Stage 4. Analysis, Synthesis, and Report Development

A. Overview.

1. Outcomes. Stage 4 achieves five outcomes:

a. Data Significance. Determine the significance of each piece of data.

b. Significance of Systemically Related Items. Determine the significance and implications of related data.

c. Test Report Implications. Develop and test a "draft" executive summary and report with pre-identified client staff members.

d. Prepare for Delivery of Results. Prepare for the delivery of the final Diagnostic Report(s) to the client organization.

e. Continue to Prepare Best Practices. Determine and prepare additional Best Practices as needed for all Follow-through contingencies.

2. Scope. Based on a credible foundation of data that accurately represents the organization's condition, this Stage creates a Report with recommendations that, when implemented, would move the organization toward an "Ideal" capacity.

B. Methodology.

1. Preparing to Write the Diagnostic Report and Follow-through Manual (Events). As with any writing project, collecting the information needed for an accurate report is essential. The following list of routine reports from ***CapacityWare™*** is recommended for study. In addition to reviewing records, it will also be essential for the consulting/change agent Team to meet so that individual perspectives can be shared. This especially includes those who have done the primary job inputting narrative comment. Although the "numbers" from the survey are imperative, it is the narrative comments provided by respondents that bring the survey results to life. Attachment 1.4.1, Resource Document Checklist, provides assistance in identifying source documents that will be needed to prepare adequately for Report writing.

a. Run and Review the *CapacityWare™* Administrator's Report Set. The ***CapacityWare™*** Administrator will run and review a set of reports designed to inform the Team Lead and others of the status of the intervention to date. Guides are available for these reports at the LTODI web site. Downloaded copies of Report Guides may be stored locally behind the Tab 9 of the ***CapacityWare™*** Administration Manual. The Report Set includes:

? The QWLC Summary Report.
? Trend Tower Reports (Mean, Mode, and Comment).

- ? The Comprehensive Indexes Report.
- ? The Demographic Count Report.
- ? The Financials Report.
- ? The Instrument Count Report.
- ? The Periodic Event Activity Report.
- ? The Client Participation Report.

b. Run and Review the Trend Towers. Three Trend Towers are produced: Mean Tower, Mode Tower, and Comments Tower. Together these three reports are used to identify the primary trends that will be reported in the Diagnostic Report and Follow-through Manual to the client. A Report Preparation Worksheet, found at Attachment 1.4.2, is available for use with these Trend Tower reports. Remember, these reports may be run for each organizational demographic available so that trends and remediative strategies are responsive at the whole-organization level as well as the various departments (and similar demographic options).

c. Run or View and Review RGB Profiles. When available, Composite RGB Profiles are run for each decision-making demographic available to determine the potential level of resistance that may be present in the change effort. It is important to note that a decision-making demographic will have the authority to craft and pursue an independent strategy apart from the larger organization. Without that decision-making authority, it is highly unlikely that an independent strategy will be pursued. The most successful change efforts will generate multiple activity that has direct meaning and relevance for those to whom the instrumentation results apply.

d. Run and Review Bar Charts and/or Pie Charts, In-line, and End Comments. The Bar Charts provide a wealth of information about the responses received to specific survey items - one item at a time. A full set of Bar Charts is printed and reviewed by members of the intervention Team. Of particular interest as an adjunct to Bar Charts are the comments that pertain to the survey items (linked to the Bar Chart) and comments that pertain to the End Items separately. Specifically the "bottom" 15 items ought to be reviewed.

e. Run and Review Significant Composite UHS Profiles. Composite UHS Profiles must be run for each appropriate organizational demographic. The outcomes will be to feed this information back to the organization AND to assure that a suitable strategic approach exists for each Composite UHS Profile. This activity is linked to Stage 2, Step 5, Develop Best Practice Technology. If there are gaps in available technology for the most important 5 to 15 items, this is the time to trigger additional activity in this area (see paragraph 6, below).

f. Run and Review Other Significant Diagnostic Results. Until this step, maximum attention has been directed at results from workforce instrumentation. Additional diagnostic results may include those indicators focusing on Team health. Even the most accurate data from workforce instrumentation can fall short of overall objectives when those teams formed to help make the change strategy a reality are operating at sub-optimized performance. This is especially true of the second and subsequent years. Evaluative data collected from groups that have already participated in the change process often provides a clear indication of "movement" if it cannot be achieved in any other way. Team performance data may be extracted from Event Records, Team Performance Evaluations, and notes appended to Event Records that have a bearing on Team performance.

g. Interview Results (Group and Individual). If interviews are conducted, results will be reviewed during this Step. Of particular importance is the degree to which interview results corroborate or refute data gathered from other sources. Depending upon the structural location of those interviewed, it is possible to gain insight concerning potential resistance or assistance that may be available to change initiatives.

h. Prior Data Collection Results. In many cases, clients have already collected data from previous data collection efforts. It is always a good idea to review these results and incorporate trends that surface into current thinking. In many cases, older surveys, for example, may not be useful. If the survey data was collected around a "foreign" model structure, the resulting data may not be easily translated to the current system.

i. Document Reviews. It is useful to review documents such a policy and procedural manuals, job aids, and even position descriptions as a means of determining cultural undercurrent. In most cases, it is useful to determine the reading level of front-line literature compared to front-line workforce reading levels to determine potential mismatches.

j. Review "Daily Diaries Worksheet." During the Data Collection Period, at least two individuals were asked to keep a simple daily record of significant organizational happenings that could potentially impact survey results. Copies of these diaries must be distributed to the intervention Team for their review and appraisal in advance of any Pre-report Analysis-Synthesis Meeting.

k. Conduct the Pre-report Analysis-Synthesis Meeting (Event). The Team Lead will call a meeting for all ***QWLC*** staff who have been directly connected with the client organization or data from the client organization in an effort to consolidate information that will have a bearing on the client Diagnostic Report and Follow-through Manual. It is the intent of this meeting for participants to share information openly that will play a part in developing the client's condition and helping to clarify potential strategic approaches that will result in improvements.

2. Considering the Approach Strategy and Client Guidance (Event). In addition to the "data" that emerges from the survey results and other sources, it is also important at this time to review the guidance provided by the client. With some exceptions that involve security, the client guidance must prevail in terms of what is expected in the final report. During Stage 1, the Sponsor and Client were asked specific questions that had to do with data feedback (See Attachment 1.1.3, Decision Worksheet). That guidance, among other things, provides clarity concerning the level of intensity and data sanitization that would be used to produce the final report and this guidance must be honored. It is often difficult to tread the fine line between providing what the client wants and what the client needs. Consultants may attempt to alter the initial guidance if the nature of the survey results combined with other conditions merits a more intense treatment otherwise the client guidance must be followed to the letter.

a. Revisit and Consider the *CapacityWare™* Client LMS Guidance. During Stage 1, Step 3, the Sponsor and Client establish the parameters of the intervention. In some cases, these parameters may limit or extend traditional organization development practices. In any event, this guidance must be reviewed to determine the scope of both reporting the data, and using it to energize follow-through activities.

b. Revisit and Consider the *QWLC* Approach. There are ten elements of a traditional ***QWLC*** Approach. These elements are the primary ingredients for success and provide a philosophical underpinning to HOW the organization will go about achieving improvements. By comparing the constraints imposed by the Sponsor/Client Team with the mandates inferred by the ***QWLC*** Approach, the intervention Team identifies early-on potential conflicts that may be able to be resolved or worked around. There are ten elements to the ***QWLC*** Approach as follows:

? Team-based Collaborative Efforts.
? Data-driven Decision-making.
? Maximum Involvement.
? Learning-focused Activity.
? Parallel Organization Development.
? Leadership with Followership Development.
? On-site and Off-site Event Design.
? Literature Research.
? Systemic Interventions.
? Comprehensive Validation.

c. Revisit and Consider the Initial *QWLC* Pre-approach Assessment. ***QWLC*** Consulting Teams complete an assessment before or soon after engaging with a client. The purpose of this assessment is to surface issues that may cause intervention failure or limit success. It is important to review the results of this assessment prior to the formulation of any strategic approach to maximize the potential for success. Areas that point to potential failure will require special attention as strategic approaches are created. The ten elements of the Pre-approach Assessment are:

? The Sponsor, Client, and Primary Leadership Team.
? The Guiding Coalition.
? Organization Stability.
? In-use and Previously Used Change Technologies.
? Receptivity to "Cultural Facilitation" as a Prime Change Methodology.
? Receptivity to Deep Employee Involvement.
? Levels of Urgency.
? Domain Considerations.
? Ability and Routine of Communicating with the Workforce.
? Access/Proximity.

d. Resolve Approach, Assessment, and Permissions Conflicts. If conflicts exist between the ***QWLC*** Approach and the guidance provided by the Sponsor/Client a resolution initiative may be in order. The client may have provided guidance contrary to the ***QWLC*** Approach for good reason that cannot be favorably resolved. In this case, the Consulting Team is compelled to do the best possible job within the boundaries of limited scope or discontinue the engagement (a highly undesirable situation upon completion of the current obligation). It is highly likely that a forewarning of this potential condition was available and could have been resolved much earlier.

3. Strategy Development (Event). With survey results available, the ***QWLC*** Consulting Team is ready to develop recommended strategies for follow-on corrective action. Several levels of corrective strategy must be developed. The strategy development range may begin with a general overarching strategy that applies to the entire organization and progresses to very specific actions that must be considered at each Smart Tailoring Band - particularly Band E. Completing Attachment 1.4.3, Strategy Scope Worksheet, will assist in thinking through was needs to be done to create a comprehensive strategy set covering the full Band population as needed. The final report will include both a formulation of primary strategies and a "How to.." section that will allow each organizational element the opportunity for further strategy definition. The ***CapacityWare™*** software ties strategic actions directly to both Unifying Human System (UHS) Elements, and individual survey items. Care must be taken to assure attention is paid to trends as well as individual concerns. See also the Extended Materials - Developing Strategies.

a. General *QWLC* Approach Strategies. General ***QWLC*** Approach Strategies are included in the client Diagnostic Report and Follow-through Manual as a block recommendation. These strategies, working in combination, present the optimum "How to. . . " methodology for changing the organization's cultural capacity to an "Ideal" range. Any potential inclusion of Pre-engagement Assessment anomalies that will strengthen the probability of success may also be included in the General Strategy package.

b. UHS Element Strategies. There are ten UHS Elements (detailed in Stage 2, Step B.1.c. When any of these Elements is found to be "lower" in score than all other elements, it may be an indication that an Element Strategy can be identified and recommended. Certainly any "Cultural Inversion" associated with any Element is a likely candidate.

c. Review and Develop Item Strategies as necessary. The third layer of strategy involves an item-by-item consideration. Certainly those survey items that rank at the "bottom" of the list (got the lowest scores), are ripe for Action Plan development to correct. Several Action Plan alternatives ought to be created for each of the 5 to 10 low items on the list. Refer again to Stage 2, Step 5 or paragraph 6, below, for additional guidance in this area.

d. Tailoring the Strategic Approach. Tailoring will depend on many things. The most important aspect of tailoring the strategic approach will result in timing and magnitude. Time implementations so that a healthy balance is struck between productivity and capacity recovery and development. Vary the level of difficulty so that success can be achieved early and serve as the foundation for resolving more difficult issues.

4. Using the Diagnostic Report Template - Writing the Report (Event). Some portions of the Diagnostic Report are boilerplate while other sections are uniquely prepared by the Client Lead and Team specifically for the client. Unless otherwise altered by client guidance to the contrary, the principle used to author the final report is that "credibility must be sufficient that members of the workforce in lower Bands will consider it meaningful while assuring that portions of the report cannot be used to maliciously persecute any individual or group in the client organization." This is a fine line that must acknowledge problems on the one hand and smooth the adverse implications of those problems with the other.

a. Validate or Alter the Diagnostic Report Template. The client Diagnostic Report Template structure is validated or altered by the Sponsor/Client in Stage 1. Some of the binder contents are boilerplate, but the majority consists of specific instrument results and uniquely written materials created by the ***QWLC*** intervention Team. The Report is produced in a 3-ring tabbed binder and normally contains the following default sections:

? Executive Summary.
? Tab 1 - History and Documentation.
? Tab 2 - Systemic Perspective.
? Tab 3 - Trend Rankings.
? Tab 4 - Symptomatic Item Data and Comments.
? Tab 5 - Coaching Lab and Planning Initiatives
? Tab 6 - Strategy Development
? Tab 7 - Team Activity
? Tab 8 - Metric Results
? Tab 9 - Return-on-Investment
? Tab 10 - Client History And Remediation Technology (C.H.A.R.T.).

b. Creating the Significant Findings and Executive Summary. Using all the material available through this sub-step, the Report author (normally the Team Lead) will produce a document of from 2 to 8 pages in length that will communicate what has happened and what is recommended to happen using an acceptable format. An overriding characteristic of the Executive Summary is that it must be sufficiently pointed that it maintains credibility deep into the workforce without posing a perplexing threat in significant constituencies of competitors in the environment. The current Executive Summary template contains the following sections at minimum:

? Project History.
? Systemic Trends Overview.
? Symptomatic Data Summary.
? Significant Findings or Conclusions and Recommendations.
? Strategy Development.
? Client History And Remediation Technology.

c. Production of the DRAFT Client Diagnostic Report and/or Executive Summary. A PROPOSED DRAFT client Report will be produced specifically for review by a designated individual. This is normally a function of the HR department manager or a representative.

d. Client Representative Preview. The designated reviewer will be provided with ample opportunity to review the DRAFT Report. In the absence of changes, the Report will be finalized and move into production.

e. Production of the *QWLC* Diagnostic Report and Follow-through Manual. Once the writing is completed, the staff will produce the Manual in sufficient pre-determined (Stage 1) quantities for distribution throughout the client organization. Under normal conditions, the top leadership and management team will receive a copy of the Manual. All other members of the organization will receive a copy of the Executive Summary, while those in a strategic approach decision-making role will receive a copy of the data that will update the data on their currently existing ***CapacityWare™*** Readers (when installed). Other special requirements will be filled as well at this time based on Sponsor/Client guidance.

f. *CapacityWare™* Orientation and/or Training (ToT). At the same time that data updates and software upgrades are completed, those who will receive ***CapacityWare™*** in either Reader or Full service versions will undergo a short orientation and/or training session. It is highly likely that the client ***CapacityWare™*** Administrator will receive the bulk of the one-on-one training and provide others in the organization with the necessary orientations as and when required. As a change management tool, ***CapacityWare™*** is rarely learned all-at-once, rather learning occurs as a progression as the client organization advances to the next level of need.

g. Conveying Final Authorities. The client Diagnostic Report and Follow-through Manual will contain the authorities needed for those with decision-making prerogatives to proceed, if approved by the Sponsor/Client. Otherwise, or in the absence of specific authority to proceed, authority to move beyond limited receipt of the data will be withheld. Final authority to continue with the change process will be forthcoming from the Sponsor or Client. Attachment 1.4.4, Final Authorities to Advance, assists the user by detailing the next steps that the client expects will be taken by those with specific authority to advance the system cycle (advance the agenda).

5. Preparation for Feedback (Event). Following the client guidance provided during Stage 1, section B.3.b, the feedback reports and related material is prepared. Typically, each individual in the organization receives some feedback - normally the Executive Summary, and one or more sheets that summarize the data from each survey Item. These documents are printed by ***QWLC*** and bundled for distribution in a predetermined manner. Those who have requested individual feedback have that feedback provided in a separate envelope and distribution either is direct to the individual from ***QWLC***, by mail or delivered personally at a Data Fair or Data Break. Use Attachment 1.4.5, Feedback Preparation Checklist, as a final check to determine readiness to feed back data.

a. Production. Produce the materials needed to feed the results back to the organization consistent with the Sponsor/Client requirements.

b. Packaging. Prepackage the materials so that the ability to undertake successful events that can be completed with effectiveness and efficiency.

6. Developing and Tailoring "Round Out" Best Practices (Events). A final check of the available Best Practices will determine gaps need to be filled before the software update and upgrade is accomplished. The availability of Best Practice Actions at two levels drives this activity.

a. Organizational Levels. At all primary and secondary organizational demographic levels, and for the specific scores related to those levels, a Best Practice Action must be available congruent with the organization's ability to implement that action. It would be desirable to have multiple Actions available, but at least one available Action is the minimal requirement.

b. Individual Levels. When the organization is to engage in Individual Coaching, it is also desirable to check the software capabilities to be certain that Best Practice Actions are available for Individual Feedback opportunities.

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 4 recommended readings are:

a. Leading Change, John P. Kotter, copyright 1996, Harvard Business School Press, Boston, Massachusetts

b. Credibility, James M. Kouzes and Barry Z. Posner, copyright 1993, Jossey-Bass Inc., San Francisco

c. Keeping Score: Using the Right Metrics to Drive World-Class Performance, Mark Graham Brown, copyright 1996, Quality Resources, New York, New York

d. Seeing Organizational Patterns, Robert W. Keidel, copyright 1995, Berrett-Koehler Publishers, San Francisco, California

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. Preparing to Write the Diagnostic Report and Follow-through Manual.
b. Pre-report Analysis-Synthesis Meeting.
c. Strategy Development.
d. Writing the Report.
e. Preparation for Feedback.
f. Developing and Tailoring "Round Out" Best Practices.

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. Diagnostic Report Package.
b. Comprehensive Data Summary.
c. Report Preparation Worksheet.

4. *CapacityWare*™ Organization Change Cycle - Stage Instructions. At each stage of the Organization Change Cycle, ***CapacityWare*™** 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*™** Administration Manual, at the cover. Stage 4 is characterized by the following emphasis:

a. Run Reports. Run reports that will assist the preparation of analysis and synthesis of organizational data.

b. Check for *CapacityWare*™ Functionality. Before the system is delivered to the client organization, check to be certain that all functions are operational.

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. 1.4.1 - Resource Document Checklist.
b. 1.4.2 - Report Preparation Worksheet.
c. 1.4.3 - Strategy Scope Worksheet.
d. 1.4.4 - Final Authorities to Advance.
e. 1.4.5 - Feedback Preparation Checklist.

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. "It's just data!" There is certainly a tendency for those on the receiving end of organizational feedback to be somewhat anxious about getting data back that may not be the best reflection of the organization. This article puts data feedback into perspective by laying out what will happen and why examination is good for the organization. It also addresses the potential for retribution if the data is less than desirable.

b. "Sifting Through the Mountain." Feedback of organizational data is often a daunting task. There is often too much data to digest all at once. This article helps members of the workforce narrow the focus to those few bits of data over which the workforce has control, and separates it from the data that others will take as their responsibility. The article ends with a revisiting of the "Serenity Prayer."

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www.LTODI.com - October 2004 - (757) 591-0807 - "implications" - 10-122-3929 - Organization Change System, Tab 4