TEMPLATE: INTAKE SCOPE AND ALIGNMENT DOCUMENT (Tool 1b)		
INTAKE SCOPE DOCUMENT:		
Note: This tool is for the training professional. It is not a document for the client. Do not let the tool constrain your questions and the scope of your initial client interview. Complete as much of the document as you can before the interview. Modify the tool as required to suit your needs. Even though the questions are ordered in what may seem to be a logical sequence, the truth is, often there is no logical sequence. The order of the questions may be driven by the nature of the project or by the information the client begins to offer during the interview. It may be best to go with the flow of the client's comfort level and skip around the document as necessary. Some questions may not apply to a specific interview, but they are placed on the tool as a memory jogger. Some questions may need to be answered during a follow-up interview or with another designated source. ***While listening to the signals from the client, establish the proper context and strategy and proceed with appropriate line of questioning to complete the intake document.***		
Project Leader:		**Initial Meeting Interviewer:**
PART I: PRELIMINARY PROJECT INFORMATION		
A. Client Information		
1)	**Date of initial contact**	
2)	**Name and department**	
3)	**Telephone number and email**	
4)	**Target population**	
B. What is Driving This Request (Six Signals)?		
1)	**Business outcome deficiency**	
2)	**Execution deficiency**	
3)	**New expectation**	
4)	**Business change**	
5)	**Business opportunity**	
6)	**Business compliance**	
C. Business Strategy		

1)	**What business goal or strategy does this project connect to and how? (organization, department)**	
D. Performance / Execution		
1)	**What performance change / specific execution does client expect from this training and performance solution?**	
2)	**Other key stakeholders and their expectations about this project.**	
3)	**What potential obstacles or “red flags” does client anticipate?**	
4)	**Does client know of any sensitive issues we should know about?**	
E. Business Outcome Measures and Evaluation		
1)	**What business outcome measures will be affected or influenced by this project, what is their status now, and what are the improvement targets?**	
2)	**Does client want evaluation results reported and if so, what and how?** • **Readiness and Initial reaction** • **Follow-up Evaluation (Rapid Verification of Results or Traditional Evaluation and ROI)**	
3)	**Other ……………………**	

F. Project Specifics		
1)	**Why did this need arise? (summary of client request regarding knowledge, skill, and performance issues)**	
2)	**When did the need first arise?**	
3)	**What other goals or initiatives is this request part of or aligned with?**	
4)	**What other solutions have been considered and were any pursued? (development efforts, non-training solutions)**	
5)	**Has the work setting environment changed recently?**	
6)	**Who has budgeted for the project and how much is the budget?**	
G. Implementation Requirements		
1)	**Training required or voluntary?**	
2)	**Client and target population implementation preferences and constraints.**	
3)	**Project timelines and expected finish date.**	
4)	**What prior knowledge, prerequisites, or job title must population have in order to participate in training?**	

PART II: TRANSITION TO ASSESSMENT STRATEGY

Note: During the initial meeting or if necessary in a follow-up meeting, the training professional should seek client approval to pursue additional information from other sources as necessary (Steps 2 and 3 of the process). Look for the appropriate timing to open this conversation. Carefully weigh your choice of words. For example, saying “we need to do a needs assessment” could be misunderstood. The client may say, “we already know the need, why can’t we just get this done?” The client may even be correct. Determine what additional information you need and communicate why you need it. Focus your conversation on the compatibility of the solution with work processes and the client’s performance requirements.

With some clients and some situations, you may discuss the performance issues and communicate that there may be other “readiness” needs that should be assessed before proceeding with a solution. With other clients and situations, you may choose to communicate that additional information is needed to ensure the performance solution addresses all pertinent requirements. Or additional information is needed to ensure that the training details are customized to be compatible with the work processes. Or additional information is needed to verify that a state of readiness exists to achieve the desired performance.

The client is usually concerned that the data gathering will disrupt operations, take longer than necessary, probe into unnecessary areas, and perhaps even build an unmanageable program. The training professional must choose the words and approach that eases these concerns.

Action		Specifics
1)	**Explain to client the need for follow-up discovery (Step 2 assessment and analysis).**	
2)	**Communicate the purposes of the Step 2 assessment and analysis and gain client approval to proceed.**	
3)	**Communicate to client the potential assessment strategy and plan to proceed and seek answers to any remaining questions.**	
	a) Who are the job performance experts I can use as sources?	
	b) Who are the top performers I can use as sources?	

Part II continued

	c) Who are other people matching the purpose of the assessment that could be sources?	
	d) Who is a contact person to schedule interviews/focus groups, coordination for questionnaire, etc?	
	e) Number of people in sample size.	
	f) Length of time interviewees will be away from job.	
	g) Timeline for discovery and reporting back to client.	
	h) Additional information.	
4)	**Questions remaining unanswered.**	
5)	**Other ……………………**	

Next Steps: Part I and Part II on the intake tool completes most of what is needed for the initial client meeting. Part III is for additional internal use.

After the initial client meeting, enough information is available to identify the purpose of a follow-up assessment and analysis (Steps 2 and 3 of the process). Using the Assessment Strategy Plan in the next chapter, the sources, and instruments should be identified based on the purpose of the needs assessment.

Proceed with the detailed needs assessment and analysis based on the Six Signals line of questioning and the information gathered on the intake document.

PART III: KEY INFORMATION GATHERED DURING NEEDS ASSESSMENT	
This section is usually completed after the needs assessment is finished. It is a quick reminder document on the major issues and components regarding the training program. **DATE DOCUMENT REVISED:**	
Justification for the training	
Priority relative to other projects	
Outside supplier options identified	
Budget considerations	
Special considerations	
Performance Readiness issues	
Pre-engagement action	
Transfer strategy	
Client sponsorship of transfer strategy	
Barriers to success	
END OF EXHIBIT 4-1 *TEMPLATE*	