



HEALTHY WORKPLACE PARTICIPATORY PROGRAM

Facilitator Manual



Acknowledgements

The Healthy Workplace Participatory Program 2.0 Edition (2019) Facilitator Manual and website (www.uml.edu/cphnewtoolkit) were created by the Center for the Promotion of Health in the New England Workplace at the University of Massachusetts Lowell and the University of Connecticut.

Project Director

and Research Coordinator: Suzanne Nobrega, MS

Writers: Suzanne Nobrega, MS
Mary Juergens, MPH

Research Assistants: Mary Juergens, MPH
Sarah Berger, MS
Cesar Morocho, MPH
Agatha Adigwe, MPH candidate

Scientific Advisors: Robert Henning, PhD
Michelle Robertson PhD

Field Researchers: Alicia Dugan, PhD
Sara Namazi, PhD
Jennifer Cavallari, ScD
Mazen El Ghaziri, PhD
Matthew Brennan, MPH
Serena Rice, MS

Consultants: Joanne Chu, PhD, *Facilitation skills, meeting design*, ecoethossolutions.com
Paula O'Keefe, *Illustrations and graphic design*, okeefeillustration.com

The Healthy Workplace Participatory Program First Edition (2014) Facilitator Manual and website were created by the Center for the Promotion of Health in the New England Workplace at the University of Massachusetts Lowell and the University of Connecticut.

Project Co-Directors: Robert Henning, PhD
Michelle Robertson, PhD
Nicolas Warren, ScD

**Project Manager
and Web Content Developer:** Suzanne Nobrega, MS

Research Assistants: Andrea Bizarro, PhD
Bora Plaku-Alakborova, MS
David Reeves, PhD
Meghan Dove-Steinkamp, PhD

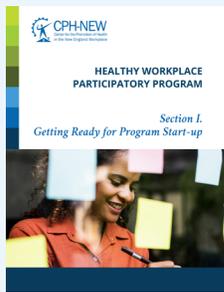
The Center for the Promotion of Health in the New England Workplace (www.uml.edu/cphnew) is supported by NIOSH Grant Number 1 U19 OH008857 from the National Institute for Occupational Safety and Health. *This content is solely the responsibility of the authors and does not necessarily represent the official views of NIOSH.*

HOW TO USE EACH SECTION OF THE FACILITATOR MANUAL

This manual provides detailed information useful for implementing the Healthy Workplace Participatory Program (HWPP), a research-based, Total Worker Health program.

The manual contains Sections I, II, and III. Use all three sections to maximize the program benefits for your organization. You can access the materials in this manual plus new or updated materials by visiting the HWPP website: www.uml.edu/cphnewtoolkit

Section I: Getting Ready for Program Start-up



Read Section I thoroughly to learn how to implement the core elements of the program, and customize the program fit to your organization.

Content: About the HWPP and Total Worker Health
Getting Ready for Program Start-up – assessing organizational readiness, gathering management support, identifying health and safety priorities
Forming Programs Teams – Design Team and Steering Committee
Customizing the HWPP to Fit your Organization

Take steps to prepare the organization for program start-up. Use the online resources described in this section to build management support and designate necessary staff resources. Once these are in place, recruit employees to serve on key **program teams**.

Section II: Design Team Start-up



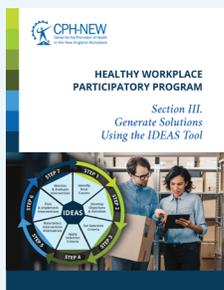
Use the materials in Section II to help you facilitate the initial three meetings of a Design Team.

Content: Facilitator Manual for Design Team Start-up Sessions 1, 2, and 3

- Facilitator Preparation
- Facilitator Agenda
- Design Team Agenda and Handouts

A Design Team is a group of front-line employees who will develop solutions to specific health and safety concerns. The Start-up session materials will help you establish a strong foundation for how your team will work together. They will learn their roles, form agreements, and explore and prioritize topics for interventions.

Section III: Generate Solutions Using the Intervention, Design, and Analysis Scorecard (IDEAS) Tool



Use the materials in Section III to help you facilitate IDEAS Steps 1 through 7. You will craft interventions and develop a business case for each one to improve worker safety and well-being while supporting key organizational goals.

Content: Facilitator Manual for IDEAS Steps 1 to 7

- Facilitator Preparation
- Facilitator Agenda
- Design Team Agenda and Handouts

The intervention design process involves front line employees (Design Team) and organizational leaders (Steering Committee) at specific time points. The process is designed to encourage communication, mutual learning, and a shared commitment to employee safety, health and well-being.

Table of Contents

| | |
|---|-----------|
| Acknowledgements | i |
| How to Use Each Section in this Manual | ii |
| Section I: Get Ready for Program Start-up | 1 |
| Overview of the Healthy Workplace Participatory Program | 5 |
| A TWH Approach to Health, Safety, and Well-Being in the Workplace | 7 |
| Get Ready for Program Start-up | 9 |
| Form Program Teams: Roles and Training of Key Program Participants | 11 |
| Customizing the HWPP to Fit your Organization | 16 |
| Healthy Workplace Participatory Program Website Resources | 20 |
| Section II. Starting-up a Design Team | 21 |
| What you will find in Section II of the Facilitator Manual | 24 |
| What is a Design Team? | 25 |
| Start-up Session 1: Welcome to the Healthy Workplace Participatory Program | 27 |
| Start-up Session 2: Identifying Workplace Safety, Health & Well-being Issues | 45 |
| Start-up Session 3: Prioritize and Select Concerns for Intervention | 61 |
| Section III. Generate Solutions Using the IDEAS Tool | 75 |
| What you will find in Section III of the Facilitator Manual | 78 |
| Introduction to the IDEAS Tool | 79 |
| IDEAS Step 1: Identify Root Causes | 85 |
| IDEAS Step 2: Develop Measurable Objective and Solution Activities | 103 |
| IDEAS Step 3: Set Criteria for Selecting and Evaluating Interventions | 119 |
| IDEAS Step 4: Form Interventions and Apply Selection Criteria | 135 |
| IDEAS Step 5: Rate and Select Interventions | 169 |
| IDEAS Step 6: Plan and Implement Interventions | 185 |
| IDEAS Step 7: Evaluate Interventions | 193 |

HEALTHY WORKPLACE PARTICIPATORY PROGRAM

Section III. Generate Solutions Using the IDEAS Tool



Table of Contents

Section III: Generate Solutions Using the IDEAS Tool

| | |
|--|------------|
| What you will find in Section III of the Facilitator Manual | 78 |
| Introduction to the IDEAS Tool | 79 |
| Tracking DT and SC Progress Through the IDEAS 7 Steps | 80 |
| When and How to Incorporate IDEAS Worksheets | 82 |
| When and How to Incorporate IDEAS Training Videos | 82 |
| Facilitation Skills Training Videos | 83 |
| IDEAS Step 1: Identify Root Causes | 85 |
| Step 1: Facilitator Preparation | 87 |
| Step 1: Facilitator Agenda | 91 |
| Step 1: Design Team Agenda and Handouts | 95 |
| IDEAS Step 2: Develop Measurable Objective and Solution Activities | 103 |
| Step 2: Facilitator Preparation | 105 |
| Step 2: Facilitator Agenda | 109 |
| Step 2: Design Team Agenda and Handouts | 113 |
| IDEAS Step 3: Set Criteria for Selecting and Evaluating Interventions | 119 |
| Step 3: Facilitator Preparation | 121 |
| Step 3: Facilitator Agenda | 125 |
| Step 3: Design Team Agenda and Handouts | 129 |
| IDEAS Step 4: Form Interventions and Apply Selection Criteria | 135 |
| Step 4: Facilitator Preparation | 137 |
| Step 4: Facilitator Agenda | 145 |
| Step 4: Design Team Agenda and Handouts | 153 |
| IDEAS Step 5: Rate and Select Interventions | 169 |
| Step 5: Champion Preparation and Rating Guide | 171 |
| Step 5: Steering Committee Tools | 175 |
| IDEAS Step 6: Plan and Implement Interventions | 185 |
| Step 6: Champion Preparation and Planning Guide | 187 |
| IDEAS Step 6—Implementation Plan | 189 |
| IDEAS Step 7: Evaluate Interventions | 193 |
| Step 7 Champion Preparation and Evaluation Guide | 195 |
| IDEAS Step 7—Evaluation Plan | 197 |

WHAT YOU WILL FIND IN SECTION III OF THE FACILITATOR MANUAL

Overall guidance on managing the IDEAS process

- Tracking DT and SC progress through the IDEAS 7 steps
- When and how to incorporate the IDEAS worksheets
- When and how to incorporate the IDEAS training videos

Facilitator and Design Team materials for IDEAS Steps 1 – 7

Each meeting contains the following materials:



Facilitator Preparation



Facilitator Agenda *(annotated with group process instructions)*



Design Team Agenda and Meeting Handouts

See Section I for a detailed description of how to use the meeting materials.

Visit the **Generate Solutions Using the IDEAS Tool** page to access **Step-by-Step materials and training videos**: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/>

Read about case studies and the science behind the HWPP: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/Benefit/>



Section III. Generate Solutions Using the IDEAS Tool

INTRODUCTION

The Intervention, Design, and Analysis Scorecard (IDEAS) Tool is a structured process that engages employees at all levels in the design of workplace interventions. The IDEAS process empowers employees by providing a structure for meaningful input. This structure builds a culture of health in the organization and confidence to change unhealthy behaviors and conditions. The IDEAS process is applied to a single health, safety, or well-being issue at a time. It helps a team of employees uncover root causes to poor health and injuries so they can be addressed with complete and sustainable solutions. The goal is to design an intervention that addresses an issue as completely as possible using an integrated, TWH approach.

There are many advantages of grassroots engagement over “top-down” approaches. Some advantages include:

- The issues selected for interventions are more likely to be perceived as important by employees themselves, which can result in greater enthusiasm, participation and sustainability of interventions.
- Design Teams can identify a wider range of intervention possibilities. Front line employees are aware of the ways that work processes and the work environment can lead to stress, physical hazards, social difficulties, and can even influence protective health habits such as exercise, sleep, eating well, etc. These insights make it possible to design creative solutions that go beyond the immediate workplace, in keeping with the Total Worker Health® concept.
- Design Teams can do a better job of identifying potential barriers and facilitators to interventions.

Tracking DT and SC progress through the IDEAS 7 Steps

IDEAS Steps 1-5 focus on creating and selecting interventions. IDEAS Steps 6 and 7 focus on implementing and evaluating interventions. The Design Team and Steering Committee have specific roles throughout the process. See Figure 1 for details of the IDEAS process.

You can help the DT and SC track their progress by using the “IDEAS wheel” to visualize which IDEAS steps in the planning cycle have been completed for a specific issue area. This is especially useful if the DT is working on more than one issue area simultaneously. For example, one intervention may be in the process of being implemented (Step 6) while another intervention planning effort may be in the early planning stages (Step 2). This can quickly orient the DT or SC as to where intervention planning efforts stand, and what needs to be worked on next.

IDEAS STEPS 1-4

- **DT takes the lead, with SC input**
- **Identify root causes behind health concerns, and design solutions that directly address root causes; present interventions to the SC**

IDEAS STEPS 5-7

- **SC takes the lead, with DT input**
- **Evaluate the DT’s proposed interventions, decide which to fund, then support and oversee implementation and evaluation**

Considerations when using an alternative committee structure

If your organization has chosen to implement an alternative committee structure the process may look a bit different. For example, when using a single-committee structure, be sure to make arrangements for gathering input from front-line employees. You can do this with focus groups with front-line employees during IDEAS Steps 1 and 2, and again during Step 4 when rating interventions. If senior level managers are not typically present on your committee, and you need approvals and resources to implement interventions, you will need to arrange a way to present proposals to them. Be sure to provide training and orientation as outlined in IDEAS Step 5. This will prepare leadership to be as receptive as possible to new ideas.

THE “IDEAS” PROCESS

INTERVENTION DESIGN AND ANALYSIS SCORECARD
 ROLES FOR STEERING COMMITTEE AND DESIGN TEAM

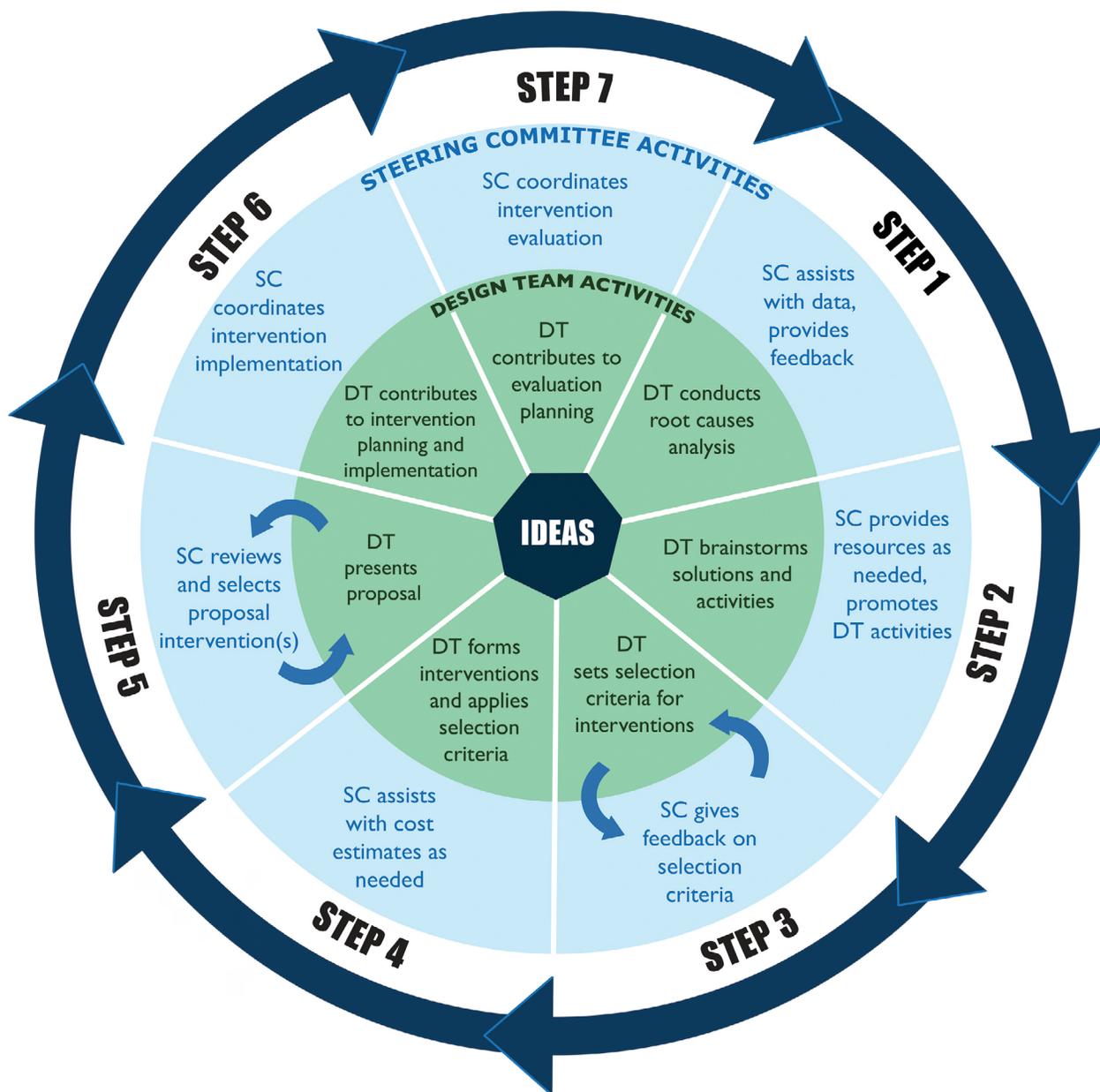


Fig 1: Roles of DT and SC during the IDEAS Process

When and how to incorporate IDEAS Worksheets

The purpose of the IDEAS worksheets is to capture the Design Team’s work at each step of the IDEAS process. The worksheets serve as a ready reference at each DT meeting to help the team reflect on the prior meeting and build on their progress over time. The worksheets will also be used later as supporting material when the DT proposes interventions to the Steering Committee.

Visit the HWPP IDEAS web page to access the complete set of fillable worksheets:

<https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/>

The Facilitator completes the IDEAS worksheets immediately following DT meetings.

Alternatively, you can complete the worksheet electronically during the DT meeting using a projector and the fillable forms available on the HWPP website. Another option is for DT members to take turns completing the worksheets; this option depends on practical considerations of DT members’ job duties and work settings.

Share the completed worksheets with DT members between meetings if possible. If some team members do not have ready access to email, you’ll need to consider alternative communication methods. Some alternative communication strategies could include:

- Email
- Use of a bulletin board
- Creating a DT-related mailbox (physical or electronic)

Distribute the completed worksheets at each meeting and ask the DT to review and approve the content to ensure that everyone is aligned on the material. This should take only a few minutes. You can add any new ideas that surfaced between meetings to the worksheet.

When and How to Incorporate IDEAS Training Videos

The HWPP website has brief training videos appropriate for you and for Design Team members at each step of the IDEAS process. You may wish to use these videos with Design Team members when they are new to the IDEAS process. Videos each run between 3-5 minutes.

Consider sending a link to the video as a pre-meeting assignment to begin the learning process before the meeting. Alternatively, you can incorporate the video as a meeting activity.

For best results, present each video “just in time” so Design Team members watch only the video for the technique they will use during a specific meeting.

Visit the IDEAS Tool pages for videos and key information and tools.

<https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/>

Facilitation Skills Training Video Series

The HWPP website provides training videos to help you learn and practice effective facilitation skills as you implement the program. These videos can bring your facilitation skills to the next level. You can apply the skills in these videos when working with any team.

Visit the HWPP Facilitation Skills training videos page to access all eight videos: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/training-support/facilitation-skills-training-videos.aspx>

- **Design Team Start-up videos 1-4** demonstrate specific techniques to use when forming a new team. These techniques can help members learn how to work together:
 1. Facilitate a participation agreement
 2. Facilitate a communication agreement
 3. Using the Check-in / Check-out process
 4. Review the meeting agenda

- **Facilitation skills videos 5-8** demonstrate facilitation techniques that promote positive group dynamics for effective, high impact meetings.
 5. Keeping control of meeting discussions
 6. Managing disruptive behaviors
 7. Maximizing participation
 8. Art of asking questions



**Healthy Workplace
Participatory Program**

A toolkit for advancing Total Worker Health®

IDEAS STEP 1

*Identify Root Causes of a Health,
Safety, and Well-being Concern*





IDEAS STEP 1

Identify Root Causes of a Health, Safety, and Well-being Concern

F Facilitator Preparation

To do:

1. **Watch training videos;** decide whether to show them during the Design Team meeting
 - a. **IDEAS Step 1 Training Video:** <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/identify-problems.aspx>
 - b. **Fishbone Diagram Video:** light-hearted animated video about the fishbone diagram process for root causes analysis. <https://www.youtube.com/watch?v=I0c6Gd26Fwx>
2. **Review:** Facilitator Preparation, Facilitator Agenda, and DT handouts. Carefully review the fishbone diagram process and example (*see DT handouts*).
3. **Prepare:** (i.e. print, copy) DT handouts
4. **Be prepared to explain the rationale for conducting a Root Causes Analysis (RCA).** During the first meeting agenda item (Rationale for RCA), you will ask DT members to explain their understanding of the purpose of a RCA. You will need to address any gaps in their understanding.
5. **Send the DT a friendly reminder of the meeting date and time** at least 24 hours (*preferably 2-3 days*) before the upcoming meeting

To bring:

- Flip chart paper and markers, or laptop and projector if using an electronic fishbone diagram template.** Download from: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/identify-problems.aspx>
- IDEAS Step 1 DT handouts**

To know:

This IDEAS step may require 2 meetings. Duration will vary depending on the complexity of the health and safety concern, the size of the group and the meeting duration.

Key Definitions

| | |
|--|--|
| Health, Safety and Well-being Concern | Anything that places employees' physical and/ or mental wellbeing at risk. |
| Root Cause Analysis | <p>A problem-solving process to identify all the underlying causes of a health or safety concern. There may be several sub-issues, each with their own contributing factors.</p> <p>The "fishbone diagram" activity used within Step 1 is an example of one technique for Root Cause Analysis.</p> |
| Sub-issue | <p>A smaller part or aspect of the main health & safety concern.</p> <p>For example, filling too many hot coffee orders at one time may be one sub-issue that explains workers' coffee burns.</p> |
| Contributing Factors | <p>Anything on the job or off the job that can lead to the sub-issue.</p> <p>For example, having too few coffee servers may be a contributing factor to filling too many hot coffee orders at one time.</p> |

Root Cause Analysis (RCA)

A RCA provides for a more thorough understanding of why the HS&W concern is occurring.

- If we do not fully understand the causes of the problem, we may not design solution that address the true cause of the problem.
- By doing a RCA before designing solutions to the HS&W concern, we better ensure that the work of the DT will have a real impact on the HS&W concern.

Encourage Total Worker Health® thinking during the RCA. Considering sub-issues and contributing factors from work and non-work areas will lead to a more thorough understanding of the HS&W concern.

Facilitating a Fishbone Diagram Activity (along with “The Five Whys”)

1. **Start with a health, safety & well-being (HS&W) concern** (e.g. high rate of burns from coffee spills among coffee shop workers). This concern is placed at the “head” of the fish.
2. **Draw several “spines” coming off the fish’s head.** (See example in DT handouts)

Defining the sub-issues - “The First Why” (Up to 5 min.)

3. **Facilitator asks the group to brainstorm different categories of possible causes for the HS&W concern -- “why” this HS&W concern is happening.**
 - a. First, give DT a minute or so to gather their thoughts individually (they can jot notes in the notebook or on individual post-it notes)
 - b. Then, invite the team to begin the group brainstorm. Members can share and organize post it notes on a large board for a more visual, active approach.

Tip: You may consider reminding the DT about the ground rules and how to use clarifying questions to understand each others’ perspectives.

4. **Facilitator writes down all responses of the brainstorm on a separate sheet of paper.**
5. **After this initial brainstorm, facilitator helps Design Team sort the answers into a final list of Sub-Issues** they will place on the fish (One sub-issue per spine, try to identify 3-5 sub-issue themes).

Defining the contributing factors - “2nd, 3rd, 4th and 5th Why” (Average 2-3 min. per sub-issue.)

6. **For each Sub-Issue, the Facilitator asks “why” might this sub-issue occur.** Facilitator jots down DT responses as branches off of the sub-issue.
7. **Facilitator keeps asking “why” to prompt the team to identify as many contributing factors as possible.**
8. **The process ends when DT feels as though no other possible contributing factors remain.**
9. **Facilitator moves to next sub-issue.**

During the brainstorm portion of RCA process, DT members may produce ideas that jump around between sub-issues; be prepared to allow that to happen. Allowing the team to say what is on their mind in this stage of the process is a good way to build team engagement.

Post-meeting to do:

- **Complete (i.e. fill out) the IDEAS Step 1 Worksheet with the ideas created during the fishbone activity**
- **Worksheet alternative:** Use a fillable fishbone diagram template to create a “clean” version of the fishbone diagram using the information recorded during the meeting on flip charts.

Access the fillable fishbone template on the IDEAS Step 1 web page at: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/identify-problems.aspx>



IDEAS STEP 1

Identify Root Causes of a Health, Safety, and Well-being Concern

F Facilitator Agenda

Note: This IDEAS step may require two meetings.

Meeting Intent:

The intent of this meeting is to fully understand all the factors that contribute to the health, safety, and well-being concern that we selected as our focus area.

Desired Outcomes for IDEAS Step 1:

1. Understand the concept and rationale for doing a Root Causes Analysis (RCA).
2. Understand how to use a fishbone diagram for conducting a RCA.
3. Create a fishbone diagram to map the Sub-issues and Contributing Factors underlying the chosen health, safety, and well-being concern.





Facilitator Agenda

| When | What | How |
|------------------|---|---|
| 0:00 (5 min) | Arrival | Show up, sign in, find a seat, settle in |
| 0:05 (4 min) | Check-in | Round-Robin: <i>How am I arriving to this meeting?</i> |
| 0:09 (1 min) | Approve Meeting Minutes | Facilitator asks Design Team members for any changes and then asks for a vote to approve meeting minutes |
| 0:10 (5 min) | Review Meeting Plan | <ol style="list-style-type: none"> 1. Review Intent and Desired Outcomes for the meeting 2. Facilitator briefly reviews the agenda 3. Facilitator ask for a volunteer note-taker <i>Questions and comments after each step</i> |
| 0:15 (15 min) | <p>1. Clarity on the concept and process of a RCA</p> <p><u>Handouts:</u> Definitions</p> <p>Fishbone coffee spill example and worksheet</p> <p>IDEAS Step 1: Identify Root Causes (<i>coffee spill example</i>)</p> | <ol style="list-style-type: none"> 1. Volunteers read aloud the definitions of: <ol style="list-style-type: none"> a. Health, Safety, and Well-being Concern b. Root Causes Analysis c. Sub Issue d. Contributing Factors e. Fishbone Diagram <p><i>Ask for different volunteers to read aloud the definitions in the handout</i></p> <p><i>Using a common vocabulary will help us communicate more easily in the meetings</i></p> 2. Clarifying questions <i>Check to see if anyone needs any further explanation of any of the terms</i> 3. Facilitator reviews the process for RCA <i>(Follow along the example in the handout)</i> <i>Summarize and highlight the instructions</i> 4. Dialogue: Why a RCA is important for addressing HS&W concerns <i>Pose the questions and pause (Counting to 10 silently to yourself helps create the space for someone to reply)</i> <i>Listen to the responses. Provide additional responses, if needed</i> |



| When | What | How |
|------------------|---|---|
| | | <p>5. Clarifying questions, if needed <i>Check for questions</i></p> <p>6. Facilitator illustrates the Fishbone process using coffee spill example <i>Highlight the main process steps</i></p> <p>7. Clarifying questions, as needed <i>Check for questions as you walk through steps 4 & 5</i></p> |
| 0:30 (40 min) | <p>2. Shared understanding of the root causes of the HS&W concern</p> <p>Handouts: Fishbone notes</p> | <p>1. Facilitator sets stage for the fishbone activity <i>(a RCA for our priority HS&W issue)</i> <i>Make it clear to the group that they will now try this process themselves</i> <i>Review the process steps before you engage in the process</i></p> <p>2. Each person: Write down your thoughts about different categories of causes of this HS&W concern? (~1-2 min.)</p> <p>3. Group Brainstorm: Share out your ideas to the group (~5 min.) <i>Initially record their brainstorm as a list</i> <i>Work with the DT to determine which causal themes go on the "spines" of the fish</i> <i>Select one spine (cause) to start with</i></p> <p>4. Group Brainstorm: What could be contributing factors to that cause? (2-3 minutes for each spine (cause)) <i>Encourage your group to keep moving and not get stuck</i> <i>If they do - move to the next category. Don't encourage them to sit on any aspect of the analysis for too long</i></p> <p>5. Repeat for each spine (cause) <i>When exercise is complete ask: Is there anything missing?</i></p> |
| 1:10 (5 min) | 3. Next Steps | <p>1. Facilitator reviews preparation for next meeting</p> <p>2. Generate/review other next steps, as needed</p> |
| 1:15 (5 min) | Check-out | 3. Round-robin: One word to describe how you are feeling as you leave this meeting |
| 1:20 | Adjourn | |

IDEAS STEP 1

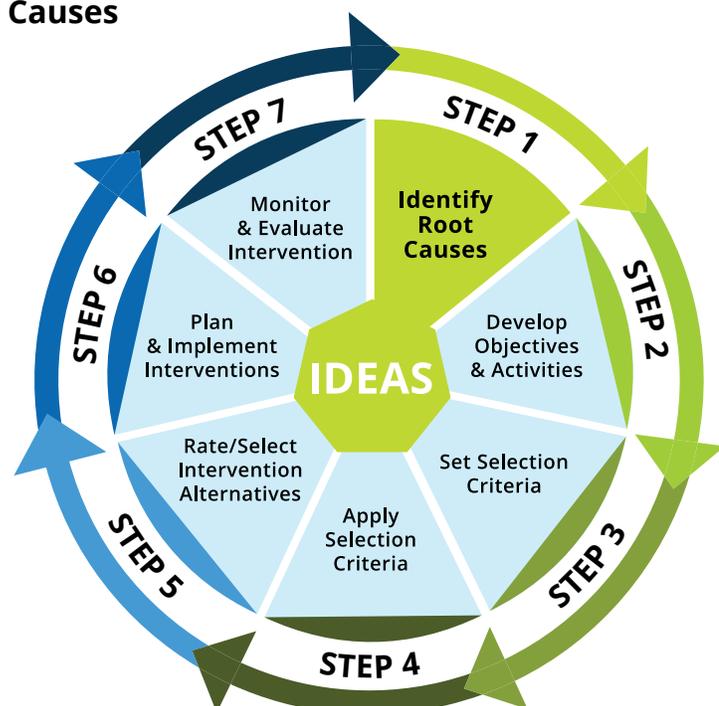


Identify Root Causes of a Health, Safety, and Well-being Concern

DT Design Team Handouts

Handouts:

- Design Team Agenda
- Definitions
- Fishbone “Coffee Spill” Example and Worksheet
- IDEAS Step 1: Identify Root Causes “Coffee Spill” Example
- Fishbone Notes
- IDEAS Step 1: Identify Root Causes
- To Do



IDEAS Step 1: Identify Root Causes



Design Team Agenda

Meeting Intent:

The intent of this meeting is to fully understand all the factors that contribute to the health, safety, well-being concern that we selected as our focus area.

Desired Outcomes:

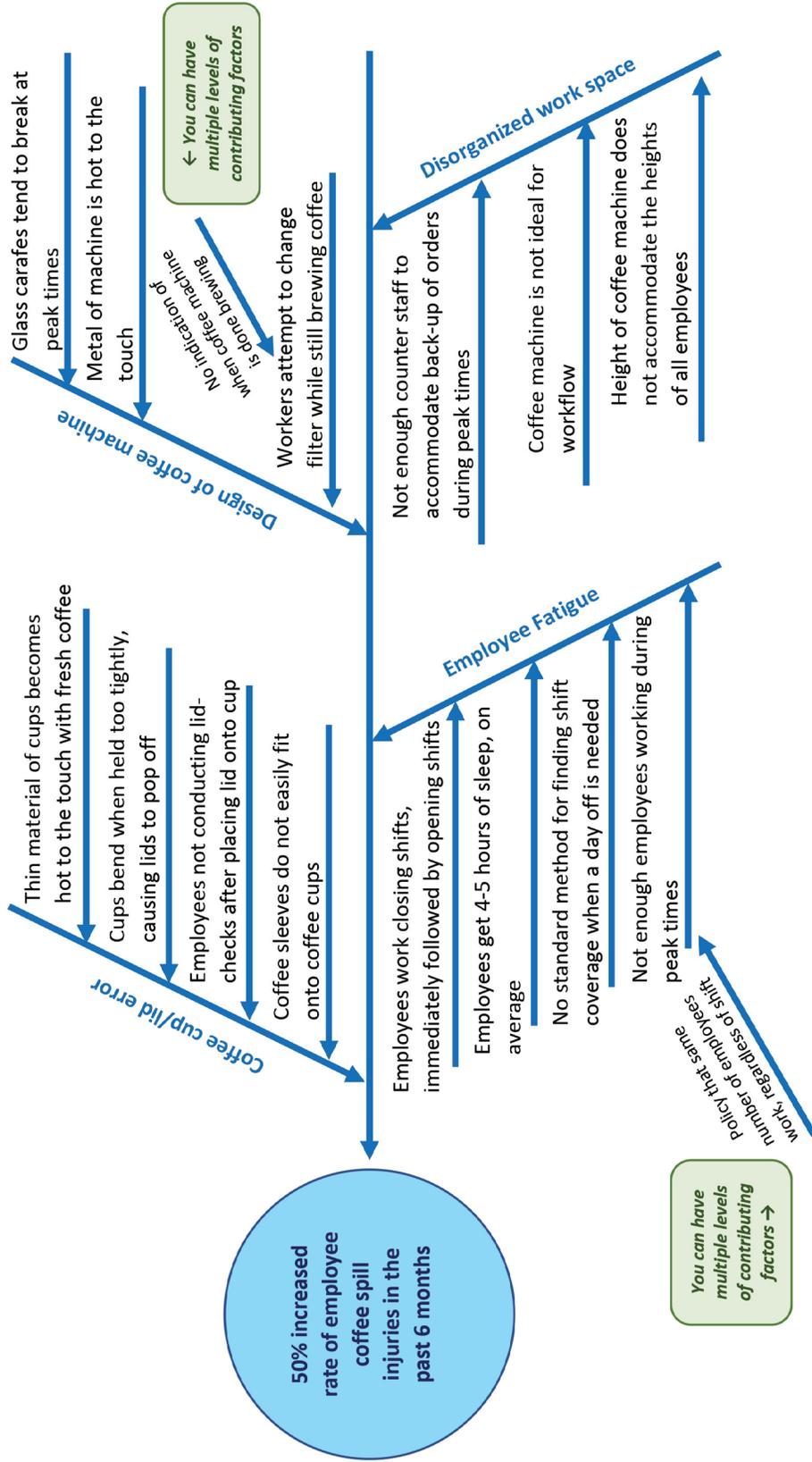
1. Understand the concept and rationale for doing a Root Causes Analysis (RCA).
2. Understand how to use a fishbone diagram for conducting a RCA.
3. Create a fishbone diagram to map the Sub-issues and Contributing Factors underlying the chosen health, safety, and well-being concern.

| When | What | Discussion Questions |
|------------------|---|---|
| 0:00 (9 min) | Arrival/Check-in | <i>How am I arriving to this meeting?</i> |
| 0:9 (1 min) | Approve meeting minutes | |
| 0:10 (5 min) | Review Meeting Plan | <i>How do we think about well-being at work? What is this program all about?</i> |
| 0:15 (15 min) | 1. Clarity on the concept and process of a RCA Handouts: Definitions, Fishbone coffee spill example and worksheet, IDEAS Step 1: Identify Root Causes (coffee spill example) | <i>What are the roles of program participants? How will the two committees interact?</i> |
| 0:30 (40 min) | 2. Shared understanding of the root causes of the HS&W concern Handouts: Fishbone notes | <i>What is the main problem we want to address (head of the fish)?</i> <i>What are some of the reasons for the main problem we want to address? What could be contributing factors to that cause? - 2-3 minutes for each spine (cause)</i> 1. Repeat for each spine (cause) |
| 1:10 (5 min) | 3. Next steps | |
| 1:15 (5 min) | Check-out | <i>One word to describe how you are feeling as you leave this meeting</i> |

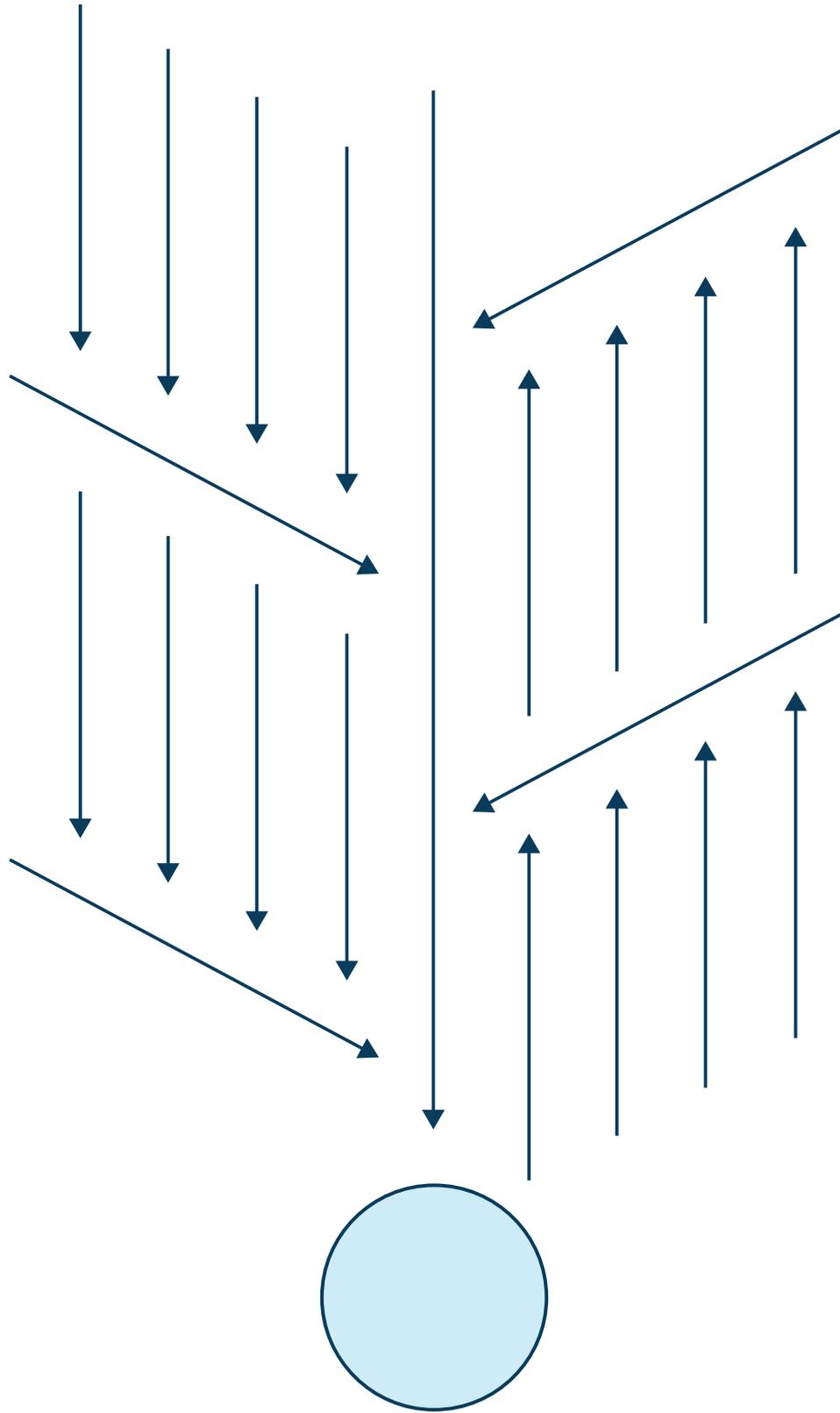
Key Definitions

| | |
|---|---|
| <p>Health, Safety, and Well-being (HS&W) Concern</p> | <p>Anything that places employees' physical and/ or mental wellbeing at risk.</p> |
| <p>Root Causes Analysis (RCA)</p> | <p>A problem-solving process to identify all the underlying causes of a health or safety concern. There may be several sub-issues, each with their own contributing factors.</p> |
| <p>Sub-issue</p> | <p>A smaller part or aspect of the main health & safety concern. For example, filling too many hot coffee orders at one time may be one sub-issue that explains workers' coffee burns.</p> |
| <p>Contributing Factors</p> | <p>Anything on the job or off the job that can lead to the sub-issue. For example, having too few coffee servers may be a contributing factor to filling too many hot coffee orders at one time.</p> |
| <p>Fishbone Diagram</p> | <p>A way of structuring a RCA that is relatively easy to follow. Please see Activity 1 handout for an example of the fishbone process.</p> |

Fishbone Coffee Spill Example



Fishbone Notes



Step 1: Identify Root Causes -- Sub-Issues and Contributing Factors

General Health and Safety Concern:

More employee injuries due to spilled hot coffee over the past six months

| Sub-Issue: | Sub-Issue: | Sub-Issue: | Sub-Issue: |
|---|---|--|---|
| Coffee cup/lid error | Design of coffee machine | Employee fatigue | Disorganized work space |
| Contributing Factors: | Contributing Factors: | Contributing Factors: | Contributing Factors: |
| Cups are too thin Lid-checks not performed Coffee cup sleeves do not easily fit | Coffee machine does not indicate when it is done brewing Glass carafes dribble when filling orders | Late-night closers often have opening shift next day Average of 4-5 hours of sleep Finding shift coverage not standardized Understaffed during peak hours | Not enough counter space Coffee machine in an inconvenient location Coffee machines too close to food prep area |

Step 1: Identify Root Causes -- Sub-Issues and Contributing Factors

General Health and Safety Concern:

| | | | |
|------------------------------|------------------------------|------------------------------|------------------------------|
| | | | |
| Sub-Issue: | Sub-Issue: | Sub-Issue: | Sub-Issue: |
| Contributing Factors: | Contributing Factors: | Contributing Factors: | Contributing Factors: |
| | | | |



**Healthy Workplace
Participatory Program**

A toolkit for advancing Total Worker Health®

IDEAS STEP 2

Develop Measurable Objective and Solution Activities





IDEAS STEP 2

Develop Measurable Objective and Solution Activities

F Facilitator Preparation

To do:

1. **Watch:** training videos and access downloadable DT meeting materials. Decide whether to show the video during the DT meeting. **IDEAS Step 2 Training Video - Develop Objective and Activities (6:30):** <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/develop-objective-activities.aspx>
2. **Review:** Facilitator Preparation, Facilitator Agenda, and DT handouts
3. **Prepare:** copies of the completed IDEAS Step 1 Worksheet and/or Fishbone diagram to bring to the meeting.
 - a. **Optional** – look over the Resources for Intervention Planning document to become familiar with sources of information for the specific issue of concern
<https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/get-ready/identify-priorities/>
4. **Prepare:** (i.e. print, copy) DT handouts
5. **Be prepared to explain how Step 1 relates to Step 2**
6. **Send the DT a friendly reminder of the meeting date and time** at least 2-3 days before the upcoming meeting

To bring:

- Flip chart paper and markers**, or laptop and projector if using IDEAS worksheets
- IDEAS Step 2 DT handouts**
- Copies of the Completed Step 1 Worksheet and/or completed Fishbone diagram**

To know:

This IDEAS step may require 2 meetings. Duration will vary depending on the complexity of the health and safety concern, the size of the group and the length/frequency of the DT meetings. The meeting plan is planned for 90 minutes. If your meeting time is only 60 minutes, you should plan for two full meetings on this step.

Key Definitions

| | |
|---|--|
| Major Health, Safety, and Well-being Objective | An overall statement of the desired outcome related to the safety, health, and well-being concern identified in Step 1. For example: Decrease employee coffee burn by 50% in one year. |
| Solution | A more specific, targeted objective for what could be done to accomplish the major health and safety goal, making it easier to come up with ideas specific solution activities. |
| Activities | Specific actions that would bring the organization closer to achieving a solution. |
| Interventions | A set of solution activities designed to initiate workplace change to benefit employee health and safety. An intervention should ideally take an integrated, TWH approach and encompass a variety of activities, that together, improve organizational policies/practices as well as encourage employee health and/or safety behavior. |

Activity 1: Clarify how IDEAS Step 1 relates to IDEAS Step 2

- a. Step 1 dealt with describing why the Health & Safety concern is occurring.
- b. Step 2 identifies ways to address the root causes of the Health & Safety concern identified during Step 1.
- c. This step should not be rushed because the quality of the intervention planning that follows will depend this step.

Activity 2: Create the Major Health, Safety, and Well-being Objective

- The Major Health and Safety Objective and solutions should be “SMART”: Specific, Measurable, Achievable, Realistic, and Time-oriented (refer to example in handout).
- **Tip:** Help the DT avoid getting bogged down in “wordsmithing” when they are creating the major goal/objective. Encourage the team to focus first on the main objective and what they feel would be a realistic and meaningful magnitude of improvement. Keep them focused on the “big picture”; you can help with wording later.

Activity 3: Create a list of solutions with activities *(see example in handout)*

- This will be their first opportunity to brainstorm ways to make things better for themselves and their co-workers. Encourage the team to think creatively and avoid ruling out ideas at this point. There will be an opportunity to do that later.
- You can help organize the brainstorming discussion by asking the DT to focus on one sub-issue at a time.
- It may be helpful to ask the DT if every sub-issue is equally important, or if one or two areas are more important contributors to the HS&W concern. If the latter, then encourage the DT to focus on these areas first.
- When starting the discussion, help the DT understand the difference between “solutions” and “activities.”
- Solutions are more specific, targeted objective for what could be done to accomplish the major health and safety goal. Solutions often, but not always, are developed by paraphrasing the sub-issues identified in Step 1.
- Activities are the things that will be done to achieve the solution.
- When summarizing the discussion, invite DT members to take a “birds eye view” of the notes. Ask them if they see any areas of overlap or duplication. This may be an opportunity to clarify differences or consolidate solutions.

Post-meeting to do:

Complete *(i.e. fill out)* IDEAS Step 2 Worksheet.



IDEAS STEP 2

Develop Measurable Objective and Solution Activities

F Facilitator Agenda

Meeting Intent:

To create a list of possible solutions to address the root causes of the major health, safety, and well-being concern that were discussed during the previous meeting.

Desired Outcomes for IDEAS Step 2:

1. Clarity about the relationship between IDEAS Steps 1 and 2.
2. A written Major Health, Safety, and Well-being Objective to work towards achieving through the IDEAS process.
3. A list of solutions with activities that will address the Major Health, Safety, and Well-being Objective as completely as possible.





Facilitator Agenda

| When | What | How |
|------------------|--|--|
| 0:00 (6 min) | Arrival/ Check-in | <ol style="list-style-type: none"> 1. Show up, find a seat, settle in 2. Round-robin: <i>What animal do you feel like today?</i> |
| 0:06 (1 min) | Approve meeting minutes | Facilitator asks Design Team members for any changes and then asks for a vote to approve meeting minutes |
| 0:07 (3 min) | Review Meeting Plan | <ol style="list-style-type: none"> 1. Review Intent and Desired Outcomes for the meeting 2. Facilitator briefly reviews the agenda 3. Facilitator ask for a volunteer note-taker <p><i>Questions and comments after each step</i></p> |
| 0:10 (5 min) | <ol style="list-style-type: none"> 1. Clarity on how IDEAS Step 1 relates to IDEAS Step 2 <p><u>Handout:</u> Definitions</p> | <ol style="list-style-type: none"> 1. Facilitator asks for a volunteer to read the definitions on Activity 1 handout: <ol style="list-style-type: none"> a. Major Health & Safety Objective b. Solution c. Activity 2. Facilitator explains the relationship between Steps 1 & 2 Clarifying questions, if needed |
| 0:15 (15 min) | <ol style="list-style-type: none"> 2. Create a Major Health and Safety Objective <p><u>Handout:</u> Objective Statement</p> | <ol style="list-style-type: none"> 1. Facilitator introduces how to turn a H&S Concern from Step 1 into a Major H&S Objective in Step 2 <i>(Follow along on Activity 2 handout)</i> 2. Dialogue: <i>What is our Major Health & Safety Objective?</i> Volunteer records ideas on flip chart <p><i>Help the DT from getting too much in the weeds at first</i></p> <p><i>Keep them focused on the “big picture” when they are creating the major goal/objective and what they feel would be a realistic and meaningful magnitude of improvement</i></p> <p><i>Tell them you can help with wordsmithing later</i></p> |



| When | What | How |
|---------------------------------|---|--|
| | | <p><i>Check to make sure the objective and concern match, if not, redirect their attention to address the concern</i></p> <p><i>When the DT agrees on the overall objective, help them develop clear "SMART": Specific, Measurable, Achievable, Realistic, and Time-oriented language (refer to example)</i></p> <p>3. DT agrees on Major Health & Safety Concern <i>after final edits</i></p> |
| <p>0:30 (45 min)</p> | <p>3. Create a list of solutions with activities</p> <p>Handouts: Step 2: Develop Measurable Objectives and Solution activities example worksheet</p> <p>Completed IDEAS Step 1 fishbone diagram or Step 1 worksheet (Identify Root Causes)</p> | <p>1. Facilitator introduces concept of creating solutions with possible activities (follow along on Activity 3 handout)</p> <p><i>Remind them that solutions often come from paraphrasing the sub-issues identified in Step 1, but this is not always the case</i></p> <p><i>Remind them that solutions should accomplish some aspect of the Major Health and Safety Objectives</i></p> <p><i>Remind them that activities are the things that will be done to achieve the solution.</i></p> <p>2. Brainstorm: <i>What are some solutions and activities that can help us achieve the Major Health and Safety Objective?</i></p> <p>3. <i>What are the most important spines of the fishbone to address in the interventions we create? (Tip: Refer to IDEAS Step 1 materials for key sub-issues)</i> Volunteer records ideas on flip chart</p> <p><i>4. Encourage the group to not filter too much</i></p> <p><i>5. Encourage the generation of ideas- no idea is a bad idea</i></p> <p><i>6. Help the group differentiate between solutions and activities</i></p> <p><i>7. You might need multiple sheets of flip chart paper</i></p> <p>8. Clarifying questions, if needed</p> |
| <p>1:15 (10 min)</p> | <p>Next Steps</p> | <p>1. Facilitator reviews preparation for next meeting <i>Complete (i.e. fill) out IDEAS Step 2 Worksheet</i></p> <p>2. Generate/review other next steps, as needed</p> |
| <p>1:25 (5 min)</p> | <p>Check-out</p> | <p>Round-robin: <i>Is there anything on your mind that you did not have a chance to share?</i></p> |
| <p>1:30</p> | <p>Adjourn</p> | |

IDEAS STEP 2

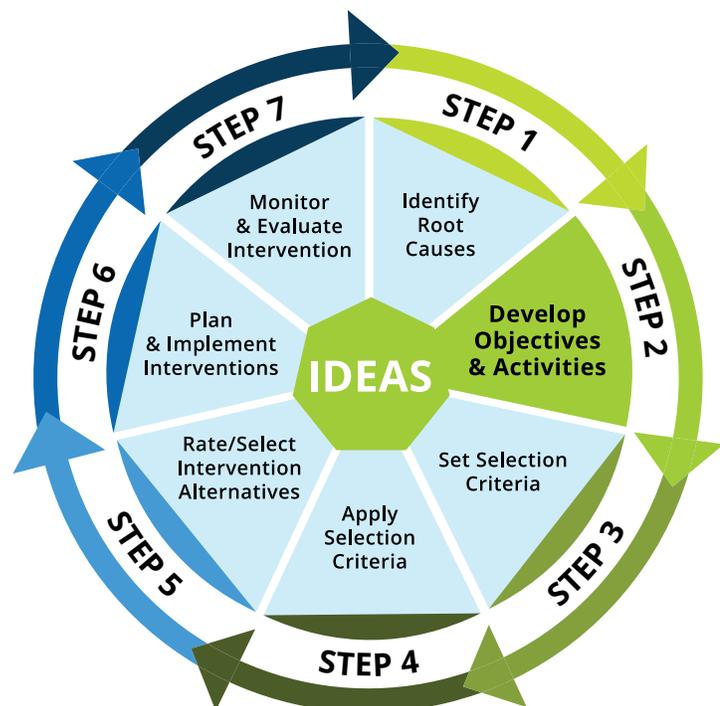


Develop Measurable Objective and Solution Activities

DT Design Team Handouts

Handouts:

- Design Team Agenda
- Definitions
- IDEAS Step 2: Develop Measurable Objective and Solution Activities Sample
- IDEAS Step 2: Develop Measurable Objective and Solution Activities Worksheet
- To Do



IDEAS Step 2: Develop Measurable Objectives and Solution Activities



Design Team Agenda

Meeting Intent:

To create a list of possible solutions to address the root causes of the Major Health, Safety, and Well-being objectives that were discussed during the previous meeting.

Desired Outcomes:

1. Clarity about the relationship between IDEAS Steps 1 & 2.
2. A written Major Health and Safety Objective to work towards achieving through the IDEAS process.
3. A list of solutions with activities that will address the Major Health and Safety objective as completely as possible.

| When | What | Discussion Questions |
|------------------|--|--|
| 0:00 (6 min) | Arrival / Check-in | <i>What animal do you feel like today?</i> |
| 0:06 (1 min) | Approve meeting minutes | |
| 0:07 (3 min) | Review Meeting Plan | |
| 0:10 (5 min) | 1. Clarity on how IDEAS Step 1 relates to IDEAS Step 2 Handouts: Definitions | |
| 0:15 (15 min) | 2. Create a Major Health, Safety, and Well-being Objective Handouts: Objective Statement | <i>How will we describe our Major Health & Safety Objective?</i> |
| 0:30 (45 min) | 3. Create a list of solutions with activities Handouts: Step 2: Develop Measurable Objectives and Solution activities example worksheet, Completed IDEAS Step 1 fishbone diagram or Step 1 worksheet (Identify Root Causes) | |
| 1:15 (10 min) | Next Steps | |
| 1:25 (5 min) | Check-out | <i>Is there anything on your mind that you did not have a chance to share?</i> |

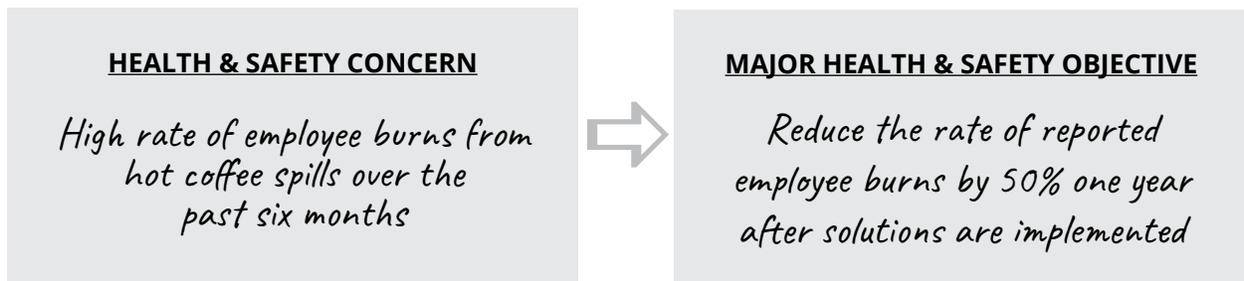
Definitions

Major Health, Safety, & Well-being Objective: An overall statement of the desired outcome related to the safety, health, and well-being concern identified in Step 1.

Solution: A more specific, targeted objective for what could be done to accomplish the major health and safety objective, making it easier to come up with ideas for a set of activities; solutions should also be SMART

Activities: Specific actions that would bring the organization closer to achieving a solution.

Developing an Objective Statement



IDEAS Step 2 Notes (Optional):

Feel free to record any of your individual thoughts/the thoughts of the group below. Refer to the example as needed.

Step 2: Develop Measurable Objective and Solution Activities

Major Health and Safety Objective:

Reduce the rate of employee injuries as a result of hot coffee spills

| Solution 1: | Solution 2: | Solution 3: | Solution 4: |
|---|--|--|--|
| <p>Improve functionality of coffee cups and lids</p> <p>Specific Activities/ Components of Solution 1:</p> <p>Order thicker coffee cups/lids with coffee sleeves that fit easily</p> <p>Train employees on conducting lid-checks & safe handling of cups</p> | <p>Improve safety features of coffee machine</p> <p>Specific Activities/ Components of Solution 2:</p> <p>Purchase coffee machines that prevent splashing, dispense directly to cups</p> <p>Alternative: Purchase protective splash guard or better carafes that dribble less</p> | <p>Policy changes/education to reduce employee fatigue</p> <p>Specific Activities/ Components of Solution 3:</p> <p>Change scheduling and shift coverage policies</p> <p>Provide material on the benefits of sleep/strategies for getting more sleep</p> <p>Have an additional employee during peak hours</p> <p>Convert walk-in closet to an employee quiet/break room</p> | <p>Reorganize workspace to maximize efficiency</p> <p>Specific Activities/ Components of Solution 4:</p> <p>Store infrequently used supplies to clear counter space</p> <p>Hire an ergonomic consultant to reorganize workspace and maximize workflow and usability</p> <p>Separate coffee prep and food prep areas</p> |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Step 2: Develop Measurable Objective and Solution Activities

Major Health and Safety Objective:

| | | | |
|---|---|---|---|
| Solution 1: | Solution 2: | Solution 3: | Solution 4: |
| Specific Activities/ Components of Solution 1: | Specific Activities/ Components of Solution 2: | Specific Activities/ Components of Solution 3: | Specific Activities/ Components of Solution 4: |
| | | | |



IDEAS STEP 3

Set Criteria for Selecting and Evaluating Interventions



Scope



Benefits



Resource Considerations



Obstacles



IDEAS STEP 3

Set Criteria for Selecting and Evaluating Interventions

F Facilitator Preparation

To do:

- 1. Watch:** training video and decide whether to show the video during the DT meeting:
 - a. Set Selection Criteria (7:21) <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/set-selection-criteria.aspx>
- 2. Review:** Facilitator Preparation, Facilitator Agenda and the DT handouts.
 - a. Give particular attention to the example provided within the DT handout to understand the selection criteria.
- 3. Prepare DT materials** (*i.e. print, copy*)
 - a. DT handouts (*1 copy per person*)
 - b. Completed IDEAS Step 2 worksheet (unless circulated ahead of the meeting)
- 4. Prepare flip charts** to save valuable meeting time. Write the following headings at the top of flip chart paper (*one per sheet of paper*)
 - a. **Scope** -- *Who do you want to reach? How many?*
 - b. **Benefits/Effectiveness** -- *What positive outcomes are we trying to accomplish? Short term? Long term?*
 - c. **Resource Considerations** -- *What resources are currently available within the organization? Do we need to acknowledge any constraints?*
 - d. **Obstacles** -- *What could interfere with intervention success?*
- 5. Send the DT a friendly reminder of the meeting date and time** at least 2-3 days before the upcoming meeting

Depending on your organization, you may wish to discuss with the Steering Committee what resources will be available (or other resource related constraints) for DT interventions prior to this meeting.

To bring:

- Prepared flip chart paper** (with headings), extra, blank flip charts and markers (*or laptop and projector if using worksheets during the meetings*)
- IDEAS Step 3 DT handouts**
- IDEAS Steps 1 and 2 completed worksheets**

To know:

The purpose of Step 3 is to identify “selection criteria” (also called, Key Performance Indicators, or KPIs) for evaluating intervention activities. These selection criteria will be used several times during the remaining steps in the IDEAS process.

- Step 4 – DT will apply the selection criteria to help decide which activities to include or exclude in their intervention proposal
- Step 5 – SC will refer to the selection criteria when rating the DT proposed interventions.
- Step 7 – The SC will use the selection criteria to evaluate intervention activities that are implemented.

Step 3 typically requires one meeting. This step should involve the Design Team and the Steering Committee.

- Working together on this step can help to set the stage for intervention proposals to be received positively by organizational leaders.
- Step 3 is also a good time to brief the Steering Committee generally on what has been accomplished in IDEAS Steps 1 and 2.

Key Definitions

| | |
|---------------------------------|--|
| Selection Criteria | Key Performance Indicators (KPIs) set by the group that are used to measure the effectiveness or success of the solution activities within intervention alternatives, including: Scope, Benefits/Effectiveness, Obstacles and Resource Considerations. |
| Scope | The range of people (who and how many) that the intervention is intended to benefit. |
| Benefits / Effectiveness | Benefits of any kind that the interventions should provide. Consider short term benefits such as changes in attitudes, behaviors, satisfaction. Consider longer term benefits such as fewer accidents, cost savings, improved health, lower intention to leave, etc. |

| | |
|--------------------------------|---|
| Resource Considerations | What resources are currently available within the organization that should be considered? Are there parameters or context factors to consider? |
| Obstacles | Anything that is likely to work against the intervention being considered. For example, uncertainty about continued financial resources, long delays in getting needed materials or equipment, a lack of top-down support, resistance to change, etc. |

Activity 1: Understanding selection criteria

It is vital that the DT understand the key definitions of (Scope, Benefits/Effectiveness, Resource Considerations, and Obstacles) before beginning Activity 2. Be sure to review the definitions and show the example handout. The selection criteria will be used again in IDEAS Steps 4,5,6 & 7.

Activity 2: Develop selection criteria for interventions

The DT will generate a list of selection criteria for interventions. Encourage the DT to prioritize the most important items in each category. This will keep the process manageable when they apply the selection criteria in Step 4.

- **Note:** When considering the obstacles category, encourage DT members to avoid listing “cost”. Cost will be addressed separately in the Resources category.

Post-meeting to do:

Complete (i.e. fill out) the IDEAS Step 3 Worksheet: Set Selection Criteria. This worksheet will be used in IDEAS Step 4 to evaluate the interventions created by the Design Team.

- If DT has completed this step by themselves, coordinate a meeting with the Steering Committee to invite their input on the selection criteria.



IDEAS STEP 3

Set Criteria for Selecting and Evaluating Interventions

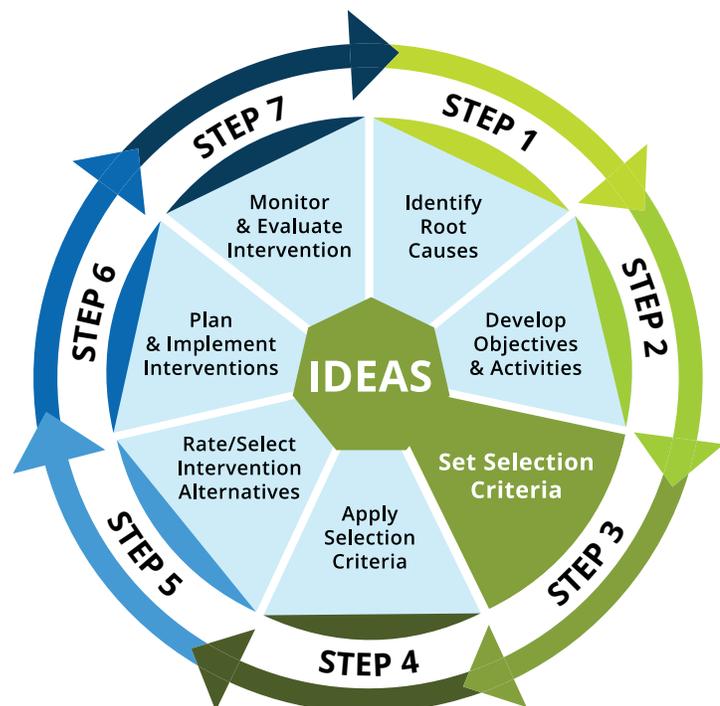
F Facilitator Agenda

Meeting Intent:

To identify criteria to be used to select and evaluate intervention activities.

Desired Outcomes for IDEAS Step 3:

1. Understand of the four categories of selection criteria for interventions, and how they will be used.
2. Initial list of specific selection criteria within each category.





Facilitator Agenda

| When | What | How |
|------------------|---|---|
| 0:00 (5 min) | Arrival/Check-in | <p>Show up, find a seat, settle in.</p> <p>Round-robin: <i>Facilitator inserts check-in question here (10-20 sec each)</i></p> |
| 0:05 (2 min) | Approve meeting minutes | Facilitator asks Design Team members for any changes and then asks for a vote to approve meeting minutes |
| 0:07 (2 min) | Review Meeting Plan | <ol style="list-style-type: none"> 1. Review Intent and Desired Outcomes for the meeting 2. Facilitator briefly reviews the agenda 3. Questions and comments after each step 4. Facilitator ask for a volunteer recorder |
| 0:09 (6 min) | <p>1. Understanding selection criteria</p> <p>Handouts: Key Definitions Step 3: Set Criteria for Selecting and Evaluating Interventions example</p> | <ol style="list-style-type: none"> 1. Volunteers offer to read out loud the definitions in the handout 2. Clarifying questions from group, if needed 3. Facilitator guides DT through the Step 3 completed worksheet example 4. Facilitator explains how selection criteria will be used in future IDEAS steps. 5. Clarifying questions from group |
| 0:15 (38 min) | <p>2. Develop selection criteria for interventions</p> <p>Handout: <i>(optional)</i> Step 3: Set Criteria for Selecting and Evaluating Interventions blank worksheet</p> | <ol style="list-style-type: none"> 1. Team develops specific intervention evaluation criteria for each category of the worksheet <ol style="list-style-type: none"> a. Scope b. Benefits/Effectiveness c. Resource Considerations d. Obstacles |



| When | What | How |
|--------------------------------|---------------------------------|---|
| | | <p>Use the prompting questions for each category to help DT identify the evaluation criteria:</p> <p><i>Scope -- Who do you want to reach? How many?</i></p> <p><i>Benefits/Effectiveness -- What positive outcomes are we trying to accomplish? Short term? Long term?</i></p> <p><i>Resource Considerations -- What resources are currently available within the organization? Do we need to acknowledge any constraints?</i></p> <p><i>Obstacles -- What could interfere with intervention success?</i></p> <p>2. Recorder will capture:</p> <ol style="list-style-type: none"> a. agreed criteria b. unknown (gaps in our knowledge) c. uncertain or disagreed <p>3. DT prioritizes 2-4 items per category.</p> <p><i>Explain that it is important to keep these criteria to a manageable number. Too many criteria will be overwhelming to work with in Step 5.</i></p> <p><i>Try to spend ~8 min/category to ensure you can cover all four selection categories</i></p> |
| <p>0:53 (5 min)</p> | <p>3. Next Steps</p> | <p>Generate/review next steps:</p> <ol style="list-style-type: none"> 1. Facilitator reviews preparation for next meeting 2. Ask which DT members would like to participate in a meeting with SC to provide a DT update and invite feedback on the selection criteria. |
| <p>0:58 (2 min)</p> | <p>Check-out</p> | <p>1-2 words to describe how you are feeling as you leave this meeting</p> |
| <p>1:00</p> | <p>Adjourn</p> | |

IDEAS STEP 3



Set Criteria for Selecting and Evaluating Interventions

DT Design Team Handouts

Handouts:

- Design Team Agenda
- Definitions
- IDEAS Step 3: Set Criteria for Selecting and Evaluating Interventions Sample
- IDEAS Step 3: Set Criteria for Selecting and Evaluating Interventions Worksheet
- To Do



DT Design Team Agenda

Meeting Intent:

To identify criteria to be used to select and evaluate intervention activities.

Desired Outcomes:

1. Understand the four categories of selection criteria for interventions, and how they will be used.
2. Initial list of specific selection criteria within each category.

| When | What | Discussion Questions |
|------------------|--|--|
| 0:00 (5 min) | Arrival / Check-in | <i>Round-robin question.</i> |
| 0:05 (2 min) | Approve meeting minutes | |
| 0:07 (2 min) | Review Meeting Plan | |
| 0:09 (6 min) | 1. Understanding selection criteria Handouts: Key Definitions Step 3 sample completed worksheet | <i>What are intervention selection criteria?</i> <i>How will we use them in the IDEAS process?</i> |
| 0:15 (38 min) | 2. Develop selection criteria for interventions Handout: Step 3 blank worksheet | Scope <i>Who do you we want to reach? How many?</i> Benefits/Effectiveness <i>What positive outcomes are we trying to accomplish? Short term? Long term?</i> Resource Considerations <i>What resources are currently available within the organization? Do we need to acknowledge any constraints?</i> Obstacles <i>What could interfere with intervention success?</i> |
| 0:53 (5 min) | Next Steps | <i>Who would like to attend a meeting with SC members to provide an update and get input on the selection criteria?</i> |
| 0:58 (2 min) | Check-out | <i>1-2 words to describe how you are feeling as you leave this meeting</i> |

Definitions

Intervention: A set of solution activities designed to positively impact the objective identified in IDEAS Step 2. An intervention should ideally include a variety of activities that, when combined, will address the key root causes underlying the issue of concern. This is a Total Worker Health approach.

Selection Criteria: Key performance indicators (KPIs) set by the team to measure the effectiveness or success of the interventions. There are four categories:

1. **Scope:** The range of people (who and how many) that the intervention is intended to benefit. Scope can vary depending on the interventions you are considering. **Your scope can be: a single type of worker, a unit of workers, or the entire organization**
2. **Benefits/Effectiveness:** The impact of the intervention can include both short-term and long term outcomes of any kind.
 - **Short term outcomes** are what you would expect to see very soon after the intervention begins. **Examples:** increased knowledge, increased satisfaction, or positive changes in worker attitudes
 - **Long term outcomes** are the health and or organizational goals you hope to achieve over a longer period of time as a result of the intervention. **Examples:** cost savings (lower turnover, fewer sickness absences, reduced compensation claims), improved health, and fewer injuries

These criteria will form the basis for evaluating success later, so try to be as specific as possible when developing them.

3. Resource Considerations:

General aspects of the organization's financial context that will be relevant to the business case for any intervention. Be sure to consider:

- Internal resources to the organization (*e.g. time, money, personnel, etc.*)
- External resources (*e.g. partnerships with outside organizations that could be leveraged.*)
- Organizational situations (*e.g. a hiring freeze*) or practices (*e.g. stay within a certain percent of existing budget.*)
- Note: Design Teams may propose interventions that exceed the currently available resources if the benefits justify the resources needed/costs. Resources available should not limit Design Team brainstorming.

4. Obstacles:

Anything that is likely to work against the intervention being considered. Examples:

- Possible resistance from employees/customers/clients, etc.
- Contracts with vendors that may limit options.
- Other organizational initiatives that require time and effort that might limit the ability of leaders and middle managers to implement an intervention.

Note: Do not list cost concerns here. Cost will be evaluated separately in the "Resources" criteria.

Step 3: Set Criteria for Selecting and Evaluating Interventions

| <p>Scope</p> <p>Who do you want to reach (e.g. one unit or the entire organization)? How many people should be affected? (if you plan a small pilot, describe # in pilot and in long term)</p> | <p>Benefits/Effectiveness</p> <p>What are the positive outcomes you want to achieve? (both short and long term)</p> <p>SHORT TERM</p> <p>Increased employee satisfaction and less stress</p> <p>Better employee comfort</p> <p>Higher customer satisfaction</p> <p>LONG TERM</p> <p>Fewer burn injury reports</p> <p>Fewer reports of employee fatigue on annual employee survey</p> <p>Short term examples: Increased knowledge, behavior change, participation, satisfaction Long term examples: Improved health, lower claims/costs, more productive</p> | <p>Resource Considerations</p> <p>What resources are currently available within the organization that should be considered? (e.g. time, money, personnel). Are there important parameters or context factors to consider?</p> <p>Employees semi-annual training can be used to educate on spills</p> <p>Costs for supplies not to exceed 1% over existing budget for sustainability</p> <p>Any remodeling or new equipment installation should not stop service</p> <p>Require a one-time change</p> <p>Design Teams may propose interventions that exceed the resources currently available if the benefits justify the costs. Resources should not limit brainstorming.</p> | <p>Obstacles</p> <p>What potential barriers exist that may interfere with intervention success?</p> <p>Do not list cost as an obstacle here.</p> <p>Eco-conscious customers want recyclable cups/lids</p> <p>Employees may be resistant to changes in workspace design</p> <p>Implementing scheduling procedure changes may be difficult</p> <p>Fear of more workers compensation claims (due to increased awareness)</p> |
|---|--|--|---|
| <p>All coffee servers at this franchise location should benefit from changes being made.</p> <p>It's desirable to make changes that could be adopted by other franchise locations too</p> | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Step 3: Set Criteria for Selecting and Evaluating Interventions

| <p>Scope Who do you want to reach (e.g. one unit or the entire organization)? How many people should be affected? (If you plan a small pilot, describe # in pilot and in long term)</p> | <p>Benefits/Effectiveness What are the positive outcomes you want to achieve? (both short and long term) SHORT TERM</p> | <p>Resource Considerations What resources are currently available within the organization that should be considered? (e.g. time, money, personnel). Are there important parameters or context factors to consider?</p> | <p>Obstacles What potential barriers exist that may interfere with intervention success? Do not list cost as an obstacle here.</p> |
|--|--|---|---|
| | <p>LONG TERM</p> | <p>Design Teams may propose interventions that exceed the resources currently available if the benefits justify the costs. Resources should not limit brainstorming.</p> | |
| <p>Short term examples: Increased knowledge, behavior change, participation, satisfaction Long term examples: Improved health, lower claims/costs, more productive</p> | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857



**Healthy Workplace
Participatory Program**

A toolkit for advancing Total Worker Health®

IDEAS STEP 4

Form Interventions and Apply Selection Criteria





IDEAS STEP 4

Form Interventions and Apply Selection Criteria

F Facilitator Preparation

To do:

1. **Watch and decide whether to show the video during the DT meeting:** Apply selection criteria (8:05) <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/apply-criteria.aspx>
2. **Prepare photocopies of:**
 - a. The completed IDEAS Step 2 and Step 3 worksheets to bring to the meeting
 - b. DT handouts (meeting plan and other handouts in packet)
3. **Prepare Step 4 “Apply Selection Criteria” Worksheet** (for Activity 5) -- the DT will work together to complete this worksheet in Activity 5.
 - i. Fill in the selection criteria (from IDEAS Step 3 Worksheet) on the top row
 - ii. If you have access to a projector, you can project a digital copy of the worksheet for the group to work on together. If you do not have access to a projector, you can prepare a large poster-sized version of the worksheet.
4. **Send the DT a friendly reminder of the meeting date and time** at least 2-3 days before the upcoming meeting.

To bring:

- Photocopies of:**
 - **Completed Step 2 and Step 3 Worksheets** (or bring Step 3 flip charts of selection criteria (key performance indicators) from last meeting.
 - **IDEAS Step 4 meeting plan and DT handouts**
 - **Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee** (to be distributed at end of meeting while reviewing next steps)
- Flip chart paper and markers**, or laptop and projector
- A few stacks of post-it notes** (ideally different colors)

To know:

The intent of IDEAS Step 4 is to form three intervention options and prepare a business case for proposal to the Steering Committee. Creating three intervention options increases the odds that key leaders will approve at least one option.

By the end of this step the Design Team will have completed an analysis of each intervention option, and will rate how well each option meets the criteria they set in Step 3.

IDEAS Step 4 is the most complex and most time consuming to accomplish; you will need 2-3 meetings at a minimum. The meeting plan is arranged for three meetings, each 60-90 minutes long.

Tips for facilitating this step:

Facilitating this step with Design Team entails a sequential series of four group activities:

1. **Grouping solution activities from Step 2 to form 3 intervention options**
2. **Analyzing each intervention for scope, benefit, resources needed, and potential obstacles.**
 - DT members may need to assist with researching information as “homework” outside of meeting time to streamline the process.
3. **Applying selection criteria from Step 3 to each intervention option.**
4. **Rating and ranking each intervention option regarding how well it meets the selection criteria.**

Concepts you will need to explain to the DT

What is a solution vs. an intervention?

In Step 2 the DT brainstormed solutions to specific sub-issues for the major health and safety problems. In Step 4 the DT will use their brainstorming to create three intervention options.

Solution:

A targeted sub-objective for what could be done to achieve the Major Health & Safety, Well-being (HS&W) Objective, making it easier to come up with ideas for specific actions/activities.

- Solutions and their accompanying activities were the focus of the DT's work in Step 2.
(Examples: Provide training, provide proper equipment, re-organize workflow, etc.)
- Each solution may have one or more activities associated with it.

Intervention:

A set of activities that, when implemented together, address a Major HS&W Objective as completely as possible.

- Interventions can include activities from a single solution or multiple, different solutions.
- However, more typically the Major HS&W Objective will be better addressed with a "hybrid" solution, which will include activities from multiple solutions and combine them into a single, multifaceted intervention
- Generally, the more sub-issues (from IDEAS Step 1) that are addressed with an intervention, the more effective the intervention is likely to be.

Key Definitions:

| | |
|---------------------------------|---|
| Scope | The range of people (who and how many) that the intervention is intended to benefit. |
| Benefits / Effectiveness | Benefits of any kind that the intervention should provide. Consider short term benefits such as changes in attitudes, behaviors, satisfaction. Consider longer term benefits such as fewer accidents, cost savings, improved health, lower intention to leave, etc. |
| Resources Needed | Estimates of the financial or other types of resources needed for the intervention. Need to consider both the short and long-term resources/ costs |
| Obstacles | Anything that is likely to work against the intervention being considered; for example, uncertainty about continued financial resources, long delays in getting needed materials or equipment, a lack of top-down support, resistance to change. |

What is a “business case”?

A business case is a proposal presentation that outlines the characteristics and relative effectiveness of each intervention so that the SC has sufficient information for selecting one or more intervention options to be implemented.

IDEAS Step 4 helps the DT to create a business case for three intervention options. All three options will be presented to the Steering Committee for consideration, with the goal of the SC approving at least one option.

Each intervention option will be evaluated based the selection criteria (or “key performance criteria – KPIs) developed during IDEAS Step 3:

- **Scope**
- **Benefits/Effectiveness**
- **Resource considerations**
- **Potential obstacles**

Tip: The size and complexity of the interventions should reflect the size and complexity of the health and safety concern.

Why should the DT propose more than one intervention option?

Presenting multiple intervention options to the SC increases the odds that at least one will be supported for implementation during IDEAS Steps 5 and 6.

Presenting multiple interventions demonstrates to organizational leaders that the Design Team has given careful thought to how to solve problems with different approaches and with varying levels of resources.

Meeting #1

Activity 1: Review activities from Step 2

During Step 2, you helped the DT to generate as many ideas as they could imagine addressing the health and safety concerns. However, in Step 4, they need to reflect and consider how to make their proposal manageable and practical. This activity asks them to add new thoughts from co-workers and to prioritize the ideas they feel most strongly about. You can use a voting procedure to help the process. If the DT narrowed down their solution activities already in Step 2, you do not need to do this activity again in Step 4.

Activity 2: Form interventions

The most efficient way for DT to proceed is to use the planning template provided in their handout. The template (and the meeting plan) guides the DT to first consider the “must haves” and set this as the first intervention option. Then they form two additional intervention options as outlined in the template.

There are three key concepts that are important for Design Team members to grasp as they form interventions.

Key concept #1: Interventions will have the most impact if they address as many sub-issues (from IDEAS Step1) as possible. That means that a strong intervention will incorporate a group of activities from several solution areas.

Key concept #2: The DT should make sure that any intervention they form is acceptable if it's the one that is selected. They should not be tempted to limit the interventions to those that entail minimal cost to implement. If it cost nothing, it likely indicates that very little of the upstream contributing factors of the problem will be addressed.

Key concept #3: The DT should consider including one or two activities in each intervention option that are relatively easy or affordable to implement. This allows some “quick wins” when entering the implementation phase of an intervention that has been approved.

Meeting #2

Activity 4: Analyze interventions

The purpose of this activity is to estimate the requirements and impacts for each intervention option to generate a “business case” for decision making.

DT members will estimate the scope, benefits, resources needed, and potential obstacles for each intervention based on the activities that were “packaged” together in the prior meeting. This information will be used in Step 5 to assess how well each intervention meets selection criteria they set in IDEAS Step 3.

It's best to review the definitions, guide the DT through a completed, example and then practice analyzing 1-2 activities as a group. Once they feel confident, then DT members should be able to divide the activities up and work individually to complete the rest as homework.

Tips:

- Use the “Analyze Activities” sample, worksheet, and detailed instructions in the DT handouts for teaching purposes.
- You may decide to adjust the homework assignment based on the experience and resources of the DT members. For example, you may decide to assign only the cost estimates as homework, or only the scope, benefits and obstacles.

- If your DT prefers to work electronically, you can prepare an Excel spreadsheet to collect the information that is in the DT homework worksheet. This will make it easier for you to compile a master list of solution activity details into a single sheet.
- The DT may request to work as a group to complete this step; if so, plan for 1-2 meetings to accomplish this work.

Once all the estimating and information gathering is done, make sure all team members can see and discuss the totality of the information. Ask DT team members to briefly present the work they did to estimate scope, benefits, resources, obstacles for specific activities. As the facilitator, you should pay attention to two process concerns -- time keeping and DT listening and communication skills.

- **Time keeping:** it will be important to help keep the meeting moving forward. Remind the team that “clarifying questions” are appropriate but try not to argue the merits of the research at this point. You can encourage the DT members to write down any suggested “upgrades” to be addressed later. Then come back to those points after DT members have shared their information.
- **DT listening and communication skills:** You can set the stage for DT members to practice good listening and positive communication with a little coaching before the share-back begins. Suggest that each DT “presenter” begin with a statement that they want to share their homework as preliminary estimates, and they welcome any new ideas.

Meeting #3

Activity 5: Apply selection criteria, rate interventions

- In this meeting the DT will **apply** the selection criteria (also called, Key Performance Indicators or KPIs) from Step 3 to evaluate the intervention options they created.
 - The facilitator should prepare ahead the Step 4 “Apply Selection Criteria” Worksheet for the group activity (*see **To do** notes above*).
- After applying the selection criteria, DT may want to modify the intervention activities to better achieve the criteria. This is a positive, normal aspect of the process. Encourage the DT to take the time they need to refine their intervention options until they feel satisfied and confident. This may require additional meeting time to reconfigure interventions.
- Once the DT is satisfied with the intervention options, they will use the Step 4 Intervention Rating Sheet to summarize their evaluation of each intervention option according to the selection criteria. This sheet and prior worksheets will be used as supporting materials for a proposal presentation during IDEAS Step 5.

Activity 6: DT rates interventions using the IDEAS Step 5 scoring sheet

- **The Design Team** uses the rating sheet to score and prioritize the intervention options.
 - High scores in the selection criteria of **Scope** and **Benefits/Effectiveness** signify a **positive attribute**. This means the intervention will likely reach the desired employees and have the desired outcomes. The Step 5A scoring sheet uses green shading for these criteria.
 - High scores in the selection criteria of **Resources Needed** and **Obstacles** signify a **negative attribute**. For instance, expensive interventions with a lot of obstacles are more challenging to implement. Therefore, a “high” rating is unfavorable. The scoring sheet uses red shading for these criteria.
 - These ratings are meant to give the Steering Committee an idea of how the DT views the strengths and drawbacks of each intervention option intervention.
 - Note: Using a numerical rating system is an acceptable alternative. However, the same rating system must be applied consistently by DT and SC during IDEAS Steps 4 and 5.
- It is important to clarify to the DT that their ratings are still in the “proposal phase” when they present them to the SC. The DT should expect the SC to ask questions about the intervention. Tip: View the proposal as a “conversation starter” with organizational leaders, especially for interventions that require a high resource commitment.
- After completing the Step 5A Scoring Sheet, the DT should select at least 1-2 members to present their proposal to the Steering Committee. The team can discuss and decide who else they would like to attend and participate in the discussion that follows the presentation.

Post-meeting to do:

- Prepare a final version of all IDEAS Step 4 worksheets.
- Retain information gathered on all activities (even those that were not chosen to be part of an intervention) in case you need to refer back to them later.



IDEAS STEP 4

Form Interventions and Apply Selection Criteria

F Facilitator Agenda

Meeting Intent:

To form three intervention options and prepare a business case for proposal.

Desired Outcomes for IDEAS Step 4:

1. A set of three intervention options, each containing a range of solution activities that address the major safety and health concern.
2. An analysis of each intervention option based on the Selection Criteria set in Step 3.
3. Evaluation ratings for each intervention option.
4. Clarity on next steps





Facilitator Agenda

| When | What | How |
|--|--|---|
| 0:00 (2 min) | Check-in | Round-robin: <i>Insert Check-in question here.</i> |
| 0:02 (1 min) | Approve meeting minutes | Facilitator asks Design Team members for any changes and then asks for a vote to approve meeting minutes |
| 0:03 (2 min) | Review Meeting Plan | <ol style="list-style-type: none"> 1. Volunteer reviews Intent and Desired Outcomes for the meeting 2. Volunteer reviews the agenda and key definitions 3. Facilitator explains this step will take 2-3 meetings. <p><i>Questions and comments if necessary</i></p> |
| <p>Recommended Meeting #1: Group the solution activities (from Step 2) to form 3 intervention options</p> | | |
| 0:05 (10 min) | 1. Review activities from Step 2 and simplify if needed | <ol style="list-style-type: none"> 1. DT members suggest new activities based on co-worker suggestions. <i>Assumes DT members have spoken with peer to get input on the activities brainstormed by DT after Step 2.</i> 2. DT prioritizes the list of activities to 3-4 in each solution area. <i>Vote if needed</i> |
| 0:15 (40 min) | 2. Form interventions Handouts: Step 4A: Form Interventions | <ol style="list-style-type: none"> 1. Facilitator explains the method to group activities together to form intervention. <i>(Refer to example in Form Interventions handout)</i> <p><i>Try to address the sub-issues as completely as possible in each option.</i></p> <p><i>SC may approve only 1 intervention – make it count.</i></p> |



| When | What | How |
|------|------|---|
| | | <p>2. DT forms interventions: Personal reflection: Spend 5 minutes writing your ideas for each intervention options A, B, C using the approach we decided on. Identify the “basic essential” activities that will form Intervention A.</p> <p>3. Round-robin: What are the <i>must-haves</i>? Intervention A – the “basic essentials” <i>The “basic essential” activities are those that, even if the only things to be adopted, would make a meaningful impact.</i> <i>This intervention is the most important one to start with. It sets the floor for what is acceptable/ meaningful.</i> <i>Note-taker captures “must have” activities on flip chart paper. Use voting or nominal group process to form agreement.</i></p> <p>4. Discussion: If we had the resources, which activities would we include to address the root causes as completely as possible? Intervention B – the ideal, “comprehensive” <i>Encourage members to consider these questions:</i> <i>Are some solution areas more important than others?</i> <i>What is the maximum number of activities we envision for Intervention B?</i> <i>Be sure to include the “must haves” in Intervention B and add other activities across all solution areas that address sub-issues as completely as possible.</i> <i>Remind the DT they will have an opportunity to assess feasibility based on costs and benefits later. Right now, they are forming an initial concept.</i> Note-taker captures activities on flip chart paper for “comprehensive” Intervention B.</p> <p>5. Round-robin: If there were limited resources, and you could only add a couple activities to the “basic essentials” which activities would they be? Intervention C – the “Hybrid” <i>Be sure to include the “must haves” in Intervention A and add other activities across all solution areas that address sub-issues as completely as possible.</i> <i>Note-taker writes activities on flip chart paper; voting and further discussion as needed to develop agreement.</i></p> <p>6. Facilitator summarizes the activities in each intervention option and confirms agreement.</p> |



| When | What | How |
|---|--|---|
| <p>0:55 (5 min)</p> | <p>Review next steps</p> | <p>Facilitator reviews preparation for next meeting:</p> <p>DT members read, “Analyze Activities” worksheet and definitions.</p> <p>If desired, assign preliminary homework to prepare for next activity.</p> |
| <p>Recommended Meeting #2: Analyze each intervention option for scope, benefit, resources needed, and potential obstacles.</p> | | |
| <p>0:05 (75 min)</p> | <p>3. Practice and do: Analyze Interventions</p> <p>Handouts: Analyze Activities Step 4B: Analyze Activities for Interventions example and worksheet</p> | <ol style="list-style-type: none"> 1. Facilitator explains – DT will review key terms and definitions, see an example, then work together to estimate scope/benefits/resources needed/obstacles for 1 or 2 intervention activities. <i>Refer to Activity 3 in DT handouts</i> 2. Volunteers offer to read aloud the definitions on the Analyze Activities worksheet. 3. Clarifying questions from DT 4. Facilitator guides DT through a completed example, provided. <i>Refer to DT handouts</i> 5. DT selects 1 activity; Facilitator guides the DT discussion of scope/benefits/resources needed/obstacles. <i>Select a relatively simple activity from one of the solution areas for practice.</i> <i>Encourage the DT to keep it simple and keep moving; they don't need an exhaustive, detailed analysis.</i> <i>Note whether additional information is needed; this can be researched by DT and/or can be collected from SC.</i> 6. DT members select 2-3 activities to repeat the “analysis” procedure as homework before the next meeting. <i>Refer to Activity 3 worksheet and homework page.</i> <i>Each DT is different; some may prefer to do this activity together in meeting time.</i> 7. Shareback of results at next meeting if needed. |

| When | What | How |
|--|---|---|
| <p>1:20 (5 min)</p> | <p>Review next steps</p> | <p>Facilitator reviews preparation for next meeting:</p> <p>DT members complete homework, send ahead to facilitator by deadline date.</p> |
| <p>Recommended Meeting #3: Apply Step 3 selection criteria and rate each intervention option.</p> | | |
| <p>0:05 (50 min)</p> | <p>4. Apply selection criteria to evaluate each intervention option</p> <p>Handout: Step 4C: Apply Selection Criteria to Intervention Options example and worksheet</p> | <p>1. Facilitator explains purpose of this step: <i>To evaluate each intervention option against the selection criteria you set in Step 3. This will help you judge whether to refine the interventions before you propose them to the Steering Committee.</i></p> <p>2. Facilitator explains how to apply selection criteria to each intervention option. <i>Review the sample completed “Apply the Selection Criteria” Worksheet</i></p> <p><i>Point out the selection criteria listed in the first row of the worksheet</i></p> <p><i>Point out the activities listed in the first column of the worksheet</i></p> <p>3. Facilitator guides the DT to decide whether each intervention meets the selection criteria by “checking” the appropriate cell. (Refer to Design Team: Apply Selection Criteria worksheet) <i>By looking across the rows, you can see which selection criteria an intervention meets</i></p> <p><i>By looking down the columns, you can see which interventions meet a certain selection criterion</i></p> <p><i>DT may decide to refine the activities chosen for a particular intervention option if they are not satisfied with the overall quality of the intervention. They may remove, add, or replace solution activities based on activities brainstormed during Step 2</i></p> |

| When | What | How |
|------------------|---|--|
| 0:55 (10 min) | 5. Agree on interventions to present to SC | <ol style="list-style-type: none"> Facilitator explains the feedback process: thumbs up, thumbs-down, or horizontal to indicate your satisfaction with each intervention in its current form. Facilitator asks for a “thumb vote” for each intervention package Note-taker captures the “vote” on flip chart paper If DT satisfaction is low for any one intervention, discuss ways to modify it. |
| 1:05 (20 min) | 6. Team members rate each intervention option (package) <u>Handout:</u> Step 4D: Rate Intervention Options Example and worksheet | <ol style="list-style-type: none"> Facilitator explains the rating system that will be used (H-M-L) for each intervention option <i>High is “good” for scope and benefits. We want a large scope and many benefits.</i> <i>High is “bad” for resources needed and anticipated obstacles. High resources needed means that the intervention is expensive.</i> <i>High anticipated obstacles mean that things could get in the way of intervention success.</i> <i>Refer to worksheet example in handouts</i> DT members use the <u>Rate Interventions Worksheet</u> in their DT notebook to rate the selection criteria for each of the interventions options. – 5 min <i>Explain that DT members will work individually at first and then will discuss everyone’s responses together. This will allow everyone to understand the range of perspectives in the group.</i> DT members discuss each domain (one at a time) in round robin fashion. E.g Round-Robin: What rating did you assign the benefits/ effectiveness for intervention 1? – up to 20 sec each <i>Repeat for remaining domains, and for each intervention option.</i> <i>Discuss and resolve any differences of opinion</i> <i>Remind the DT that the ratings apply to the <u>expected reach of the intervention overall</u>, given all the activities within that intervention option.</i> <i>If their ratings seem overly optimistic, ask clarifying questions to encourage them to be as realistic as possible.</i> |

| When | What | How |
|--------------------------------|---|--|
| <p>1:25 (5 min)</p> | <p>Review next steps</p> <p>Handouts: Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee</p> | <p>Facilitator reviews preparation for next meeting:</p> <p>DT rates interventions and prepares for proposal presentation.</p> <p>Read through Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee</p> |
| <p>1:30</p> | <p>Adjourn</p> | |



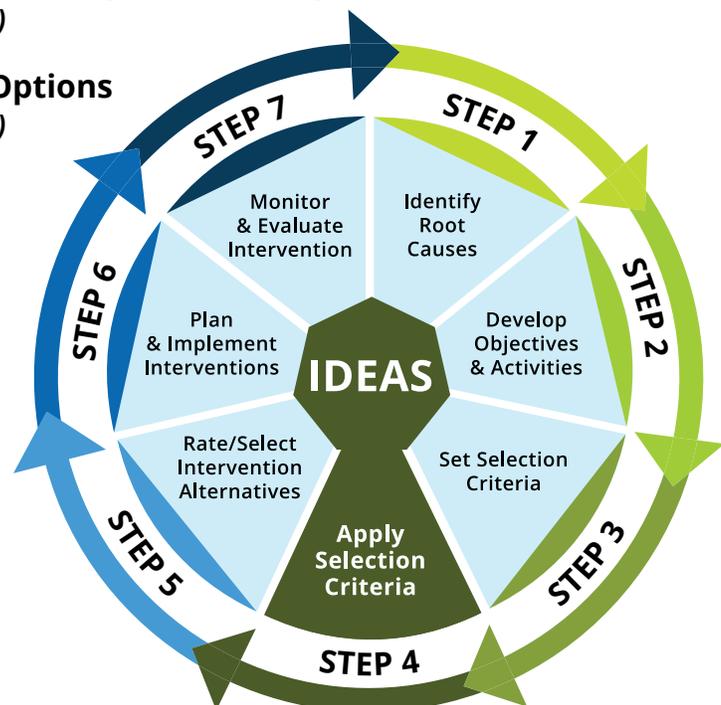
IDEAS STEP 4

Form Interventions and Apply Selection Criteria

DT Design Team Handouts

Handouts:

- Design Team Agenda
- Step 4A: Form Interventions Guide
- Step 4A: Form Interventions Worksheet (*Blank and Completed Sample*)
- Step 4B: Analyze Activities Worksheet Instructions
- Step 4B: Analyze Activities Worksheet (*Blank and Completed Sample*)
- Step 4C: Apply Criteria for Selecting & Evaluating Interventions (*Blank and Completed Sample*)
- Step 4D: Rate Intervention Options (*Blank and Completed Sample*)
- To Do





Design Team Agenda

Meeting Intent:

To form three intervention options and prepare a business case for proposal.

Desired Outcomes:

1. A set of three intervention options, each containing a range of solution activities that address the major safety and health concern.
2. An analysis of each intervention option based on the Selection Criteria set in Step 3.
3. Evaluation ratings for each intervention option.
4. Clarity on next steps

| When | What | Discussion Questions |
|--|--|---|
| 0:00 (2 min) | Check-in | <i>Round-robin</i> |
| 0:02 (1 min) | Approve meeting minutes | |
| 0:03 (2 min) | Review Meeting Plan | <i>How do we think about well-being at work? What is this program all about?</i> |
| Recommended Meeting #1: Group the solution activities (from Step 2) to form 3 intervention options | | |
| 0:05 (10 min) | 1. Review activities from Step 2 and simplify if needed (<i>try to limit each "solution" area to fewer than 4 activities</i>) | <i>Are we satisfied with the list of activities from Step 2? Do we want to remove or replace any, based on co-worker suggestions?</i> |
| 0:15 (40 min) | 2. Form interventions Each DT member writes his/her ideas, then team discusses: Intervention A (basic essentials) Intervention C (comprehensive) Intervention B (hybrid) <u>Handout:</u> Step 4A: Form Interventions | <i>What are the basic essentials (must-have) activities?</i> <i>If we had the resources, which activities would we include for a comprehensive intervention?</i> <i>If you could only add a couple activities to the "basic essentials" which activities would they be to make a hybrid option?</i> |
| 0:55 (5 min) | Review next steps | |



| When | What | Discussion Questions |
|---|---|---|
| <p>Recommended meeting #2: Analyze each intervention option for scope, benefit, resources needed, and potential obstacles.</p> | | |
| <p>0:05 (80 min)</p> | <p>3. Practice and do: Analyze Interventions</p> <p>Handout: Step 4B: Analyze Activities for Interventions example and worksheet</p> | <p><i>For each intervention option, what do we estimate to be the –Scope (reach) Benefits (outcomes) Resources needed (costs, people) Potential obstacles (Consider the activities in each Intervention option in this exercise)</i></p> |
| <p>1:25 (5 min)</p> | <p>Review next steps</p> | |
| <p>Recommended meeting #3: Apply Step 3 selection criteria and rate each intervention option.</p> | | |
| <p>0:05 (50 min)</p> | <p>4. Apply selection criteria to evaluate each intervention option. Place a check for each selection criteria that is met.</p> <p>Handout: Step 4C: Apply Selection Criteria to Intervention Options</p> | <p><i>Which intervention option(s) meet most criteria?</i></p> <p><i>Does any option fail to meet criteria?</i></p> |
| <p>0:55 (10 min)</p> | <p>5. Agree on interventions to present to SC</p> | <p><i>Do we need to modify intervention activities based on how well they met selection criteria?</i></p> |
| <p>1:05 (20 min)</p> | <p>6. Team members rate each intervention option (package)</p> <p>Handouts: Step 4D: Rate Intervention Options example and worksheet</p> | <p><i>What rating did you assign the benefits/ effectiveness for intervention 1?</i></p> <ul style="list-style-type: none"> <i>Repeat for remaining domains, and for each intervention option.</i> <i>Discuss and resolve any differences of opinion</i> <p><i>Are we comfortable presenting these interventions to the Steering Committee? If not, what would need to be modified?</i></p> |
| <p>1:25 (5 min)</p> | <p>Review Next Steps</p> <p>Handouts: Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee</p> | |

Design Team Handout

Step 4A, Form Interventions Guide

Proposing three options will increase the likelihood that the at least one option will be approved during IDEAS Step 5 and implemented in IDEAS Step 6. Use this handout as a guide for grouping activities to form three intervention options.

Start with Solutions from Step 2

| Solution 1 Activities | Solution 2 Activities | Solution 3 Activities |
|-----------------------|-----------------------|-----------------------|
| A | D | G |
| B | E | H |
| C | F | I |

Form Interventions A, B, C, by grouping activities from different solutions.

There is no one right way to group the activities. The matrix shows an example of how you can organize the activities based on different levels of impact.

| Intervention A (Basic Essentials ¹) | Intervention B (Comprehensive ²) | Intervention C (Hybrid ³) |
|---|--|---------------------------------------|
| A | A, B, C | A, B |
| E | D, E, F | E |
| | G, I | G, H |

- 1 Basic essentials means those activities that are **“must haves.”** These are the activities that must be addressed to achieve any improvement in the major safety or health concern.
- 2 Comprehensive means that the intervention contains a collection of activities that, if adopted, **would address most or all of the key sub-issues** and contributing factors in IDEAS Step 1.
- 3 Hybrid option builds on the basic essential activities to also include some selected activities that would **improve impact above the basic essentials.** However, the hybrid may not address the range of sub-issues as completely as the “comprehensive” option.

SAMPLE COMPLETED WORKSHEET

Step 4A: Form Interventions Worksheet

| | | |
|--|---|--|
| Major Health, Safety, & Well-Being Objective (from Step 2) | | |
| Reduce the rate of employee injuries as a result of hot coffee spills | | |
| Key sub-issues for intervention (from Step 2 – list only the sub-issues that are addressed in interventions A, B, or C) | | |
| Coffee cup/lid error; Design of coffee machine; Policy changes/education to reduce employee fatigue; Disorganized work space | | |
| Intervention A | Intervention B | Intervention C |
| Title: Improve functionality of coffee cups and lids | Title: Improve safety features of coffee machine | Title: Reorganize workspace to maximize efficiency |
| Activities | Activities | Activities |
| 1. Order thicker coffee cups/lids with coffee sleeves that fit easily | 1. Purchase coffee machines that prevent splashing, dispense directly to cups | 1. Store infrequently used supplies to clear counter space |
| 2. Train employees on conducting lid-checks & safe handling of cups | 2. Purchase protective splash guard or better carafes that dribble less | 2. Hire an ergonomic consultant to reorganize workspace to maximize workflow and usability |
| 3. | 3. | 3. Separate coffee prep and food prep areas |
| 4. | 4. | 4. |
| 5. | 5. | 5. |

Step 4A: Form Interventions Worksheet

| Major Health, Safety, & Well-Being Objective (from Step 2) | | |
|--|-----------------------|-----------------------|
| Key sub-issues for intervention (from Step 2 – list only the sub-issues that are addressed in interventions A, B, or C) | | |
| Intervention A | Intervention B | Intervention C |
| Title: | Title: | Title: |
| Activities | Activities | Activities |
| 1. | 1. | 1. |
| 2. | 2. | 2. |
| 3. | 3. | 3. |
| 4. | 4. | 4. |
| 5. | 5. | 5. |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Design Team Activity

Step 4B: Analyze Activities Worksheet Instructions

Purpose: To understand each solution activity as thoroughly as possible so that you can make informed decisions about which activities will best address the Major Health, Safety, and Well-being Objective.

Task: To the best of your ability, try to estimate the qualities for each intervention based on the dimension below. You will compare these qualities against the intervention selection criteria later.

Intervention Qualities

- **Scope:** Who and how many people will be affected by, participate in, or benefit from the intervention. Try to be specific.
- **Benefits/Effectiveness:** What positive outcomes will be achieved through this intervention in the short term and long term.
 - There may be positive outcomes for an activity above and beyond what you have listed as your selection criteria for Step 3.
- **Resources Needed:** What are the costs and/or resources needed to accomplish this intervention? You can estimate these by gathering information from vendors or from knowledgeable personnel (e.g. Steering Committee members) in your organization. Consider the following:
 - Costs for equipment, installation, software, services?
 - Can you project the costs of new equipment over time? For example, there may be an upfront cost of new equipment in the short term, but cost savings in the long term due to lower energy needs, less frequent maintenance, etc.
 - Personnel time, training time and fees, to implement and maintain the intervention.
 - Vendor or consultant services to provide specialized skills or knowledge.
- **Obstacles:** What factors could interfere with the success of this intervention? Note: Costs should not be considered an obstacle in this category.

Record the information that you find in the Design Team Analyze Activities Worksheet (or an electronic equivalent).

SAMPLE COMPLETED WORKSHEET

Step 4B: Analyze Activities Worksheet

| | | Reorganize workspace to maximize efficiency | | |
|---|--|---|---|--|
| Solution Activities | Solution: Scope | Benefits/ Effectiveness | Resources Needed | Obstacles |
| List the activities that you want to include in this intervention | Who will this activity reach? How many people will be affected? | What positive outcomes will be achieved through this activity? (short and long term) | What are the resources needs/costs of this activity? (time, money, personnel) | What obstacles or potential barriers could interfere with the success of this activity? |
| Store infrequently used supplies to clear counterspace | All employees | - More counter space - decreases clutter and spilling | -~2-4 hrs employee planning time -\$100 for storage shelves | -May disadvantage shorter employees |
| Hire an ergonomic consultant to reorganize workspace and workflow | All employees | -Fewer collisions between workers -Fewer spills -Faster, easier order filling | -\$250/ 1.5 hour consulting fee -Potential cost (?) of new equipment based on assessment | -Managers may worry that consultant will recommend expensive changes |
| Separate food prep from coffee prep area | All employees | -Fewer claims for burns | -~ \$3,000 for remodeling new food prep area | -Time and hassle of hiring and supervising a contractor -Impact to orders during construction |
| | | | | |
| | | | | |
| | | | | |

Step 4B: Analyze Activities Worksheet

| Solution: | | | | |
|---|--|---|--|---|
| Solution Activities | Scope | Benefits/ Effectiveness | Resources Needed | Obstacles |
| List the activities that you want to include in this intervention | Who will this activity reach? How many people will be affected? | What positive outcomes will be achieved through this activity? (short and long term) | What are the resources needs/costs of this activity? (time, money, personnel) | What obstacles or potential barriers could interfere with the success of this activity? |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Step 4C: Apply Criteria for Selecting & Evaluating Interventions

| Instructions to complete this form: 1) List the selection criteria from Step 3 in the corresponding column. 2) List the intervention activities in the appropriate row. 3) If an activity meets the selection criteria, place a check-mark in the appropriate cell. If not, leave the cell blank. 4) By looking across rows, you can see how well an activity meets all selection criteria. 5) By looking down columns, you can assess which activities meet a specific criterion. | Scope | | Benefits / Effectiveness | | Resource Considerations | | | | Obstacles | | | | Summary | | |
|---|------------|-----------|--------------------------|-----------|-------------------------|--|--|--|-----------|--|--|--|--|---|--|
| | Short Term | Long Term | Short Term | Long Term | | | | | | | | | Number of positive selection criteria (scope, benefits/effectiveness, and resource considerations) | Number of negative selection criteria (obstacles) | |
| Intervention A Activities | | | | | | | | | | | | | | | |
| Intervention B Activities | | | | | | | | | | | | | | | |
| Intervention C Activities | | | | | | | | | | | | | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857



Step 4C: Apply Criteria for Selecting & Evaluating Interventions

| Instructions to complete this form: 1) List the selection criteria from Step 3 in the corresponding column. 2) List the intervention activities in the appropriate row. 3) If an activity meets the selection criteria, place a check-mark in the appropriate cell. If not, leave the cell blank. 4) By looking across rows, you can see how well an activity meets all selection criteria. 5) By looking down columns, you can assess which activities meet a specific criterion. | Scope | | Benefits / Effectiveness | | Resource Considerations | | | | Obstacles | | | | Summary | |
|---|---|---|--------------------------|-----------|---|---|---|--|---------------------------|---|---|--|---|--|
| | All coffee servers at this franchise location should benefit from changes being made. It's desirable to make changes that could be adopted by other franchise locations too. | | Short Term | Long Term | Fewer reports of employee fatigue on annual employee survey | Employees semi-annual training can be used to educate on spills | Costs for supplies not to exceed 1% over existing budget for sustainability | Any remodeling or new equipment installation should not stop service | Require a one-time change | Eco-conscious customers want recyclable cups/lids | Employees may be resistant to changes in workspace design | Implementing scheduling procedure changes may be difficult | Fear of more workers compensation claims (due to increased awareness) | Number of positive selection criteria (scope, benefits/effectiveness, and resource considerations) |
| Intervention A Activities | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 7 | 1 |
| -Order thicker coffee cups/lids with coffee sleeves that fit easily -Train employees on conducting lid-checks & safe handling of cups | | | | | | | | | | | | | | |
| Intervention B Activities | ✓ | | | | | | | | | | | ✓ | 4 | 2 |
| -Purchase a coffee machines that prevent splashing, dispense directly to cups -Alternative: Purchase protective splash guard or better carafes that dribble less | | | | | | | | | | | | | | |
| Intervention C Activities | ✓ | | | | | | | | | | | | 4 | 1 |
| -Store infrequently used supplies to clear counter space -Hire an ergonomic consultant to reorganize workspace to maximize workflow and usability -Separate coffee prep and food prep areas | | | | | | | | | | | | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Step 4D: Rate Intervention Options -- Design Team

| | Intervention A | Intervention B | Intervention C |
|---|-----------------------|-----------------------|-----------------------|
| | Title: | Title: | Title: |
| Rate the three intervention alternatives as High (H), Medium (M), or Low (L) (or a combination) relative to the selection criteria from Step 3. | | | |
| Anticipated Scope (L/M/H) | | | |
| Anticipated Benefits (L/M/H) | | | |
| Anticipated Resources Needed (L/M/H) | | | |
| Anticipated Obstacles (L/M/H) | | | |
| Priority ranking of interventions (optional): | | | |
| Additional notes (optional): | | | |

Step 4D: Rate Intervention Options -- Design Team

| | Intervention A Title: | Intervention B Title: | Intervention C Title: |
|---|---|---|---|
| Rate the three intervention alternatives as High (H), Medium (M), or Low (L) (or a combination) relative to the selection criteria from Step 3. | Improve functionality of coffee cups and lids | Improve safety features of coffee machine | Reorganize workspace to maximize efficiency |
| Anticipated Scope (L/M/H) | M/H | H | M |
| Anticipated Benefits (L/M/H) | L/M | H | M |
| Anticipated Resources Needed (L/M/H) | L | M/H | M |
| Anticipated Obstacles (L/M/H) | L | M | L |
| Priority ranking of interventions (optional): | | | |
| 1. Best option: Intervention B addresses main source of burns -- at the point of the coffee machine. This will have greatest chance of reduction in employee burn injuries 2. Intervention C: Could help, but addresses a secondary problem of people bumping into each other 3. Intervention A: Least expensive, but may not show results | | | |
| Additional notes (optional): | | | |
| Consider checking if corporate office resources are available to offset costs. | | | |



Healthy Workplace Participatory Program

A toolkit for advancing Total Worker Health®

IDEAS STEP 5

Rate and Select Interventions





IDEAS STEP 5

Rate and Select Interventions

F Facilitator & Champion Preparation

To do:

1. **Watch:** Step 5 Training video: Rate and Select Intervention (*See Key Resources*)
2. **Review:** the Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee (*See Key Resources*)
3. **Review:** the Detailed Guidance for leading IDEAS Step 5 on the following pages.

To know:

- The goal of IDEAS Step 5 is for the Steering Committee to rate and approve a Design Team intervention to be implemented.
- IDEAS Step 5 involves both the Design Team and the Steering Committee in three distinct phases. (*See Figure 1*)
- All SC members should plan to attend the DT proposal presentation. The proposal presentation is a time for managers to learn how workers view key safety or well-being concerns and to understand their thinking regarding solutions to problems. Decisions about interventions will be made later.
- Decisions about interventions should be made only after the SC has met separately to discuss and rate the proposed options. The SC will recommend approval for at least one option, although modifications may be requested.
- The success of Step 5 depends upon the quality of the communication between the Steering Committee and the Design Team. Taking time to coach and prepare both teams is well worth the effort to help ensure a positive, trust-building experience.



Fig 1: Sequence of activities for IDEAS Step 5: Rate and Select Interventions

Key Resources for rating and selecting interventions:

- **Step 5 Training Video:** Rate and Select Interventions
<https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/rate-interventions.aspx>
- **IDEAS Step 5 Steering Committee Tools**
 - Handout -- Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee
 - Handout -- Active Listening
 - Handout -- Giving and Receiving Feedback Effectively
- **Copies of completed IDEAS Steps 1-4 worksheets** (*from Design Team*)
- **Flip chart paper and markers** (*for general use during the proposal presentation*)
- **Blank Step 5 worksheet: Rate and Select Intervention Options**

Detailed guidance for leading IDEAS Step 5

Design Team presents interventions to SC

The Steering Committee and/or upper managers meet with the Design Team to receive a presentation regarding proposed interventions to address a specific safety, health, and well-being concern.

- It is important that all, or most, members of the Steering Committee are present at this meeting, and that the atmosphere is respectful, and open.

The proposal presentation is a time to learn how workers view key health, safety, or well-being concerns and understand their thinking regarding solutions to problems. Decisions about interventions will be made later.

Training should be provided to Steering Committee members **before** the Design Team presentation so they understand expectations and roles during IDEAS Steps 5, 6, & 7.

- Share the "Planning Guide" handout before the training meeting.
- Review the IDEAS 7-Step process, and the details of the Step 5 process.
- Review the communication techniques in the "Active Listening" and "Giving and Receiving Feedback" handouts.
 - Explain the importance of supportive communication during the proposal presentation.
 - Effective communication will help build a trusting partnership with the Design Team.

Design Team members should prepare and practice a presentation of their three intervention proposals. Help them to review the handouts: Active Listening, and Giving and Receiving Feedback Effectively.

SC rates interventions using the Step 5 Scoring Sheet

Step 5 involves the Steering Committee scoring and prioritizing the intervention options using the Rate and Select Intervention Options worksheet.

SC members will use the DT proposal information together with their management experience to rate the strengths and drawbacks of each intervention option.

- Completing this step after the DT proposal presentation allows the SC to use information from the DT as part of their appraisal process.

It is recommended that the SC discuss the proposal together as a group in a meeting that follows the DT proposal.

- The SC scores may or may not match the DT scores, and they may rank the intervention options in a different order than the DT.
- When the scores or rankings differ, it is important to document the reasons why so these can be effectively communicated to the Design Team.

Rating method

The Steering Committee assigns ratings for Scope, Effectiveness, Resources/Costs, and Obstacles to each intervention option that is proposed.

Ratings can be HIGH, MEDIUM, or LOW.

A HIGH rating (H)

An “H” is used to indicate that the activities, taken together in an intervention, **meet or exceed** what is stated in the selection criteria.

- For example, if “Scope” for an intervention would benefit all employees targeted for the intervention, then “Scope” for the intervention would receive a rating of “H” (high).

A MEDIUM rating (M)

An “M” is used to indicate that the activities, taken together in an intervention, only partially accomplishes what is stated in the selection criteria.

A LOW rating (L)

An “L” is used to indicate that the activities, taken together in an intervention, fail to accomplish, or barely accomplishes what is stated in the selection criteria.

Note: Using a numerical rating system is an acceptable alternative. However, the same rating system must be applied consistently by DT and SC during IDEAS Steps 4 and 5.

Steering Committee presents decision to Design Team

Once the SC has completed scoring and prioritizing of intervention options, they should prepare a detailed response to the DT proposal.

- Communicating a response to the Design Team in a timely manner is essential for instilling trust and a shared responsibility for advancing safety, health and well-being in the organization.
- An in-person meeting is most effective for trust-building and will allow DT members to ask follow up questions. Try to schedule a time when SC and all or most DT members can be present. Name a spokesperson to take the lead.
- Taking time to explain differences in perspectives on the scores is vital for building knowledge of DT members about the organizational resources, priorities and decision considerations. This new knowledge will increase DT commitment and their skills for future problem solving.
- Meeting materials should include Step 5 worksheet, and possibly, a brief outline of reasons for any scores that differ from those of the DT.

Moving to IDEAS Step 6:

Once a decision has been reached to approve an intervention, the Steering Committee can begin preparations for IDEAS Step 6 -- Intervention Implementation.

- Although the SC takes the lead, they can continue engaging the DT members as partners in the implementation and evaluation phases. DT members have valuable knowledge and can suggest practical considerations for preparation and roll-out of new interventions.
- DT members can assist by providing feedback on action plans, pilot testing or prototyping of new solutions, promoting and encouraging employees to participate in new interventions, and assisting with evaluation activities.

Post-meeting to do:

Prepare a follow up meeting with the SC (*and possibly selected DT members*) to plan for IDEAS Step 6: Intervention Implementation.

Schedule a follow up meeting with the DT to celebrate their accomplishments and to debrief on the Step 5 experience. They may wish to discuss any follow up communications needed with the SC relative to implementation and evaluation phases.

The Design Team will need to decide how and when to proceed with a new cycle of IDEAS to address another health, safety, and well-being issue or concern. They can review their list of priority issues from the "Getting Started" sessions, or they can consult with the Steering Committee when deciding the next issue they will tackle.



IDEAS STEP 5

Rate and Select Interventions

ST Steering Committee Agenda

Meeting Intent:

The Steering Committee rates and approves an intervention to be implemented.

Desired Outcomes for IDEAS Step 4:

1. SC meets and discusses proposed intervention options with the Design Team.
2. SC assigns ratings to each intervention option.
3. SC selects intervention to be implemented and communicates the decision to the Design Team.



Key Definitions:

Intervention: A set of activities that, when implemented together, address a major health, safety, and well-being (HS&W) goal as completely as possible.

- Generally, the more sub-issues (from IDEAS Step 1) that are addressed with an intervention, the more effective the intervention is likely to be.

Selection criteria: Quantifiable measures [in business terms, “key performance indicators” (KPIs)] set by the team that can be used to measure the effectiveness of the intervention.

The IDEAS process assigns a rating to each of four selection criteria: Scope, Benefits/Effectiveness, Resource/Costs, and Obstacles (See Figure 2 below).

Ratings assigned may be High (H), Medium (M), or Low (L).

- “H” indicates the intervention, as a whole, meets or exceeds the stated selection criteria.
- “M” indicates the intervention, as a whole, only partially accomplishes the stated selection criteria.
- “L” indicates the intervention, as a whole, fails to accomplish or barely accomplishes the stated selection criteria.

Figure 2. Example intervention rating worksheet with descriptions of the four selection criteria and sample ratings

| | Intervention A | Intervention B | Intervention C |
|--|----------------|----------------|----------------|
| Anticipated Scope <i>“Who do you want to reach? How many?”</i> | M / H | H | M |
| Anticipated Benefits <i>“What positive outcomes are we trying to accomplish? Short term? Long term?”</i> | L / M | H | M |
| Anticipated Resources Needed <i>“What resources are currently available? Do we need to acknowledge any constraints?”</i> | L | M / H | M |
| Anticipated Obstacles <i>“What could interfere with intervention success?”</i> | L | M | L |

Priority ranking:

The Steering Committee rank orders the intervention options after deciding how much each option addresses the general health and safety concern, and how much weight to place on each of the selection criteria.

- For example, three intervention options should be ranked 1st, 2nd, 3rd choice according to their strength at meeting the selection criteria.
- **Tip:** Some selection criteria may be more important than others. Consider placing more weight on the ratings that matter most, and prioritize accordingly.
- **Tip:** If an intervention requires authority or budget beyond that of the Steering Committee, still consider making a request to the proper authority. By doing so, you can show the DT that management is willing to act in support of their concerns.

Final decisions about which intervention(s) to implement are made by the Steering Committee and/or upper management.

Resources:

Handout: Intervention Proposal Planning Guide for Design Team and Steering Committee

Handout: Active Listening

Handout: Giving and Receiving Feedback Effectively

Step 5: Rate and Select Intervention Options -- Steering Committee

| | Intervention A Title: | Intervention B Title: | Intervention C Title: |
|--|--------------------------|--------------------------|--------------------------|
| Rate the three intervention alternatives as High (H), Medium (M), or Low (L) relative to the selection criteria from Step 3. | | | |
| Anticipated Scope (L/M/H) | | | |
| Anticipated Benefits (L/M/H) | | | |
| Anticipated Resources Needed (L/M/H) | | | |
| Anticipated Obstacles (L/M/H) | | | |
| Topics to discuss with Design Team regarding proposed intervention (optional): | | | |
| Intervention(s) selected for implementation: | | | |

Step 5: Rate and Select Intervention Options -- Steering Committee

| | Intervention A Title: | Intervention B Title: | Intervention C Title: |
|---|---|---|---|
| SAMPLE COMPLETED WORKSHEET | Improve functionality of coffee cups and lids | Improve safety features of coffee machine | Reorganize workspace to maximize efficiency |
| Rate the three intervention alternatives as High (H), Medium (M), or Low (L) relative to the selection criteria from Step 3. | L | H | H |
| Anticipated Scope (L/M/H) | L | H | H |
| Anticipated Benefits (L/M/H) | L/M | H | M |
| Anticipated Resources Needed (L/M/H) | L | M/H | M |
| Anticipated Obstacles (L/M/H) | H | H | L |
| Topics to discuss with Design Team regarding proposed intervention (optional): | | | |
| <u>Intervention A:</u> SC agrees with ratings for anticipated benefits and resources. However, using thicker coffee cups materials may conflict with eco-friendly brand. We rated "high" for obstacles because we might lose customers. SC would like to research compostable cup options if DT feels this option is essential. | | | |
| <u>Intervention B:</u> SC agrees this intervention may have the greatest impact. However, we are concerned about the time and effort to find an alternative coffee machine design and if it will impact coffee flavor. Are DT members willing to gather more info so SC can make an informed decision before purchasing new machines? | | | |
| <u>Intervention C:</u> This seems like a win-win. All employees benefit and the obstacles are quite low. | | | |
| Intervention(s) selected for implementation: | | | |
| We recommend proceeding with option C first, then possibly implementing other options based on the results of additional research. | | | |

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857

Intervention Proposal Presentation Planning Guide for Design Team and Steering Committee

The goals of the proposal presentation are:

- Develop a **shared understanding** of the root causes of a specific safety or well-being concern.
- Develop a **shared understanding** of how the proposed interventions will address those root causes.
- Develop trust through respectful, open dialogue.
- Inspire management support for at least one of the proposed interventions.

Design Team

- **Prepares and delivers a proposal presentation to the Steering Committee**
 - The proposal should include three intervention options with fully developed business case for each one. The goal is for Steering Committee to approve at least one option.
- **Prepares proposal presentation materials**
 - **Recommended:** Prepare a summary sheet and PPT presentation – *use these to focus attention of managers, be brief and clear. Can provide worksheets as supporting documentation.*
 - **Presentation Content**
 - Background (*the problem, the root causes, goal, possible solutions*)
 - Selection criteria (*from Step 3, also called key performance indicators or KPIs*)
 - Proposed Interventions -- rated by KPIs (*from Step 4C and Step 4D worksheets*)
 - Conclusion/recommendation
- **Practices proposal presentation**
 - **Selects 1-2 DT members as presenters.** Practice with DT until presenters are comfortable, the materials are refined, and the DT is satisfied. This may take 2-3 meetings if DT members have little prior presentation experience.
 - **Practices effective presentation skills**
 - Use presentation tools to keep yourself and others focused
 - Use your own words to tell a compelling story
 - Invite questions and feedback
 - If you don't know the answer to a question, acknowledge that fact and offer to help find the answer
 - Conclude the presentation with a clear call to action
 - **Reviews effective communication skills** (*see handouts: Active Listening, Giving and Receiving Feedback Effectively*)
- **Tips for effective communication – Steering Committee and Design Team**
 - Ask questions and listen actively to understand the values and perspective of the person speaking.

- **Assume good intent and remain positive.** What participants say and do in a meeting will impact everyone's comfort, confidence, and trust in the process. This may be especially true for Design Team members who are interacting with managers in a presentation setting for the first time.
- **Pay special attention to the intervention selection criteria (KPIs)** – Ask, *“How do the KPIs support organizational goals?”* This information will help Steering Committee members assess the merits of the interventions. It will also help Design Team members understand and accept the SC decisions and recommendations.

Steering Committee (SC)

- **Attends the proposal presentation – most or all members should be present.**
 - Asks clarifying questions to fully understand the rationale and business case for the intervention options. This is an opportunity to learn how front-line employees view the root causes of a health concern and what can be done to address it.
- **After the proposal presentation – Meets as a team separately to review and discuss the proposed interventions.** Rates the intervention options (uses a blank IDEAS Step 5 worksheet) and recommends one or more interventions for implementation.
- **After completing Step 5 rating sheet - Reconvenes (in person is best) with DT to recommend intervention priorities.** Aim for 2-4 weeks for timely follow up.
 - Explains any modifications suggested in the proposed intervention activities.
 - Explains resources available to support interventions and recommended timeline for implementation.
 - Invites Design Team to contribute to developing action and evaluation plans (IDEAS Steps 6 and 7). They can be valuable partner for successful implementation!
 Appropriate roles for DT members could include: providing feedback on action plans, pilot testing or prototyping of new solutions, promoting employee participation in new interventions, and assisting with evaluation activities.
- **Steering committee prepares to move into IDEAS Steps 6 and 7**
 - Establishes action plans for implementing intervention activities (Step 6).
 - Uses selection criteria from IDEAS Step 5 to develop an evaluation plan for monitoring and evaluating intervention activities (Step 7).

Resources

Handout: Active Listening

Handout: Giving and Receiving Feedback Effectively

PPT Template for Intervention Proposals (download from www.uml.edu/cphnewtoolkit)

Active Listening

Seeking to Understand First

We demonstrate this by:

- Listening without interrupting
- Listening without judging or reacting in the moment to what is said, “Hearing the whole story”
- Communicating attentiveness to the speaker through facial expression and non-verbal behaviors (nodding, attentive body posture, etc.)

Coming to Mutual Understanding

We demonstrate this through paraphrasing and clarifying:

- Stating what you heard using your own words
- Checking with the speaker that we are capturing the message
- Asking clarifying questions

Examples of Paraphrasing:

“I heard you say _____”

“From what you said, it sounds like you felt _____”

“This is how I understood what you were saying _____”

Examples of Asking Clarifying Questions:

“When you said _____ did you mean _____ or _____?”

“I am not sure what you meant by _____. Could you say more?”

Adapted from University of Massachusetts Lowell Workplace Learning and Development

Giving and Receiving Feedback Effectively

When giving feedback, be:

Specific: Be explicit, free from ambiguity, and example-driven

Behavioral: Focus on behaviors and ideas, not personality

Timely: Give feedback as soon as possible, don't put it off

Frequent: Allows for balance (positive and critical), becomes more the norm

Balanced: Be sure to ask the employee what he/she thinks, give both positive and critical feedback

Constructive: When providing critical feedback, focus on the merits of the proposal content. Provide clear suggestions for improvement, free of judgement and bias

Relevant: Cover the most important aspects, allow for personal style

Accurate: Avoid hearsay as feedback, get the facts

When receiving feedback, be:

Open: Be willing to hear ways to improve, keep an open mind

Patient: Listen without interrupting, justifying or explaining

An Active Participant: If you do not understand, ask for an example or further explanation

Reflective: Allow for time to process feedback, agree to discuss further if needed

Interested: Pay attention, ask questions, and ask for examples

Non-Defensive: Try to listen openly without prejudice or bias

A Listener: Try to avoid the habit of "waiting to respond"

Adapted from University of Massachusetts Lowell Workplace Learning and Development



**Healthy Workplace
Participatory Program**

A toolkit for advancing Total Worker Health®

IDEAS STEP 6

Plan and Implement Interventions





IDEAS STEP 6

Plan and Implement Interventions

Champion Preparation

To do:

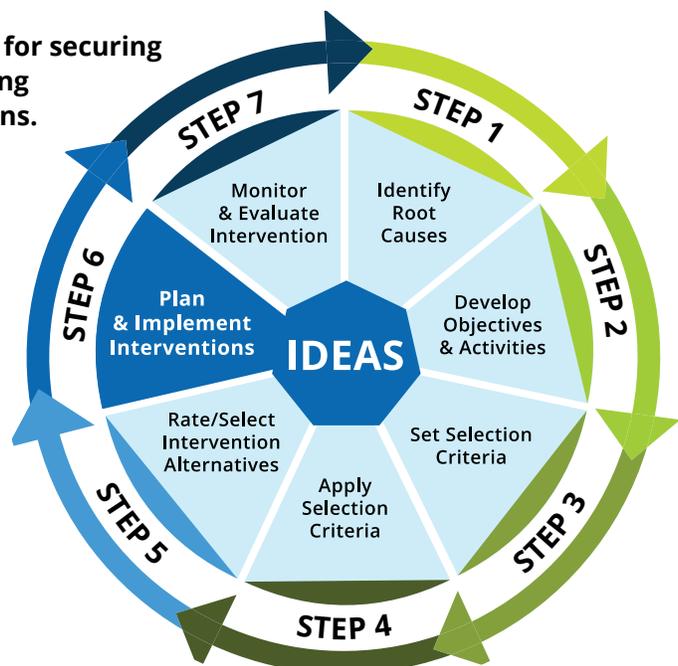
1. **Watch:** IDEAS Step 6 Training video: Plan and Implement Interventions *(See Key Resources)*
2. **Review the Planning Guide for Implementing Interventions.** *(See Key Resources)*
3. **Secure support from key stakeholders who will be involved in implementing intervention activities. Invite key Design Team members.**

To know:

The goal of IDEAS Step 6 is to develop an implementation plan and timeline for each activity of the approved intervention. The plan should include information about each activity to be implemented, how and when it will be implemented, and who is responsible.

The Steering Committee (SC) is responsible for securing resources and oversight for implementing all activities of the approved interventions.

- The SC may delegate implementation to others, but should monitor implementation success.
- The implementation process may be iterative and will likely require a period of weeks or months, depending on the number and complexity of the intervention activities.



Key resources for implementing interventions:

- **IDEAS Step 4 worksheets** - refer to these for a complete inventory of intervention activities, intended participants, desired outcomes, and potential obstacles.
- **Planning Guide for Intervention Implementation** (*next page*)
- **Implementation Plan template for interventions** - use this (*or an existing project management tool*) to document tasks, deadlines and responsible personnel.
<https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/plan-and-implement.aspx>
- **Step 6 Training video:** Plan and Implement Interventions <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/plan-and-implement.aspx>

Planning Guide for Planning and Implementing Interventions

Implementing an intervention takes careful planning and management, especially if there are multiple intervention component activities. To be successful, you'll need to involve the right people, gather input, overcome roadblocks, and track progress.

Think of the implementation process as a **journey**. Use the outline and discussion points below as a road map to carefully guide decisions as you proceed along the journey.



1. Set priorities for sequencing the implementation of specific activities. You may recommend pilot testing certain activities before full-scale implementation.

- What are the component activities of the approved intervention?
- Do some activities need to be implemented first, relative to other components?
- Should some activities be prioritized because they can be more easily accomplished?
- Are there any organizational initiatives (e.g. mergers, reorganizations, software changes, relocation, etc.) that would suggest the need to implement certain activities earlier rather than later (or vice versa)?
- Would pilot testing be beneficial before implementing some activities?
- For more challenging components, what preliminary steps can be taken to prepare for implementation? This may help to expedite the implementation progress.

2. Identify personnel who should be involved in planning and implementing the intervention components.

- a. Determine staffing and financial resources necessary to implement an intervention.
 - Where in the organization would each of the intervention activities be implemented?
 - Who are the logical leaders for each activity? Who will play central roles?
 - Do some activities require approvals to implement? Whose approvals are required?
 - Are there vendors or external partners to involve?
 - How much will it cost in terms of equipment, training, personnel time?
 - What existing resources within the organization can be used to help initiate implementation of an intervention?

- b. Invite Design Team members to assist with implementation in specific ways.

Possible Design Team roles:

- Participating on planning committees.
- Conducting small pilot tests before implementing activities more broadly.
- Gathering feedback from co-workers to help identify and resolve barriers.
- Suggesting ways to simplify or streamline the implementation process.
- Recommending or providing training to help workers successfully adopt new procedures.

3. Create a schedule for implementing each component activity of the intervention. Use your organization's existing project planning tools or use the Implementation Plan template for interventions (see Key Resources).

- a. Identify key stages that would benefit from worker/end user input.
- b. Determine ways in which DT members can assist with delivering some of the intervention activities.
- c. Decide how the implementation plan will be communicated to the Design Team; they can serve as important supporters and problem solvers as implementation proceeds and should remain well informed throughout the process.
- d. Identify how the intervention components interact with other initiatives occurring within the organization or departments.
- e. Manage and follow through with the implementation schedule; adjust as needed.

4. Develop a communication plan for the intervention and the overall participatory program to inform workers, supervisors and middle and upper managers.

- a. Who will be impacted by the intervention activities? These people are important stakeholders and should be represented on the implementation team.
 - Who will be most affected? Consider people whose jobs or work process may change.
 - What training is needed to successfully adopt the change?
- b. Which DT members can serve as key contacts to explain the planned implementation steps and to get further input from the front-line staff?
- c. Decide how the implementation plan will be communicated to managers, supervisors, and the broader workforce.
- d. Plan training sessions for supervisors and managers who will need to support the intervention. Recognize DT members for their roles in creating interventions and supporting implementation.

5. Celebrate successes and milestones

- Publish progress updates in your organization's newsletters
- Honor outstanding effort of individuals at meetings and/or events
- Hold a celebration party
- Organize award ceremonies

IDEAS Step 6 – Implementation Plan

TO BE COMPLETED BY STEERING COMMITTEE WITH INPUT FROM DESIGN TEAM

| Health/Safety/Well-being Objective: | | | |
|-------------------------------------|--------------------------------------|------------------|--------|
| Intervention Activity | | | |
| Actions/Tasks (What) | Implementation Process (How, Who) | Due by (When) | Status |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Evaluation Measures: If this objective and activity were achieved, we would see | | in the short term, and | | in the long term.

Tip: Use the Selection Criteria from IDEAS Steps 3 and 4 worksheets as the basis to measure short and long-term results of activities.

Developed by the Center for the Promotion of Health in the New England Workplace with support from NIOSH grant #U19-OH008857.



**Healthy Workplace
Participatory Program**

A toolkit for advancing Total Worker Health®

IDEAS STEP 7

Evaluate Interventions





IDEAS STEP 7

Evaluate Interventions

Champion Preparation

To do:

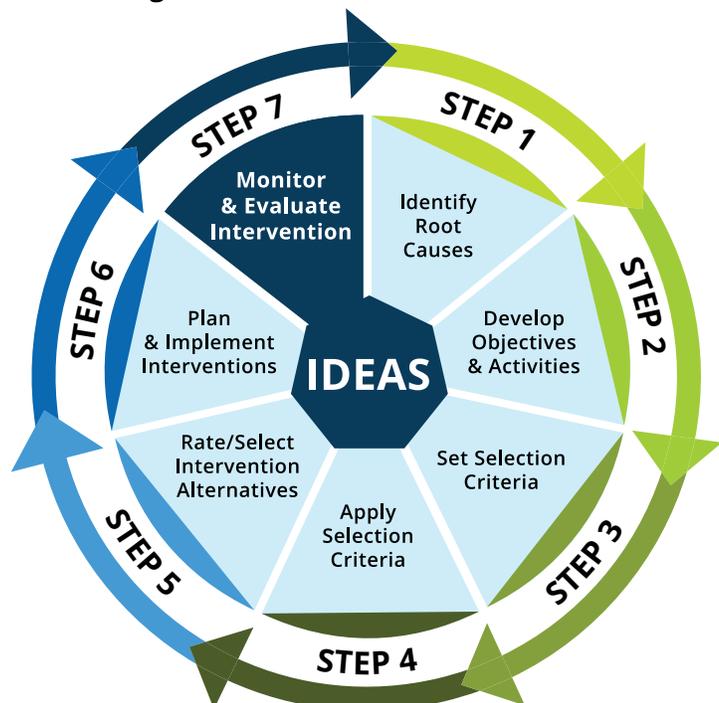
1. **Watch:** Step 7 Training video: Evaluate Interventions (*See Key Resources*)
2. **Review:** **Planning Guide for Evaluating Interventions**
3. **Review:** **Understanding Process and Outcome Evaluation Measures**

To know:

The goal of IDEAS Step 7 is to develop an evaluation plan and timeline for each component of the approved intervention.

The Steering Committee is responsible for overseeing the evaluation of interventions.

- The Steering Committee may delegate responsibility for the evaluation activities, but they should monitor progress towards the effectiveness criteria.
- It is highly beneficial to involve key Design Team members in evaluation activities.



Key resources for evaluation planning:

- IDEAS Steps 3 and 4 worksheets (*from Design Team*)
- Step 7 Training video: Evaluate Interventions <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/monitor-and-evaluate.aspx>
- A sample Evaluation Planning Template is available on the HWPP IDEAS Step 7 Monitor and Evaluate Interventions page: <https://www.uml.edu/Research/CPH-NEW/Healthy-Work-Participatory-Program/generate-solutions/monitor-and-evaluate.aspx>
- CDC Worksite Health Promotion Evaluation page <https://www.cdc.gov/workplacehealthpromotion/model/evaluation/index.html>
- OSHA Evaluating Safety and Health programs page <https://www.osha.gov/shpguidelines/program-evaluation.html>

Planning Guide for Evaluating Interventions

- 1. Review the worksheets from IDEAS Steps 4B and 4C to identify the evaluation measures (KPI's or Selection Criteria) for the proposed intervention activities.**



- 2. Develop a plan to evaluate the interventions.**

Determine who should be involved in intervention evaluation.

- Identify who should be involved in creating the evaluation plan.
- Identify who can assist with designing data collection tools, and leading data collection activities.

- 3. Use the Evaluation Planning Template (See Key Resources) to list the evaluation measures and how they will be assessed.**

- a) Prioritize evaluation activities based on the intervention implementation plan created in IDEAS Step 6.
- b) Plan methods to evaluate each intervention activity.
- c) Develop data collection tools and instruments. You may need to develop surveys quickly if you plan to measure changes in attitudes and behavior BEFORE and AFTER implementing specific intervention activities.

- 4. Establish a plan for how you will collect and review data on the implementation process and the intervention results. Use this information to refine the intervention activities.**

- a) Decide who will oversee evaluation activities, how and when the data will be reviewed and communicated.
- b) Communicate potential concerns or changes with the Design Team and continue using an organization-wide integrated participatory health promotion program.

Understanding Process and Outcome Evaluation Measures

Process evaluation: How you monitor implementation effectiveness

Having a written evaluation plan will help to assure that the proper data will be collected, at the right time, from the right people, and reviewed appropriately. A plan will also document who is responsible for specific tasks.

Based on the key considerations generated in Step 6, the Steering Committee will monitor:

- how close the estimates were on resources needed, costs and funding, and potential obstacles,
- communications and training, and
- key personnel responsible for the intervention itself.

A strong evaluation plan includes multiple levels of data collection, including “process evaluation” and “outcome evaluation” measures.

Process evaluation answers questions such as:

Are the intervention activities being implemented as planned? If not, why not?

Are there adequate resources allocated to support the intervention?

Is the intervention reaching the intended audience? If not, why not?

Are the people who will be affected by the implementation (e.g. changes in work procedures, or equipment) satisfied, or are there unanticipated problems that need to be solved?

Is additional training or communication needed for things to run more smoothly?

Process evaluation methods don't need to be very formal, but they do need to be planned.

The implementation team (if different from the Steering Committee) should maintain contact with the people who are implementing various activities of the intervention.

- **Example:** Schedule meetings or regularly speak with supervisors and workers to ask how things are going.

Set up a system to “count” or quantify what is done and who is on the receiving end of what is done (e.g. numbers of training presentations, numbers of participants, etc.).

- **Example:** Use an electronic sign up system for training events to create a record of events and registrants.

Set up a system to capture feedback for improvement from people the intervention is intended to reach.

- **Example:** Collect brief evaluation surveys following training events. Use process evaluation data to refine the implementation so the activities are well-accepted and reach the intended audience. Be prepared to respond quickly and adapt the intervention if there are unexpected obstacles or unintended consequences.

Outcome evaluation: How you measure intervention impact

Outcome evaluation answers questions such as:

- *Does the intervention seem to be having the intended benefits related to the major safety, health, and well-being concern?*
- *Are there any unintended consequences that are a cause of concern?*

Outcome evaluation should include measures of **short-term** and **long-term** results.

- **Short-term** measures assess the immediate results of the intervention activities. These are important indicators that some initial changes are taking place as a result of the intervention.
 - **Examples:** changes in knowledge, attitudes, behaviors. These are typically measured using surveys.
- **Long-term** measures assess the health-related outcomes of the immediate changes. Changes in health and safety outcomes can take a year or longer to observe.
 - **Examples:** Fewer injuries, reductions in lost time, improved scores of health and well-being. These are typically measured by company data such as healthcare utilization data, workers' compensation claims, and other kinds of administrative data at the organization level.

Use outcome evaluation data to confirm whether the intervention components are or are not having the desired effect. Be sure to recruit the assistance of someone with evaluation training when you are planning specific evaluation methods.

Tips when using outcome evaluation data

Changes in reported health status or health conditions take time to achieve. Even though your target measures may not change quickly, there may still be positive impacts.

- Be sure to collect plenty of “short-term” measures to give an opportunity to assess and document positive changes.

Sometimes, large swings in outcomes measures are due to factors other than your intervention.

- Statistics on health and injury rates can fluctuate due to chance, making it hard to detect differences due to an intervention.
- Grouping statistics in multi-year time increments (e.g. three years at a time) can provide a more stable and reliable look at trends in health and safety impacts.
- Someone trained in epidemiology can assist with data analysis and interpretation.
- Again, collecting “short-term” measures can help you detect immediate impacts to behavior and other changes in the organization.

Don’t underestimate the power of organizational culture and climate for supporting positive health and safety behavior. These are important outcomes to measure.

- If workers perceive that their co-workers and managers value health, safety and well-being, they will tend to value it too.

Use evaluation data to generate awareness and support for your intervention.

- Develop communications to promote the successes of the intervention at every stage. Frequent communication can help people feel more engaged and motivated to be part of something positive.
- Develop progress reports about the intervention to promote both the intervention and the overall Healthy Workplace Participatory Program.



IDEAS Step 7 – Evaluation Plan

TO BE COMPLETED BY STEERING COMMITTEE WITH INPUT FROM DESIGN TEAM

| Health/Safety/Well-being Objective: | | | |
|---|---|-------------------------------------|---|
| Intervention Activity <u>##</u> : | | | |
| Evaluation Plan for Each Key Performance Indicator* | Process (How, When, Who) | Current Status of Evaluation & Date | Results of Evaluation Activity Implications for Future Action Plans |
| [Example – Flex-time policy Measurement: Survey 75% awareness in first year; 50% or more satisfied] | [Jane Smith – by Oct 19 Add question to annual employee survey to measure satisfaction with new flex-time policy] | [] | [] |
| [] | [] | [] | [] |
| [] | [] | [] | [] |
| [] | [] | [] | [] |
| [] | [] | [] | [] |

* Tip: Refer to the short-term and long-term effectiveness measures outlined in IDEAS Steps 3 and 4 Worksheets as the basis for the planned evaluation activities. Be sure to capture “process” measures to evaluate implementation and participation.