

Stage 2. Instrument Package Development and Distribution

A. Overview.

1. **Outcomes.** Stage 2 achieves four things:

a. **Creates Meaningful Instrumentation (Survey, Metric, or Multi-source Feedback, etc.).** Improve the quality of "front-line" survey items by engaging front-line members in their creation.

b. **Develops Credibility.** Develop credibility for the survey process among front-line members.

c. **Clarifies Demographics.** Develops demographics that will increase the value of resulting data.

d. **Creates and Distributes Survey Package.** Creates and distributes a final survey package to the respondent population.

2. **Scope.** Within useful parameters, this Stage engages credible front-line members of the workforce in the process to develop a data collection instrument that will collect specific data that the organization will use to make improvements based on workforce concerns.

B. Methodology.

1. **The Instrument Design.** In some of our literature, the term "Data Collection Team" is used rather than Survey Design Team. Both terms identify a group of people, normally non-supervisory members of the workforce, that will make most of the design decisions within the boundaries set by *QWLC* Consultants. The resulting survey will be 100% compatible with *CapacityWare*TM software.

a. **Instrument Design Team Selection and Management (Events).** Selecting members of team assignments must be done carefully. We recommend that team members be from front-line non-supervisory ranks. The selection should be made from among employees who willingly respond to, and are encouraged by, their managers to a "call" for volunteers specifically for this purpose. This team quickly responds to the *QWLC* facilitated environment for both survey design and the development of commitment to the follow-on activity that will be critical to a favorable survey return rate. In addition, once team events begin, the effort will require management to assure organizational goals are met while engaging critical human resources to serve on teams. See Extended Materials at www.LTODI.com, Change Agent Nomination, Selection, Supervision, and Management for more information about the selection

process for this pivotal group. Once nominations have been received a competent authority will make selections based on demographic criteria. The decision-making authority is encouraged to use Attachment 1.2.1, Team Demographic Distribution Worksheet as a reliable pre-selection analysis worksheet.

b. Team Development (Events). Once the selection process is complete, creating a "real team" from those who have been selected will be the next challenge. The organization will have competing requirements for team member's time, individual team members will have legitimate priorities that require them to miss some team meetings, and team deliberations will swirl with competing individual and organizational concerns. The team unity required to effectively help the organization shift cultural capacity will often be an intense tug-of-war.

c. Item Pool Selections (Events). One of the great advantages of this system is the ability to make instrument items specific to the needs of the organization - compatible with selected Theme(s). An alternative method is to use standard instruments so that an organization can be compared to similar organizations to complete a comparative analysis. This alternative approach is not recommended. *CapacityWare*TM contains over 1,000 potential survey items and the opportunity to add specific items that cannot be found within the pools. *QWLC* maintains a set of 3-ring binders with current item pools listed. These books can be used to assist teams with this process. Those organizations with *CapacityWare*TM installed can access the same items pools on their desktop that are available through *QWLC*. The Item Pools are organized into the same ten category elements as the Unifying Human System (UHS) model to assist with the identification and follow-through actions required to achieve more stable systemic improvements. Attachment 1.2.2, Instrument Development Checklist is an effective tool to be used when developing an instrument. The standard ten UHS Elements are:

- ? Environment.
- ? Leadership and Management.
- ? People.
- ? Skills.
- ? Organizations.
- ? Alignment.
- ? Information.
- ? Technology.
- ? Facilities.
- ? Equipment.

d. Item Creation or Recreation (Editing) - (Event). If appropriate items cannot be found in the Pools, the team is free to make up their own items (within the bounds of appropriate item creation - covered in a Handout used during the appropriate Event). If an item is selected from the Item Pools that is close, but not exactly, what is desired, the *CapacityWare*TM Administrator can "edit" the item to make it correspond exactly to the needs the team has identified. In the Item Pools for example, the word "organization" may be used in a generic way. The team may want to replace that word with the specific title of the organization being surveyed - this is an appropriate editing task. There will also be a tendency for the team to

create more survey items than are "needed" for effective remediation. This tendency is far less damaging to the organization than being forced to put too few items on the survey.

e. Encouraging and Integrating Input (Event). Once a tentative survey has been created, the team can expand the review process by inviting comments and recommendations from coworkers and managers. The rationale is simple, two heads are better than one, and additional fingerprints on the final product will increase survey returns. These are both important issues. The period between the initial DRAFT survey and the FINAL product can include sufficient time to accommodate these activities. As the survey continues to be developed, it is always good to run spelling, grammar, and reading level checks, to be sure the final product fits the population from which the data will be collected.

f. Embedded Survey Options (Events). In some cases, the organization may want to collect data for several different uses by varied individuals or groups; for example, safety or multi-source feedback surveys. When the final survey is solidified, it will be appropriate to configure the system for embedded survey applications. The great advantage in this routine is that it will have the potential for decreasing the quantity of data collection efforts over the course of the year. These economies will contribute to a positive ROI (if detailed calculations are part of the decision set).

g. Pilot Options (Events). When warranted by the complexity of the organization, it may be prudent or even necessary to conduct a pilot data collection effort. This will allow the team to know with a high level of certainty what items are easily understood and what items may need to be eliminated or modified to achieve acceptable results. Selection of a pilot population must include the full range of potential respondents expected when the final instrument is released.

h. Interview Notes - Results. The use of interviews (group or individual) will best be documented with an Interview Instrument designed specifically for this purpose. Each interviewee will require the completion of a separate instrument.

2. Demographics, Instructions, and Cover Letter. As the finalization of the survey items draws near, it becomes essential that attention be turned to creating and finalizing demographics, any necessary instructions that will accompany the survey, and any cover letters or other transmittal correspondence that will be included in the survey package. Instructions follow a simple template that works fine and rarely needs modification yet can be changed if needed. There are also numerous templates for cover/transmittal correspondence that can be used. Refer to Attachment 1.2.3, Data Collection Package Readiness Checklist to be sure all essential elements of the data collection package have been completed.

a. Create and Test Demographics (Event). Establishing demographics is a difficult task. It requires an imaginative approach. Being able to "slice" the data for those demographics that have remediative potential without unnecessarily jeopardizing required anonymity is a thin line. Demographics represent one of the most formidable hurdles that need to be resolved before the survey can be finalized.

b. Review, Modify, and Approve Instructions (Event). Instructions are typically straightforward and will require little modification. Over time, *QWLC* has settled on survey instructions that work well. We always recommend that these instructions be reviewed for subtle word changes that can make the difference, however. Instructions normally include a review of the demographic options, a description of the survey scale, an invitation to provide narrative comments, an invitation to receive individualized feedback, and instructions that tell the respondent what to do with the completed survey.

c. Test for Follow-through Activity Potential (Event). One of the final “tests” that each survey item must pass is the likely ability to do something about the results obtained from a specific survey item. The user must be cautious to distinguish between what CAN be done, and what the organization leadership is WILLING to do. Many survey firms would recommend that items not be on a survey even if the leadership is unwilling to do something about survey results. *QWLC* disagrees if the issue is an apparent one. The absence of an apparent survey item may be considered by many respondents as a maneuver to skirt important issues rather than face them head-on.

d. Create, Propose and Finalize Cover Letter (Event). Typically, the client will sign the cover/transmittal letter. If departments are widely separated or the respondent population may not recognize the client, transmittal letters may be required.

e. Team Assistants to Respondents (Events). The Data Collection Team may be the ideal group to offer assistance to those who may have difficult responding to a survey because of language or other barriers. If reading level is apt to be a potential barrier, Team members can be available to assist those with this difficulty, for example.

f. Assignment for Language/Braille Interpreters (Event). Many organizations provide “translation” services for employees so that surveys may be available in different languages or even in Braille. Be sure to include these assignments as early as possible when it appears that the client workforce will benefit.

3. Package Finalization. Once all client approvals have been secured, the entire package will be reproduced and packaged into a final deliverable. *QWLC* is in the best and most economical position to accomplish this task in a single process. The level of survey returns demands that attention is paid to careful on-site distribution. As the data collection package is being finalized, it is appropriate to launch the marketing and awareness program that will inform the workforce that data collection will be underway soon.

a. Finalize Demographic "Counts" (Event). As final preparations are being made for the release of surveys to respondents, the final “count” of the number of “expected” survey returns is finalized. These numbers will be used by the software to help determine the reliability of the data. Certainly, this is important when considering the whole organization, but *QWLC* believes it is even more important when considering various departments within the

organization. The return rate of 30% for the whole organization may cause results to be less than useful, yet a departmental return rate of 95% will render that data to be entirely useful.

b. Secure Package Approvals (Event). When the entire “survey package” has been finalized, approvals may be obtained. Last minute changes can still be accommodated before printing and distribution make changes cumbersome and expensive. Cover or transmittal correspondence can be signed at this time.

c. Print, Sort and Package (Event). *QWLC* maintains its own print shop capability. This affords optimum responsiveness (often the same day or next day turnaround) and quality control measures. If it’s not right, we’ll redo it immediately. It also allows us to print in batch quantities so that sorting, packaging, and distribution considerations are accommodated simultaneously. The final deliverable to the client organization is a ready-to-go survey that can be implemented immediately. The outcome is to retain all the variables that remove as many as possible potential “glitches” from the client organization. It is recommended that Business Reply Envelopes be used to help stimulate responses.

d. Bundle-by-Location for Delivery (Event). As packaging is completed, bundles for each location to be served are created immediately. Bundles are ready to deliver to a specific point-of-contact at each location within the client

e. Deliver to Distribution Points with Instructions (Events). Bundles are hand delivered to appropriate locations to a specific point-of-contact whenever possible – on the same day. Last minutes instructions can be handled in person with on-site clarifications as needed.

f. Confirm Distribution (Events). With surveys in place, the point-of-contact at each location can release respondent-ready packages at a specific date and time. Supervisors are given instructions to “confirm” distribution to respondents at that time so that those managing the survey project will know that distribution has occurred. The level of distribution assurance can vary depending upon client needs by a variety of methods available.

g. Final Process Review and Approval (Event). The final process review and approval may depend on the client's instructions. The prudent team will involve those advisors or direct reports to the Sponsor or Client before finalizing the survey items. In some cases, it will be prudent also to involve those listed under "Specialty Meeting" in Stage 1, Section B.3.d as well.

4. *QWLC* Support Production and Setup (Event). Once package finalization is underway, a concurrent or subsequent step entails *QWLC* staff preparation for receiving data and reporting daily results. Typically, these steps are completed during the tight gap between survey delivery (for internal client distribution) and the beginning date on which the survey can be completed and submitted. An often-overlooked and simple bit of coordination is the receipt of confirmation that distribution to respondents has been accomplished.

a. Prepare for Receiving (Event). *QWLC* staff establishes internal procedures and “spaces” that will accommodate the receipt, sorting, counting, verification, and reporting of survey results. All staff are fully briefed on the specific needs of this tailored survey process.

b. Finalize *CapacityWare*TM Configuration (Event). The software is configured to accept the specific results for the survey being processed. The system is tested and “locked.” This same software will be delivered to the client organization so that any client-use will be fully responsive to client organization needs.

c. Prepare and Post Internet Response Option (Event). When required, *QWLC* will permit Internet responses to surveys so that results come directly to our offices. This option is established, tested, and made available during setup procedures.

d. Prepare and Post Internet Distribution and Demographic Report (Events). When requested, *QWLC* posts daily returns from all specified organizational demographics that assist supervisors in knowing “how many” returns have been received for specific organizational elements. This allows supervisors to encourage those who have not responded to do so by the specified deadline. These special “web pages” are password protected so that access is limited to only those that have a direct influence over survey returns.

e. Final Review, Coordination, and Confirmation (Event). As the “start date and time” approaches all preparations are finalized and tested to assure every feature is operable. The final “check” confirms that distribution to respondents has been made – or exceptions are noted. This is important because many open periods have required adjustment due to distribution failures. The lack of timely distribution has also caused many respondents to ignore surveys once they have been received because they believe that with inadequate time to respond the organization must not be serious about the project. Confirmation of distribution is a must for a maximum response.

5. Develop Best Practice Technology (Events). Once package finalization is underway, another concurrent or subsequent step entails the confirmation or development of appropriate Best Practice links. *CapacityWare*TM software may require tailoring so that those who desire to take aggressive follow-on action based on survey results will be able to do so with confidence. The software contains "suggestions" for the remediation of any survey item or trends that fall below specific pre-set levels. There is an axiom that a legitimate survey item ought to have a corrective action tied to it or it ought to be eliminated from a survey. *QWLC* agrees with this time-tested axiom and has built into the software a mechanism that links poor survey results directly to potential solutions. Read the Extended Materials titled, "Banding Technology and Smart Tailoring Best Practices" to learn more about these topics.

a. Review Current Best Practice Pool for Sufficiency (Event). When the survey design work is completed, the Team may be asked to turn their attention to the review and development of Best Practices. *QWLC* recommends that between 5 and 15 potential actions are available for any problem encountered. The rationale for suggesting potential survey item follow-through is so that a “reasonably consistent” approach is fostered across the organization

to the same or similar problems. In the absence of “reasonable consistency”, it is possible for the workforce to become confused. This feature does not mean to diminish the innovative approaches that some supervisors and managers will engage; rather it helps the organization take advantage of those innovations. Often the groups that need the most help have less experienced or less seasoned leadership and therefore need the benefit of assistance. Current Best Practices are initially based on generic organizational development materials rather than the specifics of a particular organization’s culture.

b. Develop and Link Additional Best Practices (Event). Given that the most effective courses of action are often engaged based on the specific organization culture and prevalent literature, adding specific Best Practices is often the most effective approach even when ample generic material is available. This process will involve those human resources from beyond the Data Collection Team – Human Resources, Expert Consultants, Trainers, Organization Developers, and others.

c. Create a Plan to Learn Continuously from Experience (Event). As the organization “learns” what works best and why, the software learns and expands the use of those practices that work most effectively and efficiently. The result is a vibrant system of organizational change rather than a stagnant one. The *CapacityWare*TM Administrator is one of the professionals that assist with this “learning” process by ensuring that links are made in the software that can do the most good. Attachment 1.2.4, Developing Best Practice Documentation will guide the user in this effort.

6. Collecting Baseline Source Documentation. In any organization change effort, the new condition must withstand the test of comparison to past organizational performance. As the intervention begins, it is imperative that change agents (both external and internal) be deliberate in identifying and collecting baseline source documents that will enable this type of comparison as the intervention unfolds. This is especially important if the Sponsor/Client direction includes the need for return-on-investment calculations. Attachment 1.2.5, Baseline Source Documents Worksheet, provides a starting point for the identification and clarity needed for this effort to be effective.

C. Technological Resources.

1. Recommended Reading. Recommended Reading(s) allow the user to develop an informed opinion concerning the application of this system of organizational change. These references augment this system with information from a variety of practical as well as academic research having a direct application to this system. The Stage 2 recommended readings are:

a. Surveying Employees: A Practical Guidebook, John E. Jones, Ph.D. and William L. Bearley, Ph.D., copyright 1995 Universal Human Systems, HRD Press, Amherst Massachusetts

b. First, Break all the Rules: What the world's greatest managers do differently, Marcus Buckingham and Curt Coffman, copyright 1999, Simon and Schuster, New York

2. Event Agendas. *QWLC* maintains recommended Agendas on its web site for client use. All Agendas will be tailored to the specific needs of the client organization. Agendas contain specific reference to recommended Presentations and Handouts used for each event. Potential lists of Agendas used during this stage are listed below:

- a. Data Collection Team.
- b. Demographic Creation.
- c. Package Finalization, Printing, and Distribution.

3. Extended Materials. The great advantage of using this Organization Change System is that it provides the user a cohesive package that includes literature, software, processes, and a model structure that fit the most complex and the simplest organizations. The following literature is recommended for reading and dialog among the change management team. The following "Extended Materials" and significant documents that explain features of the system in depth. They are primarily used by members of the change agent team.

- a. Item Pools (Available from the *CapacityWare*TM Administrator.
- b. UHS Description.
- c. Data Collection Team – Guidance.
- d. Survey (Specific).
- e. Survey (Core).
- f. Distribution Envelope.
- g. Cover Letter (General Sample Set).
- h. Cover Letter (Specific).
- i. Survey Completion Instructions.
- j. Individual Feedback Instructions.
- k. Final Survey with Demographics (Specific).
- l. Business Reply Envelope.
- m. Evaluation Cards.

4. *CapacityWare*TM Organization Change Cycle - Stage Instructions. At each stage of the Organization Change Cycle, *CapacityWare*TM Administrators and users must be concerned with software configuration, preparation, and applications for the tasks that will be undertaken. Instructions for this stage of the Organization Change System, instructions can be found in the *CapacityWare*TM Administration Manual, at the cover. Stage 2 is characterized by the following emphasis:

a. Collecting and Applying RGB Data. As soon as teams begin to form and as soon as change agent groups begin to form, users can process RGB results (this may require software to be "activated"). With these results available those who will manage the change process are better prepared to optimize performance among the few who will be asked to make

the greatest initial difference. See also the RGB WorkStyle Preference Manual, Tab 2, Interpersonal Dynamics.

b. Creating the Instrument. Once the Survey Design Team has completed their work, the *CapacityWare*TM Administrator may finalize the survey in the system thus allowing it to be used to receive data once surveys have been completed. This may also enable the system, if properly configured, to receive data internally over the organizations LAN, if desired.

5. Attachments. Attachments, when completed, provide users with essential records that reflect the status of tasks that are recommended for all change efforts. Each client organization is different, however. Users are encouraged to modify the content of each Attachment to suit local needs.

- a. 1.2.1 - Team Demographic Distribution Worksheet.
- b. 1.2.2 - Instrument Development Checklist.
- c. 1.2.3 - Data Collection Package Readiness.
- d. 1.2.4 - Developing Best Practice Documentation.
- e. 1.2.5 - Baseline Source Documents Worksheet.

6. Literature for Publication. *QWLC* provides literature for publication by client organization in their internal media (newsletters, flyers, etc.). The following are suggestions for internal publication and are available at www.LTODI.com among the Literature for Publication options.

a. Getting Feedback with a Promise of Confidentiality. People are often mistrusting of the data collection process, often fearful that if the "tell the truth" they will be identified and fired. This article explains the safeguards in place that protect anonymity, and still provide for the possibility for respondents to get individual feedback.

b. "FIND OUT!" This article has been published by "inside Business" a local business journal in Hampton Roads, Virginia. The gist of this article is that people on the front-line of any organization know what is going on, often more clearly than those in the top executive suites. Employees often constitute that largest single block of untapped wisdom available to an organization's decision-makers.

c. "Simply Numbers." Understanding the results of complex organizations surveys is often difficult for the non-statistician. Yet this is exactly what we expect employees to do with the results of the latest employee opinion survey. This article makes the "numbers" easy to understand and work with in designing solutions.