Organizational Change Management Methodology

Tools and Techniques to aid Project Implementation
Today’s Objectives

- Discuss the Organizational Change Management team and explore ways Organizational Change Management can work with Apps Delivery
- Cover Organizational Change Management tools
- Explain Organizational Change Management metrics
Implementation Success Factors

Source:
Understanding PeopleSoft 8
Lynn Anderson, Cap Gemini Ernst & Young
Process Integration

**Project Management**
- Project Initiation
- Project Planning
- Project Executing
- Project Controlling
- Project Closing

**Organization Change Management**
- Preparing for Change
- Managing Change-Planning
- Managing Change-Execute
- Closing/Monitoring Change

Reinforcing Changes
Selecting a Change Strategy

- Degree of resistance
- Target population
- The stakes
- Time frame
- Expertise
- Dependency
OCM Materials and Tools

- Change Management Organizational Assessment
- Tailoring Spreadsheet
- Comprehensive CM Plan
- Functional Impacts Spreadsheet
- Readiness Activities/Master Readiness Tracking Spreadsheet
- Readiness Checklists
- Executive Reports
- Organizational Change Management metrics
• Change Management completes the Organizational Readiness Assessment by meeting with the
  – Project Manager
  – Project Sponsor
  – Project Subject Matter Expert
Assessment Objectives

- Scope of change
- Impacted groups
- Number of impacted employees
- Type and amount of change
- Timeframe for the project
- Change culture
- Organization value structure
- Organization change capacity
- Organization leadership style and power distribution
- Organization past change history
- Organization pre-disposition towards change
- Sponsor model
### Organizational Readiness Assessment

#### Past Changes

<table>
<thead>
<tr>
<th>Past Changes</th>
<th>1a</th>
<th>2a</th>
<th>3a</th>
<th>4a</th>
<th>5a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Past projects were successful and well managed</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Past projects were fairly well managed</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
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<td>![ ]</td>
</tr>
<tr>
<td>In the past some projects went well, some did not go so well</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>In the past some projects failed and some of the changes were poorly managed</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>In the past there have been many failed projects and changes were poorly managed</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
</tbody>
</table>

Selection of this response indicates you may **DELETE** the Coaching section of the Comprehensive OCM Plan.

#### Change Capacity

<table>
<thead>
<tr>
<th>Change Capacity</th>
<th>1a</th>
<th>2a</th>
<th>3a</th>
<th>4a</th>
<th>5a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very few changes underway</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Everything is changing</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
</tbody>
</table>

Selection of this response indicates the need to **COMPLETE** the Coaching section of the Comprehensive OCM Plan.

#### Shared Vision and Direction of Organizations

<table>
<thead>
<tr>
<th>Shared Vision and Direction</th>
<th>1a</th>
<th>2a</th>
<th>3a</th>
<th>4a</th>
<th>5a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Widely shared and unified vision</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Many different directions and shifting priorities</td>
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<td>![ ]</td>
<td>![ ]</td>
</tr>
</tbody>
</table>

Selection of this response indicates the need to **COMPLETE** the Sponsor Roadmap and Coaching sections of the Comprehensive OCM Plan. Additionally, you need to work with...
<table>
<thead>
<tr>
<th>Organizational Traits</th>
<th>Change Traits</th>
<th>Small Change</th>
<th>Big change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>They Do Not</td>
<td>They Do Not</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Like Us</td>
<td>Like Us</td>
</tr>
<tr>
<td>50</td>
<td>17 34</td>
<td>Small Change</td>
<td>Big Change</td>
</tr>
<tr>
<td></td>
<td></td>
<td>They Like Us</td>
<td>They Like Us</td>
</tr>
<tr>
<td>105</td>
<td>80</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The purpose of the OCM Tailoring process is to customize the OCM strategy and deliverables to the size and complexity of the project.

Next step after completing the Organizational Readiness Assessment.
Comprehensive OCM Plan

Derived from the Assessment and OCM tailoring process

Provides guidance towards:

- Sponsor Roadmap
- Communication Plan
- Readiness Strategy
- Training
- Coaching
- Resistance Management
All Project Teams

Functional Impacts

Master Readiness Tracking Spreadsheet

Readiness Checklist

Functional Impacts Documentation

End Users

Successful System Implementation
Functional Impacts

• The result of an initiative
  – The “as is” state
  – The “to be” state
  – Begins to map between the two

• Functional impacts document project decisions that impact end-users
Examples of Functional Impacts

• New Technology Required
• The way a task gets done is different
• The task that a person does is different (new roles)
• Timelines – When the task must be done is different
• Integration – Who the person interacts has changes
• New Information is available
Categories

- Process changes with overall business impact
- New roles for accomplishing existing task(s)
- New functionality for accomplishing an existing task(s)
- Timeline change(s) for accomplishing existing task(s)
- Different integration or interaction with people
- New information available (online or report)
- New technology required
Analysis

- Organization process flows
- Organization charts
- Forms currently used to accomplish work
- Requirements documentation
- Actual items used to complete the task(s) at hand
  - Computers
  - Projectors
  - Window envelopes – e.g. where positioning of window for address is critical for continued use
  - Office equipment
  - Policies and procedures
<table>
<thead>
<tr>
<th>Current Process</th>
<th>Process Changes</th>
<th>Overall Business Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Roles: The Task that a Person Does is Different</td>
<td>The Way the Task Gets Done is Different</td>
<td>Timelines: When the Task Must Be Done has Changed</td>
</tr>
<tr>
<td>Integration: With whom the Person Interacts has Changed</td>
<td>New Info Available (online or report)</td>
<td>New Technology Required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description of Impact - New Process</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication to end-users</td>
<td>Use Readiness Methodology to have tasks completed</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date Due</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
OCM Uses of Functional Impacts

1. Feed the Master Readiness Tracking Spreadsheet
2. Develop checklists
3. Track, measure, and report readiness
4. Communicate upcoming changes to end-users
Readiness Activities

• Specific tasks that each organization will need to complete prior to implementation
• The identified activities are listed on the Master Readiness Tracking Spreadsheet in approximate chronological order
• The Organizational Change Management Specialist will:
  – Communicate these activities and dates
  – Facilitate the activities by providing information and coaching to the organizations
Comprehensive list of all activities that must take place during the course of a project implementation to ensure end-user readiness.
Sources of Data

- Functional Impacts spreadsheet
- Previous project implementations
- Project meetings
- Key end-user meetings
- Technical requirements of associated software
The Spreadsheet

- Updated throughout the course of a project
- Items on this list are given a target date
- The Organizational Change Management Specialist lists and tracks the activities
- This effort identifies specific dates by which these activities must be completed. Progress against the activities is tracked and reported to the executive sponsors and organization heads as an indicator of readiness.
- Readiness activities are identified and then documented on a Master Readiness Spreadsheet.
| Task Description                                  | Target Date | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 |
|--------------------------------------------------|-------------|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| Send in user names and userIDs                   | 07/19/06    | ✔ | ✔ | ✔ | ✔ | X | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | X | X | ✔ | ✔ | ✔ | ✔ | ✔ | X | X | 18 |
|                                                   |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 24 |
| User ID Task for New Castle County 75% complete  |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 25 |
| Register for Training                            | 07/31/06    | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | A | A | ✔ | ✔ | A | ✔ | ✔ | A | ✔ | ✔ | ✔ | ✔ | 16 |
|                                                   |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 26 |
| Training Registration for New Castle County 66% Complete |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 25 |
| Had at least one person attend training          | 08/13/06    | ✔ | X | ✔ | X | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ | X | X | ✔ | X | ✔ | X | ✔ | X | X | 15 |
|                                                   |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 26 |
| Had individuals attend training 63%              |             |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | 25 |
| How many attended training                        |             | 4 | X | 1 | X | 2 | 1 | 4 | 1 | 1 | 2 | 5 | 2 | X | 5 | 2 | 2 | X | X | 2 | 1 | X | 2 | X | X | 25 |

Note: The table represents the status of different tasks and their completion dates. The symbols (✔️, ✗) indicate whether the task is completed or not.
Readiness Checklists

• Checklists are typically sent out on a monthly basis
• Ensure end-user and organization readiness for project implementation
• Items for this list are taken from the Master Readiness Tracking Spreadsheet
Purpose

• Provide a mechanism for tracking and identifying whether organizations are prepared or not for implementation

• The Organizational Change Management Specialist monitors progress of each assigned organization

• Project status will be reported to project management and the Executive Sponsors
<table>
<thead>
<tr>
<th>Activity</th>
<th>Target Due Date</th>
<th>Check When Done</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Using the attached spreadsheet, verify systems/applications used by your team, the data steward, how data on that system is classified, which DTI teams use it, the assigned data classification, and the disaster recovery category that has been assigned to it.</td>
<td>Sept 30, 2006</td>
<td></td>
</tr>
<tr>
<td>2. Using the attached spreadsheet identify all individuals on your team who handle data that is confidential, secret, or top secret</td>
<td>Sept 30, 2006</td>
<td></td>
</tr>
<tr>
<td>3. On the spreadsheet indicate if these individuals have the ability to secure these documents</td>
<td>Sept 30, 2006</td>
<td></td>
</tr>
<tr>
<td>4. If individuals do not have the ability to secure these documents, please indicate if you would like the security office to work with them to address this concern.</td>
<td>Sept 30, 2006</td>
<td></td>
</tr>
<tr>
<td>Email Completed Checklist to <a href="mailto:cindy.bray@state.de.us">cindy.bray@state.de.us</a></td>
<td>Sept 30, 2006</td>
<td></td>
</tr>
</tbody>
</table>
Executive Reports

• A more condensed version of the Master Readiness Tracking Spreadsheet
• Updated as each checklist is received
• Used to report progress to the Executive Steering Committee, Organization Executives, Project Manager(s), Business Owners and the Director of Major Projects
• Project management may identify interventions.
Executive Sponsor Reporting

Major Project Status Overview – SAMPLE

PHRST ERP Project Implementations
Status Overview

<table>
<thead>
<tr>
<th>PHRST Upgrade</th>
<th>Risk</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>On time</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Under Budget</td>
<td></td>
<td></td>
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<tr>
<td>ebenefits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recruitment</td>
<td></td>
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<tr>
<td>eRecruitment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readiness</td>
<td>Green</td>
<td></td>
</tr>
<tr>
<td>Training</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time &amp; Labor</th>
<th>Risk</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>On-time</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Under Budget</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readiness</td>
<td>Green</td>
<td></td>
</tr>
</tbody>
</table>

Risk Color Key:
- On Target – no risk
- In Progress – may complete late
- At Risk – needs attention

Readiness Status Report – SAMPLE

<table>
<thead>
<tr>
<th>Activity/Task &amp; Category</th>
<th>Target Start Date</th>
<th>Target Due Date</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
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</thead>
<tbody>
<tr>
<td>Monthly Checklists</td>
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<tr>
<td>September</td>
<td>9/1/03</td>
<td>9/30/03</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>October</td>
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<td>10/31/03</td>
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<td>Other Critical Tasks</td>
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</tr>
<tr>
<td>Leave Survey</td>
<td>8/1/03</td>
<td>8/31/03</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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</tr>
<tr>
<td>Recruitment Survey</td>
<td>9/1/03</td>
<td>10/31/03</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

- Organization has completed as required
- Organization is in process of completing task but will not finish by due date. No risk to readiness.
- Organization has not started this task and is jeopardizing readiness for this target. No risk to readiness.
End-User Identification & Skills Inventory

• End-User Inventory
  – End-User Identification
  – Manager/Supervisor Identification
  – Specify Key-End User
  – Skills Gap Analysis
  – Identify IT Support Personnel and Technical Specifications
End-user Inventory

1st
End-user Identification and Demographic Information

2nd
Skills Inventory

3rd
IT sppt.
### Communication Tracking Spreadsheet

<table>
<thead>
<tr>
<th>Media Used</th>
<th>Communication Title</th>
<th>Communication Campaign</th>
<th>Date Sent</th>
<th>Communicated by</th>
<th>Sent From</th>
<th>Sent To</th>
<th>Nature of Communication</th>
<th>Question Category</th>
<th>Follow up Needed</th>
<th>Follow up Type</th>
<th>EPM Release Date (if applicable)</th>
<th>Actual Release Date (if using EPM)</th>
<th>Days in Review</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Readiness Checklist</td>
<td>Data Cleanup</td>
<td>Coaching - Ability</td>
<td></td>
<td>Project Team</td>
<td></td>
<td></td>
<td>Readiness</td>
<td></td>
<td>Yes</td>
<td>Return Checklist</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Readiness Checklist</td>
<td>Data Conversion</td>
<td>Coaching - Ability</td>
<td></td>
<td>Organizational Change Management</td>
<td></td>
<td></td>
<td>Readiness</td>
<td></td>
<td>Yes</td>
<td>Return Checklist</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readiness Checklist</td>
<td>Security</td>
<td>Coaching - Ability</td>
<td></td>
<td>Organizational Change Management</td>
<td></td>
<td></td>
<td>Readiness</td>
<td></td>
<td>Yes</td>
<td>Return Checklist</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readiness Checklist</td>
<td>UAT</td>
<td>Coaching - Ability</td>
<td>01/01/2020</td>
<td>Organizational Change Management</td>
<td></td>
<td></td>
<td>Readiness</td>
<td></td>
<td>Yes</td>
<td>Return Checklist</td>
<td>April Checklist</td>
<td>01/02/2020</td>
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<td></td>
</tr>
<tr>
<td>Readiness Checklist</td>
<td>Training</td>
<td>Coaching - Ability</td>
<td></td>
<td>Organizational Change Management</td>
<td></td>
<td></td>
<td>Readiness</td>
<td></td>
<td>Yes</td>
<td>Return Checklist</td>
<td>Checklist Checklist</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Used to gather Organizational Change Management communication metrics
- Also used as communication plan
- Takes Project Schedule into consideration
- Media Used
- Communication Title
- Organizational Change Management communication campaign
- Date sent
- Who initiated communication
- From/To
- Nature of communication
- Question Category
- Follow up needed and follow up type
- Ties to EPM schedule
- Days in Review
- Comments
Information Sheets

Awareness Info Sheet

Enterprise Project Management

**INFO SHEET**

**PROJECT SCOPE**

CTI is embarking on Enterprise Project Management (EPM) to improve our Project Management practices. CTI, working with Saget, will promote a consistent approach for creating, testing, and managing projects and their information. EPM is a valuable corporate initiative and will improve productivity levels, focusing on managing project-related documents, issues, and risks.

The first function includes:

- Technical installation and configuration of Microsoft Project Server and supporting software and tools
- Assist with creating ITU Business Processes and Project Frameworks
- Define project planning and functional requirements
- Incorporate a new or revised project initiative
- Support implementation of EPM tools

**ACTIVITIES**

- Customized training for Project Managers
- Lead sessions and teams deliver in-house training sessions
- Define and deliver a training strategy
- Manage project-related documents, issues, and risks
- Provide customized training for Project Managers
- Create schedules for new or revised projects
- Support implementation of EPM tools

**PROJECT TEAM**

**Project Sponsor:**

- Lynn Honeycutt, Chief Program Officer
- Bill Helbig, Chief Information Officer

**Core Project Team:**

- Mike Hansen, CTI
- Kevin Gourley, CTI
- Dave Gatn, CTI
- Linda Vashke, Saget

**Role:**

- Project Manager
- Change Management
- Functional/Technical Lead

**Responsibility:**

- Project Management
- Change Management
- Functional/Technical Lead

**INFO SHEET**

**Supervision as Coach**

Managers are uniquely positioned to understand and implement change in their organizations. They are close to day-to-day operations, customers, and front-line employees. Additionally, they are often removed from the day-to-day work to ensure that the “big picture” and recognize new opportunities for problem solving and growth encouragement.

Supervisors play the following roles for employees to make sense of change:

- The impact of change on day-to-day activities
- Behaviors and actions expected of employees, including support of the change
- Procedures for getting help and additional information about the change

Supervisors play a key role in ensuring buy-in and commitment from employees.

Key questions a line manager should ask:

- What is really driving the project? What is the problem causing the change?
- What will happen if we don’t change? What will we become through the change?
- How does the project fit with or grow out of the status quo?
- What kinds of secondary changes and side effects are likely to occur?
- How can individuals and groups be affected by any of the changes?
- What kind of assistance will we provide to affected individuals and groups?

**ACTIVITIES**

- Include EPM project as a standing agenda item
- Schedule periodic updates from the project team
- Communicate the project and provide the information back to the project team
- Ask the project for the project updates
- Communicate support for the project through words and actions
- Encourage employees to participate in the project
- Highlighting meetings and training
- Participating in change management groups
- Assisting the project team
- Providing feedback to the project team
- Supporting employees in embracing the project
- **Non-Member**
Resistance can be defined as:

- Withstanding, striving against, or opposing
- Withstanding the action or effect of
- Acting or making efforts in opposition
Reasons for Resistance

Lack of awareness
Organizational Restructuring
Lack of training/expertise
Comfort with status quo
Too little time

Communication
Sponsor Involvement
Training
Communication, sponsor involvement
Coaching
Sponsor involvement
Behaviors we need to Discourage (end-users)

- Talk one way in public
- Stop performing their current responsibilities
- Ignore or block progress or sabotage the process
- Avoid using the new work processes or tools
- Talk negatively
- Take advantage of problems
Behaviors we need to Discourage (managers/supervisors)

• Talk badly about project
• Meet with staff and minimize the change
• Prevent staff from participation
• Refuse necessary resources
### Organizational Change Management

#### Resistance Assessment

The format used for this tool is a rating system. Each category is comprised of individual questions and each question is rated on a scale of 1 to 5. Most questions provide guidance on how the item should be scored.

1. **How well defined is the business benefit of the project?**

<table>
<thead>
<tr>
<th>Well defined</th>
<th>Poorly defined</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>1</td>
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<tr>
<td>4</td>
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<td>4</td>
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<tr>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

- **Selection of the sponsor indicates the need to focus on the ‘desire’ portion of the communication campaign.**  
  You will need to work with the project team and your sponsors to ensure that the business benefit is well defined. You should consider coming up with a top ten list of reasons for the project. Remember the cost of not doing the project is important too. This information should be clearly communicated out to the end-users.

- **You also need to work on Mission, Vision, Values with the project sponsor.**  
  And should have that laid out in both the communication plan and the sponsor plan.

2. **How well defined is the scope of the project?**

<table>
<thead>
<tr>
<th>Well defined</th>
<th>Poorly defined</th>
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<tbody>
<tr>
<td>5</td>
<td>1</td>
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<tr>
<td>4</td>
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<td>4</td>
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<tr>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

- **The resistance you encounter will be of two types. First people do not understand your project.** It is important to focus on the communication plan of your comprehensive GM plan. The second possible type of resistance here is people are concerned they will not have time for your project as well as their usual jobs. You need to work with the project sponsors managed expectations on time management and reprioritization of work.

3. **The project sponsor can be described as...**

<table>
<thead>
<tr>
<th>Described, committed, and enthusiastic</th>
<th>Sponsor who is not interested (or voluntary?)</th>
<th>Sponsor who lacks power (incentives, legitimate, relevant, or expert)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>2</td>
<td>2</td>
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<td>4</td>
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<td>1</td>
<td>5</td>
<td>5</td>
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</tbody>
</table>

- **Selection of this response indicates a weak sponsor.** Complete the sponsor assessment and fill out the appropriate portions of the sponsor plan. You wish to consider requesting the sponsor designate someone to act with their authority for the project, or create a steering committee comprised of people who collectively have the time you need in a sponsor. At a minimum you will need to work with your PM to determine a process to resolve disputes and make decisions.
Strategies for Resistance

- Enhance Communication
- Work with sponsors
- Work with managers/supervisors
- Develop the Key End User community
- Work with the PM
- Work with HR
Sponsor Roadmap

• Sponsors need to
  – Show active and visible support
  – Ensure project is a priority
  – Communicate frequently
  – Communicate understanding
  – Provide resources
  – Gain buy-in
# Organizational Change Management

## Sponsor Assessment

**Managing Change – Sponsor Assessment**

The format used for this tool is a rating system. Each category is composed of individual questions and each question is rated on a scale of 1 to 5. Most questions provide guidelines on how the item should be ranked. Rankings will be tallied to provide a score for the Organizational Traits and the Change Traits to help customize the CM effort for a project.

<table>
<thead>
<tr>
<th>This change has an executive sponsor</th>
<th>Yes</th>
<th>Yes and there are past successes working with them as the sponsor</th>
<th>Yes and they have a good relationship with higher ups</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>3</td>
<td>3</td>
<td>No, but they are a leadership position in the organization and are well respected in the organization</td>
</tr>
<tr>
<td>MULTIPLE SPONSORS</td>
<td>4</td>
<td>4</td>
<td>No, but they are well respected in the organization</td>
</tr>
<tr>
<td>NO</td>
<td>5</td>
<td>5</td>
<td>No, and they are not well respected</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>The executive sponsor is in a powerful position within the organization with access to higher management, or there is no higher management than them</th>
<th>Yes</th>
<th>Yes and they have a good relationship with higher ups</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>3</td>
<td>No, but they are a leadership position in the organization and are well respected in the organization</td>
</tr>
<tr>
<td>4</td>
<td>4</td>
<td>No, but they are well respected in the organization</td>
</tr>
<tr>
<td>5</td>
<td>5</td>
<td>No, and they are not well respected</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Has the ability to use personal power or status to overcome problems and is willing to demonstrate public support</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>No</td>
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<tr>
<td>2</td>
<td>2</td>
<td>No</td>
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<td>No</td>
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<tr>
<td>5</td>
<td>5</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Has special relationships inside and outside of the organization which will be helpful in gaining acceptance of the change</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes, they are well known within the state, well respected, and others will listen to them. They have a strong position within the state.</td>
<td>1</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>No</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
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<tr>
<td>5</td>
<td>5</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Has a track record of speaking about change and what must change</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes, they have been open to the idea, they have provided a plan in the past to do so to the project team. They have not yet. But they are open to the idea.</td>
<td>1</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>No</td>
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<tr>
<td>3</td>
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<td>No</td>
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<tr>
<td>5</td>
<td>5</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Has demonstrated strong communication skills in the past, providing clear, concise, and understandable messages during previous projects</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes, they are comfortable and accomplished communicators. They will convey their own messages, or make meaningful improvements to messages distiled for them. They aren’t getting. They are not comfortable in this role.</td>
<td>1</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>No</td>
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<tr>
<td>3</td>
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<td>No</td>
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<tr>
<td>5</td>
<td>5</td>
<td>No</td>
</tr>
</tbody>
</table>
Sponsor Roadmap

- Support
- Decision-making
- Authority
- Questioning
- Communication
- Resources
Training Plan Strategy

• Identify different audiences who require training
• Conduct training needs assessment and skill gap analysis
• Document requirements for the training team
  – Training development schedule
• Customized Coaching Plan
• Prepare managers and supervisors to coach their employees through the change
Develop
• Transition plan

Train
• Organization resources
• **Service Desk Info sheet.** Includes information about:
  – The system
  – The go-live dates
  – Expected problems
  – Who to contact for level two support

• **Use of labs**

• **Use of application coaches**
Knowledge Transfer

• Sometimes the production support team does not possess the skills to support the application post-implementation.
  – Must identify this gap and develop knowledge transfer/staff development plans.
  – Plans are used to identify knowledge transfer channels, staff development activities, and knowledge transfer timeline.
  – Identification of categories of knowledge and skills needed to support knowledge transfer objectives.
  – Identification of how the knowledge transfer and staff development will be tracked.
Knowledge Transfer

• Skills Development Profile
  – Used to plan and document each team member’s knowledge and skills
  – Identification of responsibilities for staff development/knowledge transfer by aligning coach/mentor with staff

• Knowledge transfer timeline to meet objectives.
Transition Steps

1. Review current roles & jobs.
2. Review new skills needed.
3. Assess skills & roles to support new processes.
4. Determine skill gaps.
5. Review organization jobs & roles.
7. Obtain agreement regarding the new jobs/changed roles.
8. Support transition.
Analyzing/Transitioning Change

• Transition
  – Knowledge Transfer Plan
    (Transfer ownership to Project Owner)
    • Communication
    • Focus Group Meetings
    • Key End-User Meetings
    • Manager/Supervisor Meetings
    • On-going Change Management responsibilities
• Collecting, Reporting, and Analyzing Feedback
  – Compliance Audit
  – Post-Implementation Review Process

• Transitioning to the Business Owner

• Celebrate!
  – Milestones/successes
  – Implementation success
Survey End Users

• Post implementation
  – Three months
  – Six months
  – One year

• Complete control book
  – Lessons learned
  – Survey results
  – Training and meeting evaluations
  – Help desk call analysis
  – Checklist statistics
Why Metrics?

• The US Congress has mandated legislation through the Government Performance and Results Act (GPRA) of 1993.

• The key metric for government performance is mission effectiveness.
Why Metrics?

- Typically these categories:
  1. Strategic needs metrics
  2. Mission effectiveness metrics
  3. Operational efficiency metrics
- Selected metrics should answer the question, "How do you know how well the organization is doing?"
Questions to ask when establishing metrics:

1. Where is the organization headed…what is the vision?

2. What does senior management expect to get from implementing metrics collection and reporting

3. What are we doing? How well are we doing it? How can we demonstrate to others how well we are doing it?

4. How efficient are our generic business processes in comparison with the best practices?
• What do we want (need) to expand.
  – Long term hiring decisions
  – Future training within the organization
  – Construction of additional facilities, or architectures to support the enterprise
• What we want to maintain.
• What we want to reduce.
• Routine office processes and business practices
Metrics are about

• Transforming policy into action
• Measuring performance
• Motivation
• Refining processes by monitoring outcomes
• Organizational alignment
• Determining processes in need of improvement
Organizational Change Management

Metrics

• Sponsorship management
• Communication planning
• Readiness
• Training
• Coaching activities
• Resistance management
• Monitoring and closing
Tie to DTI’s Organization Goals

- Enhanced project management
- IT Availability and Reliability
- Workforce Excellence
- Enhanced Customer Service
- Collaborative Solutions
Organizational Change Management Metrics Levels

- Enterprise level
- Individual Organizational Change Management Specialist
- Specific project level
• Organizational Change Management adherence to Best Practices
• On-time Readiness task completion
• Customer satisfaction
• Number of projects the team is on.
  – The percentage of these projects completed on-time/under-budget.
• How effective the team is overall
• The percentage of our tools that are used.
  – Which tools are used most often,
  – which tools are used the least.
Enterprise Metrics

• Communication efforts
  – What type of feedback have we received?
  – What are the most common questions we are asked?
  – What type of communication is used most often, etc.

• What is the most common category of problem encountered upon implantation?

• Training Metrics
Additional Metrics

• How effective is each Organizational Change Management specialist

• Communication efforts
  – What type of feedback have we received?
  – What are the most common questions we are asked?
  – What type of communication is used most often, etc.
Metrics gained from the Organizational Readiness Assessment include:

- Number of projects in risk quadrant
- Number of projects projected to require specific segments of the Organizational Change Management plan
- Which tools were actually used during the project
- Stakeholder analysis
Communication Metrics

- Media used
- Communication Title
- Communication Campaign
- Date Sent
- Communication Initiated By
- From / To
- Nature of the Communication
- Question Category
- Follow-up needed and Follow-up type
- EPM Scheduled Release and Actual Release Date
- Days in Review
Customer Satisfaction Surveys

- Understanding-Awareness Survey
- Impact-Desires Survey
- Training Survey
- Coaching Survey
- Post Implementation Survey
- Evaluation Survey
Readiness Metrics

• Readiness involves
  – Analyzing an organization to identify the current state and the future desired state
  – Identifying what is required to move from one state to the other
Readiness – End User Spreadsheet

- End-User Role Defined
- End-Users assigned to system roles
- Critical Managers/supervisors/Leaders to participate in Change Leadership Training
- End-Users who should attend Role Change Workshops
<table>
<thead>
<tr>
<th>Type of change</th>
<th>The method to address the changes</th>
<th>Category of the change</th>
</tr>
</thead>
</table>

Readiness
Functional Impacts Spreadsheet
Readiness
Master Readiness Tracking Spreadsheet

• Completed tasks
  – By due date
  – Consistently late
  – Not at all
• Which Organizational Change Management specialists have a greater success getting items completed by due date
• What percentage of organizations have completed specific tasks
• What percentage of tasks are left overall
• What percentage of tasks are related to
  – Hardware / Software
  – Business Process / Forms / Policies & Procedures
  – Training
  – Conversion
  – Security
• Employee Roles and Responsibilities
• Organizational Change Management is involved in developing the training strategy, and oversight of the training effort.
• All training that is provided by the project will be evaluated.
• Additionally, the Organizational Change Management team will track
  – Number of attendees,
  – Time or day of training preferences
  – Training venue preferences
  – Instructor preferences
Sponsor Metrics

• Number of projects with sponsors
• Average sponsor power rankings
• Sponsor Commitment index
• Sponsor Coalition index
• Sponsor Communication index
• Sponsor as Manager index
Sponsor Commitment

How committed the sponsor is to the project
How influential they are.
Calculated using questions from sponsor assessment

Question # 2 (*sponsor is in a powerful position within the organization with access to higher management, or there is no higher management than them*)
Question # 4 (*Sponsor has the ability to use personal power or status to overcome problems and is willing to demonstrate public support*) on the sponsor assessment.
Sponsor Coalition

- Indicates the sponsor’s ability to influence others and create a coalition of individuals who are prepared to support the project.
- Calculated using questions from sponsor assessment
  - Question #4 *(Sponsor has the ability to use personal power or status to overcome problems and is willing to demonstrate public support)*
  - Question #5 *(Sponsor has special relationships inside and outside of the organization which will be helpful in gaining acceptance of the change)*
Sponsor Communication

• Indicates the sponsor’s ability to clearly and succinctly communicate the project.
• Calculated using questions from Sponsor Assessment
• Question # 6 (Sponsor Has in the past, publically pinpointed behaviors that must change.)
• Question# 7 (Sponsor has demonstrated strong communication skills in the past, providing clear, concise, and understandable messages during previous projects.)
Sponsor as Manager

• Indicates how successful the sponsor will be in managing the portfolio of projects to assist with successful completion of the project.

• Calculated using questions from Sponsor Assessment.
  – Question #8 (*Sponsor will commit the resources necessary to achieve the objectives of this change*)
  – Question #9 (*Sponsor has prioritized activities and resources in the organization to reflect the importance of this project*),
  – Question #10 (*Sponsor has established mechanisms to gather data to monitor the progress of the project*).
Coaching Metrics

- Manager/supervisor efforts to explaining the project to subordinates.
- Manger/supervisor support for the project.
- Manager/supervisor to aid staff in preparing for the project and completion of readiness efforts.
- Manager/supervisor efforts to collect feedback from staff.
- Manager/supervisor support of the project through re-prioritization of work efforts.
Resistance Metrics

• Awareness Resistance

• Org Restructuring Resistance

• Status Quo Resistance
Calculating Awareness Resistance

• Indicates the project is encountering resistance because individuals involved do not have a clear understanding of what to expect.

• Calculated using the Resistance Assessment
  – Question #1 *(How well defined is the business benefit of the project?)*,
  – Question #2 *(How well defined is the scope of the project?)
  – Question #6 *(The business requirements are...)* from the resistance assessment worksheet.
Calculating Status Quo Resistance

• Indicates the resistance is probably based upon fondness for the status quo

• Calculated using the Resistance Management Assessment
  – Question #4 (Managers and supervisors (critical managers) can be described as…)
  – Question #5 (The end-user commitment level is…).
• Indicates resistance based upon real or feared organizational restructuring

• Calculation is based on questions from the Resistance Assessment
  – Question #7 (*Business processes, procedures, policies require...*)
  – Question #8 (*Changes to the organizational structure require...*)
Implementation Success Factors

1. Vision Clarity
2. Powerful Business Case
3. Change Leadership and Accountability
4. Change Specific Communications
5. Increased Change Capability
6. Integrated Planning and Teams to Effect Change
7. Stakeholder Commitment
8. Aligned Performance and Culture

Source
Understanding PeopleSoft 8
Lynn Anderson, Cap Gemini Ernst & Young
Questions?