Stage 8. Development of Recommendation Design and Approval or Adoption

A. Overview.

1. Outcomes. Stage 8 achieves two outcomes.

a. Implementation Design. Create an acceptable implementation design.

b. Make it Official. Secure authoritative involvement and approval.

2. Scope. At the heart of the cultural capacity improvement process is the activity embodied within this Stage - creating innovative solution recommendations and obtaining the commitment and approvals essential for implementation. Beyond the commitment of those in authority is the commitment of those who must implement the improvement who are vested in "business as usual" routines - often a more difficult task.

B. Methodology.

1. Managing Team Progress. One of the most common complaints about "teams" is that they "waste time and resources that could otherwise be applied to the organization purpose." When this is true, it represents a Team structure and management process that is not working well. In theory and in practice Team activity must reasonably surpass the attributable expenditure. Remember, however, that the Team activity is designed to produce two results: short-term problem solving and long-term capacity recovery or development. A Team can make progress on one level and not on the other. The task is to make progress on both and be able to illustrate that progress in meaningful ways.

a. Theme-based Event Management. Review Attachment 1.6.3, Priorities List, to clarify those initiatives that will be pursued at this time. In Stage 1.3.b. the Client clarifies a Theme(s) believed to be at or near the root of lost capacity. The Team must certainly keep this Theme(s) in mind, but not be so wedded to it that they avoid dealing with ancillary or other root causes. Early during Stage 8, the Team must be open to identifying one or more additional potential root causes that make sense. All may be appropriate for continuation, but one will likely become a paramount issue/solution. This early-on declaration serves to loosely define scope and parameters rather than be exclusive.

b. Conducting Team Meetings. Team meetings must be divided among three topics: team health, team support functions, and the assigned problem solving deliberations. Naturally, all else being equal, the problem solving deliberations must occupy the bulk of the available time without totally subordinating the other topics. See also the guidance contained in the Team Facilitation Manual, Tab 9, concerning Groups.

c. Deadlines and Accountabilities. Normally, the Team Charter contains guidance concerning due dates and deadlines. It is important that the Team meet these dates OR be prepared to have them adjusted in plenty of time to ease expectations. In the Charter, the signatory has outlined specific accountabilities for the Team, members of the Team, and those who supervise Team members. The Team Lead and supervisors of Team members must take these accountabilities seriously and make every effort to comply or adjust them.

d. Establishing Financial Implications of Team Success and Failure. One of the most powerful levers to use to prompt change in any organization is the impact of financials on change. Many will, with some justification, interpret the use of financials to potentially "greedy" organizations. On the other hand, a prime purpose of all organization is to promote growth (that is always fueled by profit or profit potential). Growth and financial gains cannot be extracted from one another. If growth means creating more output with fewer resources, the system is likely to damage itself in the quest for ideal "efficiency." On the other hand, if growth means attracting more resources, more revenue, and the potential for increased profits through innovation, than a more healthy organization will likely achieve greater "effectiveness." The Team needs to be able to reflect the financials of doing nothing, and the financials associated with positive change. See the Client guidance concerning Return-on-Investment Calculations (Stage 1.3.b.).

e. Team Reports. Every Event ought to be reported. ***CapacityWare™*** provides an ideal Event Record that can be used to report Team activity. At a minimum, the Team Event Record must be either distributed or available to Team Members and the Team Sponsor. Other's having an interest may also request the report. If the Human Resource office, or the Organization Development office is responsible for overall team activity, they must either receive a copy of the Event Records, or be made aware (through the ***CapacityWare™*** e-mail routine) that the record is completed/updated and now available for review.

f. Consequences of Low-level Performance. Teams that do not meet or exceed the expectations of those who Charter them must be considered for transition or termination (closure). Any number of potential causes can be found, and must be addressed. The best conditions will be for the Team to make this determination long before anyone outside the Team. A poor performing Team does potential damage to the organization's culture, potentially causing more problems than it fixes.

2. Developing Systemic Recommendations (Events). Teams will develop and make recommendations for the adoption and/or implementation of new programs or processes to achieve improved organizational results that are currently impeded by something that surfaced in survey data. When the relationship between the client and teams is new, the recommendation process is likely to be more formal than after confidence is gained through successful experience. Recommendations must solve two important problems: correct the current condition and correct how the current condition came to be. The second recommendation is typically the more systemic - woven into the culture of the way that the organization does business.

a. Expand the Preliminary Plan (OMR^2). The Team will have received the initial work done at the Coaching Lab. This incomplete product will be used as the springboard for refinement and expansion as the Team deliberates the need and mechanism for change. Coaching Lab planning is abbreviated for two reasons: time is limited, and scope is narrow. The Coaching Lab does not call upon all the possible perspectives or Subject Matter Experts (SME's) that will be available to the Team. Initial planning was intentionally broad in scope. The rationale was clear; leave the bulk of the work for the actual problem solving Team yet provides enough guidance so that a general direction can be known when the later Team is formed. See also the OMR^2 Model Attachment within Tab 2, Teams Facilitation Manual. It is also important to note that "things" are the way they are because common practice evolved to that condition. Common practice includes a wide range of written, spoken, and informal influences that must be known before they can be changed. The following incomplete list of practices must be considered for change as a result of the Team deliberations:

? Policy Changes.
? Process and Procedural Changes.
? Personnel Changes.
? Hiring and Termination Alternatives.
? Orientation and Training Programs.
? Cultural Shifts.
? Rewards and Recognition Programs.
? Technology Changes.

b. Consideration of Immediate Resolution. Most problems that surface through workforce data collection efforts include both a short-range and long-term solution. In some cases, the short-range solution is to inform those people who are impacted by the issue that a complete examination of the issue has been undertaken and that they will be involved before a final solution is decided. In more extreme cases, an interim solution may be implemented until a more complete solution is derived. Changes may include doing something new or suspending actions so as to eliminate the immediate negative impact.

c. Consideration of a Long-term Systemic Resolution. Organization Developers and systems thinkers know that the implementation of any solution in a system will change the system and will cause a new problem. The best scenarios will maximize the positive impact of the solution while minimizing the adverse impact. When considering changes, the Team will have to imagine or experience "cycles" of the practices that change and the impact of those changes on related practices. When this type of comprehensive analysis/synthesis is completed, the Team and those impacted by the accepted changes will have a good idea what to expect of the new system. Although a more detailed timeline will be prepared in the next Step, the solutions created during this activity will contain a general implementation schedule.

d. Preparing the Proposed "Systemic Initiatives Set." It is clear that systemic change is complex. Those who design systemic change must be able to convey the intentions they are trying to achieve at a deep level if it is to be understood and acted upon favorably. As a way to begin creating the proposed solution set, use each of the following perspectives to define the change that will be achieved. Begin with the "chronological" perspective and work through each perspective until all aspects are completely understood and communicated as effectively and efficiently as possible. Use Attachment 1.8.1, Recommendations Template, to clearly detail what is proposed and what will be required to be successful.

- ? Chronology - what will be the order of implementation.
- ? Policy - what new guidance will the organization adopt.
- ? Processes - what sequence of activity will be changed.
- ? Organizational - what parts of the organization will be impacted by change.
- ? Roles - who will have changed responsibilities, authorities, and be expected to behave differently.
- ? Skills - what training and professional development initiatives will have to be undertaken.
- ? Practices - what practices will be abandoned and what practices will be undertaken in their place, if any.

e. Testing the Proposed Solution Set. There are three phases of Solution Set testing that ought to be considered: Team test, Impacted Group test, and Entire Organization test. The first option, "Team test" simply uses the Team as the participants in a presentation to determine if any suggestions for improvement can be identified and made before further presentations are made. The second option, "Impacted Group test" involves the presentation of the Proposed Solution Set to the people who will be primarily impacted by the proposed change. The outcome is to determine if modifications can be made that will improve the overall results of the change. Some modification is expected and encouraged so that the impacted group will have increased ownership in the final package implementation. The last option, "Entire Organization test" is designed to develop ownership across the entire organization in the change implementation by previewing it "before" implementation occurs. These sessions are advisable only when the change to be implemented and the gravity of the condition will impact the entire organization merits this effort.

f. Linking Proposed Solutions to Existing Policies and Processes. Before implementation, the Team must be certain of all conditions that will be replaced by the proposed changes. When the changes are adopted, the same document used to "install" the changes must be used to uninstall or remove the existing conditions.

g. Creating Recommended Measurements. With the change nearly in final form, the Team attention can turn to the creation of measures that will be used to determine if the change is successful in achieving the outcomes intended. It is highly desirable that at least one measure be linked to the original survey or metric item that caused the examination to be undertaken.

3. Preparing Implementation Timelines (Events). Most concrete recommendations refer to a date and time specific for implementation. Under normal circumstances, implementing a new program or process will require organization preparation and cooperation that can best be addressed through an implementation document of some kind. Remember, two problems are being solved: the short-term problem and the long-term cause. This level of complexity will often require a timeline so that various phases can be logically plotted in proper sequence to achieve optimum results. Timelines will include a series of Events along with the resource projection that will enable those responsible to be successful. Initial timelines are easily constructed on roll paper in a facilitated environment. Finalized timelines may require the complex use of project management software. Under normal conditions ***CapacityWare™*** features fall well within a range that provide comprehensive utility in managing capacity recovery and development timelines.

a. Timeline Creation. The most effective timeline creation strategy is to begin with a roll of chart paper that can be easily observed by all participants. Someone may have to be drafted that maintains the broadest possible organizational calendar for the initial "posting" of known significant organization events. Post-it! Notes can be used for this purpose. This "top line" on the chart allows follow-on users to avoid periods of potential conflict with key individual calendars or key events already scheduled. Following the "posting" of the initial "top line" each Event can be added to the timeline for optimum impact across the organization.

b. Linking Data Baseline Results to Initiatives and Scheduled Events. When the timeline has been completed, ***CapacityWare™*** can be updated with overarching initiatives and linked Event information. Although final shifts may occur and can readily be adjusted, this will constitute a nearly final project plan for implementing the required changes.

4. Obtaining Authorities and Approvals (Events). The formal recommendation process culminates with a presentation that recommends approval of a particular course of action that will be accepted, rejected, or modified and accepted by the appropriate authority. Normally, the entire Team will be on-hand for and participate in this presentation. To get ready, the Team may select one or more surrogate decision-maker(s) to assist with identifying and overcoming potential barriers to approval. The simple act of asking for and receiving this assistance is likely to provide the Team with a supporter at a time when it is needed most. ***QWLC*** recommends that decision-makers use these opportunities to approve even borderline recommendations as a means of helping teams learn what they need to know to be more successful in the future (capacity development).

a. Selection and Orientation of the Decision-making Surrogate. If the Team believes it necessary, or when the final decision-making authority is new and the Team may not understand his/her style, the Team may "draft" a surrogate to assist them in presentation design. Under ideal conditions, the surrogate will have worked with the decision-making authority for a sufficient period that he/she will be able to help the Team prepare.

b. Preparing the Recommendation Presentation. It is suggested that the recommendation(s) for implementation be presented with a history of the project and that recommendations will be presented in chronological order of proposed implementation. Depending upon the perceived level of formality, a "dry run" may be desirable. Anticipate that the presentation will likely be made to the decision-maker and any trusted advisors or staff members that will be able to help make a decision. If advanced reading materials are routine in this culture be sure to create and provide them. The Team may elect one person to make the presentation, but a better scenario might be to have several Team members present and participate. When questions arise, the most qualified person should answer the question rather than always relying on the presenter to do so. If key advisors to the Decision-making authority will not be present, it is always advisable to obtain their reaction to the proposal in advance and have that reaction available during the formal presentation.

c. Making the Recommendation Presentation. Make the presentation, when possible, at a separate meeting and at a location conducive to this purpose. It may even be desirable to make the presentation in the Team deliberation room where the decision-making authority can see first-hand those documents that the Team worked with as it deliberated the issue. Working timeline roll charts are often effective as a presentation aid. These surroundings bring the project to life and reinforce the level of commitment and enthusiasm of those who worked on the project. It is normal for the astute executive to alter the recommendation in some way to improve its effectiveness. A wise Team will know the potential alteration points and offer viable alternatives at those points in the presentation.

d. Obtaining Authority to Adopt. When possible, the Team may present the authorized decision-maker with a document for signature that would implement the recommendations. It is possible that this document may be signed at the end of the presentation, but it is more likely that this finalization will be completed following the presentation Event.

5. Pre-implementation Organizational Preparations (Events). When approval is obtained, the Team task is not over - preparation for implementation with an authority to proceed launches a potential series of Events that precede the actual effective date of the change(s). Those who will be affected by the change(s) must be informed if they have not already fully participated in the formulation of recommendations. All materials and other resources required for success must be prepared and distributed before the effective date. If training is required, it too must be completed before implementation is begun.

a. Orientations. Those who must implement the change initiative will receive an orientation on the changes that will occur. If possible these orientations are timed to achieve maximum impact. The more complex the change, the greater the advance notice requirements. It is entirely appropriate that redundant orientations be made. It may also be appropriate that people receive and sign that they have received information about the change. It is also important that the material reflect that the reason for the changes actually emerged from workforce data previously collected.

b. Training. It is entirely possible that some in the organization may have the desire or motivation to do things differently, but will lack the skill needed to be effective. Few barriers will be more demoralizing that to have the will to change, but not the skill to make it a reality. Careful thought must be given to developing the skills necessary to succeed. This initiative must belong to the Training and Development professionals with the continued involvement of the appropriate Team members.

c. Final Adjustments. Even during orientations, some suggested improvements may be offered. It may be too late to consider changes at this point, but feedback can be logged into the Event records in ***CapacityWare™*** so that these and similar comments collected as implementation occurs will also be considered in potential modifications or ancillary improvement efforts.

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 1 recommended readings are:

a. Reinventing the Corporation, John Naisbitt and Patricia Aburdene, Copyright 1985, Warner Books, Inc., New York, New York

b. Deep Change, Robert E. Quinn, Copyright 1996, Jossey-Bass, Inc., San Francisco, California

c. Beyond the Wall of Resistance: Unconventional Strategies that Build Support for Change, Rick Maurer, Copyright 1996, Bard Books, Inc., Austin, Texas

d. Making Instruction Work, Robert F. Mager, Copyright 1997, CEP Press, Inc., Atlanta, Georgia

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. Team Meeting.
b. Approval or Adoption.

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. Shifting the Systemic Culture.
b. Team Transitions.

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 3 is characterized by the following emphasis:

a. Link Initiatives to Event in Series. When approved recommended changes impact organizational vision or overarching goals, use ***CapacityWare™*** to link Events to Initiatives that represents measurable outcomes.

b. Initiate the Release of Best Practice Materials. Use the Best Practice literature capabilities of ***CapacityWare™*** to assist LMS and Team members in researching conditions that are impacting their organization - before, during, and after the initiation of change.

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. 1.8.1 - Recommendations Template.

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. Change is a Constant. This article helps people understand the nature of change, and how it will impact the members of all organizations. The most turmoil is often felt deep in the organization structure and is most difficult at the first-line of supervision. The article offers a short "checklist" of tips that help people deal with inevitable changes.

b. Changing Culture as a Lever to Capacity Improvement. Shifting capacity is often more difficult than simply imposing new policies or designing new processes. When the relationships between people who work together are altered in any way, culture and capacity can, and often do, resemble a roller coaster of emotions and performance. This article helps people understand that change is hard, and changing culture is harder yet. The payoff is improved performance and capacity that may help everyone.