complete, the outline may be revised again, ensuring that all the information is included on the detailed outline. Take a few minutes to reflect on each chapter and make sure the flow is proper within the chapter. Do the same for the chapter-by-chapter flow of the book. Correct or adjust, and you will be almost ready to go in terms of writing the book.

## **Storyboarding**

A storyboard may be a helpful device for developing the flow of your book. Storyboarding uses a large blank whiteboard or other surface which allows you to physically sort your ideas, represented on sticky notes (or magnets). Arranging the pieces, moving and shifting things around helps you visualize the possibilities. This process helps to clarify the order of the book. If it helps, use it. Now we are ready to put pen to paper, as they say.

## **References**

For the stories, quotes, thoughts, ideas, tables, charts, and figures originating from other sources, references need to be developed following the format desired by the publisher. Ideally, a reference would appear at the end of the chapter and follow the common reference systems, such as APA, MLA, Chicago Manual Style, or New York Times. Follow the system required by the publisher if specified.



## The Business Case for Learning

### Chapter 2: Start with Why?

#### The Challenge:

Most learning programs do not connect to the business. They start as a solution that has been provided to the learning team or requested by other managers. When the program does not start with the business need, it is difficult to connect the results to the business later. “Start with the end in mind” was the advice from Stephen R. Covey in his best-selling book, *The 7 Habits of Highly Effective People*<sup>®</sup>. “Start with why” is the advice from Simon Sinek in his best-selling book, *Start with Why*. For learning programs in a competitive environment the end is the business measures, representing the “why” of implementing the learning program.

#### Opening Story – Allied Irish Bank

1. The Alignment Issue
  - A. What it means
  - B. Importance
  - C. Executive view
  
2. The Alignment Model
  - A. The Alignment Model, Figure 2-1.
  - B. What it means
  - C. How it works

### 3. Payoff Needs

- A. What it means
- B. Obvious payoff needs, Table 2-1.
- C. Not so obvious payoff needs, Table 2-2.

### 4. Business Needs

- A. Business measured defined
- B. Definitions are important
- C. What's the problem?
- D. What is the opportunity?
- E. Typical business measures, Table 2-3., Table 2-4.

### 5. Strategies to Focus the Attention on the Business

- A. Connect the dots
- B. Ask the requestor
- C. Finds others who can assist
- D. Discuss consequences
- E. Use policy

### 6. What Must Change



## Chapter 8

### Writing the Book

Now, with each chapter outlined and detailed, it is time to review the final flow of the data, develop the draft, complete multiple edits, and see how the content actually sounds to the reader. This chapter explores how to actually write the book, the concept of your writing style, how to find what works for you, and how to overcome problems and issues you might face along the way.

#### Flow of the Work

Let's take another opportunity to think through the flow of the work from one chapter to the next. Although the flow of a particular chapter has been addressed, it is sometimes helpful to review all the topics that you will address in the book. Maybe something in one chapter really belongs in another chapter? Are transitions between the chapters planned? Are there pieces of information missing that would help the reader understand your point? Is there anything that needs be added or deleted? Are there duplications of information? These are some of the things you may need to address the flow of information across all of your chapters at this point.

#### Dictation, Voice Recognition, or Typing

To transform your thoughts and ideas into print requires one or more of three usual approaches. The first approach is the author typing the copy directly at the keyboard (no one writes a book by long-hand anymore). The second option is dictation into a digital recorder. This gets your information into writing quickly. This will require someone to transcribe your words. Some individuals like to do this, and they do it well. The third option is using voice recognition with standard software, such as Dragon. This is gaining popularity because the voice recognition has improved and the software can quickly translate your sentences, so that only minor editing is needed. The downside of voice recognition is that it doesn't recognize every word. If it doesn't recognize a word, it inserts a word to make a complete sentence. This makes editing more difficult because it may produce complete sentences that are not at all what you meant.

A combination of all three of these options can be a possibility, or you may prefer to stick with one method. The key is to make plans for this task. Whether you use voice recognition or a digital recorder with transcription, you can develop a chapter in one hour or two hours, and at this pace it is possible to dictate a complete book in just a few days.



*Exercise: What is your approach to actually write the book chapters?*

---

---

---

---

---

---

---

---

---

---

---

---

### **Check the Stories**

Write or edit the stories you are using at this point, if you haven't done so already. Check the placement of the stories throughout the book and across chapters—are they consistently placed, of the same approximate length, presented in the same way? If there is only one story per chapter are they located in the beginning? Are they similar in size? Are they making the point you intended for the chapter? Consistency is appreciated by the readers. It helps them engage with the information you are presenting to them in the book.

### **Use of Examples, Case Studies and Illustrations**

The same concept is applied to the use of examples. Are there enough examples? Or are there some areas where an example needs to be included? If you are including case studies, are they consistent? Do they need to be consistent? Some chapters may have no examples and some chapters may have too many examples. Check the flow of the illustrations for balance and need. There may be too many illustrations and some may need to be removed. Do some chapters not have a figure or table, or some type of illustration? Do they need one? What type of illustration would best convey the message? This makes your work look consistently balanced as you present the content.

### **Interactive Activities, Exercises, and Assessments.**

Sometimes, it is helpful to have the book be interactive and include exercises, assessments, and activities for the reader to complete. These are thought provoking processes that complement the content of the book and engage the individual with the content. The activity may be a problem that the reader needs to solve using the concepts that are presented. This may be helpful for reader engagement as well as enhancing the learning, and even the application of what is covered in the book.

## Writing Style

Writing style encompasses word choice, sentence flow and voice of the writer. Some people prefer short sentences that get directly to the point with catchy, informal language. Others will prefer longer sentences, flowing logically, using terms that are related to the profession. Still others might use complex sentences, with more detailed information, and more academically flavored language. You must decide what works best for the reader, what works best for the author, and what works best for the content of the book. Some prefer third person, while others use a first person, active voice. Generally, the simple approach is the better choice for the reader. But if it is too simple or too basic, it might turn off the audience—especially if the audience expects a professional, more rigorous approach.

## Writing Level

The writing level corresponds to the reading level. You want to write so that people can read it easily. Writing level tests are available that will pinpoint the writing level of the author. It might be helpful to use those tests to see how a sample of your writing tests. Generally, if the writing is for a basic professional audience, you might push for a seventh or eighth grade level. If the content is technical, engineering, scientific, then the writing might be best pushed up to the eleventh or twelfth grade level.



*What is your writing style and writing level?*

---

---

---

---

---

---

---

## Writing Schedule

Most writers will work on a schedule, a certain number of pages per day, or chapters per month. If you don't have a schedule, you may not get your manuscript completed on time or you may not get it finished at all—so it is important to have some type of schedule. There can be concerns with a schedule. For example, if you are looking at a 250 page book and it's due in six months.

That means you must produce about 42 pages a month or about 1.5 pages a day. Unfortunately, writing does not always breakdown that way. Somedays you will not have time to work with it at all, other days you will have all day to work on it. It is helpful to do something almost every day on the book with some days blocked out just for working on the book, maybe a weekend day or vacation days.

### **Writer's Block**

Writer's block is a problem for some people, but not for all. Writer's block means that we don't know what to say next. We are completely lost for words, staring at a blank piece of paper or computer screen with nothing coming out. This is not a problem for everyone. My father was a farmer and I don't remember him saying that he had "farmer's block."

The reasons for writer's block vary, but some common causes include:

- Timing. Is this the right time to write your book? Do you have full-plate already? Have you just taken on a new assignment and feel distracted by one more thing to multi-task?
- Fear. Are you afraid your writing won't be good enough or your work will be critiqued harshly? These thoughts may keep you stuck indefinitely.
- Perfectionism. Are you too focused on having everything completely correct before you ever even touch the keyboard?
- Lack of proper planning. Are you under pressure because of a lack planning?

If writer's block happens to you, here are some things you might do to overcome it.

- Give yourself permission to write badly, but just get started writing
- Shift outlets, taking the pressure out of the writing situation. Go for a walk, listen to music, paint, sing, draw, exercise, cook, or bake something.
- Begin in the middle of the book. Start in a place that you know well and have confidence.
- Talk out your book. Talking feels more natural than writing. Imagine that you are giving a presentation on the subject or taking to a friend about it. Record the presentation or conversation and later transcribe it.
- Write in a new environment. Try writing in a park or at the local coffee shop, relax and see what happens.

### **Editing, Editing, Editing**

Editing is the process of reviewing the rough copies and drafts, and making changes and adjustments to it to turn it into a better draft. This may involve making sure the connections to the charts and figures are there and all information is not only included, but flows well. This may require several rounds of the editing process and sometimes even three or four attempts to get the content exactly the way you want it. After your edits are the best they can be, your manuscript will be ready for final editing.





## Chapter 9

### Editing and Production Process

When the manuscript is submitted to the publisher, the production process begins. Production involves copy editing, reviewing and refining, proofreading, checking placement of illustrations, cross-referencing the table of contents and chapter references, and answering any and all queries that pop up. From start-to-finish, you are building the final book and checking it twice. Your publisher will provide a schedule and your work will be planned accordingly. Remember, plan the work and work the plan.

#### Final Editing

Final editing is the process needed to prepare the manuscript for publishing. During with this round, each chapter is reviewed one more time and formatted to the publisher's desired guidelines. This involves making sure that all the tables and figures are included and in the proper format for reproduction and referenced properly, the material is developed, the headings levels are noted, and instructions are included to guide the production team on how you wish the content to appear on the page.

#### Copy Editing the Manuscript

The first time you view your book after it's been submitted to the publisher will be during copy editing. A publisher will send your raw manuscript to a copy editor to improve formatting, style, quality, and accuracy of the text. Their role is to make sure formatting is consistent, the content flows properly, grammar and punctuation are proper, references are complete, and illustrations connect to the text. They will also have questions for you to answer as well. It is important to remember that a copy editor is not a subject matter expert for your content.

Copy editing is completed before developing page proofs. Any changes the copy editor makes or questions they have, will be sent to you for review or answers. Changes are usually communicated using a tracking feature of the word processing software. You have the option of agreeing to their changes or refusing them.

#### Page Proofs

Your book will be typeset next and the pages will be designed. This is when the manuscript actually begins to look like a book. The page proof set will be sent back for your review and proofreading. The page proofs come to you as a pdf document, usually with instructions as to how you need to return your changes, edits, and corrections and the due date.

You need to review and proof each page, one page at a time. With the first page proof review, you are usually allowed to change or move some items, such as headings, illustrations, and tables. The deeper you go in the page proof process, the more limited you become with



## Proofreading

Proofreading is a continuous activity in the editorial cycle and is an absolutely vital activity. It may seem as if there is always a blunder waiting to happen. While you revise and refine the larger aspects of your book such as focus, organization, and development of the chapters, you will also need to examine and correct at the sentence and word level. Some people love proofreading, others may despise it. Here are a list of tips to help make the time spent proofreading efficient, effective, and hopefully, enjoyable:

- Plan your proofreading. Make a list of what to look for, this will help you manage your time and not get overwhelmed.
- Break your mindset before you proofread by take a break away from the book for a day or two, and then return to it with fresh eyes.
- Print out a hard copy. Reading from a computer screen is not an easy or effective method.
- Give yourself plenty of time to proofread and don't rush the process.
- Proof for different types of corrections at different times. First review for content, grammar and spelling, then proofread for punctuation
- Check all the numbers in your text. Do the math that may be included, then do the math again.
- Keep track the errors you frequently make and use the search function on the computer to correct them. For example, you are known to misspell the word 'manager' and type instead the word 'manger.' Double-check your content by searching for 'manger' and replace any occurrences with 'manager.'
- Read the copy out loud or backwards. This helpful for spotting run-on sentences and hearing other problems that you may not uncover reading silently.
- Have your writing buddy or a trusted friend proofread the copy for you.
- Use the spell check function of your word processing software, but don't trust it.
- Don't make assumptions, proofreading can be a humbling experience. If you're not sure about something, look it up and correct it properly.
- Take breaks to keep your mind fresh and clear while proofreading. Avoid getting tired or distracted by taking regular breaks to complete other tasks, listen to music, or take a short walk.

## Permissions

Obtaining permissions to use other's work in you book can appear daunting, but it can be easily accomplished by breaking the task into five steps.

1. *Determine if you need to obtain permission.*

To determine the need, ask these two questions regarding the work. First, is the material protected under the law? Secondly, would your use of the material violate the law? If

the information was published in the U.S. after 1922, it's best to assume that you will need to obtain permission. To answer the second question, look to how you are using the information. Are you only mentioning the work? Permission is not needed. Are you using a small portion of the material? If so, permission is probably not needed. Are you using large portions of the material to support and reinforce your ideas? If so, then permission may be needed. There's a very fine line with this, and a conservative approach is always recommended.

2. *Identify who owns the work you want to include.*

This step should be relatively easy as you have the information or copyright notice in front of you for reference. If the notice reads "Copyright 2016, XYZ Publishing," that will be your starting point. If more direction is needed, the permissions contact at XYZ Publishing, will inform you.

3. *Identify the rights you need.*

Ask for all the rights you need, whether it be the right to reproduce, distribute, or modify the work. Because there can be many different rights associated with copyrighted work, you need to be specific about what you need and what your intended use will be.

4. *Contact the owner for permission and to find out if payment is required.*

Some permissions come with a cost; some do not. You don't want to ask or pay for more than you need, but you don't want to be required to complete the process twice either. Be specific in your request, noting what you want to use, how you want to use it, and where you want to use the materials.

5. *Get the permission agreement in writing.*

It's best to plan ahead for permissions as the process can take anywhere from one to three months to complete. Permissions should be obtained while you are writing your book. The best practice is to begin obtaining permissions as soon as possible. Sometimes there is a fee associated with use of the information, so if the owner knows you have a vested interest in the work, the price may be higher than you expected. If permissions cannot be obtained, you will need to rework your content which can be time consuming and expensive. When you have the letter stating that you have been given permission to use, or a receipt that specifies what rights you have purchased, be sure to provide a copy of it to your publisher when you submit the manuscript. They will definitely be looking for these as legal consequences can occur if permissions are missing.

## **The Cover Page**

While readers shouldn't judge a book by its cover, most do. Choosing a book cover is one of the more enjoyable aspects of writing a book. A well-chosen, well-designed book cover appropriate to your market will grab attention for your book and help create your brand. It's a small demonstration of the effort you've put into the book. The cover sets the stage for what's inside and creates a mood for the reader—you'll want to be credible and positive. Remember, readers will be reading your book in public and the cover maybe their first ever exposure to your topic. Some publishers want to control the design with no input. Other publishers will provide you cover examples to consider. Still other publishers want your input, and you may need to hire an

independent designer. Either way, chose a cover that will make your market reach for and buy your book.

### Endorsements

Endorsements are those snippets of reviews that appear on the cover of your book and throughout your marketing material. Here’s where your networking skills come to life. Do you have contacts in various companies in fields appropriate to you book? Would they be willing to review a sample of your book or your entire manuscript? If so, invite them to provide an endorsement of you book. If your book has general appeal to different departments, services, or fields of industry, think about a variety of different people you might call on to write that one- or two-line blurb telling future readers why they need to read this book.

### Indexing

Indexing the book is often done by or through the publisher, but at a cost to the author. You may be asked to complete this task on your own. Don’t be overwhelmed; break it down in to manageable steps, and follow the guidelines provided by the publisher. The best option for creating your index is to reread your manuscript with the index in mind and make decisions about what entries and cross references you would like to include, what entries will need subentries, and so on. Highlight your subjects on the page proofs so they are easily seen and remember to note multiple occurrences of the same subject. The search function of your software will assist you in compiling your references. Be sure to alphabetize entries, subentries and *see also* cross-references; and proofread the index. There are references for creating indexes online, software features to assist with indexing, and workshops available through the American Society for Indexing.



*Exercise: What are your concerns about the production process?*

---

---

---

---

---

---

---

---



## Chapter 10

### Book Release and Initial Promotion

The initial launch of a book is the most critical point in book sales. Some publishers judge the success of a book based on its first few months of sales. With very little sales in the beginning period, they often pull back any resources to promote it. It is critical to take steps to make a big splash when the book comes out. This requires planning ahead, organizing events, and processes in place well ahead of the book's release. Book reviews, that might normally come later, can be completed earlier with advanced copies of the book. Ideally, promotional articles should be published at the time the book is launched. There are several issues regarding the initial book promotion that will be addressed in this section.

#### Do You Need A Publicist?

This can be a tough issue. The argument for a publicist will be that most publicists add value and they sell books. The downside is that they cost you money and may not add enough sales to pay for their services. When the royalties are compared to the cost of the publicists, they may be hard to justify economically. However if you want the book to make a big splash, boosting the early sales, then a publicist may be the right choice. Here are a few pointers to keep in mind when using a publicist:

1. Find and use a publicist that your publisher recommends.
2. Make sure the publicist has a proven track record.
3. Select your publicist early in the book writing process.
4. Try to tie their performance to book sales.



*Exercise: Will you use a publicist?*

---

---

---

---

---

---

---





## **Book Tours**

As mentioned earlier, some authors may go on book store tours, although this is not very common for books the business area.

## **Website**

Your website should be updated to include the new book, and a press release should be written and posted on the website at the time of book's publication. If you have other products and services connected to the book, they should also be highlighted on the website. Your website should direct the reader to other tools and processes that complement this new book.

## **Special Mailings**

Sometimes flyers are sent out to a database of prospects as part of the initial launch. Perhaps the flyer would have a special discount price arranged through the publisher or with a sponsoring agency, or through the author (if the author is prepared to sell books directly to the consumer). The mailings must be designed to bring attention to the book, where it can be purchased, and how or when it can be used.

## **Book Reviews**

Book reviews are very effective and important. Books should be sent to major professional publications where the readers would be interested in the book. The key is to identify the publications early in the writing process. The publisher may actually send book copies out for review. If not, you will need to send the reviewers their copies directly. The key is to get your book reviewed by respectable contacts in the field. Apart from professional reviews, it might be helpful to just have the review of local newspapers, if appropriate and if the audience appeal is there. You must also consider and plan for book reviews with book sellers—whether it is Amazon, Barnes and Noble, Books a Million, or others. This may seem like a lot of effort, but can certainly provide an important payoff.

Don't overlook the review of some television or radio programs. We have been fortunate to have our books featured in both *Businessweek* and on CNN. These outlets make a big difference. Although we haven't yet reached the status of having a book reviewed on the CNN program, "The Global Public Square," it would make a tremendous difference. The program's host, Fareed Zakaria, often ends the program with a book-of-the-week recommendation. Many of those books become best sellers, largely in part with having been featured on the show. In fact, we normally order the books routinely. On average, we purchase one of every three recommended books-of-the-week.

## **Articles**

Several articles should be developed around the book, highlighting certain sections, chapters, and maybe the entire topic of the book. Ideally, these should be prepared ahead of time and ready for publishing by the time of the book launch. These articles should be placed in publications where readers of the book or potential purchasers of the book would be in the audience. The articles could be short, one page in length, or perhaps appear as a column in the publication. Or they could provide more detail, insight, and be more academic-flavored articles to be contained in journals. The key is to get the information about your book out to the public with as many articles as possible. Sometimes even a series of articles will work. Consider pacing these articles in some of the most usual publications, perhaps placing one every six months or every year—if the publisher will allow it.

## **Blogs**

There are some bloggers who talk about books and talk about issues surrounding books. First there may be blogs on the particular topic that the book is discussing. That may be a great resource, and understanding how to post to that blog would be important. Secondly, there are blogs about books, and getting your book into that process is also helpful. Additionally, there are services like “Books24x7” which is owned by Skillsoft, where books are available at a discount to the subscribers of the service. It may be helpful to explore how those services can aid in your book’s distribution.

## **Support Network**

Consider establishing a support network early in the process. Perhaps have people reviewing the book, discussing the book, and now at this point, actually promoting the book. This is similar to having an informal board of advisors for the book, who now will become great promoters of the book. These are individuals who know of your work and are excited about your book. Ideally, they contribute in some way, perhaps by reviewing the manuscript or presenting some content for the book through an interview or research. If it is an edited book, these maybe the people whose work you have edited.

## **Webcasts/Webinars**

Sometimes a webcast or webinar can be built around a book. Many organizations routinely promote professional books, and prefer to accomplish this through webinars or webcasts. For example, The Conference Board routinely host webcasts around newly published books—but only if it has general interest for their members.



## **Chapter 11**

### **Continuous Marketing**

Beyond the initial launch of the book, continuous marketing is needed to keep the book in a good sales position. Marketing the book must become a routine part of your daily processes to create consistent demand and continue to drive sales.

#### **Connect with Your Business**

Ideally, the book supports your business. Although this is described more in the next section, if your book supports your business, it then becomes the calling card for your business. When you talk to new customers, you leave a book. This gives you a chance to talk about the book, bringing it into the focus of attention. It may also encourage others to promote, send, or recommend the book to others. It is not unusual for a client to say, "I'd like to send a copy of this to my colleague." Obviously, this is exactly what you want. As you place more copies in the hands of decision makers, the book's exposure increases and it helps your business as well.

#### **Make Presentations about the Book**

A large variety of business and professional groups meet regularly, and they need speakers. A new book is a great topic for these meeting, but only if it will appeal to the members. Almost any business and professional book could be connected to a professional group. The task is to explore where this marketing method can be used, and to start researching possibilities for routine speaking engagements early in the writing process. These presentations go beyond local business groups like the Kiwanis or Rotary, getting into the professional societies associated with those who participate in the book's activities. These speeches could also be expanded to include presentations at annual conferences (regional, national, international) for these societies and associations.

#### **Consulting Engagements**

As a part of connecting your book to the business, consulting may be a natural spin-off for a book. The motivation to write a book, for many authors is to use it to promote consulting services. The more consulting work that you can do, the more it will build your business and also build connections to the book. Some potential clients, who cannot afford your services may buy the book and try to figure it out themselves. This is still a good outcome, because they will have purchased your book.



*Exercise: Is consulting based on the content of the book possible? If so, what's the focus and scope of the consulting?*

---

---

---

---

---

---

---

---

---

---

### **Workshops for the Book**

Beyond speaking and writing articles, workshops may be appropriate. These could be half-day, full-day, or longer. In some cases, perhaps a five-day certification can be connected to a particular book as we have achieved in our business. The book becomes the reference or textbook for the workshop, and this ensures individuals really get to know the content of the book. We all are aware that most people buy books but don't read them. Workshops validate that they actually do know the content of your book. The more they know about the book, the more they will use it, refer to it, and promote it. Imagine, after the workshop the book is full of turned-down pages, post it notes, and other indications that the book has been used. That's impressive to an author and it's impressive to others, often prompting others want to buy the book.



*Exercise: Is a workshop possible for your book? If so, who is the audience, what is the duration, and what are your objectives?*

---

---

---

---





## Ancillary Material

Sometimes it is helpful to develop additional materials to support the book. These may be case studies, tools, templates, assessments, or software to name a few successful examples. A wide variety of materials that can be developed to support the book and help with developing the business around the book. These ancillary materials may even be sold as separate items in a revenue generating process.



*Exercise: What ancillary materials are possible for your book? How will you use them?*

---

---

---

---

---

---

---

---

---

---

## Field Guides

If the book is introducing a concept that needs additional tools and explanations to help with implementation—then a field guide might be appropriate. This often means another book may be produced with the same publisher, (or it could be self-published). A field guide supports the implementation of the concept. For example, a book was published to show what Jack Welch had accomplished with GE during his tenure as CEO. *The GE Way: Management Insights and Leadership Secrets of Legendary CEO*<sup>1</sup> was followed with a field guide book titled, *The GE Way Fieldbook: Jack Welch's Battle Plan for Corporate Revolution* helping individuals implement the process.<sup>2</sup> Peter M. Senge wrote a book called *The Fifth Discipline*,<sup>3</sup> and he followed it up with *The Fifth Discipline Fieldbook: Strategies and tools for Building a Learning Organization*.<sup>4</sup>



*Exercise: Is a field guide a possibility? If so, what is the focus and scope of the guide?*

---

---

---

---

---

---

---

---

### **Case Studies**

Although case studies can be listed on the website as ancillary material, these may also be available on the website at no charge or provided free along with the book. Sometimes it is helpful to consider a separate publication for case studies, possibly with another publisher. The publishers who publish reference and general business and professional books, often do not publish case study books. Case study books are more appropriate for the academic publishers or professional associations publishing divisions. In some situations, case studies books are provided electronically or provided as a companion eBook at no charge. It may be helpful to explore the possibility of a separate publisher for the case study book.

Case studies not only bring the concepts to life with real life experiences, but at the same time, provide additional promotion of the original book, because all of the case studies are tied to the original publication. The goal is promoting and branding the initial work. This is also another source of revenue and can be used in the business which is connected to the book.



*Exercise: Are case studies possible? If so, how will you publish it?*

---

---

---

---

---

---

---

---

---

---

---

---

### Updates and Revisions

If the published book is in fast-changing process or functional area, updates may be necessary. Updates would be made available to subscribers, available on the website, or through the business that is connected to the book. In some cases, it might be offered by the publisher. For example, the book by Richard Bolles, *What Color is Your Parachute?*<sup>5</sup> has annual updates because so many things change about career sources. These updates provide more sales with not too much more additional effort. Most people will always want the latest version of a book, and may even discard earlier versions.

Most books will need a complete revision at some point in the future. It's not too early to think about when and how this will be developed. Create a next edition file to collect updates, new developments, and more recent research.



*Exercise: Are updates and revisions needed? If so, what will be the scope, format, and timing?*

---

---

---

---

---

---

---

---

## References

1. Slater, Robert. *The GE Way: Management Insights and Leadership Secrets of Legendary CEO*. New York: McGraw-Hill, 1999.
2. Slater, Robert. *The GE Way FieldBook: Jack Welch's Battle Plan for Corporate Revolution*. New York: McGraw-Hill, 1999.
3. Senge, Peter M. *The Fifth Discipline*. New York: Doubleday, 1990
4. Senge, Peter M. *The Fifth Discipline Fieldbook: Strategies and tools for Building a Learning Organization*. New York: Crown Business, 1994
5. Bolles, Richard. *What Color is Your Parachute? 2016: A Practical Manual for Job-Hunters and Career Changers*. Berkley, CA: 10 Speed Press, 2016.

## **Book Marketing Best Practices**

**By Carla King**

**IngramSpark Publishers**

### **IT'S NEVER TOO EARLY**

If you have a well-written book, congratulations! You have an advantage, and it's easier than ever to connect with your readers. Not finished with your book yet? It is never too early to connect and build relationships with readers and influencers to build your author platform.

I've put together this booklet to introduce you to marketing best practices, creating a strong author platform using your website, weblog and the most popular social media platforms. You'll become familiar with tools and services you need, and you'll learn enough about the topic to intelligently hire out help if you need it.

### **CULTIVATE RELATIONSHIPS & TRUE FANS**

We've all heard the maxim, "it's who you know" and it's true that your friends, family, and coworkers are your biggest fans and your most reliable advocates. So the more "friends" you have, the more fans you have to help you promote your book. Unfortunately, a lot of authors start relationships with readers and influencers the day their book is launched. Don't be one of those authors who enter the virtual party shouting, "Buy my book!"

Cultivate relationships early. Attend conferences in your area of expertise and attend writing and publishing conferences, too. Find places where you might contribute to a conversation or offer help. Online forums are great places to start, especially if you write to a niche market. Offer assistance, have conversations, read other's stories and become a part of the community. As in any social situation, it may feel awkward at first, but you'll find places to make real connections.

If you haven't read Kevin Kelly's 1000 True Fans blog post, check it out, it's very encouraging. Kelly founded Wired Magazine (along with a number of other successful businesses), and he proved that artists can make a decent living with the support of only 1000 true fans. These are the fans who buy all your books, attend every reading, listen to every podcast, watch every video interview, read every article and who just love what you do. Attend to the care and feeding of these fans, he says, and you've got it made. This means connecting with them via e-mail, social media and in person. Best practices for using these tools are provided later in this booklet.

### **BUILD YOUR BRAND**

Your book title might rock, but your author name is your strongest brand. Back in 2000 I grabbed a domain name that matched the title of my story (which became a book) and built a

website. Then I built a website for the next book, and then the next one. In 2004, as I was building my fourth website, I realized that if I continued in this manner I'd drive myself insane. Miraculously, my author name was still available so I consolidated all my media under CarlaKing.com, forwarding the book websites to their corresponding sub-pages under my central website.

It may be difficult to reserve your name these days, but you may already have a "handle" that you use. My adventure travel handle is missadventuring, but if my name were taken, I could have used carlaking-author or carlaking-writer.

Other elements of your brand include colors, typography, images, graphics, logos and even tag lines. Get serious about marketing and study branding principles to create your own recognizable look.

## CONTENT MARKETING & WRITING FOR FREE

Now that you are an author you can afford to write for free. Consider that every piece of content you contribute is publicity that generates book sales. Identify parts of your manuscript that might become articles or stories, photographic layouts or other short pieces. Offer free articles to magazines, newspapers and websites in your area of expertise in exchange for a linked blurb about you and your book. I often contribute articles on motorcycle gear, on destinations, and on topics like tips for women traveling solo. This is called "content marketing."

Content marketing can activate a reciprocity impulse in others. When your book is ready you have a better chance of getting reviewed, mentioned and supported by those you've supported. Building relationships online is just like building relationships in real life. As in any business relationship, be professional and reliable.

Other than magazines and websites on your topic, there are many websites that host articles and stories and market their best contributors. Examples are Examiner.com and HowTo.com. Always cross-post on your own website and social publishing sites.

Guest blogging is also an excellent content marketing strategy. A web search can help identify the important bloggers to cultivate relationships with, and you can even arrange your own blog tour when your book is published.

## DEVELOP A WEBSITE AND BLOG

Your author website is "you-central" and the cornerstone of your marketing and promotion efforts. All of your social media profiles need to link back to your site and your blog. This is done by using consistent metadata, or keywords, which is a big topic covered in another booklet on "discovery."

Ideally, your blog and your website are one and the same. Many authors test the waters with a free Blogger, Typepad or Wordpress blog, but here's the problem—you don't own or control your content. What you need is a "self-hosted" blog and website, and WordPress is the most popular platform.

So where do you start? One popular company that provides affordable hosting is GoDaddy. They offer basic "managed WordPress hosting" for about \$7 per month, though it's often available for as little as \$1 per month and even includes a free domain name. With managed WordPress hosting you get automatic backups so you never lose your data. Once you sign up, you'll choose from a selection of simple themes. Just click and start building or hire someone to help you for surprisingly little money.

You only need a few pages to start with; for example, a home page, about page, books page and a contact page. Your home page is important, but research has shown that the about page is the most popular page on most sites. Readers want to see your face and learn what makes you tick. Write it in the first person and talk with the reader. Do a little web research to find out more about what makes a great author about page.

It's also important to include an e-mail newsletter sign-up form in your sidebar (upper right-hand side, please!), plus links to all the social media sites you're actively using. As I mentioned above, I like MailChimp because it's easy to use and free up to your first 2000 e-mail subscribers.

On your books page, consider embedding a widget that allows your readers to preview your book. Also, make it easy for readers to follow you with one click by embedding social media "like" and "follow" buttons on your pages.

## SOCIAL MEDIA: CHOOSE IT AND USE IT

Today's readers use social media to recommend books and connect with other readers. Today's authors cultivate relationships with bloggers, especially curators whose voices rise above the noise.

Ideally, you'll start marketing and promoting yourself via your website and social media long before your book is available. Twitter and Facebook social sites are popular with many authors because they're easy to use, enjoy large audiences, and provide one-click connectivity to and from many other social media sites. LinkedIn, another popular social site, can help you to reach large groups of professionals in particular industries. Pinterest and Instagram sites are great social visual tools. Google owns Google+ and YouTube and so when you post there you enjoy better visibility in the Google search engine.

IngramSpark recently partnered with Aer.io, a service that extends the sales network of anyone with a web presence to promote e-books and print books with a direct link to buy. It also offers

a social marketing and sampling service with a direct buy button. Use it to begin the word-of-mouth buzz for your book via your friends on social media.

Authors often worry about which social media platform to use. I recommend registering for all of them, and deciding later: Twitter, Facebook, Pinterest, Google+, LinkedIn, Instagram, Tumblr, YouTube, Gmail addresses and other sites that you discover. Create keyword-rich profiles that point to your website at the very least, and experiment with each one over time to see which you prefer.

Twitter is an excellent news commentary and sharing platform providing up-to-the-second information on everything from a concert to a conference, from a war to a sports event. There are a lot of journalists on Twitter, so you have an opportunity to stand out as an expert or a person of interest and get in the news. Connect with and follow other Twitter users as well as sort your tweets by topic or interest using a tool like TweetDeck or HootSuite.

Facebook separates personal pages from groups, business and author pages, virtual events, book pages and other kinds of pages. If you're starting from scratch, you'll need a personal page first, then an author page. These pages are linked so that Facebook knows who owns what pages. You can use your Facebook author page to post updates on your writing, alert followers to sales, freebies, interviews and articles, solicit beta readers and run contests. Facebook also makes it easy to embed a button to place on your website so that your readers can "like" your page and see your posts in their Facebook newsfeed. You can also manage Facebook posts using a tool like HootSuite.

Google+ has emerged as a very popular place for writers because it displays long posts so nicely. Because of that, G+ can be used as a blogging platform. (Still, I wouldn't recommend replacing your blog with a series of G+ posts. Instead, create a short post with a teaser to your new blog post.) Once you add someone to a circle, you can target your posts to show up on the newsfeeds of that circle.

Pinterest is a virtual bulletin board that lets you share links by "pinning" an image on one of your boards. (Make sure you place an image on every page of your website and each blog post, so readers can share via Pinterest.)

Tumblr is a hosted blog tool for visual content. If you're an author of visual books, note that a significant number of authors have been discovered on this site.

Instagram is a mobile app that lets you post and respond to photos.

LinkedIn is an important platform to use to reach influencers used for making business connections so your profile should be as well written as a resume. Groups in LinkedIn can be very profitable places for you to spend your time. Every group has a discussions tab where you can start or contribute to a conversation. Use the promotions tab to post information about your seminars, book press releases, awards and information about articles you have written.

Many people use YouTube to search for video content much as they use retail sites to search for products. Videos, especially a short, concise, entertaining, and well-made video, is an excellent marketing tool.

Visual content gets great results with readers. Studies show that you'll get 80% more engagement on an image posted in Facebook than a text post, and over 50% more clicks on Twitter. So use images to create interest in your posts and also consider incorporating visual elements like infographics or even just inspirational quotes. The online Canva design tool makes creating images very easy.

Your mobile device with a built-in camera is your best bet for keeping in real-time contact with your friends, family, and readers. Make sure to add images and infographics on your web pages so that people can share them easily using one of the Pinterest browser buttons.

#### SOCIAL PUBLISHING & BETA PUBLISHING

Social publishing allows you to start early, sharing your stories and drafts with a community of other readers and writers. This helps to attract beta readers, improve your writing, and discover your markets. When you pre-publish stories or even entire books you can get valuable feedback on your writing before you publish.

Two popular social publishing sites are Wattpad and Scribd, but there are many fan fiction, romance, and niche publishing sites, too. You can also beta publish "socially" and even get paid for it using online stores like Gumroad, Selz, and Leanpub, which also have incorporated social media features so you and your fans can easily share. These sites let you sell or give your book away to beta readers, notify them of updates and test your book before you set up formal distribution to online retailers. The benefits are many, not the least of which is that you get readers' e-mail addresses. (Direct e-mail marketing with a service like MailChimp is the best use of your marketing time and budget.)

I've seen many authors make the mistake of hurrying through the publication process, and most are sorry later. Take the time to use social and beta publishing to recruit help with those copyediting and formatting errors, cover design flaws, plot gaps, and other problems, before committing to big distribution on Amazon and the Ingram distribution network.

#### FOLLOW THE SOCIAL MEDIA RULE OF THIRDS

The social media rule of thirds is simply this: One-third of the time you promote your book or business; another third goes to supporting similar authors or businesses; and another third of the time you want just to be yourself, posting things unrelated to your business, but related to you as an individual.

For example, because I'm an expert in a very narrow niche—women's adventure motorcycling—I give lots of advice and encouragement to other women who want to motorcycle (and to the men who love us!). But I also share my interests in writing, publishing, gardening, yoga, travel, and my family.

It turns out that a lot of people who share those interests also like travel and motorcycling or know someone who does. They have helped me sell books, connected me with editors who pay me to write articles, and secured highly-paid speaking engagements at conferences, one of the most profitable places I've found to sell my travel stories. I've even started giving lectures and selling books on writing and self-publishing to the adventure crowd—they have a lot of stories to tell!

Best yet is the number of people I've met who live around the world and have become actual true, in-person friends.

#### JOIN FORUMS & GROUPS

Forums and groups are great places to get attention because they're focused and interactive. You can become a star by sharing what you know, especially if you're an expert, as long as you don't step on the group leader's authority. In groups, you can test ideas for blog entries, articles, publicity and invite people to connect with you on social media.

LinkedIn is a great place for professional groups. Yahoo and Google both host groups and communities. Meetup is one of the hottest networking communities going today perhaps because it's focused on real-world meetings. You might even create your own group.

Forums are especially fun because they're so focused on a single topic or activity. I'm a member of two different motorcycle adventure travel forums, a women in motorcycling forum, and a couple of forums related to single makes and models of motorcycle. We ask and answer questions about gear and destinations, troubleshoot problems for each other, share ideas and experiences, jokes, accomplishments, and failures.

Visiting these groups and forums doesn't seem like work to me. They're natural extensions of the activities I love and the people I meet there often become friends. I hope that you'll find the same rewards in your endeavors to connect.

#### JOIN PROFESSIONAL COMMUNITIES & ORGANIZATIONS

Many writers work in isolation and getting out into the larger community can provide you with an energizing boost. You'll meet peers, editors, reviewers and publishers, all while keeping up with changes in the industry, new technologies, services, and sales and distribution channels.

Meetup.com has a lot of writing, reading and social groups for authors and groups in business and social niches. The Independent Book Publishers Association (IPBA) is a great organization with lots of information and perks. Every year I try to get to at least one writing conference.

#### USE E-MAIL MARKETING SERVICES & RSS FEEDS

Your mailing list is the foundation of all marketing and promotion efforts. You can even begin building this in advance of setting up a formal website or blog. There are many e-mail marketing service providers. MailChimp is free for up to 2000 e-mail addresses. Like AWeber, Constant Contact, Vertical Response and many others, MailChimp will manage your e-mail contacts, provide customizable templates for e-mail newsletters, track open and click rates, automatically handle subscribes and unsubscribes, and provide analytics. They make it very easy to create and embed a signup widget (an HTML snippet) on your website and blog posts too.

To encourage visitors to sign-up for your e-mail news, entice them with an ethical bribe: free information, booklets, and stories. An automation or auto-responder feature can handle this for you, sending your prepared e-mail (or series of e-mails) when they enroll. Providing complimentary information and stories asserts your professionalism, demonstrates your creativity, builds relationships and inspires reciprocity. Visitors to your website will expect to find a sign-up form in the upper right-hand side of your web page.

Some authors shrug off e-mail newsletters because they offer an RSS feed on their site. Go ahead and use an RSS feed (Feedburner is a good one). The important distinction I want to make is that RSS is not an e-mail address collection tool, it's a notification system that some of your site visitors will use to stay up-to-date with your blog posts via e-mail or an RSS reader.

The people who have subscribed to your e-mail newsletter want to get to know you so reward them with more personal content than you publish in your other social sites. As a writer, you are uniquely equipped with the talent and skill to write great e-mail newsletters.

#### HIRE OUT PUBLICITY

For the indie author, affordable professional publicity is tough to find, and it's often difficult to justify or measure the return on investment. There are no guarantees which publication, blog, radio, or TV show will run with a review of an author's book or who will interview the author as an expert. An alternative to a traditional publicist is a virtual assistant who might help you set up, monitor and maintain your social media presence, draft blog posts, implement SEO (search engine optimization) and even organize blog tours.

After interviewing a pro, request a detailed plan that includes the specific projects that will be part of the job, the timeline for delivering on these projects, what you as the author are expected to provide and the process by which your helper will keep you updated on the progress of your campaign. And, be sure to ask for references.

You should also develop a comprehensive online media kit that includes high-quality author photos and book covers. Also include bios of various word counts, bite-sized and lengthy, along with links to interviews, book reviews, articles about you, links to articles written by you, a link to your events calendar and your contact information.

## DISTRIBUTE PRESS RELEASES

Many press release distribution services promise distribution to national and international media outlets for less than \$500, which sounds very attractive. But press releases have to be well-written, topical (automotive, gardening, etc.) or timely (tied to a major news event or holiday), to get noticed by busy journalists, and there's no guarantee it will be picked up.

Look for a service that will provide a targeted media list based on keywords and who will also help you write a great press release and provide you with a monthly newswire service.

Think creatively. You might hire a magazine editor or well-known personality in the field you're writing about to send e-mails to their contacts. The e-mail can have all the same information as a press release but crafted as a personal note. For example, I hired a retired motorcycle magazine editor to send out an e-mail to her peers about my book on motorcycle adventure travel. Because they knew her, many editors clicked on her e-mail and, as a result, news of my book was included in major motorcycle magazines around the world, with many asking for review copies.

## IMPORTANT PLACES FOR AUTHOR PAGES

Once your book is finished, you can create an author page on Amazon's Author Central. Along with your bio, you can add multimedia, blog feeds, and an events listing. You can edit or correct Amazon's list of your books, claiming all your books so that they're listed correctly in your bibliography. A sales tab lets you track your book sales over time, you can check your current Amazon ranking, and all your reviews are collected on one page.

Behind the scenes, you can look at sales data, make corrections to book data, link multiple editions, remove books and even report copyright infringement to name just a few functions. These pages are popular with readers and lets them know what other books you've written and where to find you elsewhere on the web.

It helps to get all your friends and family to review your books on Amazon, and you might also ask the favor of your newsletter recipients who may have read your book.

Since Goodreads was acquired by Amazon, there's a lot of great linking and visibility there. Goodreads is the largest social network for readers so you want to be there too when readers discuss and recommend books. Goodreads offers pages for authors so you can increase

visibility, but they do recommend that you become active in the reading community before you start telling people about your book.

I get a lot of questions about marketing opportunities with KDP Select, Amazon's exclusive e-book program for authors. Remember that your readers are everywhere, and exclusivity eliminates your opportunity to develop a wide reach into every marketplace.

#### INGRAM ADVANCE & AER.IO

Ingram can serve as your connection to the trade market. Their relationships with booksellers and libraries as well as their expertise in physical and digital marketing make them a unique partner that can help you effectively market your titles.

As a self-publisher, you can advertise in the Ingram Advance, Ingram Christian Advance Ingram Children's Advance or on Ingram E-Central. These listings will get your book in front of 27,000 booksellers, librarians and international customers.

Ingram recently acquired the online retail network, Aer.io. This platform allows you to grow your audience while previewing and selling your book on your very own website or social streams. You'll be able to collect prospects' and customers' e-mails to start building your engaged followers list for future books. One great benefit Aer.io provides is the ability to sell your book direct to your customers – which we all know – means more money in your pocket.

#### TAKE ADVANTAGE OF PASSIVE MARKETING

Remember that old yellow pages jingle, "Let your fingers do the walking?" Today your readers' fingers are walking the internet to find books.

What you need to do as an independent author is to create a list of metadata (titles, descriptions, keywords, alt tags, and such), "seeding" your website and social media sites with words and terms that will be gathered by search engines and display your book in readers' search results. Metadata is a great passive marketing technique. Find out more about how to use it in the booklet on discoverability.

#### KEEP MARKETING!

The marketing cycle for an independent publisher is longer than a traditionally published author who gets a boost at book release time and perhaps for up to a year after release. As an indie author you're never backlisted. You can promote your book in many different ways for many years. If you reach a dead end with one social media site, move on to another. If you stop having fun, go elsewhere! There are limitless places online and around the world to connect with readers and many authors have found creative ways to reach them.

Connect with other authors to find out what they're doing. The indie author community is especially generous with lots of sharing online and in-person. The techniques shared here are best practices for marketing using common tools and methods, but your limitless creativity will take you as far as you want to go. Good luck!

**Reference:**

King, Carla. "Book Marketing Best Practices." *IngramSpark* website.  
(<http://www.ingramspark.com/lp/book-marketing-guide-assets/marketing-whitepaper.pdf>)

## Chapter 12

### Using the Book in Your Business

The ultimate goal of publishing a business or professional book is to build a business around it. That's the goal of most writers, and it's an achievable goal for many. We highly recommend building a business around the book. The first step is deciding the nature and scope of the business. Will the business include consulting with clients to explain the concepts in more detail, or assisting them in some way? Will there be teaching the individuals to use the concepts in the book? Or will it be actually doing the work for them? For example, a person is involved in converting organizations to cloud computing. A book that explains how cloud computing is efficient, effective, and affordable is an ideal book to support a business built on transitioning companies to cloud computing. The principle goal of the book is to help individuals to make their transition to the cloud.

#### Defining Your Business

Defining your business involves defining exactly what you want to do. If the business is cloud computing conversions, the business will be either be teaching clients how to do it, or doing it for them, or both. If the latter is the case, the key will be to have cloud computing transitions done properly. The mission of the business is to make sure that cloud computing is implemented properly and is effective and reliable. The vision may be to be the most respected and sought-after leader in cloud computing industry.



*Exercise: What's your proposed business? How will the book support it?*

---

---

---

---

---

---

---

---

---

---



## **Providing Consulting**

Consulting is doing the work for the client, or providing assistance to the organization to make it work with successful outcomes. It may be showing them how to achieve the goal, or it may be doing it for them. Either way, you are working interactively with the client. The book becomes the pass-along reference detailing what you are doing for them. Although it is a way of securing the business, it is also a way of reminding them what you are doing during the assignment.

## **Teaching the Clients**

In some cases, you want to teach your clients how to do what you are doing. This is a way to get more people more involved, and it connects to the original philosophy. For example, Accenture, Deloitte, and PricewaterhouseCoopers—all are large consulting companies and their partners regularly write books explaining what they do. They don't necessarily offer workshops to teach you how to do it—because they want to do it. Contrast that with ROI Institute, where we prefer to teach clients a systematic approach to measure results—however, we will also measure the results for them if that is what is preferred.

## **Professional Presentation**

As mentioned earlier to promote the business and the book, professional presentations are made to audiences that need the services offered by the business. These are usually professional societies, associations, or trade groups meetings that the potential clients will be attending. During the presentations, the book is the main focal point, and then business is quickly connected to the book and promoted.

## **Research Connected to the Book**

As mentioned earlier, research can be conducted that supports your business and the book at the same time. The research shows the status of the process you offer in your book. For example, the research on cloud computing may include the extent to which organizations are switching to cloud computing and the advantages and benefits for doing so. The research may also identify the stumbling blocks and barriers to cloud computing and best practices for overcoming these issues. This would be useful research to make available and promote for both your business and the book.

## **Special Promotions**

The book becomes the calling card to drive the business. The book is sent along with a list of services offered, and the book becomes the teaser. It gets the attention and makes a mental note, if not an action item, that your business is the one to provide this service.

