

Public Works and Government Services Canada Change Management Process Toolkit



Introduction

Welcome to your PWGSC Change Management (CM) Toolkit. This Toolkit has been designed by the Change Process Office (CPO) to assist you in all aspects of your change initiative, from planning to implementation and embedding. The Toolkit is anchored in PWGSC's CM Framework and CM Process and is a step-by-step, "how to" guide, with tools, templates and resources to guide you through each step in the CM Process. As such, it is essential that you familiarize yourself with the CM Framework and CM Process to fully benefit by this Toolkit.

Background

From Public Service Renewal to Procurement Renewal and Pension Modernization, PWGSC is adapting to the needs of government and Canadians. With a department as large and diverse as PWGSC, adaptive change is inevitable but not easy. Like any worthy initiative, to successfully embed change requires preparation, leadership and the application of a consistent methodology that considers such things as the purpose for change, resources, employee skills and needs, learning and communication.

The role of the CPO is to establish an organizational approach to change management and to strengthen PWGSC's capacity to: manage and lead change; excel in change leadership and change readiness; and, assist Branch and Departmental change initiatives under a shared vision. To achieve this, the CPO has developed PWGSC's:

- Change Management Framework
- Change Management Process
- Change Management Toolkit

While no two initiatives are alike, all changes go through a similar cycle, making this Toolkit applicable to all changes. Every change effort needs a planned approach if it is to succeed. Further, every change needs a logical reason for taking place, a vision for its outcome, an appreciation of the impact on the organization. Further we must understand how stakeholders will respond and have a strategy and plan to implement and embed the change. Finally we need to reinforce the new state while drawing lessons from the experience. The Toolkit is designed to answer common questions and provide tools and templates to carrying out large and small change initiatives. Some consistent questions arise:

- Do we truly know what needs to change and why?
- Do we have the right solution and know its impact on our organization?
- Do we have the right change strategy in place to manage stakeholders -- can we manage and articulate it?
- Do we have clear governance and leadership in place that will remain visible and "walk the talk", and are we in a readiness state to carry out this change and answer the difficult questions of "who-does-what" and "who-does-not-do-what" anymore?
- Most importantly, do we have a comprehensive, measurable approach to change that involves employees at all levels, supports PWGSC's Vision, addresses culture and is communicated effectively throughout?

We hope this Toolkit supports you through many successful change initiatives. Your feedback is encouraged, as we are always looking for ways to improve the Toolkit to meet your evolving needs.

Sincerely,
Jacques Bérard
Director - Change Process Office

Up Front Considerations

1. Advice on getting started
2. Assemble Core Transformation Team
3. Review the CM Framework and Process

1.0 Advice on getting started – Leadership commitment

A 2006 Harvard University study revealed that roughly two-thirds of all change initiatives fail to reach their goal. This is largely due to an ineffective change management program and lack of sustained, committed, leadership to managing change.

The CM Toolkit provides you with the “what” to do, including all needed tools and templates to guide you through your change initiative. Even more important though, will be “how” you go about leading people throughout your change. Managing change is not the same as leading change. Managing change is following a change process the right way, while leading change is using the right processes to manage it. Using the right processes means managing the “people side” of change. Leadership is the key here. Managing the “people side” of change will be your biggest challenge and your greatest reward. No matter what you change, it will take people to make it happen. For that, sustained, committed and visible leadership is required.

To be successful, change leaders must involve, inspire, be visible, communicate often and address the tough questions around culture. Cultural issues often link to the way we used to think about our work and the way we have done things in the past. The following are some leadership insights to consider throughout your change initiative:

1. High on the wall of the “war room” at Ford Motor Company hangs a sheet of paper on which is written: “Culture eats strategy for breakfast.” This quote is born of time-tested change experience. No matter how good your strategy, culture can tear it down. This means that old, ingrained ways of thinking about work and how we do it will persist if stakeholders are not managed in a way that will support the change.
2. Change leaders must be willing to address the realities of culture and deal head-on with: “that’s how decisions get made around here;” or “who has the real power..;” and “I see, but my boss says we’ve always done it this way.”
3. Typically, any organization will have 20% of its staff supporting the change effort, 60% will be neutral and 20% are likely to be detractors. It is important to know who they are and be willing to listen to and engage each group. Doing so will ensure that you don’t just hear the point of view of supporters, but have an understanding of where resistance points come from and what to say or do to address any resistance to change.
4. Make sure you include both supporters and detractors on your transformation team, especially when it comes to defining why the change is needed and what the outcome of the change looks like.
5. Change is an emotional journey. Staff must let go of the known and embrace the unknown. As they transition from one to the other, staff will go through a psychological process akin to grieving a loss. Employees may even be shocked by the need to change, they may deny the situation, they could despair, some will negotiate changing as little of their world as possible, and, with effective

leadership, they will eventually experience acceptance and belief. It is important to note as a leader that not all people, even in the same group, will remain at the same stages in their grieving process. Grieving is not a linear process, so expect that many will go back and forth between feelings. Varied responses are to be expected, and all must be acknowledged and supported through engagement.

6. The adage holds true for change management: don't just show me, don't just tell me, but involve me and I can achieve. To be successful, change leaders must involve, inspire, be visible, communicate often and ask (and answer) the tough questions honestly and openly. Be ready for those questions and prepare accordingly. Have a plan for what you will do to demonstrate the new mind set and desired behaviors.
7. Employees spend each and every day inside the "as-is state" and are your best resource in building the "to-be state." Too many efforts fail due to senior level assumptions of what needs to be fixed and how to fix it, only to be stopped short by two simple sentences from end users, "who told you (incorrectly) that was our problem?" and "I could have told you from the beginning that solution wouldn't solve the problem because..." Don't assume anything, check your findings with key stakeholders throughout the change effort. It is crucial that you involve employees at all levels, both in identifying the problem and in working through possible solutions. In fact, if you don't, it is at the peril of your change effort.
8. Change leadership goes well beyond the management of change. It considers the intangible elements of people, feelings and trust. One of the most powerful indicators of any successful change effort is the ability of an organizations leader(s) to engage employees, set the example and walk the talk.
9. Although change can encounter resistance and be emotionally difficult for some, employees will champion change if they are informed, involved and trust where you are taking them. It is essential that employees see that you believe in the change effort and their place in it. Do not hesitate to communicate where you are, even if you don't have all the answers. Reassure them that, even though you may not have all the answers, you have a plan to find them. Demonstrate the CM Process steps you will follow to find these answers with them.
10. Employees need to see themselves in the change and know the impact on their role and position. People will be concerned about their jobs. Most changes fail because leaders fail to address that point from the very beginning of the change effort. Speak to them often about the impact the change will have on them. Try to articulate the "what's in it for me".

2.0 Assemble Core Team to lead the change.¹

This should include:

- Change Sponsor
- Change Leader
- Core Executive Team of business line leaders (usually 1-3)
- HR and Communications professionals

Core Leadership Team

The Leadership Team has the responsibility of developing the “burning platform” for change along with the vision of the outcome. They establish a sense of urgency, gather and manage a coalition of people supporting the change to sell the change, oversee the entire process, and manage the politics.

Change Sponsor

Is the change champion and has ultimate responsibility for change. Not normally involved in the day-to-day management of the change, the change sponsor supports and monitors its progress and models the new reality. This individual sets the direction and parameters and ensures that the necessary resources are available throughout the change process.

Executive Team

The executive team in which the change is taking place is responsible for not only running the organization; but also, shaping and making decisions regarding the change. They must prioritize and manage the organizational constraints, conflicts and interdependencies that occur between operational and change activities. They must also model the new reality.

Change Initiative Leader/Team

Individual or cross-functional team with the delegated authority to shape the change strategy and allocate resources. Oversees the strategy level of the planning, design, integration and implementation of the change process. Actively involved in directing and guiding communications and course correcting implementation. Depending on the size of the initiative may be the same as the executive team.

¹ Change Leadership Examples from *Being First Inc.*

CM Framework

It is important that you take a moment to review the CM Framework and gain understanding of how your initiative fits into the overall environment of the department.

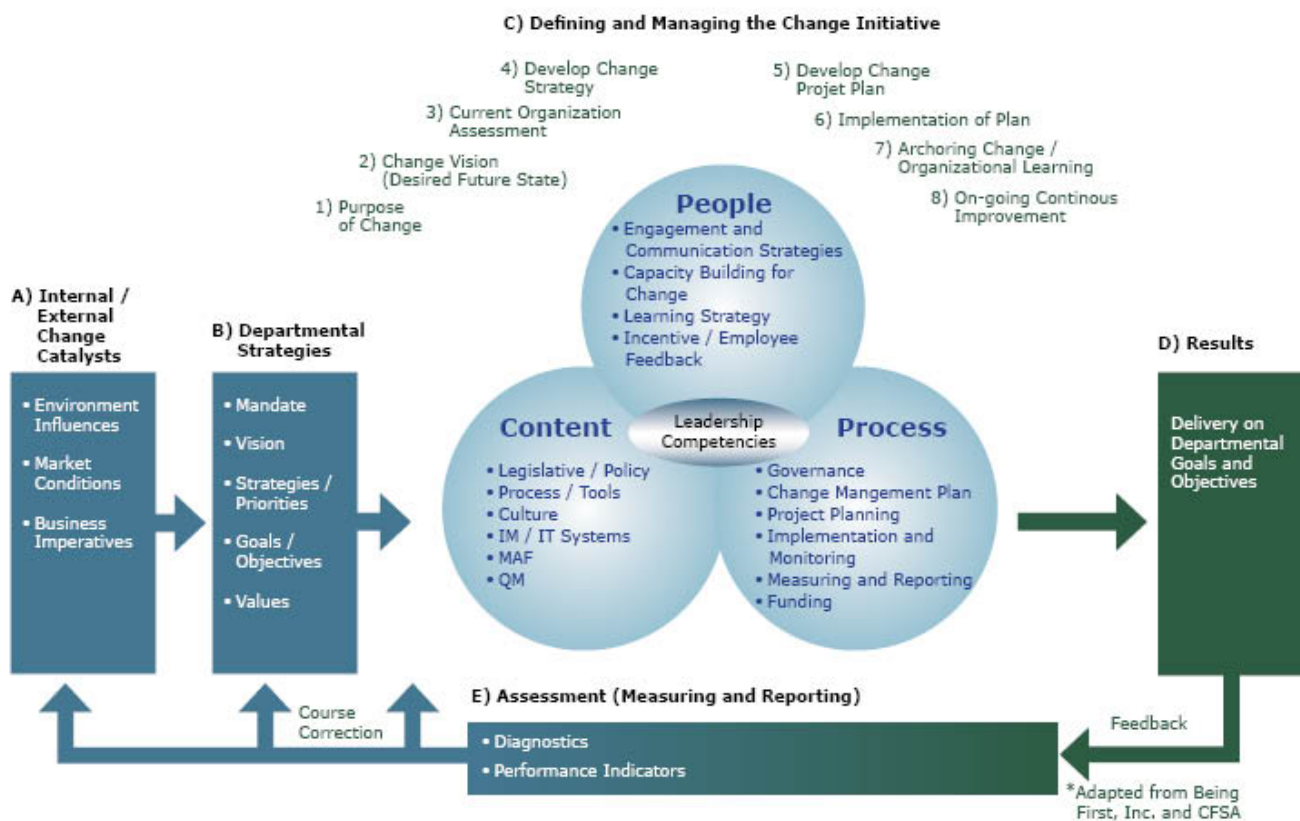
The CM Framework represents how PWGSC undertakes change. It shows change management from an organizational view and surfaces how external influences -- in parts A and B of the Framework -- can form the need for change.

Once defined, the internal and external influences are addressed in the “burning platform” – or purpose and vision -- of a change initiative. The change initiative is managed by going through the steps outlined in part C – PWGSC’s eight-step CM Process. This is where the change methodology is applied to ensure your change is successful and stays embedded within your organization – shown as part D. You will note that throughout the initiative the considerations of People, Process Content and Leadership must be taken into account.

Part E, represents PWGSC’s ongoing self-assessment to ensure we meet our departmental obligations.

Simply put, we start off with an “as-is” state, feed it through A and B, which establishes a need to change the way we do business. We now have a change initiative requiring the use the CM Process methodology in C. Effective application of C results in an embedded “to-be” state as standard working procedure in D.

PWGSC Integrated Change Management Framework



CM Process

As stated above, the CM Process is PWGSC's change management methodology, developed using research on industry best practice and trends, established GC transformation material and experience.

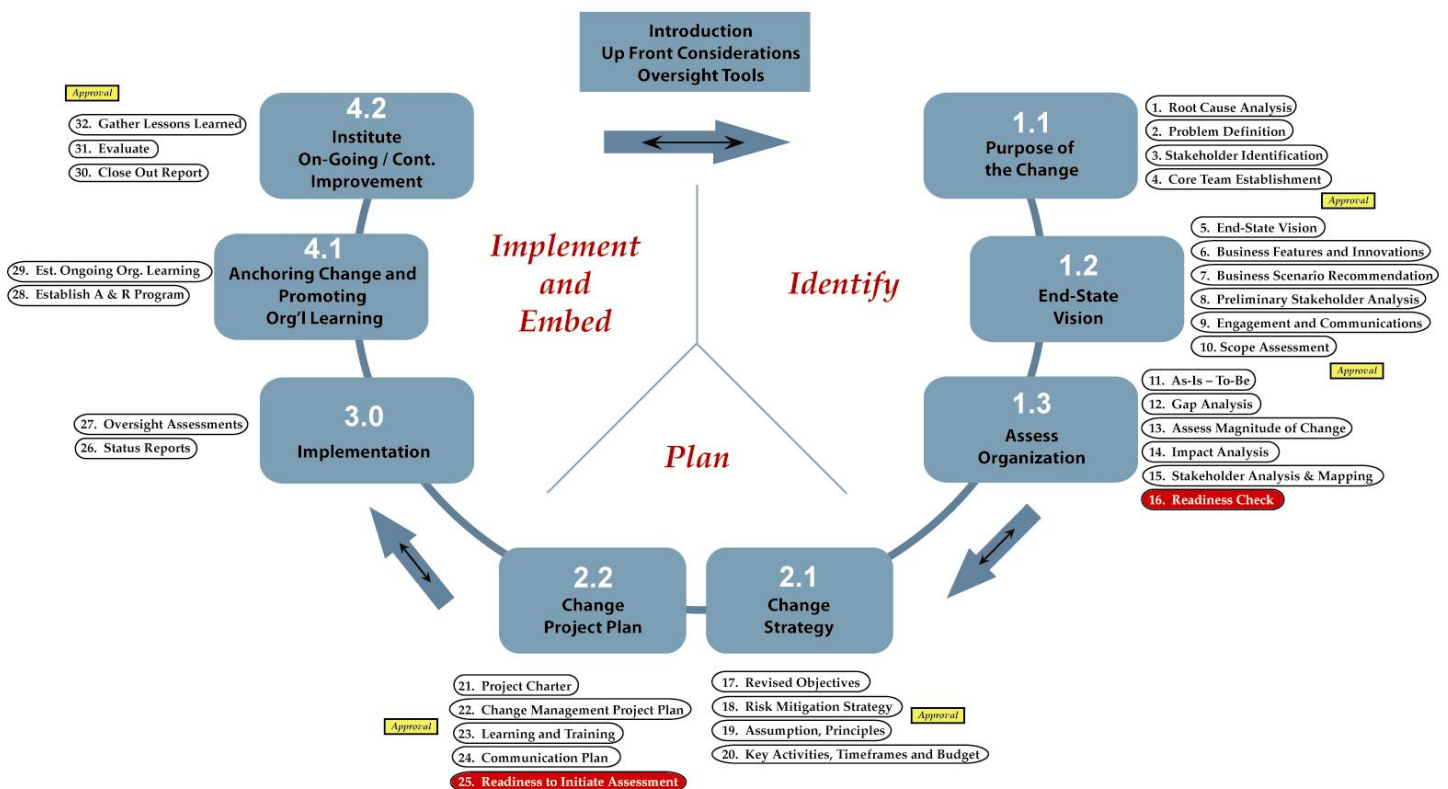
The CM Process is made up of eight steps, which are divided into three stages: Identify, Plan, Implement and Embed. It is recommended that you get acquainted with the entire CM Process to understand the importance of each section and resist temptation to skip to "Implement" without adequate preparation and employee engagement. Reading through the steps will help you understand the importance of each step and how they relate to each other.

In each step you will find corresponding Templates to carry out that step's requirements. Each step also comes with a Users Guide that walks you through the template and provides useful Considerations and Leadership Tips.

In addition to the Templates and User's Guide, each step has helpful Tools such as links and decks (with examples and presentations), to assist you with that phase of your change initiative.

[\(Click to open full size PDF of Chart\)](#)

PWGSC Change Management Process Tools and Templates



How to use the Toolkit

Once you have familiarized yourself with the CM Process, you can begin to work through your change initiative using the Templates and Tools for each Step. It is imperative that all steps in the CM Process be addressed. That said, steps need not be done in strict succession or isolation. Also, some (developmental) changes will not require that all templates be used in depth. What is important is to follow the logic being proposed; if you do not fill in the templates, at least read and understand them to ensure they are addressing what needs to be addressed. While it will be important to understand their sequence in the overall strategy and implementation, you may have change team members working on multiple steps simultaneously. **There are two parts to this Toolkit. The first part provides management/sponsor Oversight information. Part two provides tools and templates for all CM Process steps** (as mentioned above).

1 Oversight

Oversight Tools

This first section provides Oversight Tools, which are designed to guide Sponsors and Change Leaders. These tools will provide insight into how your change initiative is moving along. It is important to understand the CM Process, and have a clear understanding of the Sponsor and Change Leader roles in order to benefit by the information gathered in these oversight tools. Oversight tools include:

- [Change Sponsor Checklist](#)
- [Process Overview \(High level analyses and reporting tool for Sponsor, Consultant and/or Change Leader.\)](#)
- [CM Process Initiative Oversight Manual](#) (a more detailed analysis tool for assessing the completeness of your change initiative and the process followed to make it happen.)
- [Why is Change Management Important & Change Curve \(slide\)](#)
- [Change Curve Assessment.](#)

2 The CM Process Templates for the Change Practitioners

Templates have been developed for use in the case of light (developmental) and in-depth transformations. Thus, simple change initiatives may not need to use the entire template. Feel free to only use information that is both relevant and relative to your change needs. For example, “change light” will require mostly high-level use of the templates or a reference to the Oversight Tools. A “heavy” (transitional and/or transformational) change initiative will require full use of the templates and any associated, in-depth analysis. Within each Step you will find:

- Blank templates for change agents who are familiar with the CM process;
- A “User’s Guide” tips with template instructions, consideration and Leadership insights;
- Tools with examples, presentations, existing departmental reference and resources.

CHANGE SPONSOR CHECKLIST (INITIATIVE REVIEW) – CHANGE MANAGEMENT FUNDAMENTALS

Change Initiative Name:	Date:	
CHANGE MANAGEMENT ACTIVITIES AND DELIVERABLES		
Employee participation and communications have been maintained throughout all steps. Yes ☐ No ☐		
Phase and Deliverable (Step)	Deliverable Appropriate?	Risk if Not Appropriate (or other comments)
IDENTIFY:	Y N	
Change Drivers (A &B)	☐ ☐	
Problem Definition (1-1)	☐ ☐	
Stakeholders List (1-1) and communications initiated	☐ ☐	
Change Vision (1-2)	☐ ☐	
Scope Assessment (high-level) (1-2)	☐ ☐	
Stakeholder Analysis (1-2)	☐ ☐	
“As-Is”-“To-Be” Gap Analysis (1-3)	☐ ☐	
Impact Analysis (1-3)	☐ ☐	
Stakeholder Analysis and Mapping (1-3)	☐ ☐	
Readiness Check (1-3)	☐ ☐	
PLAN:		
Revised Objectives (2-1)	☐ ☐	
Monitoring and Evaluation Framework (2-1)	☐ ☐	
Risk Mitigation Strategy (2-1)	☐ ☐	
Assumptions and Principles (2-1)	☐ ☐	
Key Activities, Timeframes and Budget Estimate (2-1)	☐ ☐	
Project Charter and RACIE (2-2)	☐ ☐	
Change Project Work Plan (2-2)	☐ ☐	
Learning Plan (2-2)	☐ ☐	
Communication Plan (2-2)	☐ ☐	
IMPLEMENT:		
Status Reports (3)	☐ ☐	
Oversight Assessment (3)	☐ ☐	
ANCHOR / PROMOTE CHANGE AND INSTITUTE CONTINUOUS IMPROVEMENT:		
Rewards and Recognition Program (4-1)	☐ ☐	
Ongoing Learning (4-1)	☐ ☐	
Close-Out Report (4-2)	☐ ☐	
Lessons Learned (4-2)	☐ ☐	



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PWGSC Change Management Process Overview Template

Initiative name:	
Branch name:	
Completed by:	
Last revised by:	

Internal / External change catalysts	
Describe the environmental influences	•
Describe the market conditions	•
Describe the business imperatives	•

In light of your Branch's specific mandate and the planned change initiative:

Departmental Strategies	
Describe the mandate	•
Describe the vision	•
Describe the values	•
Describe the strategies/priorities	•



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Describe the goals/objectives

•

PWGSC Change Management Process Overview Template

Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative Departmental Management Process				
1- IDENTIFY				
Purpose of the change: ■ Understand the drivers of change. Understand the root causes, and the interdependencies, of the observed business performance across all Content areas ■ Develop a preliminary appreciation of the change initiative's stakeholders and their needs ■ Establish a core team of stakeholders who will help guide the change initiative from beginning to end ■ Get approval from senior management on the case for change		■ Gathering key stakeholders potentially affected by the change to ensure the case for change is socialized where needed to ensure buy-in into the "burning platform" for change; create a sense of urgency. Making people aware of the case for change and staying on message with your engagement material (even the Vision is not yet defined) ■ Engaging the organization culture & human dynamics at play in the change initiative ■ Ensuring leaders have the proper knowledge & capabilities to explain the CM approach and the case for change ■ Establishing early roles, review & develop leadership skills for each CM process step Identifying a Change Sponsor and a Change Executive		



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative / Departmental Management Process				
1- IDENTIFY				
Vision 1-2 “As-Is” & “To-Be” - States of the Business: ■ Establish a clear Vision and Mission ■ Identify new business features and innovations to realize them ■ Recommend a business model ■ Establish the scope of the change initiative ■ Get approval from senior management on the Vision, Mission and desired End-State of the business			■ Ensuring leaders commit to the outcome sought through a formal Sign-Off and by having them commit to deliver the message to staff at all possible occasions ■ Creating and clarifying alignment around the Vision and Mission and mobilizing support among the executive team by having them deliver the message to staff ■ Involving formal and informal leaders from all levels in the development of the Vision for the “To-Be” to ensure their buy-in. Surface any potential difficulties and create a coalition for change ■ Engaging Communication professionals & stakeholders to build two-way communication & engagement strategy ■ Staying on message and repeat it at least seven times to the same audience; use the 22 words, seven seconds approach to ensure you have an “elevator conversation” pitch ■ Modeling being ambassadors for the Vision: speak often to the 5P2R (change Purpose, Picture, Plan, employee Participation, impact on Position, Reinforcement and Recognition) ■ Getting the Sponsor to communicate the Vision at-large to all staff and clients	



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process				
1- IDENTIFY				
1-3 Assess the current organization impact and readiness - Analyze gaps (what should be maintained, improved, discontinued, and introduced in the Content areas), between the “As-Is” state and the “To-Be” State - Assess potential impacts of implementing change vision - Develop final stakeholder map and analysis and determine who needs what messaging when and how - Assess readiness to initiate change			- Getting the Sponsor to stress the importance of the Impact Assessment - Setting realistic timeframes for planning & implementing the Gap and Impact Analyses - Planning time & space on the management agenda to lead & manage change by reviewing and analyzing the Gap and Impact analyses and considering the weakness revealed by the Change Readiness Assessment - Being mindful of the “Marathon Effect” by implementing low people impact, high yield “Quick Wins” during or right after the Impact Assessment - Planning for people to embrace this change initiative by identifying and managing points of support & resistance, messaging and potential alliances for change - Informing staff about the Impact Assessment and speaking to 5P2R (change Purpose, Picture, Plan, employee Participation, impact on Position, Reinforcement and Recognition)	



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Defining and Managing the change initiative /Departmental Management Process			
1- IDENTIFY			
		■ Involving HR, communications and IT professionals in the Gap Analysis ■ Involving HR and communications professionals in the Impact Analysis ■ Consulting with clients and suppliers to understand how the change will impact them ■ Communicating the results of the Impact Assessment in a way that comfort employees ■ Taking measured corrective actions to ensure that the organization is ready for change ■ Postponing a change if the level change fatigue revealed by the Impact Assessment is too high. ■ Creating an atmosphere of transparency for having the truest possible assessment of the impact of change	



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process				
2- PLAN				
2-1 Develop Change Strategy ■ Understand key findings from “As-Is”-“To-Be” Gap Analysis; Impact Assessment; Stakeholder Analysis; and Readiness to Initiate Assessment ■ Adjust the Change Program’s / Project’s Objectives ■ Adopt a Risk Mitigation Strategy ■ Identify Key Performance Indicators for the change effort and for measuring the performance of the To-Be ■ Make explicit the assumptions and principles guiding the strategic planning ■ Clearly describe the strategies to transition and transform the business to its desired End-State			■ Reviewing “Lessons Learned” from previous changes, gathering a wider collation of stakeholders to develop the strategy; using workshops to do so in order to ensure buy-in and a growing coalition for change ■ Managing expectations by under-promising in order to over-deliver on a strategy based on an in-depth understanding of the Impact of Change and the organization’s Readiness to change ■ Working with a wider community of stakeholders to respect the change Magnitude, Scope and Impact Involving informal leaders in strategy development to create a network of influential spokespersons in favor of the strategy ■ Communicating the strategy and paying attention to speaking to 5P2R at every opportunity ■ Repeating the message at least seven times to all audiences; putting yourself in their shoes and answering questions about the impact on jobs / positions	



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Defining and Managing the change initiative /Departmental Management Process			
2- PLAN			
▪ Identify key activities, milestones and estimated budget ▪ Define CM governance, roles & resources required ▪ Establish change governance, initiative leaders and resources		▪ Through a network of “communication monitors”, trying to get feedback from the staff as to what is being understood / retained or not from the messaging ▪ After not involving staff in a change effort, under-resourcing is the second most common cause of failure of change efforts. Sufficient resourcing is key to success; not proceeding with an under-resourced change effort is wiser than going ahead with it. Ensuring effective linkages between change leaders, operational managers, & employees by requiring leaders and managers to meet often with staff to explain the strategy	



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process		2-2 Develop a CM work plan: ■ Establish a Project Charter ■ Clarify support roles for leaders at all levels ■ Build a comprehensive work plan that involves all impacted groups process & content ■ Schedule key change activities ■ Develop a communications/ engagement plan and review often ■ Develop a Learning Plan ■ Conduct a Readiness to Launch Assessment		■ Making sure "Quick Wins" are planned for during, (at maximum), the first third of the project's lifetime (sooner if project does not exceed 18 months.) ■ Setting realistic timelines; better to under-promise and over-deliver ■ Establishing critical mass of key stakeholders through participation ■ Define internal/ external stakeholder engagement & communications requirements and build multiple vehicles for info /sharing: consultation, input to decision-making, feedback to support the change plan ■ Put the right people in charge of the change ■ Communicate a clear story of the "what" and "why" of the change ■ Ensure all players understand the game plan and their role for change implementation ■ Maintain consistent messages for change leaders



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process				
3- IMPLEMENT				
3 Implement (a change work plan:) ■ Implement activities in work plan ■ Make sure Quick Wins are achievable within one-third of the timeline of the project ■ Monitor & review progress against work plan & course correct as needed ■ Understand blockages & modify strategies ■ Conduct an Oversight Review ■ Gather, compile, analyze and share Lessons Learned			■ Overtly modeling the change you are asking of others ■ Maintaining effective working relationships & partnership through frequent communications and implementation “work-out” sessions ■ Staying involved all the way through by being visible to all staff; talking often to staff affected by the change ■ Obtaining timely input from those impacted by the change ■ Anticipating “ups” & “downs” of change implementation dynamics & adapting to them by talking openly with other leaders about the situations ■ Making a concerted effort to understanding and address resistance by keeping the dialogue open ■ Staying in control by building in check points ■ Celebrating achievements ■ Recognizing efforts & results ■ Ensuring accountability through strict adherence to the RACIE and Project Charter ■ Communicate progress and successes to internal/external stakeholders	



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT		Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process		4-1 EMBED	4-1 Anchor changes and promote organizational learning: ▪ Build new measures and accountabilities into performance mgmt system ▪ Supply learning programs and activities ▪ Recognize and reward new behaviors that support the change	▪ Remembering that change happens one person at a time and that formally and publicly recognizing new adopters to create a snowball effect ▪ While implementing, regularly measuring key indicators such as: a) the speed of adoption of new behaviors; b) the ultimate utilization of the new behaviors and c) the level of proficiency of staff with new work conditions ▪ Ensuring organizational systems anchor new ways of doing business ▪ Ensuring performance management anchors new ways of doing business ▪ Negatively reinforcing behaviors that are not consistent with the To-Be ▪ Re-enforcing creation of new values, set practices and organization culture



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Change Management Issues to consider PEOPLE/PROCESS/CONTENT	Your initiatives PEOPLE/PROCESS/CONTENT	Change Leadership Issues to consider PEOPLE/PROCESS/CONTENT	How are you addressing Change Leadership issues? PEOPLE/PROCESS/CONTENT
Defining and Managing the change initiative /Departmental Management Process 4- EMBED 4-2 Institute on-going & continuous improvement: ■ Proceed to a clear hand-off through a Project Close-Out Report ■ Act on Lessons Learned ■ Capture & communicate "best practices" ■ Continuously assess implementation and share results with stakeholders ■ Promote on-going & continuous improvement through leadership practices, systems & tools		■ Ensuring a governance mechanism is instituted to ensure that project "hand-offs" are indeed being addressed. ■ Conducting a formal Lessons Learned exercise with all major stakeholders in the project, including clients ■ Strengthening on-going organizational learning capacity by documenting and publicizing Lessons Learned ■ Building change capability into organizational "mindsets" and "skill sets" & "workflow" ■ Instituting a continuous improvement mindset by establishing a mechanism to capture & quickly apply innovations ■ Checking the ongoing adequacy of the training / learning offered	

Results	
Describe the expected outcome	
Describe the performance indicators “SMART”	

Described feedback received	
Describe Course Correction	

Follow-up	

Public Works and Government Services Canada Change Management Oversight Manual

Part of the PWGSC Change Management Toolkit



"Culture eats strategy for breakfast" – Ford Motor Company



Change Initiative Name:

Start Date:

Project Sponsor:

Project Leader:

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

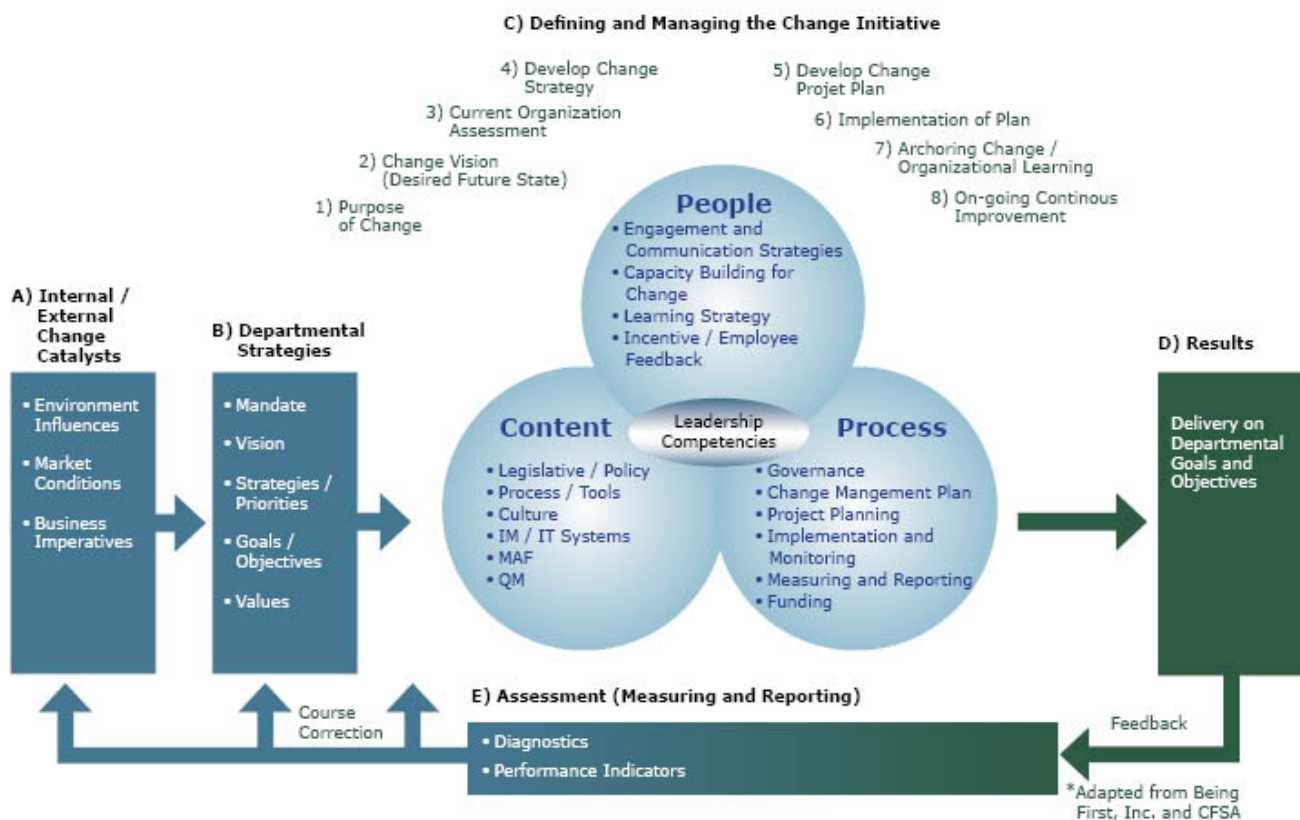
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Introduction

The Oversight Manual is based on the PWGSC Change Management (CM) Framework (Figure 1 below). It is part of a suite of Change Management tools and templates that the Change Process Office has developed on behalf of the Department.

PWGSC Integrated Change Management Framework



The Manual is intended to support Change Sponsor, the Executive Team and/or the Initiative Leader responsible for the design and implementation of large-scale organizational change efforts.

This Manual is a tool, presented in the form of checklist and workbook, to support oversight decision-making in: verifying that critical management and leadership CM success factors are in place to succeed in an organisational change and; identifying where course corrections may be required to ensure the successful implementation of the change.

It addresses both the Process management and the People leadership aspects of implementing an organisational change.

Overview of the Departmental Change Management Framework and Process

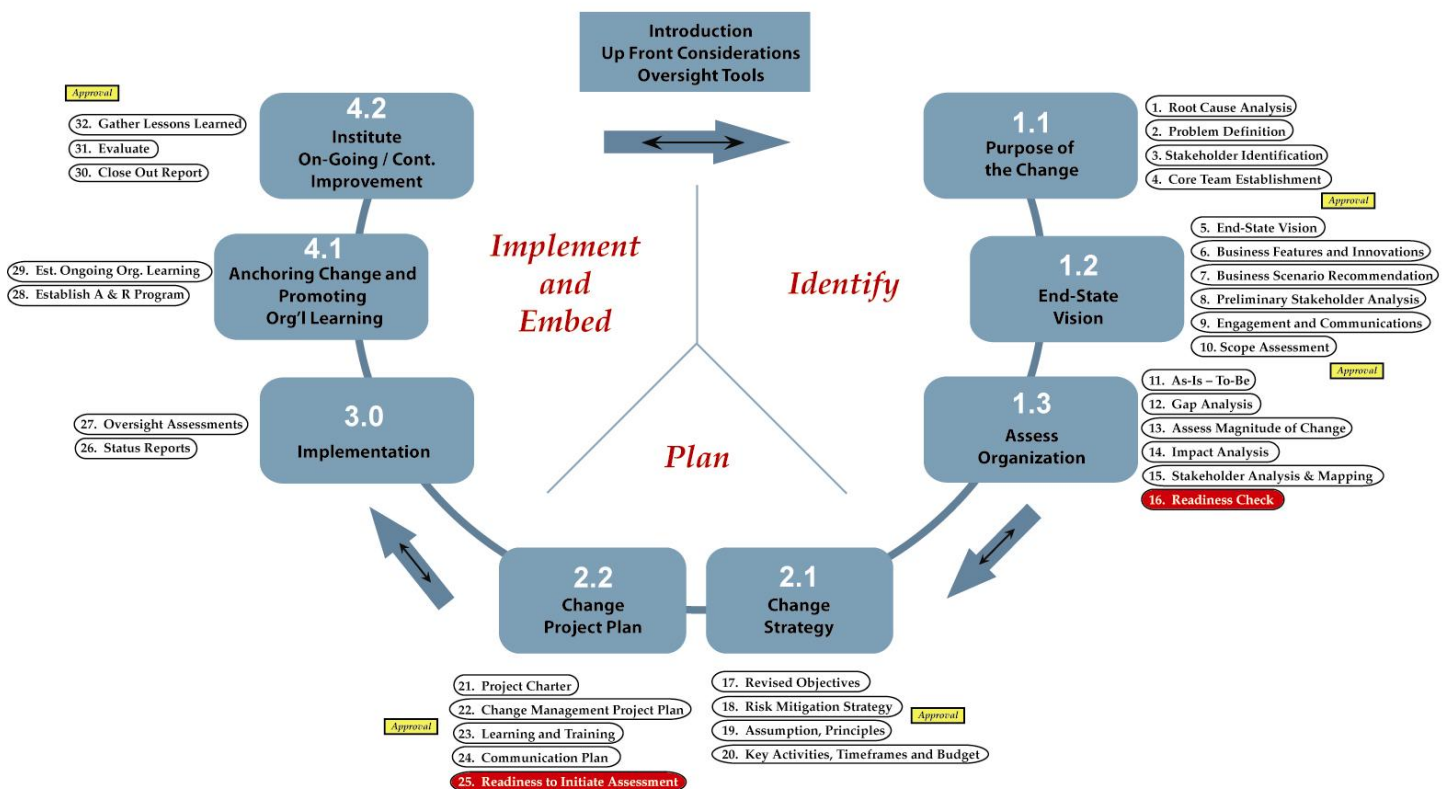
Steps one (1) to eight (8) in the above CM Framework diagram constitute the CM Process. Applying these eight process steps to a change initiative and working through them will:

- Provide structure to change activities,
- Help align collective thinking on how to go about the initiative,
- Ensure that proper documents are produced
- Ensure that leadership -- and other -- conditions critical to a change initiative's success are in place.

Key deliverables of the Process are shown as ovals in Picture 2 below.

[\(Click to open full size PDF of Chart\)](#)

PWGSC Change Management Process Tools and Templates



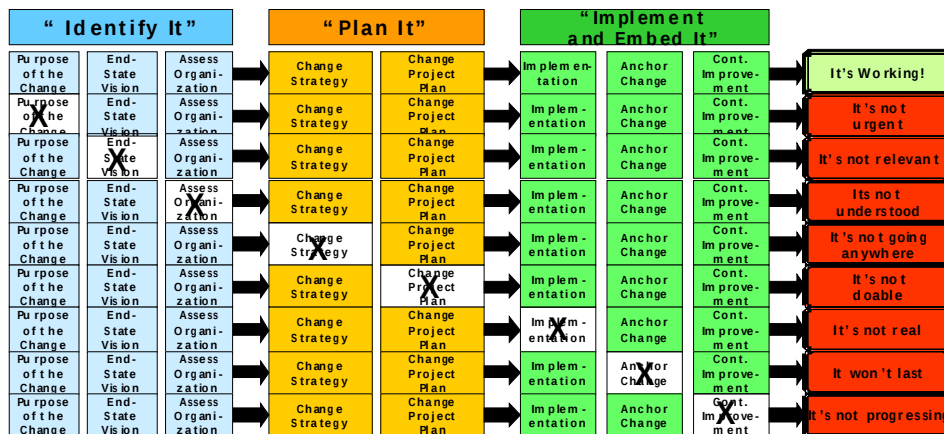
Why use this Manual

The following diagrams illustrate why it is important to follow the CM Process and why, by using this manual, you will understand better why a change effort is succeeding or not.

"See It"		"Own It"		"Live It"		
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's Working!
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's not urgent
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's not real
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's not of value
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's not going anywhere
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's not possible
Case for change	Committed leadership	Clear WIIFM	Concrete plan	Tools in place	Reinforcement	It's Not Sustainable

Respect – Integrity – Excellence – Leadership

Why The **Change Management Process** is so Important: don't miss a step or....



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⁹ It is worthy to note that omitting or not completing the early steps in the design of the change process can lead to difficulties in the later stages of implementation.

How to use this Manual

Start by reading all sections of this Manual to get the overall picture of the CM Process and critical success factors.

If you are about to start a change initiative, concentrate on completing the first few steps. If you are in the midst of a change or have completed it and you wish to draw lessons, complete all relevant sections.

For each step, you will find a list of indicators, as well as suggested sources of information to collect the necessary information. You will also find blank pages for note taking.

Section A- Internal/External Change Catalysts (Organizational Level)

Purpose:

To proactively understand and respond to internal and external influences impacting the organization.

		Completed	Action required
1.	A process is in-place to routinely monitor, capture, analyse and respond to change catalysts (environmental influences, market conditions and business imperatives) influencing business requirements from all touch points. i.e. government, account execs and front-line employees.	☐	☐
2.	The Executive/ management team regularly reviews change catalyst analysis.	☐	☐
3.	Change catalysts impacting the government of Canada and PWGSC are well understood through all levels of the organization. A process exists to communicate change catalysts across the organization.	☐	☐
4.	There exists policy capacity to analyse and understand the laws, regulations, and policy instruments that govern departmental operations from a strategic perspective and to anticipate the impact of proposed policies and to engage central agencies and other departments on an ongoing basis.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Executives and Senior Managers
- Review of Business Planning Documents
- Executive Committee Record of Decisions
- Communications
- Environmental Assessment Documents
- Customer Relationship Management Tools

Related tools: PWGSC Change Management Framework, CM Process and Toolkit

Notes:

Section B: Departmental Strategies (Organizational Level)

Purpose:

To ensure that the organization has established relevant, coordinated and systematic direction and guiding principles from which all decisions, business and operational plans are aligned.

		Completed	Action required
1.	Employees are able to articulate their alignment to departmental strategies (mandate, vision, values, strategies/priorities, goals/objectives)	☐	☐
2.	Decisions and planning throughout the organization are aligned to departmental strategies (vision, values, mandate, strategies/priorities, goals/objectives)	☐	☐
3.	Departmental strategies (vision, values, mandate, strategies/priorities, goals/objectives) are regularly reviewed in-light of environmental influences in order to ensure relevancy	☐	☐

Observations:

Potential Information Sources:

- Interviews with Executives and Senior Managers
- The source: Mission, vision and mandate
- Review of Strategic Framework
- Review of Records of decision--Executive Management Committees
- Communications/Focus Groups

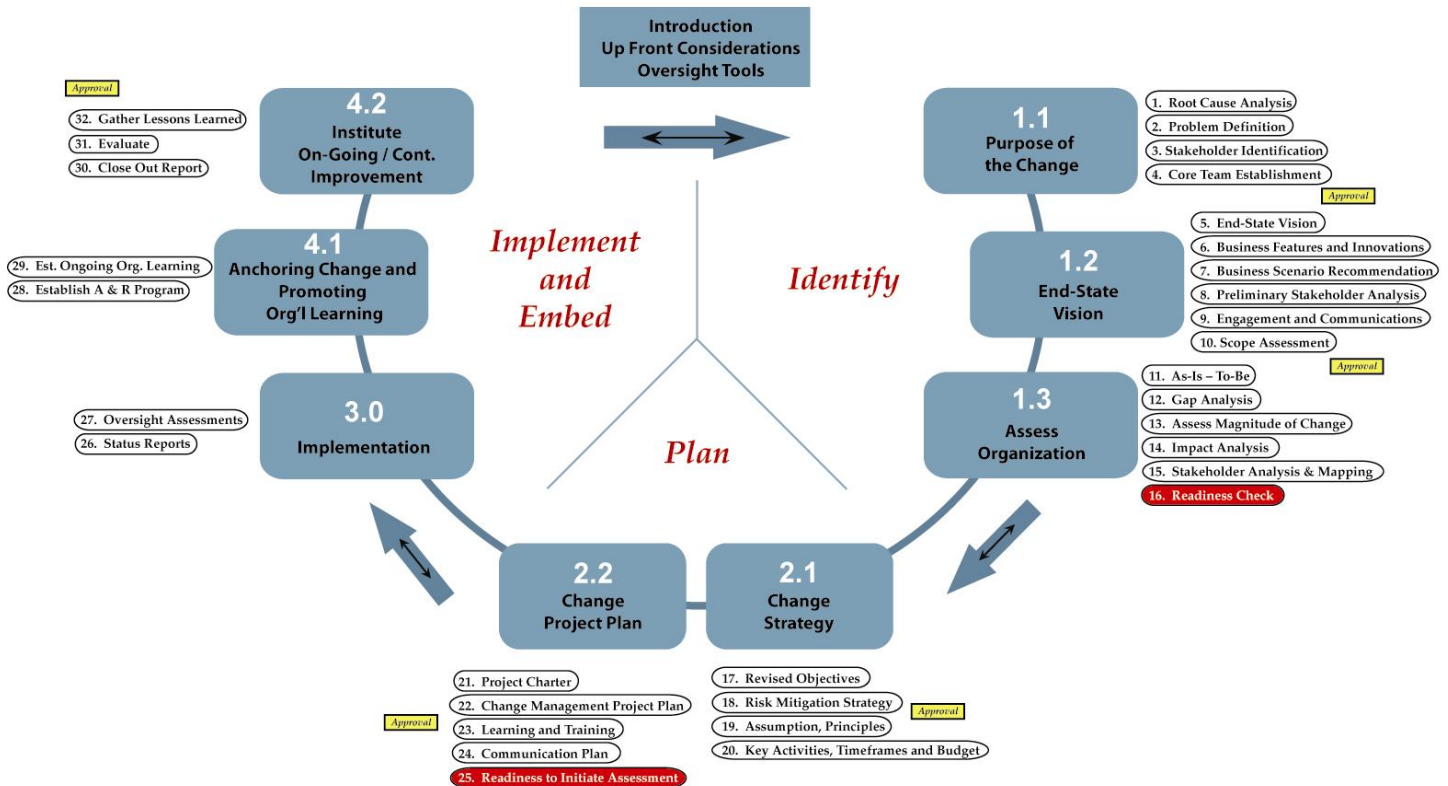
Related tools: PWGSC Change Management Framework, CM Process and Toolkit

Notes:

Section C: Defining and Managing the Change Initiative
(Process part of PWGSCs CM Framework--detailed requirements follow section E).

[\(Click to open full size PDF of Chart\)](#)

PWGSC Change Management Process Tools and Templates



1. Identify

1.1 Clarify the Purpose of the Change

Purpose:

To establish a clear case for change in order to establish relevance to an organization, its employees and stakeholders. This is key to aligning purpose, establishing urgency, and motivating action in support of the change effort.

		Completed	Action required
1.	The underlying drivers of the change are understood.	☐	☐
2.	The changes sought support departmental and government priorities.	☐	☐
3.	There is agreement amongst senior leadership that the outcomes sought will bring about on-going success	☐	☐
4.	The initial scope and targets of the change have been clarified as a basis for developing a comprehensive organizational change plan.	☐	☐
5.	Organizational culture has been addressed in the business case.	☐	☐
6.	The business need for change has been discussed with key stakeholders and partners to help generate the broad support that will be required for successful implementation.	☐	☐
7.	A compelling case (goals, benefits of doing and consequences of not doing) for change has been prepared for communications and engaging the organization in support of the change.	☐	☐
8.	Early roles have been established and change leaders possess the necessary knowledge and capabilities required to successfully lead the change.	☐	☐

Observations:

Potential Information Sources:

- Business Case: Business Process Overview and Business Problem Assessment (SWOT, Fish Bone Analysis and Logic Model)
- Review of environmental assessments
- PWGSC Executive Committees: Review of Records of decisions
- Interviews with Change Sponsors, Executives and Senior Managers
- Leader's past performance results
- Learning needs assessments and curriculum for executives and managers

Related tools: PWGSC Change Management Framework, CM Process and Toolkit CM Snapshot

³Highlighted statements are major determinants of success and are aligned with Harold L. Sirkin, Perry Keenan, and Alan Jackson, “The Hard Side of Change Management”, Harvard Business Review, October 2005. pp. 109-118.

Notes:

1.2 Describe the End State Vision

Purpose:

To establish a picture of both the current state and the future organization (end state) as it would look following the successful implementation of the change. The description of the desired end state serves as a guiding light for all stakeholders throughout all phases of the change.

		Completed	Action required
1.	There is a process for obtaining involvement and commitment of internal and external stakeholders and key partners in the development of the change vision.	☐	☐
2.	The initial vision (end state) and scope of change has been clearly defined and is commonly understood by leaders and stakeholders.	☐	☐
3.	Senior organization leadership is aligned around this initial description of the transformed service delivery values, process, new business practices, as well as future organizational structure, roles and culture.	☐	☐
4.	The new organization practices, competencies and culture that will be required in the future organization have been described.	☐	☐
5.	Leaders are modeling the desired changes.	☐	☐
6.	Politics and competing priorities are understood and managed.	☐	☐
7.	The expected outcome is clearly defined.	☐	☐
8.	Communication professionals are involved in the initiative and there exists two-way engagement/communications processes.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Executives and Senior Managers
- Interviews with key internal and external stakeholders and partners and clients
- Review of Change Vision (End-state vision, Business features and Innovations, Business Scenario Recommendation)
- Review of Records of decision

**Related tools: PWGSC Change Management Framework, CM Process and Toolkit
PWGSC CM System and Snapshot**

Notes:**1.3 Assess the Organizational Readiness****Purpose:**

To identify the gaps between the current state and desired future organization as the basis for identifying changes required and developing a comprehensive change strategy and plan.

		Completed	Action required
1.	The gaps between the current and the end state organization have been identified in order to clarify change requirements.	☐	☐
2.	The impact of implementing the change on key internal and external stakeholders, clients and partners (with their input) has been assessed.	☐	☐
3.	A risk assessment and associated mitigation strategies have been developed.	☐	☐
4.	Targeted engagement strategies for key individuals and groups have been identified to overcome expected resistance and broaden support for the change.	☐	☐
5.	There is sufficient capability in place within the organization (or with the assistance of consultants) to plan and lead the change effort.	☐	☐
6.	Sufficient capacity (financial and human) is in place to support the next phase of the transformation initiative.	☐	☐
7.	The timeframes for planning and implementing the change are realistic in addition to managing operational requirements.	☐	☐
8.	Readiness to initiate the change has been assessed both within the organization and with key external stakeholders and partners through an assessment of the gaps that have been identified in oversight manual to date (including sections D and E)—pay special attention to any of the items highlighted.	☐	☐

Observations:

Potential Information Sources:

- Change Initiative Planning Documents (As is--To Be gap analysis, Impact Analysis, Change Readiness Assessment)
- Interviews with Change Sponsors, Executives and Senior Managers
- Review of Business Planning Documents
- Review of records of decision

Related tools: PWGSC Change Management Framework, CM Process and Toolkit**Notes:****1.3.1 Change Leadership⁹****Purpose:**

A sub-element of the current organization assessment phase, to determine whether change leaders and managers are prepared with the knowledge, skills and organizational support required in order to successfully lead the change.

		Completed	Action required
1.	Resources are established to assist executives and managers in understanding their change leadership roles and what is needed to fulfill them--including approach.	☐	☐
2.	Leaders have reviewed lessons learned from previous changes undertaken in their organization as well as best practices in change leadership and change management from other departments/organizations.	☐	☐
3.	Change leaders are aligned around the change management methodology and have a clear understanding of PWGSC's Change Management Framework and Process.	☐	☐
4.	Stakeholders and their associated interest have been identified. As well, politics, organizational change history and culture have been reviewed.	☐	☐
5.	Leaders act as role models for the types of changes in mind-set, ways of working, and culture needed to build commitment to successfully implement the change.	☐	☐
6.	Leaders are mindful of potential negative ramifications of a "marathon effect" whereby they finish their part of the initiative (up-front strategic planning), before most of the other stakeholders involved have even begun.	☐	☐
7.	Leaders have committed to minimizing any increase in workloads in order to complete the planning and implementation of the transformation initiative.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Executives and Senior Managers
- Change Initiative Planning Documents
- Learning needs assessments and curriculum for executives and managers
- Leadership workshops on change management topics

Related tools: PWGSC Change Management Framework, CM Process and Toolkit

Notes:

2. Plan

2.1 Develop Change Strategies

Purpose:

To establish the strategies and supporting infrastructure that will be used to create the desired future state organization.

		Completed	Action required
1.	A change strategy with associated milestones, key activities, budget and a high level schedule has been defined that match the scope and requirement of the change—includes a Communications Strategy.	☐	☐
2.	Internal and external stakeholders were involved in developing the change strategy and its associated elements.	☐	☐
3.	There is alignment and effective working relationships at the leadership level in support of a multi-year change strategy and plan.	☐	☐
4.	The initial governance structure and project team required to, plan and manage the change along-side on-going operations is clarified and in place—with clearly defined roles and responsibilities.	☐	☐
5.	Communications and engagement activities are high-priority activities and are regularly monitored.	☐	☐
6.	Readiness to launch has been assessed both within the organization and with key internal and external stakeholders. (An assessment of the gaps that have been identified in the oversight manual to date—special attention should be paid to highlighted statements.)	☐	☐
7.	Leading and lagging performance indicators have been identified to measure the extent to which the expected outcome has been achieved. Ensure that expected results are achieved. Performance indicators are SMART (specific, measurable, achievable, relevant and timed.)	☐	☐

Observations:

Potential Information Sources:

- Change Initiative Planning Documents (revised logic model, risk mitigation strategy, assumptions, principles, key activities, timeframes and budget)
- Interviews with Change Sponsors, Change Project Managers, Executives and Senior Managers
- Interviews/ Focus groups with cross-section of employees, external stakeholders and partners

Related tools: PWGSC Change Management Framework, CM Process and Toolkit
PWGSC Risk Management Framework and Guidelines

Notes

2.2 Develop Change Project Plan

Purpose:

To develop a road map for the organization and stakeholders to follow in the rollout of the change strategy and initiatives. The plan is key to effectively defining activities, using resources, monitoring implementation and assessing results over the course of implementation.

		Completed	Action required
1.	A work plan, endorsed and supported by the executive team, has been developed with input from all impacted process and content groups. The plan contains supporting organizational communications, engagement, rewards and recognitions, and learning plans.	☐	☐
2.	The plan describes the project governance structure, resource requirements, project components, roles, accountabilities and authorities, timelines, milestones, activities and key dependencies.	☐	☐
3.	The plan has realistic timelines and includes early successes and visible events over the life of the initiative to maintain support and build momentum.	☐	☐
4.	Risk management planning including mitigation strategies and reporting processes are in place as per departmental Risk Management Framework. Risk management includes the assessment of competing priorities.	☐	☐
5.	The change plan identifies how accurate information during implementation will be obtained in order to support effective decision-making and necessary course corrections.	☐	☐
6.	Plans and activities are in place to assess and address communication and engagement effectiveness.	☐	☐
7.	When required, the need for stakeholders to develop their own change management, communications and engagement plans have been identified with the stakeholder and identified as a project risk that is monitored.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Change Initiative leads, Project Managers
- Review of Business Planning Documents
- Change Initiative Planning Documents (project charter, RACIE, CM Project Plan, Learning and training plan, Communications plan)

Related tools: PWGSC Change Management Framework, CM Process and Toolkit

Notes

3. Implement: Implement the Change Project Plan

Purpose:

Effective implementation of the change plan and to build the required critical mass to establish change objectives.

		Completed	Action required
1.	Progress against the work plan (milestones and activities) is monitored and reviewed at both the organization and initiative level and corrective action is taken and communicated when required.	☐	☐
2.	Effective collaboration between executive sponsors, change leaders and change initiative owners has been established.	☐	☐
3.	Change sponsors and initiative leads communicate with stakeholders through multiple channels at appropriate points in time. Momentum is built through communicating updates and success stories as progress is made.	☐	☐
4.	Leaders, sponsors, agents, targets and key stakeholders are accountable through performance agreements and such for adopting the new behaviors and implementing changes associated with the desired end-state.	☐	☐
5.	Learning programs to provide new knowledge, skills and competencies are being offered and are effectively supporting the change.	☐	☐
6.	Celebrations of the achievement of project milestones and key deliverables are used to recognize effort and results achieved and re-energize commitment and momentum for the change.	☐	☐

Observations:
Potential Information Sources:

- Interviews with Executive Sponsor(s) of Change and members of Senior Leadership
- Group interviews/ Focus groups with cross-section of employees at various levels
- Interviews with Key External Stakeholder Representatives and Partners
- Change Initiative Planning Documents (status reports, oversight assessments)
- Review of records of decision.

Related tools: PWGSC Change Management Framework, CM Process and Toolkit

Notes

4. Embed

4.1 Anchoring Changes and Promoting Organizational Learning

Purpose:

To ensure that leadership and organizational systems support and reinforce the establishment of the desired state and new ways of working

		Completed	Action required
1.	There is a clear break with the old ways of working and the newly established organization and work practices.	☐	☐
2.	Measures and accountabilities are in place and reflect the desired state.	☐	☐
3.	The organizational system-programs, stories, HR, staffing, performance management, learning and development, rewards and recognition and succession planning are designed to strengthen the new ways of working and are aligned with the new culture and strategic direction of the organization.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Executives and Senior Managers
- Organizational Performance Data
- Employee Survey and/or Focus Groups
- Stakeholder and Partner Interviews and/or Focus Groups
- Client Satisfaction Surveys and/or Focus Groups

Related tools: PWGSC Change Management Framework, CM Process and Toolkit
PWGSC HRB Intranet site.

Notes:

4.2 Institute On-Going Continuous Improvement

Purpose:

Ensure there are processes in place to continuously identify and support organizational improvements.

		Completed	Action required
1.	Project Closeout and Lessons learned have been completed with stakeholder input and forwarded to the Departmental Change Process Office. Resultant best practices, lessons and action items have been integrated into organizational practices at the appropriate level.	☐	☐
2.	Organizational governance structure, systems, workflow and tools are in place to monitor and review results so that areas for improvement are identified and acted upon. Note:. Stakeholders (internal and external) are involved in the process.	☐	☐
3.	As per the PWGSC Change Management Framework (section A,) the organization regularly monitors and evaluates internal and environmental factors that may necessitate organizational changes.	☐	☐
4.	A clear hand-off of project follow-up items has been done using a RACIE matrix type of approach.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Executives and Senior Managers
- Organizational Performance Data
- Governance Structure and Terms of Reference
- Minutes from Executive Committee Meetings
- Business Plans and Reports
- Project close-out report (including lessons learned appendix)
- Employee Survey and/or Focus Groups
- Stakeholder and Partner Interviews and/or Focus Groups
- Client Satisfaction Surveys and/or Focus Groups

Related tools: PWGSC Change Management Framework, CM Process and Toolkit
PWGSC Quality Management Framework and tools.

Notes:

Section D: Expected Results

Purpose:

To assess whether or not the change initiative is on course to achieve the expected outcome.

		Completed	Action required
1.	The expected outcome is clearly defined.	☐	☐
2.	Leading and lagging performance indicators have been identified to measure the extent to which the expected outcome has been achieved. Ensure that expected results are achieved. Performance indicators are SMART (specific, measurable, achievable, relevant and timed).	☐	☐
3.	A monitoring system and an evaluation framework are in place.	☐	☐

Observations:

Section E: Assessment

Purpose:

To assess and manage the results throughout the process.

		Completed	Action required
1.	There is a process in place for obtaining feedback from the various stakeholder groups (content and process)	☐	☐
2.	There is a structure in place at the Branch/Department level to provide oversight regarding the implementation of the various change initiatives underway.	☐	☐
3.	There is a structure in place that allows for course correction.	☐	☐

Observations:

Potential Information Sources:

- Interviews with Change Sponsors, Executives and Senior Managers
- Organizational Performance Data
- Governance Structure and Terms of Reference
- Business Plans and Reports

Related tools: PWGSC Change Management Framework, process and templates.

Annual PWGSC Business Planning and Reporting tools guidance documents, PWGSC's Governance structure

APPENDIX 1: Definitions

Change Management

A structured approach to transitions in individuals, teams, organizations and societies that moves the target from a current state to a desired state.

Change Leadership

Change leadership is the accountability and responsibility to create and then drive a change vision that is aligned to the organization's mission and set the strategic direction. To be successful, change leadership requires the creation of the burning platform, overseeing the change initiative and dealing with the politics. Change leadership includes creating a common change vision for all stakeholders including its entire workforce whose involvement will directly impact the success of the change.

Change Sponsor

Is the change champion and has ultimate responsibility for change. Not normally involved in the day-to-day management of the change, the change sponsor supports and monitors its progress and models the new reality. This individual sets the direction and parameters and ensures that the necessary resources are available throughout the change process.

Executive Team

The executive team in which the change is taking place is responsible for not only running the organization; but also, shaping and making decisions regarding the change. They must prioritize and manage the organizational constraints, conflicts and interdependencies that occur between operational and change activities. They must also model the new reality.

Change Initiative Leader/Team

Individual or cross-functional team with the delegated authority to shape the change strategy and allocate resources. Oversees the strategy level of the planning, design, integration and implementation of the change process. Actively involved in directing and guiding communications and course correcting implementation. Depending on the size of the initiative may be the same as the executive team.

Change Project Leader

Reporting into the Change Leader/Change Team, this individual is responsible for understanding the deliverables and leading technical aspects of the change project or change sub initiative through the various phases in the change process. Ensuring effective management and integration they are responsible for the planning, implementation, monitoring and control, anchoring and closing the project. The change leader is responsible for creating strong project level engagement of stakeholders.

Change Communications and Engagement

Is there a shared responsibility among all levels leading the change effort? It is fundamental—informing, guiding, seeking council and ensuring that stakeholders are working towards a common goal. It is meant to create understanding, meaning, and promote attitudes and behaviors to help achieve organizational success. It can include a range of activities: letters, emails, internet, town halls, learning sessions, focus groups,

meetings, one on one interaction—it is not just one-way communication. Engagement and communications activities should be consistent, coherent and coordinated.

Internal and External Stakeholders/Partners

Individuals, groups and organizations that have an interest or impact on the change initiative and its outcomes. Internal stakeholders include: Branch/departmental employees and managers, staff/support functions and unions. External stakeholders and partners include: employees and managers in other government departments, central agencies, clients, suppliers, industry players, regulatory and legislative bodies, etc.

Business Transformation

Represents a significant change to how an organization will operate in order to meet its mandate and mission. It may include changes to organizational structure, roles and responsibilities, relationships, culture, processes and technology.

Change Initiative

A project that forms part of a broadly focused change strategy that addresses a key area in the organization undergoing transformation. Typically implemented with the involvement of internal and/or external stakeholders. Change initiatives may include; e.g., implementing new systems for delivering work with supporting initiatives in job re-classification and associated training to provide new knowledge and skills.

PWGSC Change Management Framework and Process

A departmental resource offered by the CPO for change initiative leaders, managers and employees that include a description of the steps of effectively leading and managing large organization changes supported by an integrated tool set.

Change Management

A project derived from a business strategy that will change an organization. It will involve stakeholders and may include, implementing new systems, processes or cultures and will include sub-activities outlined in the Change Management Framework.

Much of this material was adapted from “Leading Transformation” (Being First, Inc.)

APPENDIX 2: Data sources and Collection Methods

Potential individuals and groups from which to gather information may include:

• Senior executives (change sponsors) • Change Initiative leaders (Project Managers, Mid-Managers, Supervisors and team leaders) • Managers and employees affected by the change	• Members of staff organizations (Corporate Planning, Finance, and HR Planning) • Employee Bargaining Agents • External stakeholders and clients
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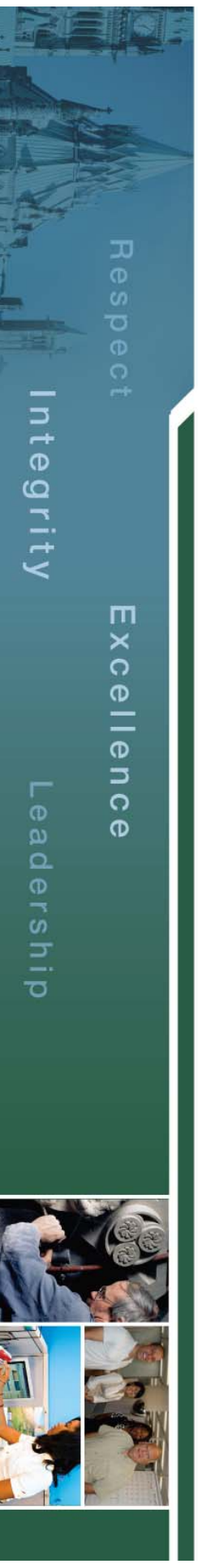
Table of Data Collection Methodologies

Methodology	When to Use	Advantages	Disadvantages
Document Reviews	• To develop a baseline of the status of implementation • To establish current practices related to change planning, change management, change communications and engagement, monitoring and reporting on change initiatives, etc. • To identify information gaps exist and determine and what additional information to collect	• Available • Grounded in setting and language in which they occur • Inexpensive • Unobtrusive • Useful for determining value, interest, positions, political climate, attitudes • Ongoing comparison with previous work • Provides a baseline insight into culture	• May be incomplete • May be inaccurate • Locating suitable documents may pose challenges • Analysis may be time consuming and access may be difficult
Interviews Formal or informal discussion with an individual	• When current information as well as perceptions on the emerging state of the initiative is needed • When you want in-depth information from key people or information that is targeted for specific individuals • When sufficient time is available to conduct and collate data collected	• Permit face-to-face contact with respondents • Provides opportunity to explore topics in depth • Allows interviewers to explain or help clarify questions, increasing the likelihood of useful responses • Generally yields highest cooperation and lowest refusal rates • Allows for longer, more complex interviews • High response quality • Provides a baseline insight into culture	• Interviewer can influence the responses • Interviewee may distort information through recall error, selective perceptions, desire to please interviewer • Interviewer clarifications can result in inconsistencies • Volume of information very large; may be difficult to record and reduce data • Most costly mode of administration • Longer data collection period • Not efficient for reaching large number of people
Focus Groups	• When a broader sensing of key groups or organization members is desired • Allows for asking direct questions and additional probing/pursuing issues raised by group	• Participants can build on each other's comments • Quicker than a survey • Less costly than survey • Can reach more people than interviews • Variety of ideas and opinions	• A group or an individual can dominate the session • Some opinions may not be heard in a group discussion • Success depends on group participation in discussion • Information gathered may

Methodology	When to Use	Advantages	Disadvantages
	- Allows for polling of groups to gather views and determine how widely opinions are held - Obtain in-depth knowledge - Understand a gap in understanding between groups of peoples, or prepare for a survey - Use when sufficient time is available to conduct and collate collected data.	Advantage of the shared experience	not represent the larger community
Workshops	- Effective for introducing models, methodologies related to change management - Opportunity for groups to learn and apply tools to organizational issues and provide input and feedback on change - Effective for communicating information related to change and for developing engagement	- Users are usually very motivated - Have flexibility over length and frequency of sessions - Can offer a series of workshops that build on one another - Users attending may have a broad range of skills	- Users attending may have a broad range of skills - May be hard to fit everything that you want to cover into a single workshop - Handling large groups for hands-on practice may be difficult. - Takes a lot of work to develop good workshops
Surveys Note: consult with your communications advisor as there are GC rules and procedures around Public Opinion Research requirements, -consider existing vehicles and data	- Effective for reaching a broad audience with a structured set of questions - Effective for polling within an organization population or key groups with relatively low time investment - Results need to be interpreted carefully - Can be followed up with focus groups to explore issues identified in survey results	- Good for gathering descriptive data - Can cover a wide range of topics - Relatively inexpensive - Can be analyzed using a variety of existing software - Can be administered by small team of people - Access to otherwise difficult to locate, busy populations	- Possible low response rate - Self-report may lead to biased reporting - Data may provide a general picture but lack depth - May not provide adequate information on context - Most difficult to obtain cooperation - No interviewer involved in collection of data - Need good sample - Slower data collection
Questionnaires Note: Consult with your communications advisor as there are GC rules and procedures around Public Opinion Research requirements, -consider existing vehicles and data	- Effective for obtaining information on specific topics - Can include both fixed and open-ended responses - Need to be carefully designed in order to obtain useful information - Helpful in both interview and survey approaches - Useful for collecting data from large populations and results can be analysed and compared quickly	- Large outreach - No interviewer bias - Convenient - Low Cost - Minimum staff time required - Easy to administer - Quick - Standardized - Can be used through-out the change process - Can provide a baseline.	- Possible low response rate - Possible under representation - No clarification of questions

In all cases when collecting data from organization members, be clear on issues such as how will confidentiality of the respondents be protected, what will be done with the data collected, who will have access to the data, and what next steps will result from the data collection activity?

It is important to carefully plan a data collection exercise to collect valid and reliable information and it may be appropriate to seek assistance as needed while planning your activity.



Why is Change Management Important?

- Overview of change elements to consider
- Change curve – Bringing employees from “unaware” to “action”

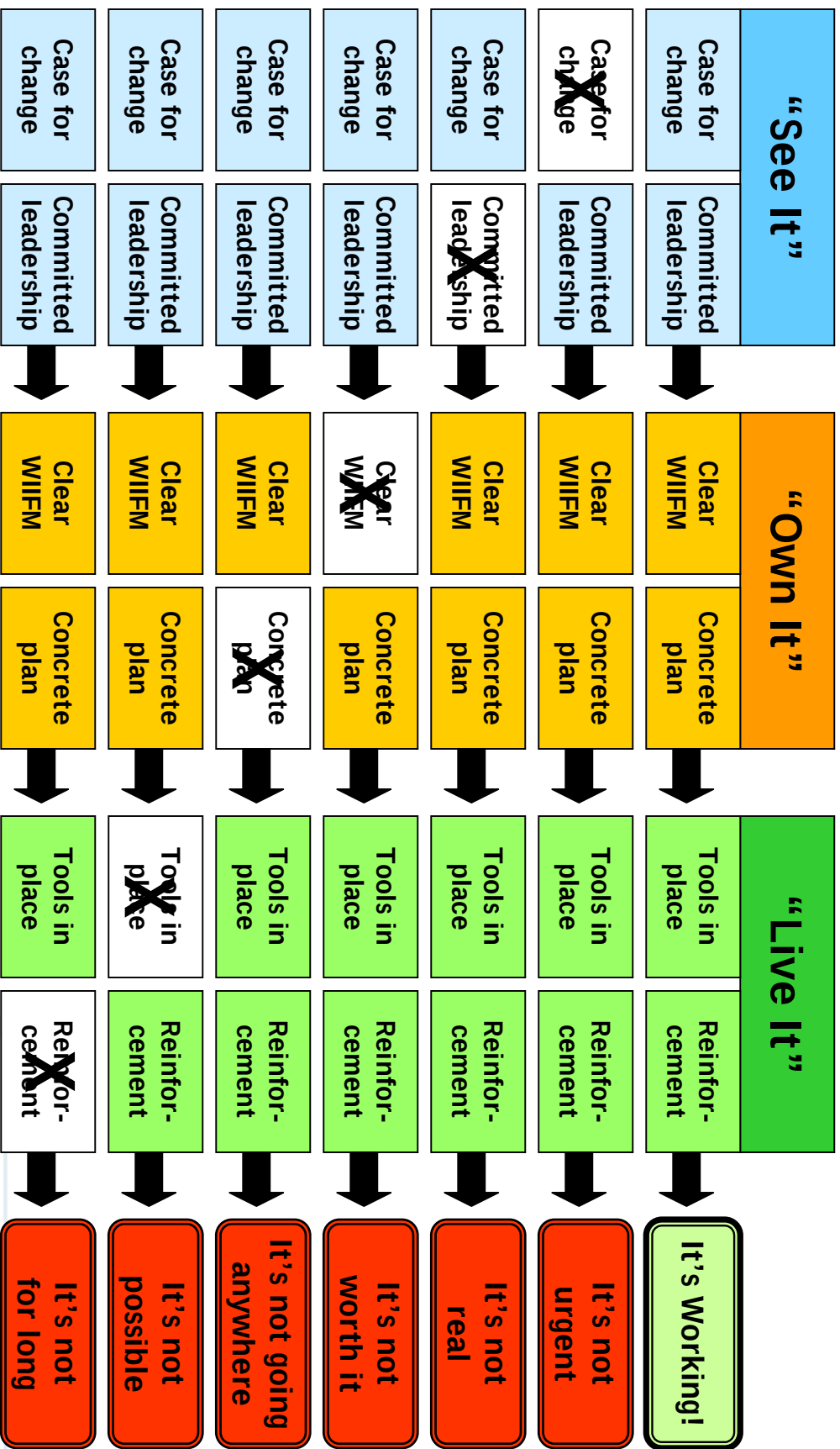


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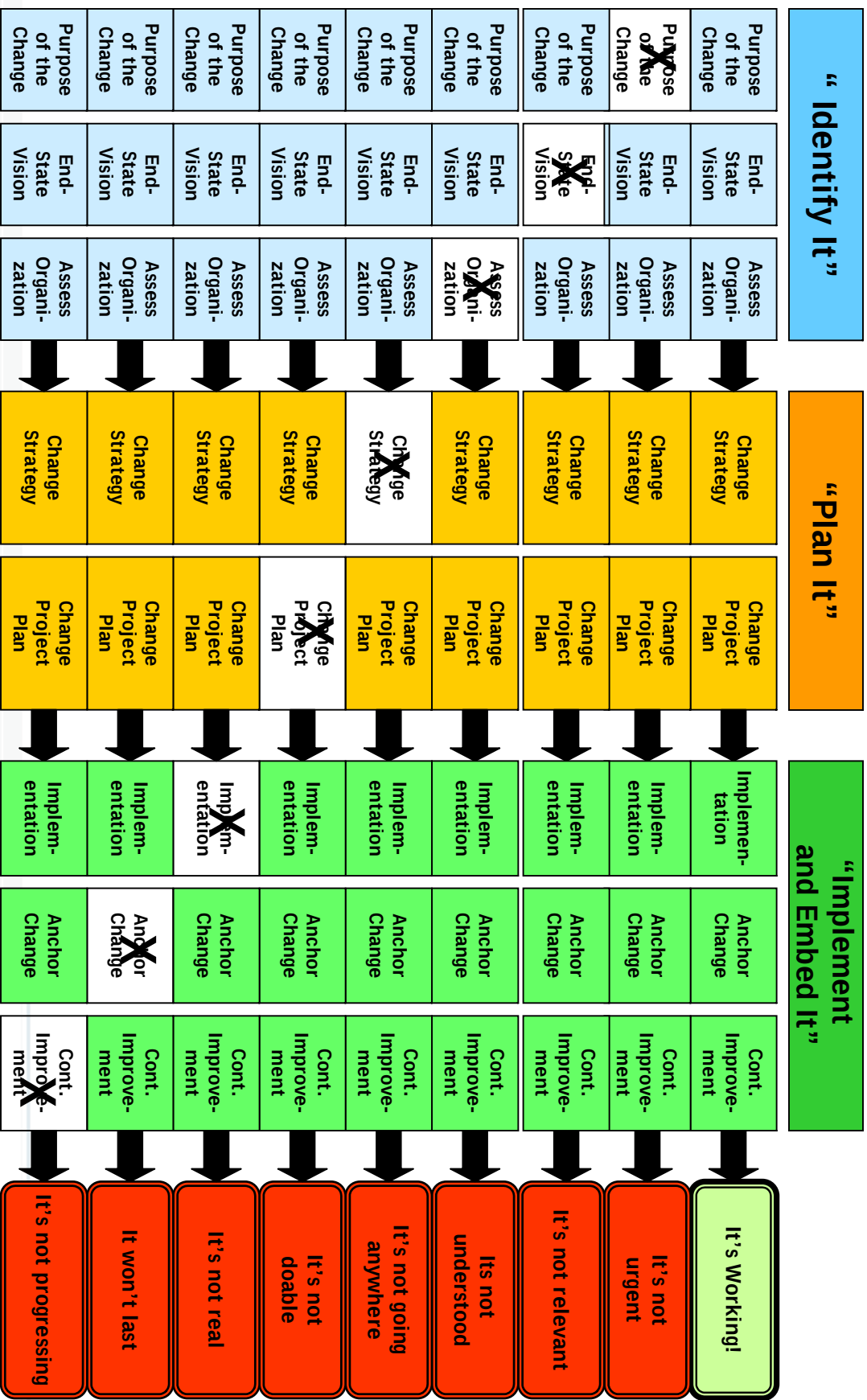
Why is Change Management Important?...



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Why The Change Management Process is so Important: don't miss a step or.....

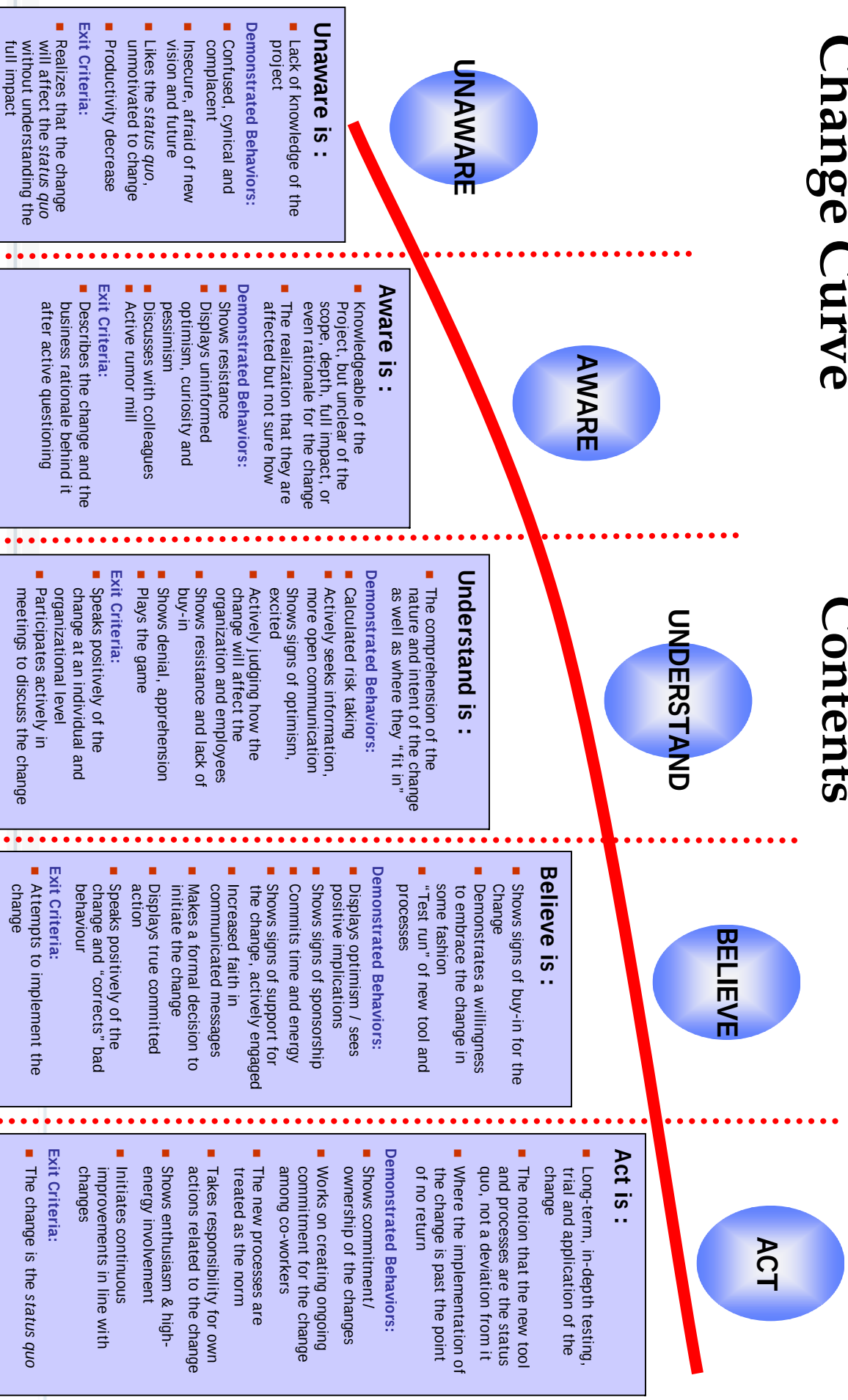


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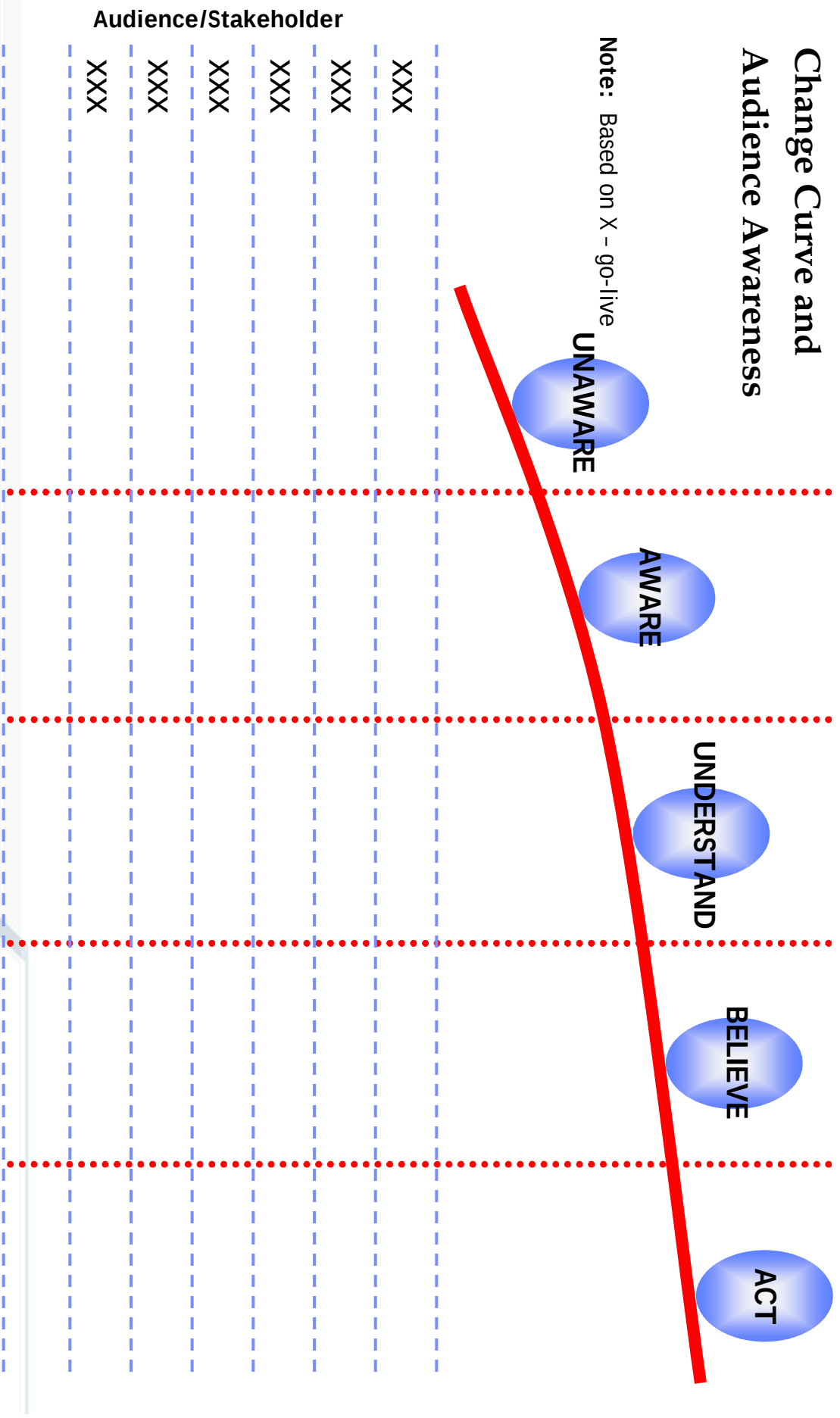
Change Curve

Contents



Change Curve and Audience Awareness

Note: Based on X - go-live





Change Curve Assessment

Document Purpose:

The Change Curve is a helpful tool in identifying knowledge and increasing understanding and as well as commitment to your change initiative. This should form the goal of your communication/engagement approach.

Knowing at which stage your stakeholders are in the Change Curve helps you identify any gaps or needed course corrections-- as you bring stakeholders along.

This Change Curve Questionnaire assists in determining levels of knowledge and commitment, therefore it is important that you evaluate at the beginning of your change initiative to establish a baseline, and again at various steps throughout the initiative.

Directions:

1. Read the questionnaire
2. Given where you are in your change effort, assess the stage you expect your audience to be at. Use this to determine what question(s) you expect the audience to be able to favourably answer the provided questions. Mark to indicate the questions you will assess (to demonstrate the assessed behaviours).
3. Meet early with your audiences to establish a baseline, and at different stages of your transformation.
4. The questionnaire can be used:
 - for individual purposes
 - during a stakeholder focus group
 - as a pulse check during a meeting
5. Obtain answers to the questions (the sequence of the questions needs to be followed)
6. Gather enough responses to form a good sample size that represents well your audience population
7. Assess the answers

Change Curve Assessment				
Audience Group:				
Date:				
Change Initiative Name:				
		Yes	Some what	Not at all
1	Are you aware of the change? (try to find out how the employee was made aware)			
2	Are you aware of the changes this initiative will require?			
3	Are you motivated by this change?			
4	Is your productivity being affected negatively by this change?			
5	Are you feeling any one of the following: insecure, confused or skeptical of this change?			
6	Do you realize that the change will impact the status quo without understanding the full impact?			
		Yes	Some what	Not at all
7	Do you understand the project, the scope, depth, full impact or even rationale of the change?			
8	Do you understand how you are affected by this change?			
9	Do you support this change?			
10	Are you discussing this change with others?			
		Yes	Some what	Not at all
11	Do you understand the nature and intent of the change?			
12	Do you understand where you “fit in” this change?			
13	Are you actively seeking information about this change?			
14	Do you feel apprehensive about this change?			
15	Do you speak positively about this change at an individual and an organization level?			
16	Are you participating actively in meeting to discuss the change?			
		Yes	Some what	Not at all
17	Do your actions demonstrate signs of buy-in for this change?			
18	Are you willing to embrace the change in some fashion?			
19	Are you prepared to implement the new change?			
20	Are you adapting to implement the new change?			
21	Do you believe in the positive outcomes of this change?			
		Yes	Some what	Not at all
22	Are you participating to the phase and providing feedback in regards to this change?			
23	Do you have the notion that the new tool/process are the status quo, not a deviation from it?			
24	Do you understand the implementation of the change is past the point of new return?			
25	Do you take responsibility for your own actions related to the change?			
26	Do you have enthusiasm and high energy involvement towards this change?			
27	Are you showing commitment/ownership of the change?			

Assessing the results:

Questions 1-6: Unaware stage

of Yes:

of Somewhat:

of Not at all:

Questions 7-11: Aware stage

of Yes:

of Somewhat:

of Not at all:

Questions 12-17: Understand stage

of Yes:

of Somewhat:

of Not at all:

Questions 18-22: Believe stage

of Yes:

of Somewhat:

of Not at all:

Questions 23-28: Act stage

of Yes:

of Somewhat:

of Not at all:

Try to understand why there are “somewhat” and “not at all” answers. Assess the actions taken so far in your communication strategy and find ways to ensure your audience clearly demonstrates the right behaviors & understanding you are expecting them to be in the change curve.

If your audience behaviors are aligned to the targeted stages, we recommend you communicate the success with the stakeholders.

Read the Change Curve descriptive sheet for further explanations.

Public Works and Government Services Canada Change Management Process



Template Step 1-1: Purpose of Change

Note: Adapted by the Change Process Office from the Treasury Board of Canada Secretariat's Business Transformation Enablement Program (version Jan 09)

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1.0 Context

2.0 Problem Analysis

2.1 Fishbone Problem Diagram

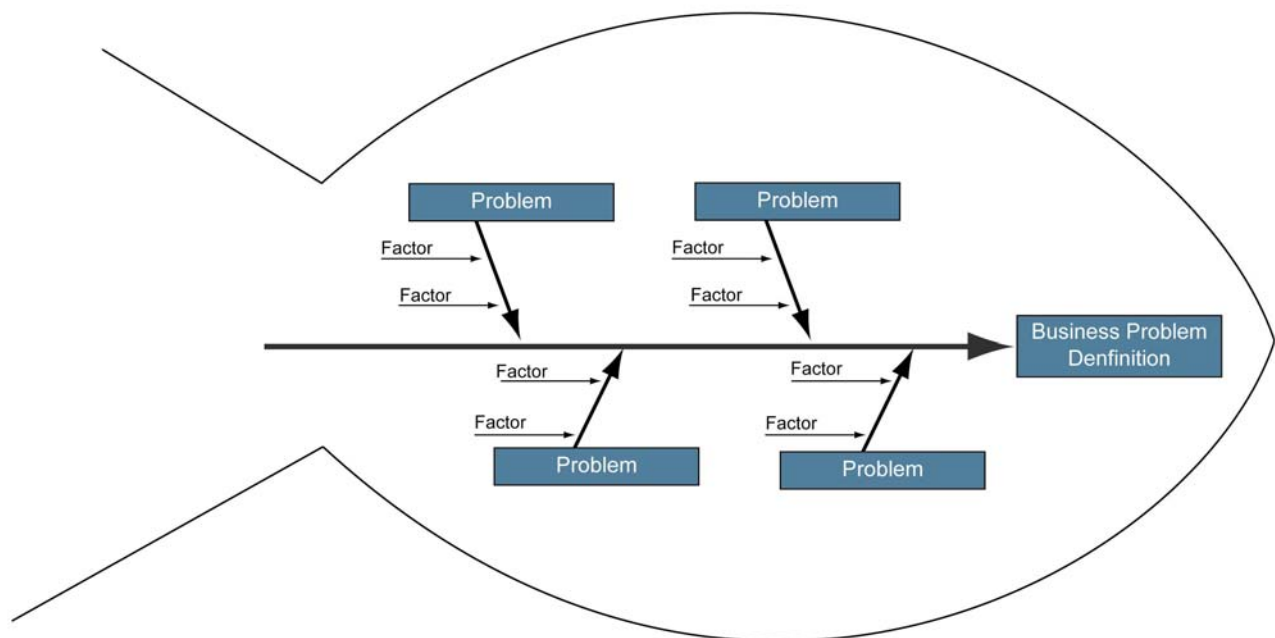


Figure 1: Fish Bone Analysis

2.2 Problem Definition:

3.0 Preliminary Stakeholder and Initiative Analysis

High-Level -- PWGSC Project Stakeholder Identification				
Project Name:				
Key Stakeholders	Role	What does the Stakeholder Need from the Project?	What does the Project Need from the Stakeholder?	Comments
• INTERNAL (F)				
Project Team				
Branch/Business Line				
Department				
• EXTERNAL (G)				
Clients				
OGDs				
Regulatory Agencies				
Suppliers/Vendors				

4.0 Next Steps

4.1 Membership List -- All levels of organization

Name	Title	Role on the Team
		Change Sponsor
		Change Leader
		Primary Business Lead
		Content Leader # 1
		Content Leader # 2
		HR
		Communications

4.2 Membership Roles/Responsibilities and Core Terms of Reference

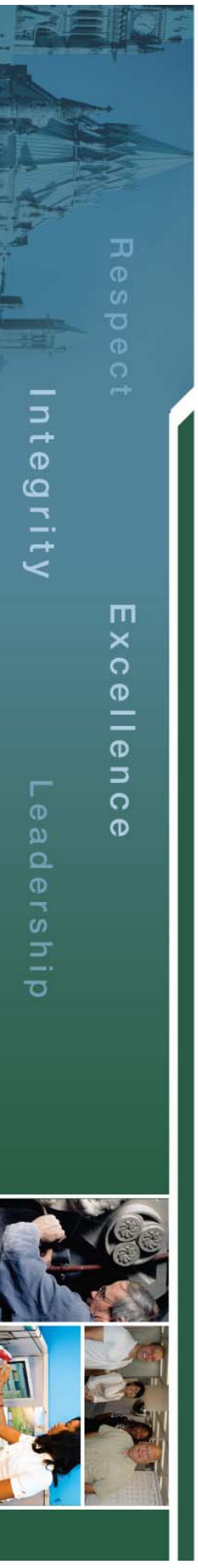
5.0 Approval

Public Works and Government Services Canada Change Management Process

1.1 Tools

Purpose of the Change





Sponsorship Roles & Responsibilities

“Culture Eats Strategy for Breakfast!”

Displayed on the “War Room” wall, Ford Motor Co.



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Purpose of this Document

To define and agree upon the roles and responsibilities of the sponsor
(insert sponsor's name here) throughout the lifecycle of PROJECT X.



Most Important Sponsor Activities

Participate actively and visibly throughout the project

- Kick off special events and training sessions
- Track progress of the team & hold the team accountable for results
- Be involved in critical decision-making
- Be visible to employees; use multiple avenues to demonstrate support
- Participate throughout the entire project lifecycle

Build a coalition of sponsorship with peers and managers

- Sponsor the change with peers and direct reports
- Provide clear expectations
- Deal with problem directors/managers
- Sponsor the change upward

Communicate effectively with employees

- Explain why the change is happening and the risks of not changing
- Share the vision for the organization
- Enable communications to be two-way – allow for feedback and Q&A sessions
- Speak face-to-face at meetings and through multiple media



Most Common Mistakes Made by Sponsors

Failed to personally engage as the sponsor for the change

- Abdicated sponsorship to lower level managers, the project team or consultants
- Failed to communicate the need for change and the risk of not changing
- Was not visible and active throughout the entire project
- Failed to reinforce a consistent message throughout the project

Changed priorities mid-stream

- Commitment wavered or support dwindled
- Other projects took priority
- Moved on to next 'flavour of the month'

Did not build a sponsorship coalition

- Assumed support from other business leaders would be there
- Underestimated resistance from managers and the impact of the change on employees
- Assumed that the message trickled down and that everyone understood the need for change
- Failed to set expectations of other business leaders

Note:

A common misunderstanding is equating sponsorship with funding, authorization and resource allocation (i.e., project support). Although sponsorship includes these elements, effective sponsorship also includes the proactive and visible participation of that business leader throughout the entire project lifecycle (e.g., ongoing communications to employees, coalition building with peers and managers, regular participation in project decision-making and events and the management of resistance and removal of barriers to change).

Adapted from Prosci Benchmarking Report 'Best Practices in Change Management' © 2005



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PROJECT X: Sponsorship Roadmap

[copy and paste the sponsorship roadmap found in the communications plan here]



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Wrap-up

Agree upon the activities listed in the Sponsorship Roadmap

Agree upon how the Change Management team will work with the Sponsor to help them execute on the roadmap activities



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Leading Through Change



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Created by Raphael Amato with the assistance of Jean Carignan, LCMR

Originally created by Hélène Pilon, OPAL,
with the assistance of Jean Ogilvie and Andy Gabe

October 2006

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Leading Through Change

Workshop Objectives

Overall Objective:

Increase your personal and social competencies as a leader.

Specific Objectives:

- Identify your strengths and weaknesses according to your leadership styles, and determine how these affect your ability to lead through change.
- Develop and increase personal mastery in responding to difficult situations.
- Use tools to help you lead through change.
- Continue to develop social competencies that enable you to respond effectively to change. For example:
 - The ability to respond constructively to resistance
 - The ability to recognize the emotional state of employees and use this information to help them move forward.
- Provide employees (your team) with guidance, so that they can react effectively to changes and transitions.

*Change alone is
eternal, perpetual,
immortal.*

Arthur Schopenhauer



Introduction

*The art of progress
is to preserve order
amid change and to
preserve change
amid order.*

Alfred North Whitehead

Welcome to the “Leading Through Change Guide.” In this world of constant change, you as a leader have the task of helping the organization and its workers move forward toward new frontiers you never knew existed. You will have to deal with your own inner feelings and those of your employees. Your organization might even be expecting you to lead the change yourself. But to perform in such an environment, you will need to be properly equipped to face the various obstacles that await you. In this guide, you will find the theory and practical exercises that we used to build the “Leading Through Change” workshop. We remind you that this guide is in no way a substitute for the workshop. Rather, the guide and its toolkit available at (www.somewhere.com) are designed to help you explore in greater depth the theory used to create the workshop.



This guide was initially developed in two phases. The bulk of the guide was created by H  l  ne Pilon (PWGSC - OPAL) with the assistance of change consultants Jean Ogilvie and Andy Gabe.

The guide was developed to provide the theoretical background for a change workshop for managers by building on the “Your Journey Through Change” guidebook (<http://source.pwgsc.gc.ca/dgrh/training/text/change/toc-e.html>), which is the foundation for the change management workshop offered to employees of PWGSC. After a period of consultation and feedback, some additional material was added to the guidebook in an attempt to provide a number of practical tools that could be used by leaders and managers as they lead through change. This material was added by Raphael Amato, an organizational development consultant, and Jean Carignan, a learning advisor (PWGSC - LCMR).

The purpose of this guide and workshop is to help managers/leaders develop their emotional intelligence (EI) by providing them with opportunities to learn and practice skills, attitudes and behaviours that develop their personal and social competencies.

To start off with, here are two definitions that will allow you to distinguish between concepts used in this guide:

- **Change** is situational, i.e.: “to move to a new office, the retirement of your colleague or the reorganization of the roles on the team.”



- **Transition** is psychological. “It’s a three phase process that people go through as they internalize and come to terms with the details of the new situation that the change brings about”¹.

William Bridges² (2003) states that there are three phases in transitions which sum up the gradual psychological reorientation that happens internally as people try to adapt to change. They are:

- Phase 1) the ending, the losing, the letting go
- Phase 2) the neutral zone
- Phase 3) the new beginning.

Hélène Pilon proposed that there are a number of emotional/psychological states that people find themselves in when they live through William Bridges’ first phase: places we stop at on our journey. We named them Rose-Mount, Fogvale, Furyton and Dark Valley. As people move out of their emotions and feelings, they enter Ajuston, which corresponds to Bridges’ second phase (Neutral Zone). Finally, the journey leads to Gainville, which in Bridges’ theory is called the New Beginning.

Both Pilon and Bridges highlight the importance of the emotional responses that people live through as they transition. In fact, it is only when people recognize these emotional states and begin moving out of them and responding to the reality of the situation that they can respond more effectively to the change. It is for this reason that Daniel Goleman’s theory of “Emotional Intelligence” (EI) was chosen as the theoretical foundation for the “Leading Through Change” workshop for managers/leaders.

Salovey and Mayer (1990) coined the term “emotional intelligence,” which they define as “*a form of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them, and to use this information to guide one’s thinking and action*” (Salovey & Mayer, 1990).

Developing the ability to read one’s own emotions and the emotions of others is key for managers/leaders as they lead through change. Daniel Goleman (1998) sets out an EI framework that reflects an individual’s potential for mastering the skills of emotional competencies. He defines “emotional competence” as “*a learned capability based on emotional intelligence that results in outstanding performance at work*” (Goleman, 1998b). The framework that Goleman developed focussed on the importance of developing personal and social competencies. An outline of these competencies is presented later in this guide.

¹ Bridges, William. *Managing Transitions – Making the Most of Change*. Da Capo Press, 2003.

² Ibid.



Bridges states:

“In years past, perhaps, leaders could simply order changes. Even today, many view it as a straightforward process: establish a task force to lay out what needs to be done, when, and by whom. Then, all that seems left for the organization is (what an innocent sounding euphemism!) to implement the plan. Many leaders imagine that to make a change work, people needed only to follow the plan’s implicit map, which shows how to get from here (where things stand now) to there (where they’ll stand after the plan is implemented). “There” is also where the organization needs to be if it is to survive, so anyone who has looked at the situation with a reasonably open mind can see that the change isn’t optional. It is essential.

Fine. But then, why don’t people “Just Do It”? And what is the leader supposed to do when they just Don’t Do It, when people do not make the changes that need to be made, when deadlines are missed, costs run over budget, and valuable workers get so frustrated that when a head-hunter calls, they jump ship?

No training program can prepare a leader for managing a transition. Yet no leader can effectively lead change—which is what leadership is all about—without understanding and, ultimately, experiencing the transition process.”³

It is our assumption that to lead effectively through change, managers/ leaders need to enhance their personal competence by increasing their self-awareness and ability to self-manage while also developing their social competence by honing their social awareness and relationship management skills.

The following illustrates how the contents of this guide will help build EI:

Emotional Intelligence (EI)

Personal Competence	Social competence
Self-observation	Conversations for change
The Ladder of Inference	The Ladder of Inference
Leadership styles	Leadership styles
Mental models of leadership	Leading through uncertainty
Reframing	Reframing
Peer coaching	Responding/reframing resistance

³ William Bridges and Susan Mitchell, “Leading Transition: A New Model for Change”, in *Leader to Leader*, N^o. 16 Spring 2000.



The theory and practice of appreciative inquiry was added to help managers/ leaders integrate what they learn and look forward to the future by drawing lessons from successful change processes they have lived through. In the workshop, they will be asked to identify the elements in their personal stories that contributed to the success of past change processes. Managers/ leaders will then be asked to create a provocative statement that can be used both as a personal guide and an evaluative/reflective tool for living and leading through change.

An Off-Road Map to Leading Through Change

Most change processes are superficial because they don't generate the depth of understanding and commitment that is required for sustaining change in truly demanding circumstances. Planning, deciding, monitoring and controlling the ensuing process may be all that are needed in situations where change is essentially about reacting to new circumstances but when you're facing very difficult issues or dilemmas, when very different people need to align in very complex settings, and when the future might really be very different from the past, a different process is required.

Adam Kahane, Presence 2004

There is a now-familiar tradition around managing change in organizations that has provided many systematic tools and approaches to change that come largely from an engineering model. We predict the future, develop plans to achieve it, develop a structure to control it, offer rewards for behaviours that support it, and when problems arise, we solve them.

In the “off-road” approach to leading change, we are proposing not to eliminate these tools but to add new ones that recognize the deep creativity that is at work in any human system and that leaders must have the skills to tap.

Traditional View	Social Competence
Traditional assumptions about change in organizations (the engineering mind in action)	The “off-road” add-on approach (the human mind in action)
AND...	How can we value the element of surprise, discovery and creativity in our organization and our people through this change?
How shall we drive or cascade this change through the organization?	What is the quality of the relationships we want to maintain to support ourselves during this change?
What are the metrics of the change – what is changing and what will it look like in the end?	How can we honour wonder, curiosity and thoughtful reflection as much as productivity and results?
What new behaviours are required, and how will we develop them and reward them?	How can we cultivate a culture of innovation in our organization?
How do we act strategically, focussing on the right things?	



A pioneer in organization development once said, “if you want to know how an organization works, try and change it.” Often, all the implicit assumptions of what is normal, natural and “the way it is” get expressed and defended. The people involved can be on a roller coaster of responses, and through all this, the work must go on.

For this reason, we see the work of leading through change as “off-road” or pioneering work, where there may be a purpose, but there are always many unknowns, as there are far too many variables to predict and control. One of the most difficult tasks in management is to lead people to think and act in new ways.

The reason for this is that even if the change is a source of great creativity and mobilization, people experience increased fatigue, confusion, feelings of incompetence and frustration as efficiency plummets.

The human organism relies on a certain number of automatic reactions as a way of conserving energy, so adopting a new behaviour forces us to resist our automatic responses and use a lot of energy to do things in a different way or do new things. Confusion arises as people are asked to unlearn and to relearn – or to put it more plainly, they are asked to “not know” what they are doing for a while. People strive to be competent, to make a contribution, to have their experience and perspective count, so to “not know how” all of a sudden can feel very chaotic.

Yet in this turbulence are the seeds of great creativity. The role of the manager/leader is to be an advocate for creating new possibilities in the face of the challenges and opportunities presented by a changing organization.



Review of the Roadmap

As you might have seen in the workshop entitled “Your Journey Through Change” (<http://intranet.pwgsc.gc.ca/hrb/training/text/change/toc-e.html>), we and those whom we manage can experience different reactions to the changes we face, including a range of reactions to the same change. We may go through anger, fear or elation; we may be overwhelmed or experience hopelessness or resistance in response to anything put in front of us. As we begin adjusting to a change, our reactions may begin to level off, yet for a time, we may still experience backslides into some of these reactions. Once we have gone through the full cycle of change and have re-established our equilibrium, we begin to experience more stability again. We have integrated the experience and are ready to move on.

For managers dealing with major change, things may be “all over the map” for a time. There is no perfect way to know when and how to deal with the kaleidoscope of changing reactions. A leader’s support in the following areas can be critical:

- Allow space for different people’s reactions. Blaming people or trying to ‘convince’ them to change may only cause greater resistance.
- Keep goals in sight during change in order to anchor people in a desired future.
- Expect a reduction in productivity for a time.



What does this unexpected event open up for us?

What does it close down?

*Diversity: the art
of thinking
independently
together.*

Malcolm Stevenson Forbes



Daniel Goleman's Emotional Intelligence (EI) Framework

As stated earlier, Goleman's theory of EI postulates that developing personal competency skills is the basis of good leadership and is essential for leaders to lead through change.

- In every field, your EQ (emotional quotient) is twice as important as your cognitive abilities.
- Almost 90% of success in leadership is attributable to EQ.

EI contains two major components: *personal competency* and *social competency*.

Personal competency can be summarized as follows:

- Self-Awareness
 - Emotional awareness
 - Accurate self-assessment
 - Self-confidence
- Self-Management
 - Self-control
 - Trustworthiness
 - Conscientiousness
 - Adaptability
 - Innovation
- Self-Motivation
 - Achievement drive
 - Commitment
 - Initiative
 - Optimism

Social competency is defined as follows:

- Empathy
 - Understanding others
 - Developing others
 - Service orientation
 - Leveraging diversity
 - Political awareness
- Social Skills
 - Influence
 - Communication
 - Conflict management
 - Leadership
 - Change catalyst
 - Building bonds
 - Collaboration/co-operation
 - Team capabilities



It is not difficult to see the link between the skills listed above and the ability to lead through change.

Competencies Associated with Emotional Intelligence

Awareness	Awareness of self	Awareness of others
Management	Self management	Management of others





Self-Observation

The foundation of personal competency.

Self-observation is the process of “catching ourselves in the act.” In this process, we use our internal “silent witness,” who observes our thoughts, feelings and actions without judgment. For example, when I notice I am worried about something, I can let these thoughts go and be more present in the moment. This process of noticing, interrupting and choosing differently may sound simple enough, but it takes continuous awareness to claim freedom from the habits of mind that imprison us.

We also tend to identify with our opinions and believe that they define us. Once we are aware of this, we can see that many of our conflicts are the result of our identifying with our own point of view.

This is why many people refer to self-observation as “getting centered.” Self-observation is not a difficult skill to learn, but it does require practice and intentionality. It is particularly useful when you find yourself reacting strongly to a person or situation.



Here is a simple way to practice self-observation. The next time you react strongly to someone, practice what can be called the *helicopter mode*. The image of a helicopter is quite appropriate, given that you are quickly “hovering” over yourself and observing your reactions. As you begin to react, what do you see? What are you observing about yourself?

Inherent in this ability to “see” yourself is the opportunity to choose your reaction and recognize the part you are playing in the situation. In essence, you can discover that there are various ways you can choose to respond.

As stated earlier, the ability to self-observe is the foundation of personal and social competencies. In the following section you will be introduced to the Ladder of Inference, which builds upon the skill of personal competency and drives you to enhance your social competencies, thus increasing your effectiveness as you lead through change.



The Ladder of Inference

Before we examine the Ladder of Inference, please read the story below and complete the exercise that follows.

The Story⁴

A businessperson had just turned off the lights in the store when a man appeared and demanded money. The owner opened a cash register. The contents of the cash register were scooped up, and the man sped away. A member of the police force was notified promptly.

Statements about the story	(T/F)
1. A man appeared after the owner had turned off his store lights.	
2. The robber was a man.	
3. The man who appeared did not demand money.	
4. The man who opened the cash register was the owner.	
5. The storeowner scooped up the contents of the cash register and ran away.	
6. Someone opened a cash register.	
7. After the man who demanded the money scooped up the contents of the cash register, he ran away.	
8. While the cash register contained money, the story does not state how much.	
9. The robber demanded money of the owner.	
10. The robber opened the cash register.	
11. After the store lights were turned off, a man appeared.	
12. The robber did not take the money with him.	
13. The robber did not demand money of the owner.	
14. The owner opened the cash register.	
15. The age of the storeowner was not revealed in the story.	
16. Taking the contents of the cash register with him, the man ran out of the store.	
17. The story concerns a series of events in which only three persons are referred to: the owner of the store, a man who demanded money, and a member of the police force.	
18. The following events occurred in the story: Someone demanded money, a cash register was opened, its contents were scooped up, and a man dashed out of the store.	

⁴ The story and statements are a portion of the "Uncritical Inference Test." © 1955, 1964, 1967 by William V. Haney.



You may have noticed that only statements 3, 6, 11, 14 and 15 are unequivocally true or false, given the “facts” contained in the story. All the other statements require an inference or assumption to be made before the statement can be marked “True” or “False.” There is a natural tendency to read the story and make various assumptions without verifying the data.

Climbing the Ladder of Inference

Many of the statements we make in our conversations with others reflect self-generated beliefs that are rarely tested in reality. We hold these beliefs because they are based on the conclusions we have drawn from our observations and past experience. Simply put, we tend to think and feel that:

- our beliefs are the truth
- this truth should be as obvious to others as it is to us
- our beliefs are grounded in real data
- the data we choose to consider are the real data.



This plays out quite regularly at a typical staff meeting. As you are presenting some information, there is a staff member who does not appear at all interested in what you are saying. Typically, you “know” why the person is reacting that way. Perhaps you think this staff member has trouble with authority and is resisting what you are saying (as he or she always does). After your meeting, you talk to one of your key staff members and state that



the staff member in question never listens to you or supports what you are saying.

In that brief time, you have climbed what Chris Argyris calls the “Ladder of Inference,” determining and reinforcing what you believe to be true on the basis of what you consider to be true. It happens so quickly that it is hard to be aware that we are jumping from rung to rung on the ladder.

Perhaps the staff member was tired or concentrating on a problem that he or she was facing at home. Or perhaps the staff member sensed your reaction, drew conclusions about your behaviour and decided that you were not a good facilitator. Perhaps that person was bored. You can’t know until you find a way to test your conclusions, a task that can prove quite difficult in daily life.

- Become more aware of your own thinking and reasoning (Reflection)
- Make your thinking and reasoning more visible to others (Advocacy)
- Inquire into others’ thinking and reasoning (Inquiry).



Chris Argyris

Take notice when you’re climbing The Ladder of Inference (i.e., drawing conclusions and making assumptions) throughout the day. When you conclude that someone is a jerk, ask yourself what it is about the person that makes you feel this way. If you find yourself strongly disagreeing with someone else, ask yourself what it is about your own opinion that is so meaningful to you. If you find yourself getting tense and resisting someone else’s opinion or request, ask yourself what it is about the situation that makes you think you have no choice.

Other good all-purpose questions in these situations are “Why do I need to be right in this case?”, and “What’s the worse that can happen if I just go with the flow right now?” If it’s your style, jot your observations down in a notebook.



Just taking notice and questioning our assumptions leaves some room for the possibility that our belief may not be the only way of seeing something.

Once you can see that you are locked into a reactive situation, you (and the other person) can slow the conversation down and verify some data.

- How is this belief based on observable data?
- Do we agree on what the data is?
- Practise reflection and inquiry (How did you and I arrive at that conclusion?)

This may sound a bit cumbersome. However, slowing the conversation down, allowing others to see your reasoning and inquiring about theirs is much more constructive than re-creating team patterns that are not effective and leave everyone frustrated. In *Managing Transitions*, William Bridges stresses the need for leaders to communicate, then communicate, then communicate. Allowing others to see your reasoning will go a long way to helping them understand who you are as a leader. While they may not agree with you, they can understand how you are leading them.

Use the Ladder of Inference at any stage of your thinking process. If you're asking any of the following questions, the model may prove to be a useful aid:

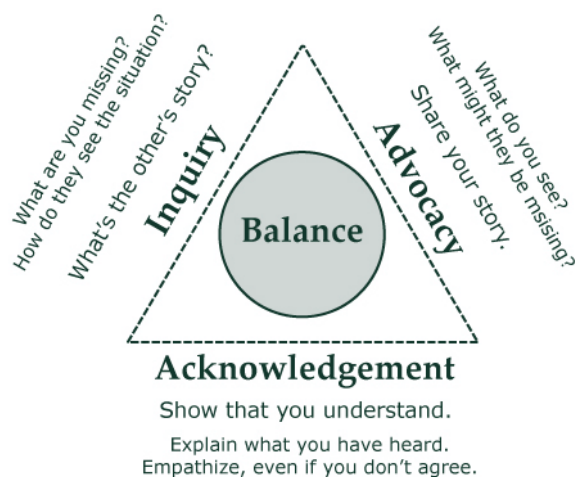
- Is this the "right" conclusion?
- Why am I making these assumptions?
- Why do I think this is the "right" thing to do?
- Is this really based on all the facts?
- Why does he or she believe that?

The following questions can help you work backwards (work your way down the ladder, starting at the top):

- Why have I chosen this course of action? Are there other options I should have considered?
- What belief led to that action? Was it well founded?
- Why did I draw that conclusion? Is the conclusion sound?
- What am I assuming, and why? Are my assumptions valid?
- What data have I chosen to use and why? Have I selected the data rigorously?
- What are the real facts that I should be using? Are there other facts I should be considering?



The following chart illustrates how we can use the Ladder of Inference in action.



In conclusion, the Ladder of Inference is an essential concept for leaders to grasp and then put into practice. The left-hand dialogue exercise provides another practical tool that you can use as a leader.



Left-Hand Dialogue

(This exercise is based on a method developed by Chris Argyris and Donald Schön.)



This is a handy exercise to use, particularly if you are locked into a difficult pattern of communication with someone. Take a piece of paper and draw a line down the middle.

Think back to a difficult conversation you've had in the past couple of days. What were you trying to accomplish? Who or what was stopping you? Write out what you remember about the situation and the dialogue on the right-hand side of the page.

On the left-hand side, write what you were thinking but not saying at each stage in the exchange. This reveals what's really going on behind the scenes in the relationship.

What are some of your thoughts and insights as you compare the right- and left-hand columns?

As you look over your sheet, ask yourself the following questions:

- What led me to think and feel the way I did?
- What was my intention? What was I trying to do?
- Did my comments and behaviours contribute to the problem?
- What made it difficult to communicate what was on the left-hand side?
- What assumptions did I make about the other person?
- How can I use this information to improve my interactions with others?



The left-hand column exercise is an excellent tool to use with a peer coach. The procedure is quite straightforward. Each person describes their situation on the right-hand side (what happened) and then fills in the left-hand column and reviews both sets of data with a peer. The peer coach can help in the inquiry process by asking some key, pointed questions based on the Ladder of Inference.



Practicing self-observation and using the Ladder of Inference allows a manager to increase his or her personal competencies and then use these competencies to lead others as they react and respond to change. Here are some additional questions to consider as managers:

Questions for Further Reflection

1. What are you learning about yourself as you practice self-observation?
2. What struck you as you considered the different ways that people can approach change?
3. Are you able to read the emotional reactions of others?
4. Are you able to help others get in touch with how they are reacting to change?
5. Are you able to provide options and choices to help others get past their reactions?
6. What influence (if any) do you have on others' reactions to the change?



Balancing People and Results

Life constantly challenges us to balance multiple factors. This is clearly the case in managing an organization during a change. Managers are constantly faced with demands to deliver results, support staff to perform their duties, keep a motivating and inspiring atmosphere in the workplace, and address their own well-being and home-life demands.

Neglecting any critical area will result in an imbalance. A manager who neglects the human dimension of a change process and focuses on only getting work done takes the risk of having productivity dry up. A manager who keeps focussed on the spirit of the staff may end up with grateful staff but anxious bosses in the absence of productivity. A manager who neglects him or herself will eventually become less able to function well in any of his or her other capacities.



What is important here?

What do we want to create now?

Who needs to be involved?

The world cannot be governed without juggling.

John Selden

Exercise

Consider activities that demand a lot of your attention. What areas of your work or life are in competition with these activities? Are there areas that do not get the attention they need? What are the consequences of these areas being neglected? What actions can you take or what decisions can you make to help improve this balance?]

A lot of my time/focus goes towards:	What suffers as a result:	The consequences:	To achieve a better balance, I need to:



As well as keeping a balance between activities in work/life, striving for a balance in the way we approach situations is also critical. Approaching a situation patiently and reassuringly may be the most effective in one situation, while in another a firmer and more directive approach may be called for. As managers, we are faced with multiple types of scenarios requiring different styles of leadership.



"What do you think is possible here? Why do you say that?"

"Let's get a clean-up team, a roofing team, a materials purchasing team up and running and complete the work by Friday!"

"Here's our opportunity to re-build into a world class gathering place!"

"If we pull together and all contribute our talents, we will produce something amazing!"



Review of Leadership Styles

As well as keeping a balance between activities in worklife, striving for a balance in the way we approach situations is also critical. Approaching a situation patiently and reassuringly may be the most effective in one situation, while in another a firmer and more directive approach may be called for. As managers, we are faced with multiple types of scenarios requiring different styles of leadership.

Leading Change - Your Leadership Style

When we talk about leadership “style,” we are talking about something more fundamental than a situational response. It’s not about deciding to be “flamboyant” leaders one day and “industrious, focussed” leaders the next.

In this context leadership style refers to an essential repertoire of approaches to leadership, all of which will be necessary at different times. A leader’s way of being in the face of real situations will determine a great deal about the success he or she has, so developing awareness of the range of possibilities and skill in moving from one to another as appropriate is important.

Given the complexity of the environment in change and the range of responses people will have to it (the roadmap), a leader needs a whole repertoire of responses to deal with it. The trouble is, he or she will also find one or two leadership styles to be easier or more natural to inhabit.

The purpose of this section is to help you identify the kind of leader you typically are and develop capability in the forms of leadership that are less natural or available to you so that you can respond most effectively to the reading you have of the environment.

We will examine the following styles: (Daniel Goleman presents these as the six emotional leadership styles):

- Visionary leaders
- Coaching leaders
- Affiliative leaders
- Democratic leaders
- Pace-setting leaders
- Commanding leaders.

If your actions

inspire others to

dream more, learn

more, do more and

become more, you

are a leader.

John Quincy Adams



Visionary Leaders

Key Attributes

A visionary leader is someone who is able to articulate in an inspiring way where the group or organization is going. People hear the dream in a way that resonates with them and energizes their actions. They have a clear sense that their contribution matters.

*The very essence of
leadership is that
you have a vision.*

The focus is on the end result, at the highest possible level, with clarity around how it will make a difference or have an impact. The path to get there is not clearly laid out or specified, but left for people to figure out.

Theodore Hesburgh

This approach requires a level of self-confidence and an ability on the part of the leader to act as a change catalyst, connected to a team.

Strengths of This Model

This approach works when an organization is drifting, when change is clearly needed but people are unsure what the change is, what the purpose of it is, or what would be different if it succeeded.

Weaknesses of This Model

This approach does not work well when a leader is working with experts or peers who are more experienced than he or she is in the substance of the work that is being done (a group of scientists, for example). It is not effective where people are already demonstrating resistance.

Potential Impact

By moving people towards a shared dream, this leadership style can galvanize members of an organization to collaborate towards a future that will depend on them to produce.



Coaching Leaders

Key Attributes

Coaching leaders are skilled at being in conversations with people that go beyond short-term concerns and really explore the person's life, goals and career hopes.

The purpose of this approach is to create an opening with other people so that they are more receptive to feedback, knowing that it is coming with their personal interests and concerns in mind and not just for the benefit of the organization. They feel respected as whole people, not just tools for the organization to achieve its objective. Understanding a person's deeper motivations also helps a leader find or develop assignments that will help an individual grow.

This approach requires a high level of emotional self-awareness in a leader, as well as empathy and a commitment to the development of others.

Strengths of This Model

This approach is an investment in the long-term capabilities of an organization. It is very effective at the beginning of a change process, where the vision of the change is clear and employees may not yet have the skills or commitment to fulfill it. It creates a level of mutual trust that results in incremental increase in capability, and patience when times feel chaotic or confusing. It reliably delivers bottom-line results over time by nurturing loyal and talented employees.

Weaknesses of This Model

A coaching style is not the most effective approach when bottom-line results in the short term are necessary.

Potential Impact

The ongoing development of leaders and the rapport that a coaching style enables are hallmarks of "built-to-last" companies that have endured over decades with excellent performance.

I start with the premise that the function of leadership is to produce more leaders, not more followers.

Ralph Nader



Affiliative Leaders

Key Attributes

An affiliative leader will pay a lot of attention to the relationships between him or her and the rest of the organization, as well as among organization members. Their focus is expanding the “connective tissue” in the organization, and they will use downtime in the organizational cycle to focus on building the emotional capacity for harmony, which can also be drawn on when the heat is on.

*If you do not seek
out allies and
helpers, then you
will be isolated and
weak.*

The competence of empathy is required here – the ability to sense the feelings, needs and perspectives of others – and at the same time the ability to keep an eye on the important current organizational goals.

Strengths of This Model

This approach works well to heal rifts that may have developed in a team, as well as where stronger connections among members will be required over time. It is a good approach when improving communications is desirable.

Sun Tzu, The Art of War

Weaknesses of This Model

The affiliative style is always necessary in some proportion for a leader, but if used alone will never be effective in accomplishing organizational goals. It does not provide direction on how to improve performance, so employees are left trying to figure it out on their own. If used inappropriately, it can actually contribute to disconnecting from the urgency of a situation.

Potential Impact

This leadership style, combined with a visionary style that states a mission, sets standards and lets people know how much their work matters, is a potent combination for mobilizing an organization to build a future it cares about. It increases effectiveness by tapping more deeply into each member’s wisdom and capabilities.



Democratic Leaders

Key Attributes

The democratic leader will defer decision-making until the wisdom and experience of other organization members has been fully tapped and integrated into the decision process. This leader believes that spending time at the front end, really considering the views and perspectives of others that will be affected by a decision, will increase the buy-in for whatever decision is made, even if people have not initially agreed with it.

Asking people to genuinely contribute requires them to genuinely engage with the question and build their understanding of the larger environment. They take in information that they might not otherwise have, which in itself enlarges their understanding of the situation and usually their acceptance of an outcome that may not be their first choice.

It requires patience on the part of the leader, to wait until the appropriate information is available, as well as an ability to listen for new possibilities (not just listen for affirmation of a path already decided). It also requires a good balance between taking information in and putting it out.

Strengths of This Model

This approach works best when a leader is genuinely uncertain about which direction to take and trusts the broader wisdom of the team to make a real contribution to that decision.

Weaknesses of This Model

This style should never be used when the leader knows the direction he or she wants to take, but wants to try and have the group “come up with it on their own” in order to increase buy-in. People have strong antennae for being corralled and will rebel. It should not be used unless the leader has real confidence that employees are well informed, conscientious and willing to freely speak their views. Nor should it be used when a leader is avoiding making a decision that is his or her responsibility to make; otherwise conflicts can escalate and/or costs increase.

Potential Impact

A decision that has genuinely been made using the shared wisdom of an organization is miles ahead of decrees that are made and then “sold” to employees in terms of employees’ understanding of the decision and commitment to acting on it. The process of achieving the end result is greatly accelerated, with much less resistance.

*A community is like
a ship; everyone
ought to be
prepared to take the
helm.*

Henrik Ibsen



Pace-Setting Leaders

Key Attributes

A pace-setting leader expects excellence, exemplifies it and drives to achieve it. Leading a team that is aligned, this person will get work done on time, or even ahead of time. He or she will pay close attention to performance, providing immediate feedback where necessary and making ongoing adjustments to ensure that no one is holding up progress.

It doesn't work to

leap a twenty-foot

chasm in two ten-

foot jumps.

American Proverb

The skills required by a pace-setting leader include the ability to read the environment and accurately assess the readiness to collectively push through to another level of performance. (If it is something that the leader or his or her boss wants, without the readiness of the rest of the organization, it will never work.) The pace-setting leader is gifted with initiative in finding and seizing opportunities. Pace-setting leaders are motivated not by external rewards, but by an internal drive to perform better.

Strengths of This Model

When a team is already motivated, able to collaborate, has the competence it needs to perform well, and is focussed on results, a pace-setting leader can be the catalyst that launches the team into sustained, excellent performance. A pace-setting style is rarely effective exclusively, but increases in effectiveness in combination with visionary leadership and a highly communicative affiliative style.

Weaknesses of This Model

When there is dissonance in a team or lack of motivation or a level of fatigue, pace setting will exacerbate the problem. Increasing pressure for results in these conditions will cause the level of anxiety to skyrocket, resulting in employees who either withdraw or mobilize to resist.

Potential Impact

This approach can yield brilliant results in record time when the conditions have been accurately assessed. It can be very effective as a short-term leadership approach around a specific project and strengthened with periods that emphasize other leadership styles.



Commanding Leaders

Key Attributes

Most often associated with emergency conditions, where there is little time to consult, communicate or reassure, a commanding leadership style provides assurance in its clear direction and purpose. The leader exerts forceful direction in the service of getting better results.

The effective commanding leader values influence, achievement and initiative. The biggest challenge to leaders who are able and willing to take on this leadership style is often emotional self-control. The drive to achieve results can often be sourced by a high level of impatience or even anger. A leader unable to control his or her own emotional expression can end up having a devastating impact on people, who feel stripped of their usefulness or value.

*If you command
wisely, you'll be
obeyed cheerfully.*

Thomas Fuller

Strengths of This Model

In a crisis, including dealing with problem employees, or when a turnaround needs to be kick-started, a leader who is effective in making clear decisions quickly will be deeply appreciated. This approach will only ever work in the short term, and if it is not balanced over the longer term with approaches aimed at building collaboration and trust, it will end up landing like a reign of terror.

Weaknesses of This Model

As a long-term strategy or unique style of operating, a commanding leadership style is destined to create more chaos and damage than anything else. Nor should it be used if a leader is not able to exercise considerable self-control.

Potential Impact

When well targeted and executed, a commanding style can be the tonic that wakes an organization up to its own skill and purpose.



What Style of Leader Are You?

The following questions will help you clarify your preferred approach to leadership.

1. Do you have confidence in your ability to seize opportunities to accelerate performance?

1	2	3	4	5
Not at all		To some extent		Very much

2. To what extent do you undertake most activities as a leader with a conscious intention related to your goal (for example “aligning Sally with our goal of service excellence” versus “giving Sally feedback”)?

1	2	3	4	5
Not at all		To some extent		Very much

3. To what extent are you attuned to the feelings and needs raised by your staff?

1	2	3	4	5
Not at all		To some extent		Very much

4. Are you more comfortable when:

1. staff are depending on you for direction? (5 points)
2. staff are contributing their opinions for direction? (3 points)
3. staff insist on being included in decision-making? (1 point)

5. Do you feel a sense of exhilaration at surpassing the expected level and quality of achievement as a group?

1	2	3	4	5
Not at all		To some extent		Very much

6. To what extent do you believe in your own ability to really make a difference to your organization?

1	2	3	4	5
Not at all		To some extent		Very much



7. To what extent are you concerned with knowing more about the lives of your employees and their personal challenges and ambitions?

1	2	3	4	5
Not at all		To some extent		Very much

8. Do your staff members consistently live up to the commitments they make to you?

1	2	3	4	5
Not at all		To some extent		Very much

9. When you notice a conflict among your employees, what is your inclination?

1. Leave it to them to resolve it (1 point)
2. Raise it with them and ask them to resolve it (3 points)
3. Invite them to come and talk it through with you (5 points)

10. To what extent do you listen for your employees' own unique expression of the organizational vision or goals?

1	2	3	4	5
Not at all		To some extent		Very much

11. To what extent are you comfortable asking for input from your staff on important business decisions?

1	2	3	4	5
Not at all		To some extent		Very much

12. Are you in the habit of looking for and assigning developmental opportunities for your staff?

1	2	3	4	5
Not at all		To some extent		Very much

13. To what extent do you feel it is your sole responsibility as leader to know and set direction?

1	2	3	4	5
Not at all		To some extent		Very much



14. Are you able to keep your focus and attention on a clear goal in the midst of chaos, confusion and the anxiety of others?

1 2 3 4 5
Not at all To some extent Very much

15. Are you well aware of what motivates you in your career and the aspirations you have for your career?

1 2 3 4 5
Not at all To some extent Very much

16. To what extent are you comfortable keeping open many possible options for future direction?

1 2 3 4 5
Not at all To some extent Very much

17. Do you have the drive to set a goal and go for it at all costs?

1 2 3 4 5
Not at all To some extent Very much

18. Once your mind is made up, do you continue to question alternative paths or objectives?

1 2 3 4 5
Not at all To some extent Very much

Add up your scores to the questions, and see which three boxes have the highest score. Circle the two leadership styles with the lowest scores.

Visionary	Coaching	Affiliative	Democratic	Pace-setting	Commanding
#2-	#7-	#3-	#11-	#1-	#4-
#6-	#12-	#8-	#13-	#5-	#14-
#10-	#15-	#9-	#16-	#17-	#18-



Building your Leadership Repertoire

For each of the leadership styles that you circled (styles you are least like) please re-read the description of that style and then respond to the following questions:

Leadership Style #1: _____

1. What would having more competence in this leadership style open up/make possible for me?
2. What does having less competence in this leadership style prevent me from moving forward with now?
3. How could I build competence in this style, while respecting the leader I already am?

Leadership Style #2: _____

1. What would having more competence in this leadership style open up/make possible for me?
2. What does having less competence in this leadership style prevent me from moving forward with now?
3. How could I build competence in this style, while respecting the leader I already am?



Developing an Appropriate Leadership Response

Cultivating the most effective leadership response will begin with an accurate reading of the environment. Often managers focus too much on what is required in what time frame with what resources and build a whole response strategy to the requirement without giving enough consideration to the environmental reality. The following questions are meant to help you quickly decide, at any given moment, what would be the most effective response you could have.

1. Briefly describe the situation you are being called to lead now.

2. Briefly describe the following:
 - a) Mood of employees:

 - b) Level of motivation of employees:

 - c) Degree of alignment with the change:

 - d) Level of skill of staff to execute the change:

 - e) Level of confidence that the staff have in you:



Based on your responses to the above questions, scan the different leadership styles and indicate the proportion of each style that is called for at this point in time:



Leading Through Change – Mental Models of Leadership

Now that we have reviewed our leadership styles, it is important to highlight the notion of mental models of leadership and how they impact our behaviour as we lead through change. We each carry a mental model of leadership.

*Insanity is
continuing to do the
same thing over and
over and expecting
different results.*

Albert Einstein

Mental Models

In *The Fifth Discipline*, Peter Senge introduces us to the importance of understanding mental models and how they shape our behaviour, thoughts and actions. Mental models are “deeply ingrained assumptions, generalizations, or even pictures and images that influence how we understand the world and how we take action.” We are often unaware of the impact that such assumptions have on our behaviour. Thus, a fundamental part of our task as managers is to develop the ability to reflect in and on action (self-observation).

The discipline of mental models begins with turning the mirror inward, learning to unearth our internal pictures of leadership, bringing them to the surface and subjecting them to rigorous scrutiny. It also includes the ability to carry on meaningful conversations that balance inquiry and advocacy, conversations in which the participants reveal their own reasoning effectively and allow others to influence that reasoning.

Unearthing our mental models of leadership becomes particularly pertinent when we are leading through change. What do I see as the role of a leader in change? What are the employees’ roles? How should a change be communicated? Who leads the change process? Who is responsible for implementation?

The questions could go on; however, what is significant about your answers to the questions is that they uncover your assumptions about leadership and change. As what is implicit in your thinking becomes explicit, you can make clearer, better-informed choices about how you want to act and behave in your organization.

Mental models enable you to frame cognitive processes using structures that determine how you think and act. As a leader, I know that mental models help me make sense of the world and, more importantly, determine how I will act. My main mental model for leadership is one of “organization focus” when trying to make improvements in an organization where all members of the organization are moving in the same direction. If I can “see” this happening, I can help make it happen in the organization. This process requires several other mental models, which are actually generalizations, on which I base my leadership philosophy. My mental models are continuously being revised and improved as I work with people in the organization. In the following section, you can begin to explore your mental models of resistance,



allowing assumptions to surface and hopefully challenging them in order to more effectively respond to perceived “resistance.”

Mental Models Exercise

The following is designed to help you understand Peter Senge’s concept of mental models and the potential impact that our mental models have on our beliefs and behaviours as a leader.

Go back to the chart that illustrates six models of leadership. Choose the model that best represents your mental image of a leader, particularly when he or she is leading through change. You may find that you have another model that better suits your image of leadership. If so, feel free to use your own model.

In light of the model you have chosen, answer the following questions:

- What are some of your basic assumptions about leadership?
- What are some of your basic assumptions about those who follow?
- What are some of your basic assumptions about what motivates people, why they work?
- What are the strengths of this model of leadership?
- When is it most effective?
- What are the limitations of this form of leadership?
- When is it not effective?
- How does a leader using your model lead through change?
- What is helpful in helping people work through change?

The mental model you have of leadership acts as a lens in that it filters what you pay attention to and also provides you with a rationale for people’s behaviours. We use mental models or representations of the real world in order to determine what is likely to work and what is not. These mental models are most useful in helping us navigate daily life; however, they can also lead us to jump from rung to rung on the Ladder of Inference (page 12 in the paper version of this guide), in that we can arrive at conclusions based on our beliefs, which may not be founded in real data. At times, our mental models can prevent us from responding or limit our ability to respond.

As we become more aware of the image we have of leadership, we can adjust or create new models in our minds that can help us better understand and make sense of the world we live in. Changing our mental models can help us see things that were hidden or out of focus. Now let us shift our focus away from mental models and look at the leadership approaches that are required when faced with uncertain times.



Leading Through Uncertain Times

“The need to relinquish our certainty lies at the heart both of modern science and ancient spirituality. From the science of Complexity, Ilya Prigogine tells us that, ‘The future is uncertain... but such uncertainty lies at the very heart of human creativity.’ It is uncertainty that creates the space for invention. We must let go, clear the space, leap into the void of not-knowing, if we want to discover anything new.”

Margaret Wheatley (a consultant, speaker and best-selling author. Her books include: *Leadership and the New Science*; *Turning to One Another: Simple Conversations to Restore Hope to the Future*; and her most recent book, *Finding Our Way: Leadership For an Uncertain Time*.)

Is it possible to lead through change when the vision of where you are going is unclear? What is the role of the leader in times like this? What should we communicate if we don’t know what is going to unfold?

This is not an uncommon problem for leaders. What appeared to be a solid organization yesterday suddenly undergoes radical changes and is no longer on solid ground. Just imagine a high-tech firm whose fortunes have changed in the past ten years as the firm went from being on top of the world to a position where it is now unsure of its viability in the future.

The process of globalization seems to have sped up the rate of change. The impact of global warming is being felt around the globe. Change processes are being rolled out in governments at an increasingly faster pace. With so much uncertainty, what is the role of the leader?

Margaret Wheatley states that *“it is possible to prepare for the future without knowing what it will be.”* The primary way to prepare for the unknown is to attend to the quality of our relationships, to how well we know and trust one another. When people know they can rely on each other, when there is a true sense of community, it is amazing how well people perform.”

Wheatley goes on to state that *“to counter the negative organizational dynamics stimulated by stress and uncertainty, we must give full attention to the quality of our relationships. Nothing else works, no new tools or technical applications, no redesigned organizational chart. The solution is each other. If we can rely on one another, we can cope with almost anything. Without each other, we retreat into fear.”*



Wheatley states that people need to be engaged in meaningful work together if they want to go beyond individual concerns and develop new capacities.

The role of the leader is to:

- **nourish a clear organizational identity:** When confusion sets in, people find stability in the purpose of their organization, not in its plans. A clear sense of the organization's identity allows everyone to situate him or herself and respond intelligently to the uncertainty.
- **focus people on the bigger picture:** When uncertainty sets in and raises everyone's level of anxiety, it is important to develop processes that enable people to take in and make sense of what is happening and see it from various perspectives. These processes are most effective when people are encouraged to enter into a dialogue with each other rather than responding to formal presentations.
- **demand honest, forthright communication:** Providing people with a constant flow of communication and information is a sign of respect, as it allows them to respond intelligently. You will note that people are hungry for information. It is important to communicate what is known and what is unknown and not to fall into the trap of waiting for the final plan before disseminating information. *"People deal far better with uncertainty and stress when they know what's going on, even if the information is incomplete and only temporarily correct. Freely circulating information helps create trust, and it turns us into rapid learners and more effective workers."* Creating forums for communication can also stop the rumour mill from taking over and encourages people to seek information from the right sources.
- **prepare for the unknown:** Invite and encourage people to engage in scenario planning for the future and develop a list of "what ifs." This fosters individual and organizational preparedness.
- **keep meaning at the forefront:** Meaning is one of the most powerful motivators for human behaviour. It is therefore important to foster an understanding of how the work that people are doing contributes to the organization and to the people it serves.
- **use rituals and symbols:** All cultures around the world create rituals and use symbols to mark important events and passages. These are different from structures and therefore do not need to be created by the Department. The role of the leader is to be aware of them and foster their expression.
- **pay attention to individuals:** Direct, individual contact is the most effective way to communicate with individuals. While it is true that e-mails and notices provide basic information, they do not build the organizational trust and confidence that personal contact does. *"One of the key findings in the field of Knowledge Management is that people share their knowledge only when they feel cared for and when they care for the organization. It is not new technology that makes for knowledge exchanges but quality human relationships."*



You probably know most of what is presented above. In essence, none of it is new. Why, then, is it so difficult to implement? *“One answer is that many organizations, as a matter of policy, deliberately distance themselves from their employees. They make a dangerous assumption, which is that organizational flexibility is achieved by being able to let go employees when times get hard. The ability to remain efficient is primarily found in the organization’s ability to downsize staff. If you need to downsize, so the assumption goes, you don’t want to know your employees or get personally involved with them.”*

Yet even if the plan calls for an employee to be let go, the manner in which it is done has a tremendous impact not only on the individual but also on those who remain in the organization. Even in difficult circumstances, and perhaps more so in such circumstances, leaders are asked to invest in their work relationships and continue to believe in the capacity of the people they lead.

Now that we have looked at leading through change in uncertain times, let’s focus on some specific skills that can assist a manager in responding to difficult situations or behaviours. In the following sections, we examine the skills of reframing, responding to resistance, fostering meaningful conversations and proposing peer coaching. Together, these are powerful tools designed to build the manager’s emotional intelligence (EI) and increase his or her ability to respond more constructively when guiding others.



Reframing

A very old Taoist story describes a farmer in a poor country village. He was considered well-to-do because he owned a horse that he used for ploughing and transportation. One day, his horse ran away. All his neighbours exclaimed how terrible this was, but the farmer just said, "Maybe."

A few days later, the horse returned and brought two wild horses with it. The neighbours all rejoiced at the farmer's good fortune and told him how lucky he was, but the farmer just said, "Maybe."

The next day the farmer's son tried to ride one of the wild horses. The horse threw him, and he broke his leg. The neighbours all offered their sympathy for his misfortune and said it was a bit of bad luck, but the farmer again said only, "Maybe."

The next week army officers came to the village to take all the young men into the army. They rejected the farmer's son because of his broken leg. When the neighbours told the farmer how lucky he was, he just said, "Maybe."

The meaning that any event has depends upon the "frame" in which we perceive it. When we change the frame, we change the meaning. A runaway horse is seen as bad until it returns with two more wild horses. This event is seen as good until the son breaks his leg. The broken leg is seen as bad until the army shows up looking for "volunteers."

This is called **reframing**. You can change the frame in which you perceive events in order to change the meaning. The key point is that when the meaning changes, the person's **responses and behaviours also change**.

You have an opportunity to put a new frame around your perceived job or career problems and obstacles. This is not a new idea. How many great innovations and inventions were conceived by someone viewing their "problems" in the frame of "opportunities?" Once the problems were perceived as opportunities, the behaviour changed. Energy was now focussed solving the problems and benefiting from the opportunities.



“It’s not either/or but a win/win situation.” This saying captures well the intent of reframing. Reframing is an important tool for you and those you lead. It helps people see a difficult situation in a new light and can result in more effective action. Reframing is the process of changing the way a thought is presented or a situation viewed without altering its fundamental meaning.

Reframing Exercise

Here are some situations that you can practice on to help you integrate the concept of reframing:

- Your best friend decides to move to another province.
- You lose your job.
- You do your best but are beaten by an opponent in the final event.
- Your old car finally dies in the driveway.
- It rains the first three days of your vacation.
- Your company relocates to another part of the country and offers you a transfer position.
- You fail an important certification exam the first time you take it.
- Your boss, who ran interference between senior management and your team, decides to retire.

Each of the above situations can cause a stressful and negative reaction. Yet each situation can be reframed as an opportunity or a new possibility. For example, when your best friend moves to another province, they can begin a job hunt for you, as you are also considering moving there. Or you now have someone that you can visit in that province and you have the opportunity to see the wonderful countryside when your summer vacation comes around.

- Reframing is the practice of having people logically consider and analyse the actual and potential consequences of events, their own explanations for these events and the actions they can take as a result of those explanations.
- Reframing is a process by which experiences are revised in terms of the value and competence judgements that people make about themselves.



The following exercise will help you further understand the potential inherent in reframing.

Reframe each of the following statements in the right-hand column and then consider the responses provided below.

1. He spends money foolishly.	
2. She is lazy.	
3. He doesn't try hard.	
4. She is very strict with their children.	
5. He doesn't plan ahead.	
6. She is always looking to others to solve her problems.	
7. He takes no initiative.	
8. She is never on time.	
9. All he thinks about is job security.	



Read through the reframed statements below, reflecting on the answers you provided as well.

1. He spends money foolishly.	1. He believes enjoyment is important.
2. She is lazy.	2. She sees life as more than work.
3. He doesn't try hard.	3. For him, it is not important to be competitive.
4. She is very strict with their children.	4. She believes that teaching children to behave appropriately is a parent's responsibility.
5. He doesn't plan ahead.	5. He likes being spontaneous and creative.
6. She is always looking to others to solve her problems.	6. She needs guidance to help find appropriate services.
7. He takes no initiative.	7. He's been taught to follow the rules.
8. She is never on time.	8. Punctuality is not important for her.
9. All he thinks about is job security.	9. He wants to live well during the last few years before retirement.

A leader can use the reframing technique to help guide others in exploring possibilities and opportunities that are not evident at first, particularly when they are in a reactive mode. Reframing is not a manipulative tool to give false hope or provide empty promises. It is most effective when used by a leader who is both genuine and authentic, a leader who truly believes in the person's potential and can envision what the benefits could be for that person.



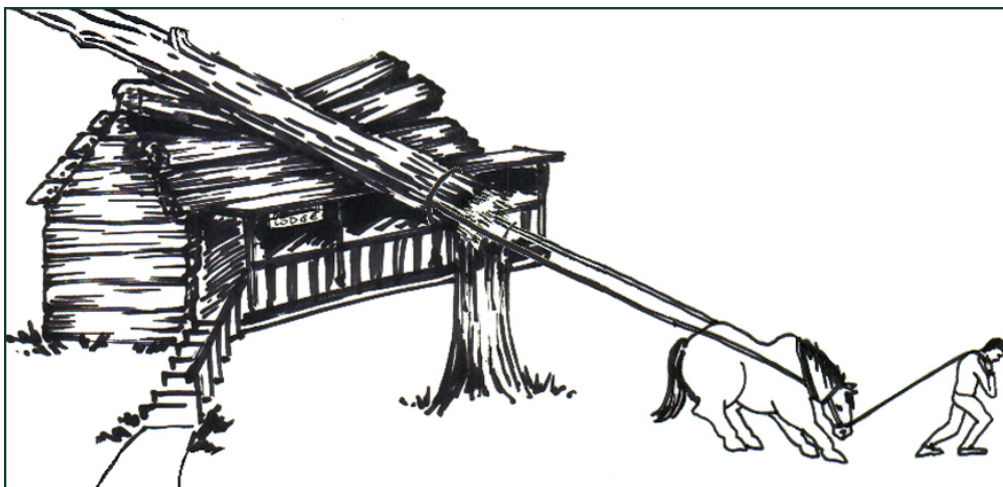
Responding to Resistance – The Big Picture

A guarantee in the world of leading through change is that at one point or another, you are going to meet with the resistance of employees. Since there is always a lot else going on in the change process, the automatic response is often to try to **overcome** resistance. There are a number of reasons why this doesn't work:

- Resistance is a natural response when something happens to upset one's routines, expectations and assumptions about how the world works (including the workplace world).
- Resistance can be a sign of thoughtful vitality in an organization if people really believe that there are fundamental problems with the new approach.
- Not all resistance has to be countered to move forward, but there must be a critical mass of support.
- Active resistance can provide good information about the specific concerns employees have about the change, which helps the manager develop strategies for alignment.

*If you want to make
enemies, try to
change something.*

Woodrow Wilson



Why won't they do what I want them to?????

A formula has been offered to depict the various factors behind resistance and to help managers find the leverage required to make things move.

$$D \times V \times F > R^5$$

Dissatisfaction/Desire x Vision x First Steps > Resistance

The combination of either dissatisfaction with the current state or a desire for a preferred future with a compelling vision and significant first steps is required to overcome resistance. If any of these factors is not present, it will feel a lot more like pushing uphill.

⁵ Beckhard, Richard, Harris, Reuben T., (1987). *The Change Formula in Organizational Transitions: Managing Complex Change*. Addison-Wesley; 2nd edition.



The first step in lasting change is to share a common story around what is most dissatisfying about how things are now or about what might be possible if things shifted – “D.” Individuals need to develop their own understanding of this and hear the differing view of others, so that gradually a compelling reason or purpose for the change emerges. Ongoing negative feedback from clients or customers, for example, can be a big enough source of dissatisfaction for employees that they are willing to completely change the way in which services are offered.

The second step is to establish a common vision – “V” – of what the organization yearns to become. It paints a picture that everyone can see of what the organization is shooting for.

Finally, there needs to be agreement on significant, system-wide first steps – “F” – to begin to move toward the vision. These are the concrete actions that demonstrate there really is a path to get where you want to go.

If any of these three elements is zero, the drive for change cannot overcome the natural forces of resistance that exist within any individual or organization.

Meeting Resistance⁶

So if you don’t defeat resistance, but build around it, what do you need to know about it?

The investment managers make to understand and address resistance, especially at the front end of a change process, will provide a lot of support further down the road. The first critical step is to get really clear on the source of resistance, as an effective response will vary considerably depending on the source.

There are six possible reasons for resistance, and we will offer suggestions for investigating and addressing each one.

- **Methods for implementing the change**
- **Perception of impact on client**
- **Values and beliefs**
- **Social factors**
- **Motivational factors**
- **Personality and cognitive factors.**



⁶ Based on Training and Development Canada, **Managing Change – A Guide**, 1994
Responding to Resistance – The Big Picture

Methods for Implementing the Change

Regardless of the substance of the change (downsizing, introducing a new technology, cutting out a customer service...), people may have real objections to the way in which it is introduced. People may well become irritated or hostile in any of the following circumstances:

- Communication about the change comes well after decisions have already been taken, and people are taken by surprise.
- The means of communicating is disrespectful of people, given the potential magnitude of the impact (e.g., a notice in the elevator announces a major amalgamation).
- The person leading the change process has little credibility.
- There is not enough lead-time or adequate means to integrate the new way of operating in the schedule predicted.

Questions for Discovery	Strategies for Addressing
1. Does the attitude of the change leader demonstrate respect for those involved?	▪ Staff expected to carry out the change are kept well and respectfully informed.
2. Are the means to promote the change appropriate for those involved (language, mode, frequency, etc.)?	▪ Relevant and sufficient training around the new way is provided near the beginning.
3. Is there sufficient time for those involved to integrate the change?	▪ Time is allowed for understanding and mastering new practices.
4. Is the credibility of those promoting the change sufficient?	

Perception of Impact on Client

Employees who have a healthy commitment to great client service and a track record of providing it may well become upset with any changes that could potentially diminish the level of service.

Where service has been consistently offered to a high standard, employees often have a lot of knowledge and awareness about the client world. They are inevitably in closer contact with clients than decision makers who may be promoting changes.

Their assumptions about the potentially disruptive impact of new changes on that client relationship (such as the addition of costs for the client or the discontinuation of certain services) can result in their resisting the change on behalf of the client, whose interests they see themselves representing.



Questions for Discovery	Strategies for Addressing
1. Is the proposed change in alignment with staff perceptions of the needs and possible reactions of their clients?	▪ Studies, even brief ones, can be undertaken to document the actual needs and feedback of clients with regard to proposed changes, in order to test assumptions. ▪ Staff involved can research how clients are dealt with in comparable organizations, allowing them to learn other approaches. ▪ Working groups that include clients can be struck to review practices and the consequences of the proposed changes. ▪ Staff can research consequences for the organization of not making proposed changes and suggest alternative approaches to achieve desired outcomes that will impact clients less.

Values and Beliefs

Change can often trigger resistance when a new way of doing things that goes counter to employees' professional or personal beliefs is introduced. Store openings on Sundays, liquor stores designed as retail spaces, allowing employees to e-mail freely rather than send telexes checked by the boss – all these circumstances met with strong resistance from at least some of the parties involved on all sorts of grounds.

Everyone operates out of a strongly held worldview, and no change in perspective is possible without a conversation that offers an alternative (or addition) to that worldview.

Questions for Discovery	Strategies for Addressing
1. Are the values and beliefs underlying the proposed change harmonious with those held by a critical mass of organization members?	▪ Availability of enough facts/ information around the change, framed to help organization members test their own assumptions. ▪ Valuing the input of divergent viewpoints while at the same time building and testing prototypes that demonstrate a new way.



Social Factors

The life of individuals inside organizations is affected by many subtle social phenomena. These phenomena result in pressures to conform of varying intensity. Individual responses are conditioned in part by group tendencies. Here are a few of the most common pressures:

- Daily life is regulated by social norms that dictate the range of acceptable behaviour, and the fear that these norms will be disturbed by the introduction of new ways of doing things can elicit defensive reactions (e.g., changes to work-at-home rules, use of equipment off-site, a new leadership style).
- The interests and privileges of some groups may be thrown into question.
- The prestige or status of certain groups may be either diminished or strengthened, which can elicit reactions of support for or resistance to the new way of doing things.
- A sense of coherence in the functioning of an organization can be upset by new ways of doing things (it's working now, so leave it alone!).

Questions for Discovery	Strategies for Addressing
1. Will the new way of doing things modify existing social norms/organizational culture?	▪ As much as possible, find ways for people impacted by the change to have an influence on it.
2. Will the new way of doing things upset the equilibrium between sub-groups and/or between individuals?	▪ Try and use language and images that demonstrate respect for the healthy aspects of the current culture.
3. Are the interests or privileges of groups or individuals compromised by the projected change?	▪ Find support from those who are credible in the eyes of those involved both inside and outside the workplace.
4. Is the prestige or status of any members of the organization diminished by the change?	▪ Avoid negative judgments on past practices. ▪ Continue an authentic conversation on benefits of the proposed change, acknowledging potential loss.

Motivational factors

As we described in the beginning, receptivity to change usually comes from three factors:

- difficulties, problems or dissatisfaction with current practices
- anticipation of increased gratification with the projected change
- a compelling vision from a respected opinion leader



The less these factors are present, the less those involved will perceive the relevance of the change, and the more they will be resistant.

Questions for Discovery	Strategies for Addressing
1. Do staff involved experience problems or dissatisfaction with the current situation? 2. Can those involved foresee increased gratification with the projected change? 3. Do opinion leaders actively support the projected change?	▪ Share freely all the information available, about the dysfunctional or dissatisfying aspects of the current situation. ▪ Highlight gains expected from the change (while at the same time acknowledging potential losses). ▪ Keep an open conversation going with leaders, including a public examination of problems and solutions that have been tried.

Personality and Cognitive Factors

Employees are all unique individuals with an array of skills, habits and ways of doing things. We tend to get satisfaction from knowing what we are doing, and putting that into question by demanding different kinds of performance can make us uneasy.

Tasks we master are generally more satisfying than those we don't, and it is difficult to abandon practices that have worked well in the past. People sometimes identify so much with a situation that they feel they lose a part of themselves in its disappearance.

Along with specific skills, individuals have varying preferences for dealing with the work situation. Some people like a stable and predictable day, some enjoy a lot of diversity and creative challenges. Resistance can arise where people perceive that their preferred mode of operating and/or their skill sets are going to be less valuable in the new context.



So how can a manager better understand what is behind the resistance and take steps to address the situation? We offer the following questions and strategies to better understand and build an effective response.

Questions for discovery	Strategies for addressing
- Does the change hold a lot of unknowns for staff? - Have staff developed an automatic "no" response? - Do they have strong abilities in the areas you are planning to modify? - Will the change modify practices that are highly valued by the staff affected? - Were the practices and methods you want to modify put in place by those who must now go through the change?	- Staff needs to have a forum where their concerns are truly heard and acknowledged. - Provide people with as much opportunity as possible to take part in the change project at different stages, to secure their contribution and allow them to shape it. - Reduce the pace of change if the saturation point is reached, or speed it up if people are overanxious in anticipation. - Minimize the unknown by sharing as much information as possible about the change.

Exercise on Developing Strategies for Resistance

Initiating Change and Managing Resistance

- Describe a change that you are in right now or about to undertake.
- Using the $D \times V \times F > R$ formula, which factors do you think are the strongest in your favour with regard to developing a critical mass of support for the change?
- Which are the weakest? Can you think of ways to strengthen them?



Meeting Resistance

1. Based on the six factors listed and your conversations with staff involved, what do you think are or will be the one or two biggest sources of resistance?

1.

2.

2. For each one, develop two possible actions you could take to mitigate the negative effects. What are the risks associated with each of your actions? What is your timeline for your actions?

1a)

1b)

2a)

2b)



Responding to Resistance

As you may have learned in the first workshop (Your Journey Through Change), people often react emotionally when faced with change. It is therefore important as a leader to distinguish between a *reaction* to change and a *resistance* to change. The ability to express and acknowledge one's emotional response and to have the freedom to express it is the first step to moving beyond the emotional reactive state.

When you encounter resistance, don't take it personally. In fact, you are seeing the surface expression of more underlying anxieties.

Two things are happening:

- The employee is feeling uncomfortable, and
- The employee is expressing the discomfort indirectly.

The leader's job is to help employees express **difficult realities**.

Direct Expression is: ▪ <i>not</i> resistance ▪ healthy ▪ a desired outcome	Indirect expression is resistance by blaming: ▪ lack of detailed data ▪ not enough time ▪ impracticality ▪ not enough budget ▪ "those people" who don't understand
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Fears of the Employee and the Leader	
Employee Fears: ▪ Helplessness. Futility. I have no power to change the situation. I am a victim. ▪ Alienation from the organization and people around me. No one cares about me nor do I care about them. I don't belong here. ▪ Confusion. I have too much information. I can't sort it out or see clearly. ▪ I do not know what is going on and no one is giving me information.	Leader Fears: ▪ I can have no impact. There is no reward for the effort. ▪ Distance from the employee. We will remain strangers. We will never get close. I'll have to stay totally "in role." ▪ I have too little information. They won't or can't tell me what is really happening. ▪ I should not say anything until I know definitively where we are going. ▪ I have to be careful about what I say. ▪ I have to support my bosses and subordinates.



The Potential of the Employee and the Leader	
Employee Potential: ▪ Has choices and power to act on the situation. Is an actor, not a victim. ▪ Engages the situation. Feels a part of it. Moves towards the difficult reality and tension. ▪ Choices are clear. Mass of information ▪ Can ask for clarity and involvement.	Leader Potential: ▪ Potential for high impact. Clear payoff for effort expended. ▪ Can be authentic and intimate. No "role" behaviour. ▪ Is included with all information. Sees situation with clarity. ▪ Can communicate what is known within context of what is to come as well as what is uncertain. Personalize contact.

Asking for Help

- Asking for help is perceived as a sign of weakness in our culture.
- Asking for help goes against the stream of organizational and culture messages.
- Resistance comes in part from the discomforts of being dependent and asking for help.

Employee Perceptions to Take into Consideration

The employee may have the feeling that:

- nothing can be done to help.
- has already tried to solve the problem with little or no success.
- has an unstated belief that the problem is unsolvable and must be lived with.
- no technical solution will suffice if the employee has no energy to try it.

When we ask for help, we want both a solution to the problem and confirmation that everything we have done has been perfect.

- Employees may sincerely want to learn and solve the problem but still seek to avoid changes.
- At the same time they also want support and to be told that they are handling that problem well.

The resistance is the avoidance. In change when resistance is expressed, it diminishes and the employee is ready and willing to learn and move forward.

Fear of the unknown is a major cause of resistance.

- The employee has a very clear idea of how bad things are and has learned to live with it.
- The leader comes with the promise of less suffering and improved results.
- The promise carries the employee into the unknown.



Sometimes it's not resistance, it's really disagreement.

- "No, I do not choose to begin this project.
- "I'm in too vulnerable a position to begin this project now."

Nothing in these direct expressions blames the leader or passes responsibility for the difficulties to the leader. The employee is taking responsibility and has a right to choose. That's life.

Leader's perceptions to take into consideration

- We think that we should be able to overcome all obstacles.
- We believe it's up to us to do the best we can –
 - no matter how difficult the employee
 - or how tough the problem
 - or how tight the time schedule.

This leads to a difficult employee/leadership relationship because you imply a hidden bargain (assumed and never spoken).

- Being a leader who presents a façade of being in control or having the solution is the leader's own resistance against facing the realities of a difficult situation.
- Resist providing answers or solutions when you are asked to listen.
- Communicate what is known clearly and in a personal manner.
 - If you can't say "no", say "later".
 - If you can't say "later", say little.

Responding to Resistance

Resistance is a necessary and natural stage of all processes of change. In order to successfully respond to resistance when it happens, we need to be able to:

- recognize and identify the resistance
- support the complete and direct expression of resistance
- address the resistance appropriately.

Responding to resistance primarily requires allowing, supporting, and acknowledging the complete expression of the resistance. Often this alone can diminish the resistance. In other cases, when resistance is blocking the process or the decision of the group, there are effective ways to address it:

- Identify the form the resistance has taken
- Ask a question using neutral language
- Be quiet and listen to the response.



For example:

Resistance	Look for	Response? (examples)
Need more detail	▪ Repeated questions ▪ Unwavering confusion	"What level of detail is needed to make a decision?"
Giving a lot of detail	▪ Leaning forward ▪ Interrupting others	"What is most important for you to express?"
Not enough time	▪ Focus on time over content	"Which part of the discussion should we give more time to?"
Impracticality	▪ Covertly undermining consensus	"Is there something you feel might be overlooked?"
Confusion	▪ Furrowed brows ▪ Shaking heads	"Is your confusion about the topic or about the process?"
Silence	▪ Folded arms ▪ Shaking heads	"We need your opinion. Can you share what you are thinking?"
Moralizing	▪ Pointing fingers ▪ Shaking heads	"We feel we understand your opinion. Do you feel you understand others?"
Press for solutions	▪ Impatience ▪ Exasperation	"Can we discuss the ideas first?"



Conversations for Change

How You Talk is How You Lead

Now that you have some idea of the kind of leader you are and how to respond to and energize people who are resistant to change, what tools do you have to work with?

We think we have all kinds of fancy tools for running our organizations – databases, PDAs, flow charts, strategic plans, visions – but in reality, there is a key one that we often overlook. It is the conversations we have and the language we use that result in shared understanding, agreements, dissent. It is through our conversations that we either mobilize and inspire people or end up having them mistrust and disbelieve us, or somewhere in between.



"How do you feel about collaborating on this one?"

"I see the possibility of creating a new retreat centre we could share with others!"

"Here are the steps we need to take to get up and running...."

*Communication
leads to community,
that is, to
understanding,
intimacy and
mutual valuing.*

Rollo May

Choosing the Right Conversations

Like different leadership styles, people have preferences for different kinds of conversations. Some are very action-oriented and love to get into the details of who is going to do what, and what are all the pieces required to make something complex come to life. Others love to think at the level of envisioning a future that would be exciting to bring to life. Others spend a lot of time tending to the relationships between people, ensuring that people feel included, that conflicts are taken care of and that people know where they stand. All these conversations are necessary to make change happen. Let's look at them one at a time and consider how to engage and participate in each one. Often when things are not working out and people are pulling in different directions, the problem can be traced back to the misalignment between the conversations they are in and what is really needed.

Conversations for Relationship

"How are you doing, really?" is an opening for conversations that nurture the relationships people are in with each other and with you as a leader. The significant conversational skill here is listening. A relationship is built and kept solid by people knowing that they count for you, that they matter, and that you care about what is going on with them.



Conversations for Possibility

The essence of leadership is creating and sustaining a viable future, and conversations for possibility are those that build in the minds of people a picture of a future that is compelling and that will depend on their efforts to come to pass. People are mobilized to act when it is crystal clear that their efforts will result in something that they believe in and that is important to them.

The future is built through “what if...” declarations.

Conversations for Action

Of course, a new possibility or an exciting vision does not by itself ensure a new future. Once there is a shared commitment to (or at least an understanding of) the future, the conversational tools required to bring it about are largely requests and the commitments people make in response to them. A request states clearly what you would like to have happen, by whom, when, to what standard. A commitment is yes, no, or yes with the following conditions.

It's that simple, yet it is more common than not to make incomplete requests and commitments, resulting in things not happening or not happening on time or not happening in the way that is most useful.



A Leader's Intention

As you can see, the intention behind each of these conversations is different. In the first case, the intention is to let people know they matter. In the second, it is to make things happen. In the third, it is to get people excited by a future that only we can bring about. What makes these conversations powerful is that your intention is congruent with what you are saying.

In other words, their power lies not in the message of the words, but in the alignment between the meaning of the words and your expression. When you speak and listen, you automatically communicate your intention through the tone of your voice, your body language, where you focus your eyes, your pace. There are hundreds of behavioural signals that people pick up on to figure out your intention.

For example, after the departure of one employee who had created many challenges for a manager in this department, at the next staff meeting, he announced her departure and went on to describe what an important contribution she had made to the Branch and how grateful he was to have had the opportunity to work with her. People looked at each other quizzically as they remembered the many overt arguments the two had had, and instantly demoted that manager to a 2 out of 10 on the authenticity scale.



Tools for Each Type of Conversation

On the basis of the exercise you did on pages 49 and 50 and the change you are or will be initiating:

- What type of conversations do you think are called for?
- In what order?
- Why do you say that?

Building Accountability and Commitment: Six Conversations

Now let us look at conversations that can foster *accountability* and *commitment*. The following section outlines the types of conversations recommended by Peter Block, leader of many change processes in major companies and governments in the USA.

1. The Invitation Conversation

The Invitation Conversation believes in transformation that occurs through choice, not mandate. Invitation is the call to create an alternative future.

- How are we called together to experience our sense of freedom in any gathering?
- What types of invitations allow people to grant themselves unlimited permission to participate and own the relationships, tasks and processes that lead to success?
- How can we craft compelling messages that challenge all invited participants to stay?
- The invitation must contain a hurdle or demand if accepted. It is a challenge to engage.

Most leadership or training initiatives are about how we get or “enrol” people to do tasks and feel good about doing things they may not want to do. Our belief is that we should have people “self-enrol” in order to experience their freedom of choice and commitment. How we invite people to join us in our work and mission is critical to how far they own and commit to the ultimate success of that mission.

Change is a self-inflicted wound. People need to “self-enrol” in order to experience their freedom of choice and commitment.

Leadership task: To name the debate, issue the invitation and invest in those who choose to show up. Those who accept the call will bring the next circle of people into the conversation.

2. The Possibility Conversation

The Possibility Conversation focuses on what we want our future to be, as opposed to problem-solving the past. This is based on an understanding that living systems are actually propelled to the



future. The Possibility Conversation frees people to innovate, challenge the status quo and create new futures that make a difference. In new work environments, this conversation has the potential to both break new ground and lead to an understanding of the prevailing culture.

Problem solving and reconciliation of interests makes tomorrow only a little different from yesterday. Possibility is a break from the past and opens up space for a future we had only dreamed of. Declaring a possibility wholeheartedly is the transformation. Possibility presents people with the freedom of choice and creation, change and commitment.

Leadership task: To postpone problem solving and stay focussed on possibility until it is spoken with resonance and passion.

3. The Ownership Conversation

The Ownership Conversation focuses on asking whose organization or task this is? The conversation begins with the question, “How have I contributed to creating the current reality?” Confusion, blame and waiting for someone else to change are defences against ownership and personal power. This conversation explores the sense of ownership that the group can create together by having conversations that really matter, both individually and collectively.

The enemy of ownership is innocence and indifference. The future is denied with the response, “It doesn’t matter to me – whatever you want to do is fine.” This is always a lie and just a polite way of avoiding a difficult conversation relating to ownership. We believe the Ownership Conversation is a key component of the successful implementation of any strategy. What matters most to people in the individual and collective ownership of an organization’s strategic direction? What factors help ownership become real and fundamental in the full cycle of human experience, business development or strategy implementation?

Leadership task: To confront people with their freedom.

4. The Dissent Conversation

The Dissent Conversation provides people with the space to say “no.” If we cannot say “no,” then our “yes” has no meaning. People have a chance to express their doubts and reservations as a way of clarifying their roles, needs, and yearnings within the vision and mission being presented. Genuine commitment begins with doubt, and “no” is a symbolic expression of people finding their space and role in the strategy. It is when we fully understand what people do



not want that we can fully design what they want. Refusal is the foundation for commitment.

Leadership task: To bring to the surface doubts and dissent without having an answer to every question.

5. The Commitment Conversation

The Commitment Conversation is about individuals making promises to their peers about their contribution to the success of the whole organization. It is based on two questions: “What promise am I willing to make to this enterprise?” and “what price am I willing to pay for the success of the whole effort?” It is a promise for the sake of a larger purpose, not for the sake of personal return.

Leadership task: To reject lip service and demand either authentic commitment or ask people to say no and pass. We need the commitment of far fewer people than we thought to create the future we have in mind.

6. The Gift Conversation

What are the gifts and assets we bring to the enterprise? Rather than focusing on our deficiencies and weaknesses – which will most likely not go away – we should build on the gifts we bring and capitalize on those. Instead of problematizing people and work, the Gift Conversation is about searching for the mystery that brings about the greatest achievement and success in work for your organizations. Confront people with their essential core, which has the potential to make a difference and change lives for good. This resolves the unnatural separation between work and life.

Leadership task: To bring the gifts of those on the margin into the centre.

We have seen how the skills of reframing, responding to resistance and fostering meaningful conversations are essential tools for managers as they guide their staff through change. The next section introduces you to Peer Coaching, a resource that is readily available to managers in their immediate environment and which, if used regularly, provides an opportunity for sustained learning.



Peer Coaching

A useful leadership tool for the “off-road” journey

Peer Coaching is an essential tool that is immediately available to leaders as they lead through change. This tool places the leader at the centre of the learning cycle and encourages both professional and personal development.

What is Peer Coaching?

Peer coaching is a unique form of coaching. A peer coach is typically a colleague, co-worker or friend who participates in what might be called reciprocal coaching – you take some time to coach me; then I’ll take some time to coach you. Unlike executive coaching or other forms of professional coaching, peer coaching takes place between people who expect to coach each other. Peer coaches, therefore, normally share similar professional or job responsibilities.

Peer coaching normally involves two leaders – though it can sometimes involve three or more – who come together to share in conversations and reflect on and refine their practice. The relationship is based on confidentiality and trust and develops in a non-threatening, secure environment in which the parties learn and grow together. For this reason, peer coaching is usually not part of an evaluative system.

Why Use Peer Coaching?

Peer coaching provides job-embedded, ongoing professional support, making it effective for the following reasons:

- It allows leaders to work together professionally, thereby eliminating feelings of isolation.
- It encourages reflection and analysis of the practice of “leading.”
- It encourages specific feedback over time.
- It fosters collaboration among leaders throughout PWGSC.

Principles of Peer Coaching

1. Peer coaching is a professional development process in which leaders agree to participate. Its purpose is to provide a learning opportunity that allows leaders to further develop and share their professional skills, knowledge and understanding. It is particularly beneficial when contextualized within a specific work situation.
2. Peer coaching is a mutual and reciprocal process during which both partners have the opportunity to speak and listen and then give and receive feedback. Whatever the position or relative status of the participants, peer coaching should be a non-hierarchical process in which both partners are focussed on receiving and providing professional support.



3. The main focus of the exchange and feedback should be decided by the leader being coached. It is that person, not the observer, who has the power to put what is learned into practice. Peer coaching must therefore be preceded by discussion between the leaders involved.
4. Feedback is informed professional dialogue. Interactions between leaders and learners can be interpreted in many ways. The observer's job is to give the leader information he/she would not otherwise have in order to maximize his/her options for action. It is not about doing things right or doing things wrong. If feedback builds on self-evaluation and shared exploration of the information provided by the observer, the observed leader's own ideas and practice will form a natural springboard for planning future progress.
5. The outcomes of the peer coaching must be owned by the leaders involved – any record of the coaching should be accessible to both partners and kept confidential.

Feedback – Informed Professional Dialogue

Feedback following an exchange is likely to be most effective when it encourages a full and active contribution from the leader being coached. The role of the observer is to encourage self-evaluation on the part of the leader being coached and draw on information and evidence gathered from observation to promote and deepen the observed leader's learning and professional development.

Feedback is an **opportunity** for:

- the observer to 'paint a portrait' of what he/she has heard/observed (with regard to the 'focus' that was agreed upon prior to the session)
- leaders to jointly interpret the data/evidence collected by the observer
- the leader being coached to ask for specific feedback
- the coach to ask open questions that enable the observed leader to clarify issues and identify options for development
- leaders to prepare an action plan together (aspects of which may also be the focus of subsequent exchanges).

Golden Rules for Observers in Giving Feedback

- Briefly describe what has been heard/observed, based on the evidence, asking for clarification where needed.
- Encourage the observed leader to share his/her own perceptions.
- Avoid being judgmental; instead, offer affirmative and constructive comments that separate behaviour from the person and his/her professional identity.
- Generate an interactive, probing and developmental dialogue between 'equals.'



Prompts to Promote Self-evaluation and Interactive Discussion

- “Given your intention to... (evidence), how do you think the situation went?”
- “When... (evidence), why do you think that was?”
- “I noticed/observed... (evidence).”
- “What do you think would happen if...?”
- “What have I said that you think makes a positive contribution to your learning?”
- “What would you like me to observe in future?”

Getting Started: Peer Coaching

As you will note, peer coaching is self-initiated. In fact, the success of peer coaching is contingent upon it being voluntary. Peer coaching is easy to set up, as it requires only asking one other person to meet with you regularly. When thinking of a peer coach, here are some guidelines to help you choose:

Choose a peer:

- who is supportive and can provide you with critical feedback and reflection
- with experience in leading through change
- who understands your work environment
- with whom you can meet regularly
- who works nearby.

The focus of the guide so far has been to provide you with tools and resources that equip you to lead through change. In the following sections, you will be asked to imagine how you can lead through change in a vibrant manner. You will create a provocative statement about your future as a manager, and you will then be invited to use this statement as a guide as you lead through change. Let’s start with a tool that can be used with peer coaching, Appreciative Inquiry.



Appreciative Inquiry (AI)

AI and Leading Through Change

The following section of the guide was developed to help managers taking the “Managers Leading Through Change” workshop. The intent is to help managers imagine how they will lead through change and create provocative statements on how they hope to do this.

Introduction and Background

Appreciative Inquiry is a process that invites people to inquire about what is most “life-giving” and vibrant in their organizational life. Appreciative Inquiry stands in opposition to deficit-based thinking, which outlines only problem situations. Constantly pinpointing weaknesses leaves an organization focussed on its lack of resources rather than on its strengths and capacities. Negative thinking takes away the capacity to create new visions and new images of a vibrant future. It can stifle hope and produce an organization lacking in energy and enthusiasm.

In contrast, Appreciative Inquiry asks people to take a deep inventory of their personal and work experiences, recount the most vital and inspiring events and times, and then compile these compelling features into a vision for positive change and a fuller life.

The theory and process of Appreciative Inquiry has been developed over the past twenty years by David L. Cooperrider, Professor of Organizational Behavior at Case Western Reserve University in Cleveland, Ohio. It has been used successfully in a wide variety of organizational settings throughout the world and has proven to be very relevant for use in organizational settings and diverse cultures.

Appreciative Inquiry is about reshaping the way people think about organizational life and change. Richard Beckhard, a central leader in the evolution of organizational development over the past 40 years, noted in 1999 in his final speech before the Academy of Management that “Appreciative Inquiry is creating a powerful, enduring change in the way organizational development will be conceptualized and practiced both now and in the future. It is changing the way we think about change itself.”

To define terms, “*appreciate*” means to value, recognize or affirm the strengths, successes and potentials in people and communities. We appreciate things that give life, health, vitality and excellence. To “*inquire*” is to explore or discover and ask questions with the hope of seeing new potential and possibilities. “Appreciative Inquiry” is therefore the process of asking questions and exploring those things that are the best sources of life, health, vitality and excellence.



These moments of life and excellence in organizational life should never be taken for granted. Rather, they should be highlighted and built upon to help shape a future built on a strong, positive foundation.

Some Underlying Principles of AI

- **The Importance of the Questions We Ask:** The questions we use and how we word them are very significant. There are no neutral questions. The energy in people and their potential for positive change are affected by the first questions we ask. What we ask and seek, we find. What we find, we talk about. What we talk about creates the images that shape the future we live.
- **The Power of Our Images of the Future:** Our images of the future guide our current behaviour and the eventual future of the organization. By anticipating the future in a hope-filled and creative manner, we help create such a future.
- **The Value of Positive Questions:** The momentum for enhancing organizational life requires large amounts of positive affect, social bonding and creative energy. The old adage that nothing happens between strangers is true. Social bonding enhances collaboration, while positive affect weakens resistance to change. The more positive the questions used to guide organizational planning, the longer lasting and more effective the change will be. Positive questions lead to positive images, which increase positive energy and positive relationships, resulting in positive change.

Further Reflections on Change and Development

1. Our imagination and our capacity to free the imagination and mind of groups are critical resources for creating positive change in the organization.
2. Our imagination and mind are often constrained by our bad habits, limited styles of thinking and underlying assumptions.
3. Our styles of thinking rarely match the increasingly complex worlds in which we live. We must therefore commit ourselves to the ongoing discovery of more creative and fruitful ways of knowing.
4. All organizations are largely affirmative and respond to positive thought and positive knowledge.

Appreciative Inquiry (AI) Method

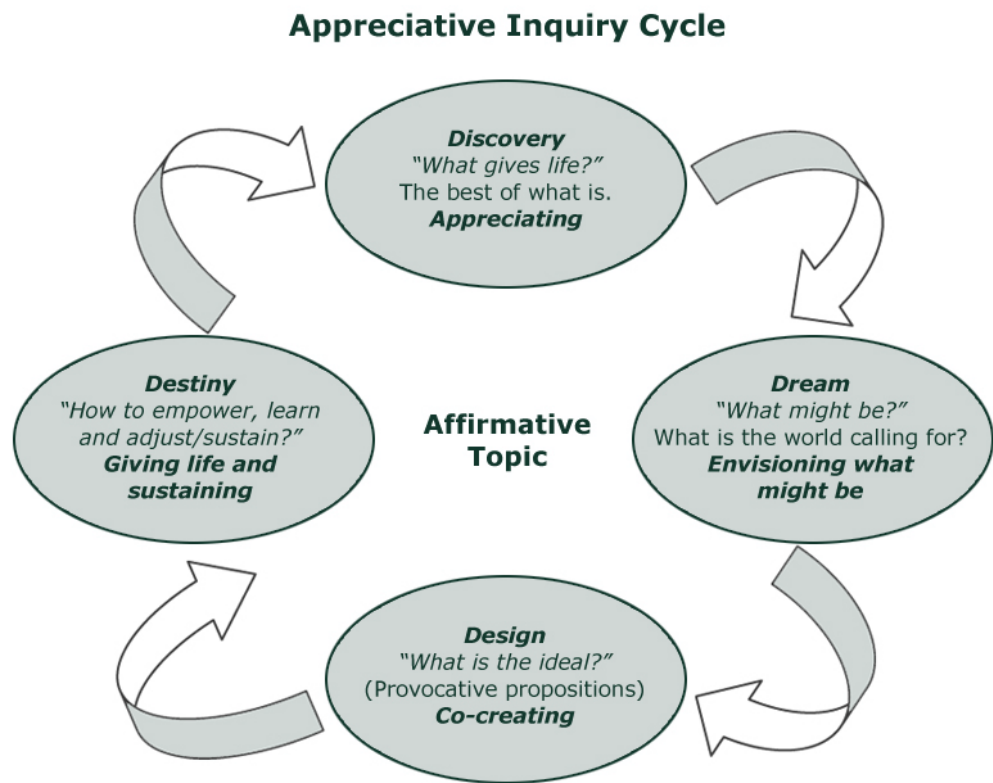
Good questions evoke the stories that people hold within their minds and hearts. It is these stories that reflect the deeper meanings, beliefs, hopes and dreams that people have about their organization. As our elders knew,



storytelling is a powerful way to share our knowledge, to inspire others and to build the organization. The interview method is perhaps the best way to bring out these stories and to help people to encounter each other in a meaningful way. The interview is the most in-depth way of listening to another person and being attentive to his or her reflections and deliberations. Typically, organizational leaders and interested members can be easily trained to conduct these interviews. This process has proven to be very rewarding for those who do so.

Determining the Question and the Four Cycles in AI

Determining the focus of the inquiry is a fundamental first step in AI. There are four cycles in the Appreciative Inquiry process.



Appreciative Interviews

To start this process, you will be asked to find another person around you (if possible, someone you know the least) and conduct an appreciative interview together. (Note that this exercise was initially designed for a *Leading Through Change* workshop session. You can still learn from it and make use of it in your workplace.)



Interview Questions/Topics

- Talk (share a story) about a time:
 - when you thought and felt you had led your group/organization through change really well
 - when everyone collaborated and worked effectively through the change
 - when you led/participated in a successful change process.
- Now describe the situation. What was happening at that time? What were you feeling? What made it a great moment? What were others doing that contributed to this being a great moment for you? How did you contribute to creating this moment?
- Imagine your organization in the future as even more fully vibrant and life-giving. Name one to three things that you have done to make this a reality.

Guidelines for Conducting Interviews

You will interview a fellow member of your group. The interview will take about 20 minutes (approximately 10 minutes each). You are encouraged to complete a full interview before changing roles.

Here are some possible questions to use to probe further and learn more about the story the person is sharing:

- Tell me more.
- Why do you feel that way?
- Why was that important to you?
- How did that affect you?
- What was your contribution?
- What were others doing that helped you?
- What was really making it work?
- How has it changed you?

Let the interviewee tell his/her story. Please don't tell your story or give your opinion about their experiences. You will have your chance next.

Take good notes and listen for great quotes, images and stories.

Be genuinely curious about the person's experiences, thoughts and feelings.

Some people will take longer to think about their answers. Allow for silence.

If somebody is unable or unwilling to answer any of the interview questions, that's okay. Let it go.



Tips for Summarizing Interviews

As soon as possible following your interview, summarize the results on a piece of paper. Write down the best quote(s) that came out of the interview and the most compelling word or phrase. Then write down the one or two themes that stand out most from the interview.

Remember to enjoy the interview. You are asking each other about things that really matter, ideas that give hope and meaning and are central to your organizational lives and to others at PWGSC.

Common Themes and Elements

After the interviews, gather in a group. Each person reports briefly on what they learned about the other person, highlighting the words and phrases that struck them in the story they heard. If possible, designate one person to facilitate the meeting. Take about 30 minutes to exchange your experiences and respond to the following questions:

- What were the most essential elements that facilitated change?
- What were some of the most compelling words and phrases that came out of your stories?
- What came out of your interviewing experience that could help others lead through change in the future?

It is important to understand that all information that is shared is relevant, as it comes from the lived experience of the participants.

Summarize your exchanges on a flip-chart sheet in the following format:

“The six key elements/phrases that made the change successful”

- List those responses that were most *commonly* given in answer to the questions.
- List the most *compelling* responses to the question (even if this response was not commonly given).

Key Elements/Phrases
1.
2.
3.
4.
5.
6.



Capturing the Common Themes in the Reports

Each group records their findings on a flip chart sheet and posts their data in the room for all participants to see. Participants are invited to walk about in an open-space format, reading what others have said and engaging in dialogue with others as they do so.

The whole group is then invited to cull six to eight common themes/elements from the report. Each participant is then invited to craft a provocative statement on how they will lead through change.

Crafting a Provocative Statement

Now that you have had an opportunity to tell your story, listen to others and collectively identify in your stories common themes that facilitated change. You are asked to dream about the future. Create a statement, inspired by what has worked for you and others, looking to the future by answering the following question:

“Imagine PWGSC five years from now. You have been contacted by a local newspaper reporter, as PWGSC has been cited as an exceptional example of an organization that has come through a change successfully because of the leadership your group provided. How did you contribute to this? How did you exercise your leadership to bring this about?”

Feel free to use the common themes/elements in the composition of your statement. A provocative statement bridges the best of “what is” with your own speculation or intuition of “what might be.” It is provocative to the extent that it stretches the realm of the *status quo*, challenges common assumptions or routines and helps suggest real possibilities that represent desired outcomes for your group.

In many ways, crafting provocative statements is like architecture. Your task is to create a proposition about your ideal group. What would it look like if it were designed in every way to maximize and preserve the life-giving elements your group has identified?

Criteria for a Good Provocative Statement

- Is it *provocative*? Does it challenge or interrupt?
- Is it *grounded*? Are there examples that illustrate the ideal as a real possibility? Is it rooted in the life-giving stories and elements we discovered?
- Is it *desired*? If it could be fully realized, would the group want it? Do you want it as a preferred future?
- Is it *stimulating*? Does it point to how you will work and collaborate with others?
- Is it stated in *affirmative* and bold terms?
- Does it *stretch* us and call us to realize our potential?



- Would it be *understood* and *appreciated* by someone outside your group?
- Is there balanced management of *continuity, novelty and transition*?

Action Planning

Now that you have created a *provocative statement* for yourself, you can begin to reflect on what concrete action you can take to realize the potential embedded in your statement. Here are some reflections that could help you concretize an action plan for your provocative statement.

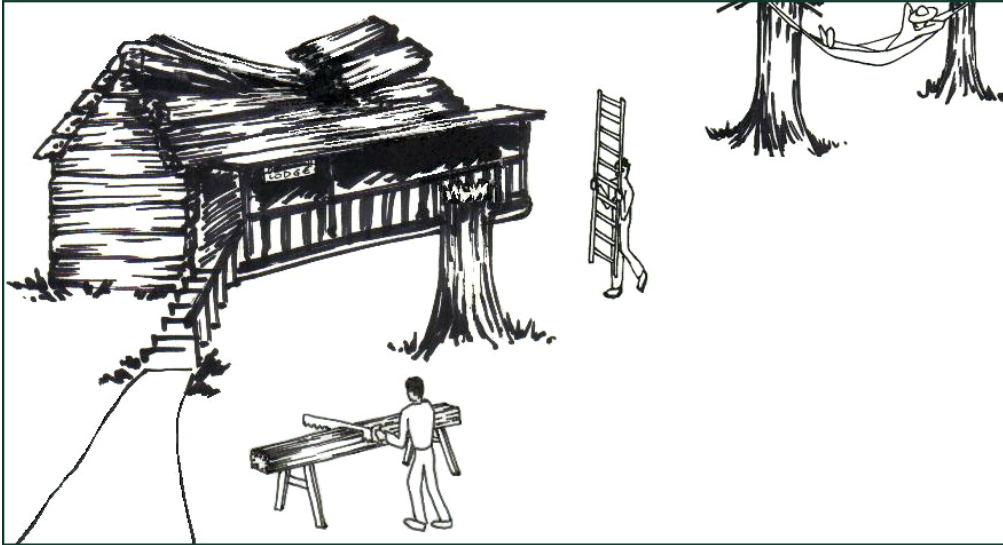
- How can I use my gifts and talents to engage actively in the realization of the provocative proposition?
- How can I communicate it to others and invite them to take part in the unfolding of the change?
- What action(s) can we take as a group to realize the provocative proposition?

You are encouraged to keep your provocative statement readily available to you in the future. You may want to communicate it to others. It can also serve as a benchmarking tool to help you reflect on the progress you are making as you lead others through change.

Making your statement known to others invites them to provide you with feedback on your progress. As you look to the future, taking care of yourself is essential. You can lead well when you take good care of yourself. That is the focus of the next section of this guide.



Staying Healthy



No matter how many experts you put on to it, it still takes nine months to make a baby.

James Flaherty

It becomes more and more evident that our own well-being is indissolubly linked to the health of society and our environment.

Michael Murphy

*Don't let the work
ethic take away
your life ethic.*

Unknown

An increase in productivity is impossible in the face of stress, illness and increased injury rates. And all of these show up in situations where human beings are expected to move faster than their biological time allows.

As a leader, not only do you have responsibility for supporting a healthy environment, you are also the project leader for your own health and well-being. Your health and vitality during a change process are significant predictors of transition success and broader organizational well-being.

Components of Health – Body, Mind, Heart and Soul

We propose that the path to health is an integral one, requiring the inclusion of the whole of human nature – body, mind, heart and soul. These different elements of ourselves are mutually nourishing and mutually reinforcing, so have a much more powerful result when addressed together. If you are a strong and dedicated runner putting in 45 minutes a day, you potentially have the strength to blast through the day. However, if your heart is closed to others through anger or judgment, you will be exhausted by the hostility around you.

We have to be operating on all these cylinders, and none is more important than the other.



The functions associated with each of these elements are described below.

The Mind

Health of the mind is expressed in a person's capacity for logical thinking, objectivity, seeing the overview, strategic planning, establishing values and principles, maintaining focus and creating structures. Engaging the mind is a first step in any meaningful endeavour.

The Heart

The heart or our emotional centre is the place of relationship and connection. It is that part of us that knows and values the world of feelings in others and ourselves. It is also the part that needs and offers communication and that knows how to collaborate and organize with others.

The Body

The body is the place where what is thought and felt is translated into action, into doing. Body health is built on awareness of sensation, admitting what is going on in our bodies (including the ways we harm ourselves) and ongoing practices designed to rekindle the natural flow of energy that carries us easily through a day. Interestingly, in this definition, body health does not necessarily mean the absence of fatigue or illness, which are often temporary responses to stressful situations. Instead, it is defined by a high level of awareness and acknowledgement about what shape our body is really in.

The Soul

And what place has soul work in an organizational change process, colleagues might ask! The answer is straightforward: "When I am as clear as I can be about who I am and what I stand for in life, I am more powerful to lead." It requires an ability to expand, create and give rise to more conscious forms of life – even in the face of the pragmatic mandate of an organization.



My Health Plan

Renewing the Mind

What do I want to read and discuss to enrich my thinking about the contribution I am making as a leader? What are the subjects I want to explore?

Renewing the Heart

What relationship do I want to build a deeper connection in right now?

What conversation will I initiate? With whom?

Rebuilding the Body

What changes do I want to make in my diet, exercise and rest patterns that would bring me greater strength and vitality?

What structures will I put in place to begin?

Restoring the Soul

What practices of breathing and mindfulness will I bring into my life to help me be more present with myself and with others and to support the contribution that I have to make?

This section on self-care completes the manager's guide on *Leading Through Change*. We hope that you have been challenged and encouraged to further develop your personal and social competencies and that you will be better equipped to lead others through change.





Change Management Tips

- Managing Response and Resistance
- Change Emotion and Mindsets
- Communication concepts



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What's a Change Agent?

A person who leads a change project or business-wide initiative by defining, researching, planning, building business support and carefully selecting volunteers to be part of a change team.

Someone who engages either deliberately or whose behavior results in social, cultural or behavioral change.

A Facilitator of change



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Characteristics of a Change Agent

Objectives:

1. Sensitivity to changes in key personnel, top management perceptions and market conditions, and to the way in which these impact the goals of the project.
2. Able to set clearly defined, realistic goals.
3. Flexibility in responding to changes without the control of the project manager, perhaps requiring major shifts in project goals and management style.



Characteristics of a Change Agent

Roles:

4. Team-building abilities, to bring together key stakeholders and establish effective working groups, and to define and delegate respective responsibilities clearly.
5. Networking skills in establishing and maintaining appropriate contacts within and outside the organization.
6. Tolerance of ambiguity, to be able to function comfortably, patiently and effectively in an uncertain environment.



Characteristics of a Change Agent

Communication:

7. Communication skills to transmit effectively to colleagues and subordinates the need for changes in the project goals and in individual tasks and responsibilities.
8. Interpersonal skills, across the range, including selection, listening, collecting appropriate information, identifying the concerns of others, and managing meetings.
9. Personal enthusiasm in expressing plans and ideas.
10. Stimulating motivation and commitment in others involved.



Characteristics of a Change Agent

Negotiation:

11. Selling plans and ideas to others by creating a desirable and challenging vision of the future.
12. Negotiating with key players for resources, for changes in procedures, and to resolve conflict.



Characteristics of a Change Agent

Managing up:

13. Political awareness in identifying potential coalitions, and in balancing conflicting goals and perceptions.
14. Influencing skills, to gain commitment to project plans and ideas from potential skeptics and resisters.
15. Helicopter perspectives, to stand back from the immediate project and take a broader view of priorities.



Managing Cascading Effects

Blame	Denial	Testing	Skepticism	Disbelief	Hope Initial Action	Hard Work	Initial Success	Acceptance	Ongoing Improvement
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Sponsors

Blame	Denial	Testing	Skepticism	Disbelief	Hope Initial Action	Hard Work	Initial Success	Acceptance	Ongoing Improvement
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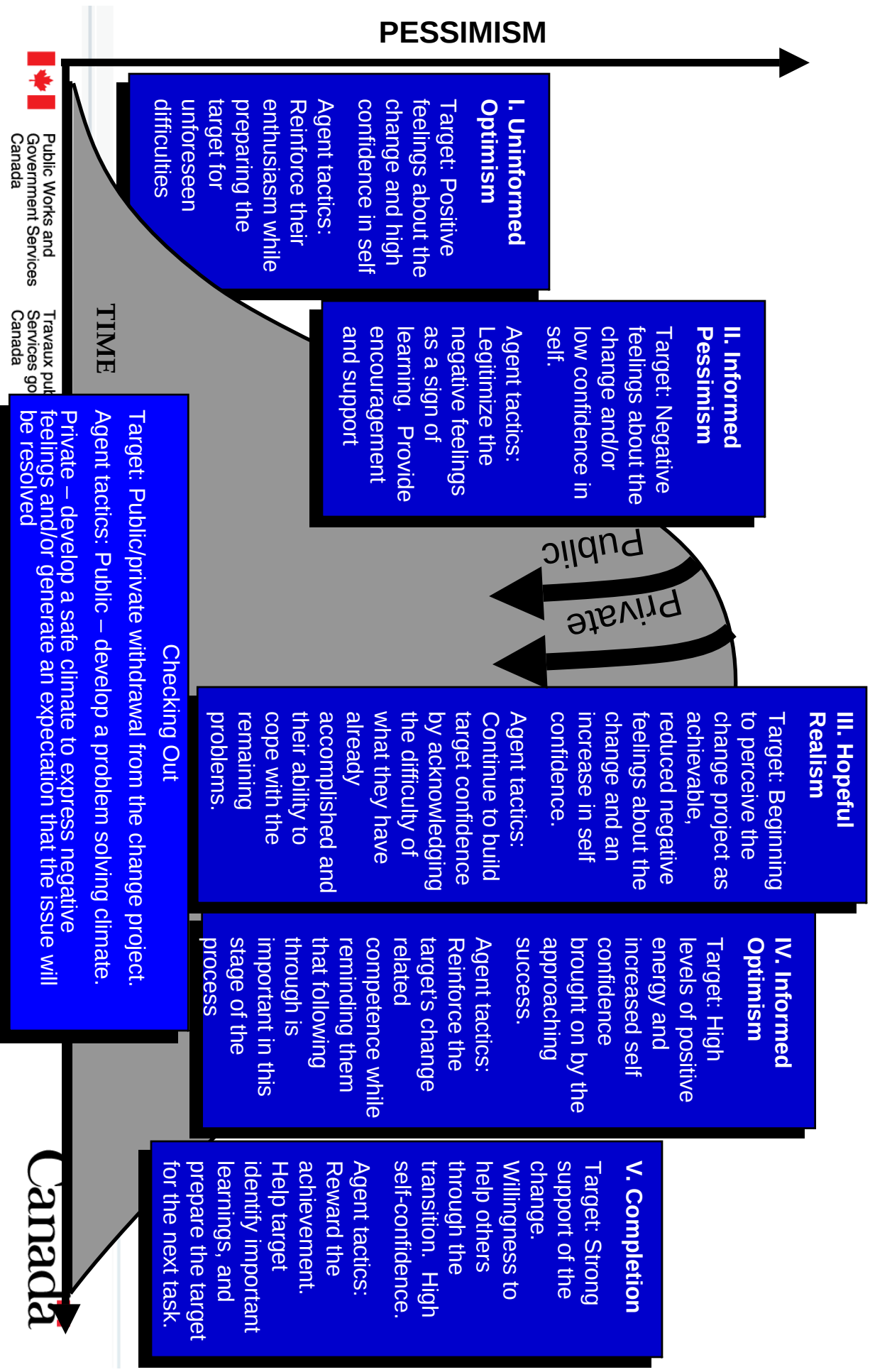
Agents

Blame	Denial	Testing	Skepticism	Disbelief	Hope Initial Action	Hard Work	Initial Success	Acceptance	Ongoing Improvement
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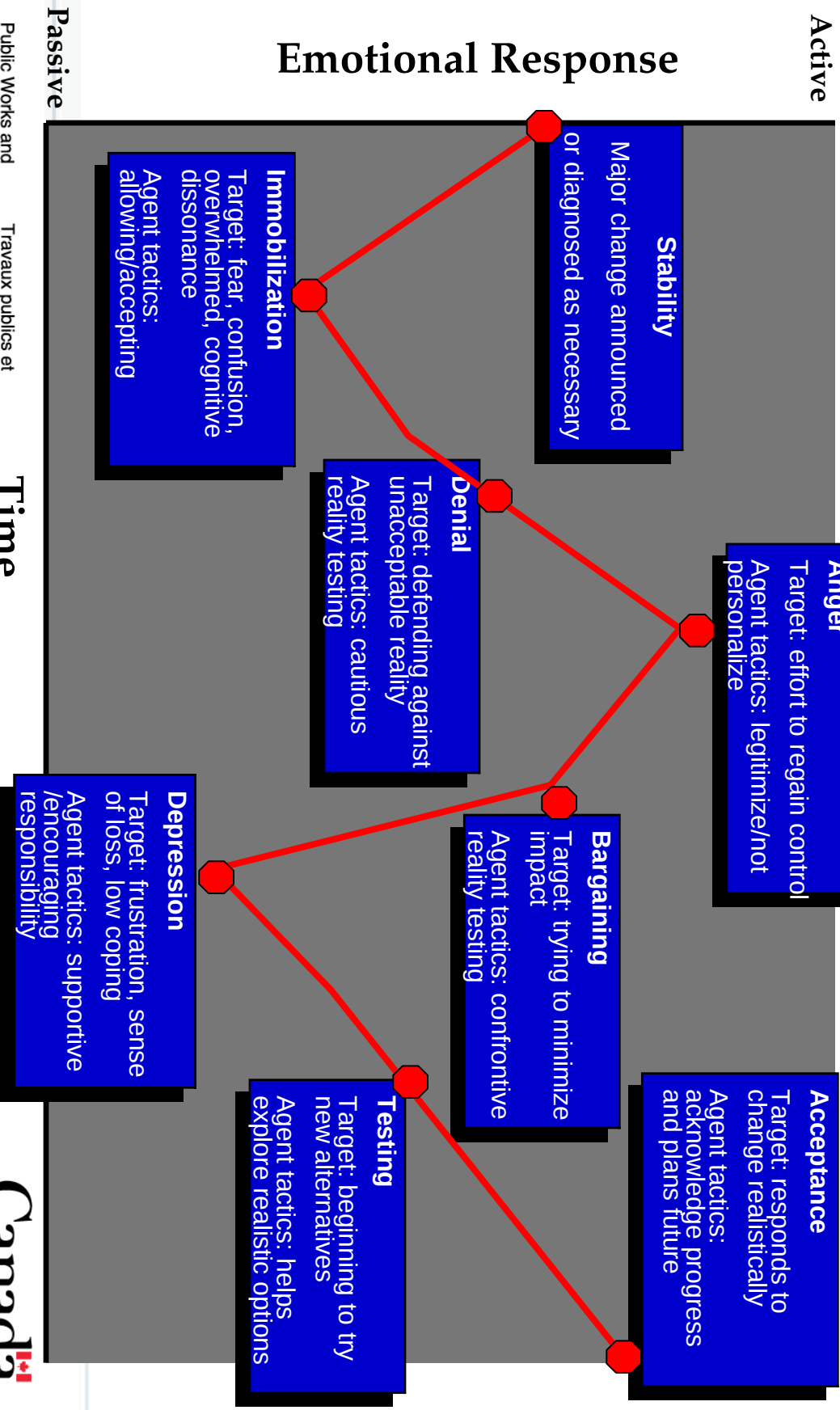
Targets



Managing Positive Responses to Change: Agent tactics



Change Roller Coaster



Tactics for Overcoming Resistance

Strategy	Tactics	Risks	Implications
Avoid	Communicate and Plan: Create a stakeholder map to identify potential allies, neutrals and challengers in advance.	Don't mistake an individual's enthusiasm for ability to support the change initiative.	Stakeholders may begin as allies, neutrals and challengers, but may shift positions over time. Monitor support as it evolves.
Minimize	Use "Carrots": Use performance management programs and metrics to drive change.	Performance management programs can create a negative "punishment" culture when over-applied.	Reward systems must be used in conjunction with other tools to generate high performance.
Maximize	Influence: Use influential allies to help drive the change effort throughout the organization.	Know when it is no longer possible or advisable to convert challengers to allies.	Decide how much support for the change effort is "enough."
Neutralize	Apply "Sticks": Fire or move personnel who actively resist the change program.	Elimination of staff can create a negative tone in organizations when over-applied.	Strong action is sometimes required to demonstrate the CIO's determination to proceed with the change program.

Seven Levers for Changing Minds

Managing up:

Reason

Research

Resonance

Representational re-descriptions

Resources and rewards

Real-world events

Resistances:



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Communications: *why not to do it*

They don't need to know yet. We'll tell them when the time comes. It'll just upset them now

They already know. We announced it.

I told the supervisors. It's their job to tell their rank and file.

We don't know the details ourselves, so there's no point in saying anything until everything is decided



12 Tips for Communicating Change

Specify the nature of change

Explain why

Let employees know the scope of change even if it's bad news

Repeat, repeat and repeat again the purpose of change and actions planned

Use graphics

Make sure communication is two-way

Target supervisors / leaders

Support change with new learning

Point to real progress

Don't limit communications to meetings and print

Institutionalize information flow about the change

Model the changes yourself



Key Elements in Communicating Vision

Simplicity: eliminate all jargon

Metaphor, analogy and example: a verbal picture

Multiple forums: big and small meetings, memos and newspapers, formal and informal interaction

Repetition: ideas sink in after having been heard seven times

Leadership by example: walk the talk

Explanation of seeming inconsistencies

Give and take: two way communications



5P2R=PR

Purpose
Picture
Plan
Position
Participation
Reinforcement
Recognition / reward



Public Works and Government Services Canada Change Management Process

1.1 Users Guide



Step 1-1

Users Guide

Template Instructions and Considerations

Purpose

In this section, describe the context in which the foreseen change is to take place. Draw your information from your environmental scan of external and internal change catalysts and from your analysis of departmental strategies.

Section 1: Context

In this section, describe the context in which the change is to take place. Draw your information from your environmental scan of external and internal change catalysts and from your analysis of departmental strategies (as per Parts A and B of the Change Management Framework).

Section 2: Problem Analysis

Sub-Section 2.1:

- Once you have completed your “Five Whys” (2.1 People Leadership Tips on this page), start with the head of the fish at the right. Define the overall problem that the business is facing in terms of outcomes of the current organizational behaviour. E.g.: “Departments are not buying from us”; “The legacy IT system is unstable and likely to crash soon”; “Managers are confused by the array of policies to which they must adhere”; etc.
- In the body of the fish, identify each major Problem Area of the business that might contribute to the overall business problem. E.g.: IM/IT systems, HR, Financing; Business Processes, Leadership, Rules, Policy Array, etc. Write down the headings for each of the Problem Area in each box.
- For each Problem Area, list contributing factors that explain that Problem area’s root cause. Write them down where the “factor” appears on the Fish Bone Diagram. Make sure you identify, for each

Sub-section 2.1: People Leadership Tips

Gather key stakeholders to conduct a workshop to define the Purpose of Change. Co-creating this purpose with key stakeholders will ensure that they “buy-in” to the reasons for change. Make sure that you are involving HR and Communications on the team.

Use the “Five Whys” to arrive at the root problem of the overall business problem, and of each business areas, which might contribute to the overall problem.

See

http://www.managers-gestionnaires.gc.ca/chartier_tools-eng.asp

Tools for Leadership and Learning -p. 44

Use a large “brown paper” and stick to the wall to capture the information; people will all be able to participate in completing your diagram. Use “sticky notes” to fill in the boxes; people will be able to refine / change their statements as they go along, if need be.

factor, the Who, What, How and When – you’ve explained the Why through your “Five Whys” approach.

4. Order each Problem Area in terms of their relative importance on causing the Overall Business Problem.

Sub-Section 2.3: Problem Definition

Summarize, by order, the causes of the overall Business Problem. For each Problem Area, summarize the root causes, by order of importance.

Sub-section 2.2: People Leadership Tips

Involving key stakeholders, especially front line staff, in the definition of the problem will ensure buy-in. It will ensure that the “real” problems are being surfaced.

If leadership is likely to be a problem, speak to non-supervisory staff separately from managers. They will feel free to speak their minds and identify leadership problems that could derail your effort.

Section 3: Preliminary Stakeholder and Initiative Analysis

In this section, list the key internal and external stakeholders likely to be impacted, directly or indirectly, by the change initiative.

Be specific. List them in the left hand column.

Identify their role or position (if it’s an individual that you have listed) in the organization.

Identify what they might need to know, or need from, the project and what you need to know from them (or get from them) for the initiative.

Concentrate on those obvious questions or problems that you can think of at this point in time – i.e.: without the benefit of the Impact Assessment to be conducted in Step 1-3.

Section 3: People Leadership Tips

Consult widely on identifying who the stakeholders are. Sometimes, leaders focus too much on those directly affected by the change and forget those who are in the periphery of the change but will feel its effect. Some parts of the organization will be impacted directly by the change – their job contents may change, their reporting relationships may change, some may even have to seek other positions. Other parts of the organization will not change significantly but, those “left behind,” will experience difficulties adapting to the “To –be” or “End State” of your organization if some area or people parts (with whom they used to interact) have changed significantly. It is important to know their perspectives. Make sure that you identify clients and suppliers, especially significant ones, and keep a client-centric “outside-in” perspective on how the change may impact them.

Clearly communicate your Problem Definition to stakeholders as soon as possible to avoid rumours.

Make sure you validate (with employees at all levels) the definition of the problem. Doing so will ensure that everyone understands the need for change and will serve to establish a sense of urgency

Include HR and Communications specialists on your team. Most questions coming from staff will concentrate on the impact of the change on their positions. You will need the help of HR and Communications to prepare Qs&As and other

Section 4: Next Steps

Confirm the establishment of your Change Initiative Team. Clarify responsibilities for each member. Develop and agree on Terms of Reference for the Team in this early stage of the process. Make sure you think ahead about the other steps in the CM Process and ensure the right people are included from the start; playing catch-up will not be easy for them if they are implicated in the early stages of the change initiative. Clarify how the Team is structured, who has approval authority and how often it meets. Agree on keeping a record of decisions.

Section 5: Approval

Get approval from the Change Sponsor.

Section 4 and 5: People Leadership Tips

Confirming the role and responsibilities of Team members will help to avoid any future accountability problems.

Gain clear approval of your Problem Analysis and Problem Definition from the Change Sponsor to ensure their “buy-in” and to avoid the need for any future reframing of issues.

Public Works and Government Services Canada Change Management Process



Template Step 1-2: Change Vision

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

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9.0	Next Steps.....	5
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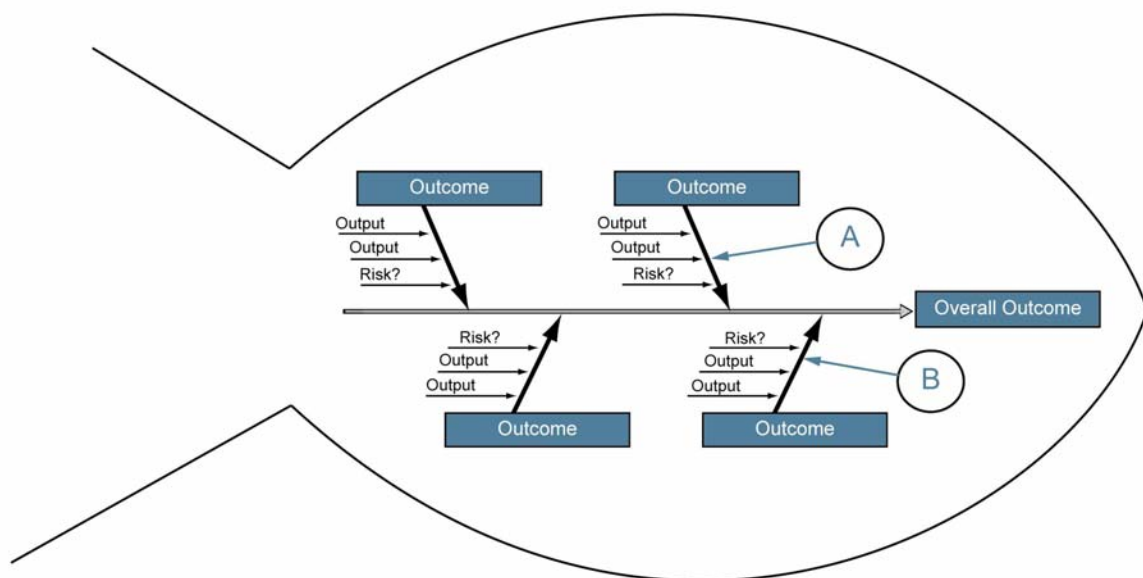
1.0 Vision Introduction

2.0 Vision Statement

3.0 Mission Statement

4.0 Characteristics of the New Business State

4.1 Outcomes of the Change



Note: "A and B are for User Guide reference"

4.2 New Business Features

4.3 Innovations

5.0 Alternative Business Scenarios

- 5.1. Current “As Is” State (Option 1)
 - 5.1.1 Advantages
 - 5.1.2 Disadvantages
 - 5.1.3 Class D Estimates

- 5.2 New “To Be” Scenario (Option 2)
 - 5.2.1 Advantages
 - 5.2.2 Disadvantages
 - 5.2.3 Class D Estimates

- 5.3 New “To Be” Scenario (Recommended Option)
 - 5.3.1 Advantages
 - 5.3.2 Disadvantages
 - 5.3.3 Class D Estimates

6.0 Preliminary Stakeholder Analysis

Table 1: Preliminary Stakeholder Analysis

Key Stakeholders (A)	Potential Supporters of the Change (B)	Support Points (C)	Resistance Points (D)	Messaging (E)
Internal (F)				
Branch/Business Line				
Department				
External (G)				
Clients				
OGDs (other than Central Agencies)				
Regulatory Agencies				
Suppliers/Vendors				

7.0 Communications/Engagement Approach

8.0 High-Level Scope

Table 2: High Level Scope

Transformation Scope: Business Dimensions	Program /Branch	PWGSC	GOC/OGD	No Impact
Purpose/vision/Mission				
Business Strategy/Plans				
Policy/Guidelines/Procedures				
Facilities/Space Requirements/Layout				
Business Process/Workflow				
Geographical Delineation				
IM/IT Systems				
Knowledge/Info Mgmt				
Mgmt Systems/HRMS/Financial/ERP/CRM				
Technical other than IM/IT-specify:				
Image/Identify (how we are perceived/how we see ourselves)				
Services/Product lines				
Skills/knowledge/competencies				
Job definition/levels-classification				
Resources needed/resources available				
Union Activity				
People numbers/demographics				
Downsizing				
Growth/Expansion				
Divesting/split				
Contracted resources				
Compensation/incentives/rewards				
Communications				
Vendors				
Client profile				
Client relationship/service/interface				
Business/Revenue/Funding model				
Organizational Structure				
Management Practices				
Requires additional funding				
Governance-decision making				
Other: specify				

Table 3: Cultural Scope

Yes	No	Personal and Cultural Dimensions In Scope	Specify / Describe
		Motivation and commitment	
		Resistance	
		What people get recognized for	
		Sadness of letting go of old ways	
		Anxiety, fear, anger	
		Concern	
		Politics: Power and Control issues	
		Inclusion/Exclusion Issues	
		Competency concerns	
		Perceptions of fairness	
		Risk taking	
		Expectations, employment agreements	
		Values	
		Norms	
		Mindset/Attitude	
		Behavior	
		Leader mindset/Attitude	
		Leadership Style/Executive Behavior	
		Need for learning	
		Communications Style, Frequency and Method	
		Degree of and methods for involvement	
		Human interaction skills	
		Management Development/People Effectiveness Skills Training	
		Changes in Relationships	
		Team Effectiveness	
		Other: (Specify)	

9. Next Steps**10. Approval**

Public Works and Government Services Canada Change Management Process

1.2 Tools

End-State Vision Tools

Communication

<http://source.pwgsc.gc.ca/comm/sector/text/index-e.html>

Internal Communications (IC)

<http://source.pwgsc.gc.ca/ci-ic/text/index-e.html>

Employee Engagement and Internal Comm's Toolkit

<http://source.pwgsc.gc.ca/ci-ic/text/engagement-e.html>

Product Templates and Procedures

http://source.pwgsc.gc.ca/comm/sector/text/tool_kit-e.html

PWGSC Info for managers (CM)

<http://source.pwgsc.gc.ca/rh-hr/text/gstn-mng/guide/ldr4-e.html#a1>



5 P's AND 2 R's COMMUNICATION CHECKLIST

Change Initiative Name:

Date:

FUNDAMENTALS OF COMMUNICATING CHANGE MANAGEMENT

5 P's and 2 R's = Public Relations/Engagement	Is Deliverable Appropriate? YES NO	Comments
PURPOSE:		
Identified "Why" you are changing?	☐ ☐	
PICTURE:		
- Is there a clear "Vision"? - Identified where you are going?	☐ ☐	
PLAN:		
Identified "What" is the plan to get there?	☐ ☐	
PARTICIPATION:		
Identified "How" employees will participate – their role?	☐ ☐	
POSITION:		
Identified "How" it will affect employees' position?	☐ ☐	
RECOGNITION:		
Identified "How" employees will be recognized?	☐ ☐	
REWARD:		
Identified "How" employees will be rewarded?	☐ ☐	

Public Works and Government Services Canada Change Management Process

1.2 Users Guide



Step 1-2

Users Guide

Instructions and Considerations

Purpose

To establish a picture of both the current state and the future organization (To Be or End State) as it would look following the successful implementation of the change. The description of the desired future state serves as a guiding light for all stakeholders throughout all phases of the change.

1.0 Introduction

This section should describe the purpose of developing the business vision and should include a summary of the information developed in your Step One, Purpose of Change.

The Transformation Drivers (see Framework Stages A & B), the summary Problem Analysis from Step 1 of Stage C need to be restated here because the Vision document may have a broader audience than the Purpose of Change assessment document, this section should provide enough information for a reader to understand the purpose of the change and the Vision as a stand-alone document.

2.0 Vision Statement

Write the Vision statement describing the transformed business. The vision is a big picture statement, describing a desired End State. It should therefore be general, not restrictive, in scope. What does the successful business look like after the change has taken place? It should reflect, from a client perspective, the opposite of the Business Problem as developed in Step 1-1.

Section 2: People Leadership Tips

A Vision Statement is a short statement that mobilizes people around a goal. It allows you, as a Leader, to always come back to it when enthusiasm for the change wanes. It provides a rallying point for all. For instance, ITSB has adopted the following Vision Statement: "ITSS is the IT service provider of choice for departments and agencies". This statement describes the end-state from an external perspective, i.e. the client's view.

3.0 Mission Statement

The Mission Statement is a high-level view that expands on your vision statement. It describes what the organization does once it is transformed. It takes into account organizational innovations and features that will be put in place to achieve your Vision. In the next sections you will further define the Business Features and Innovations.

Note: Expect to revisit your Vision and Mission once you're identified the Innovations and New Features to be implemented (and operational), once the transformation has taken form.

Section 3: People Leadership Tips

A Mission Statement is a short statement that explains why your business exists, in its future state. It allows you, as a Leader, to always come back to it when enthusiasm for the change wanes. It provides a rallying point for all. For instance, ITSB has adopted the following Mission Statement: "ITSS provides quality, cost effective shared IT services to departments and agencies". The second statement describes the end-state from an internal perspective, i.e. the service provider or supplier's view.

4.0 Characteristics of the New Business State

4.1 Outcomes of the Change

4.2 New Business Features

Describe the New Business Feature(s) that will support your vision and that will, in turn, be supported by your list of innovations in the next section. These can be a distinctive quality, behavior, or characteristic of the change vision or of part of the change vision. It could be that you are moving from an A-Base funding type of organization to one functioning on a cost-recovery basis. It could be that there will be new Client Relationship model in place.

4.3 Innovations

Provide a brief, high-level description of the list of innovations introduced by the initiative. An innovation can be: a new process, capability, standard, method, tool, or use of a tool, different from established standards, processes, tools, or tools. Provide a brief description or list of the innovations introduced by the transformation initiative. Your innovations support your New Business Features.

Note: You may need to revisit these as you finish working on your Business Scenarios (in the next section).

5.0 Alternative Business Scenarios and Recommendation

This section allows you to propose different alternatives to your change Sponsor. It starts off with the status quo as (clearly), a “not recommended” option given the reasons for change as analyzed in Step 1-1.

As titled, describe the current business and list the pros, cons and cost estimates.

Section 5: People Leadership Tips

Providing alternative scenarios to Senior Management will answer their main question: what are getting for how much.

5.1 Current “As Is” State (Option 1)

Describe the current state in terms of business model, features and performance from a client "outside-in" perspective.

5.1.1 Pros: describe the advantages

5.1.2 Cons: describe the disadvantages

5.1.3 Class D Estimates: provide a rough estimate of what it would cost to incrementally continue to improve the business; typically there should not be any substantive deviation from your current level of budgeting.

5.2 New “To Be” Scenario (Option 2)

Use this section to describe a scaled back version of your recommended option. This may imply diminished Business Features, less impacting innovations or a scaled down outcome (or Vision and Mission). This could be based on such things as: available workforce, budget, time etc. This scenario takes barriers to the best case scenario and offers an option to proceed inside any parameters or constraints.

5.2.1 Pros: describe the advantages

5.2.2 Cons: describe the disadvantages

5.2.3 Class D Estimates: provide a +/- 50% estimate of the cost of implementing scaled down innovations resulting in scaled down business features

5.3 New “To Be” Scenario (Recommended Option)

As stated, describe your recommended scenario where assumptions, risks, budget, resources etc, can be realistically attained.

5.3.1 Pros: describe the advantages of moving to this desirable but less than optimal “To-Be” State

5.3.2 Cons: describe the disadvantages of moving to this desirable but less than optimal “To-Be” State

5.3.3 Class D Estimates: provide a rough estimate of what it would cost to incrementally continue to improve the business; typically there should not be any substantive deviation from your current level of budgeting.

6. Preliminary Stakeholder Analysis

Using your Step 1-1 stakeholder listing, in Column 1, refine it in light of the new features and innovations that will come about as a result of the change. In column 2, identify if each group / individual is likely to support or not the change once these features and innovations have been introduced. In column 3, identify which aspects of the change they are likely to support and which ones they are likely to resist. In the last column to the right, identify what messages each stakeholder needs to hear from the Leadership Team to ease their embracing of the change.

7. Communication/Engagement Approach

For each stakeholder, identify which communication activities will be conducted when. Think about using a top-down approach – i.e.: speaking to management first to ensure that the management cadre is behind the initiative before you speak with staff. Use face-to-face communications to better ingrain your messages. If needed, segment your audience and address each group separately.

8. High-Level Scope

As the list shows, simply check the areas relevant to your initiative and use this information to estimate the level of scope for your initiative. This can help you identify such things as early impact, team members and resources required.

9. Next Steps

Establish Analysis Team for Step 3 of CM Process (Begins with assessment of your type of change (Transformational, Transitional, Developmental, Incremental) in Step 3.

Now that you have a sense of scope for your initiative, identify your analysis team relevant to the size and scope of your initiative.

Section 6: People Leadership Tips

Your Vision, business outcomes, features and innovations will be welcomed by some and resisted by others. Completing this stakeholder analysis will guide the Transformation Team and management in communicating with them, with the right message to increase the uptake of the desired change.

Section 7: People Leadership Tips

- Work with a communications professional at this point (if not already).
- Begin your high-visibility phase for leaders – think about holding a Town Hall meeting to inform them and answer their questions. It is important that you inform employees of the initiative, that you are mindful of their needs, and will engage them in the process and remain available.
- Make sure that your entire management team understands the need for face-to-face communication and gathering feedback from supporters and detractors.
- Apply the 5P-2R thinking when engaging employees.
 - Purpose: explain why the change is occurring
 - Picture: explain the Vision
 - Plan: explain the CM approach and plan
 - Position: explain how the change will or will not impact their job and position
 - Participation: explain how they will participate in defining and implementing the change
 - Reinforcement: explain how the new behaviors will be encouraged
 - Recognition/reward: explain how staff will be recognized for adopting new, desired behaviours

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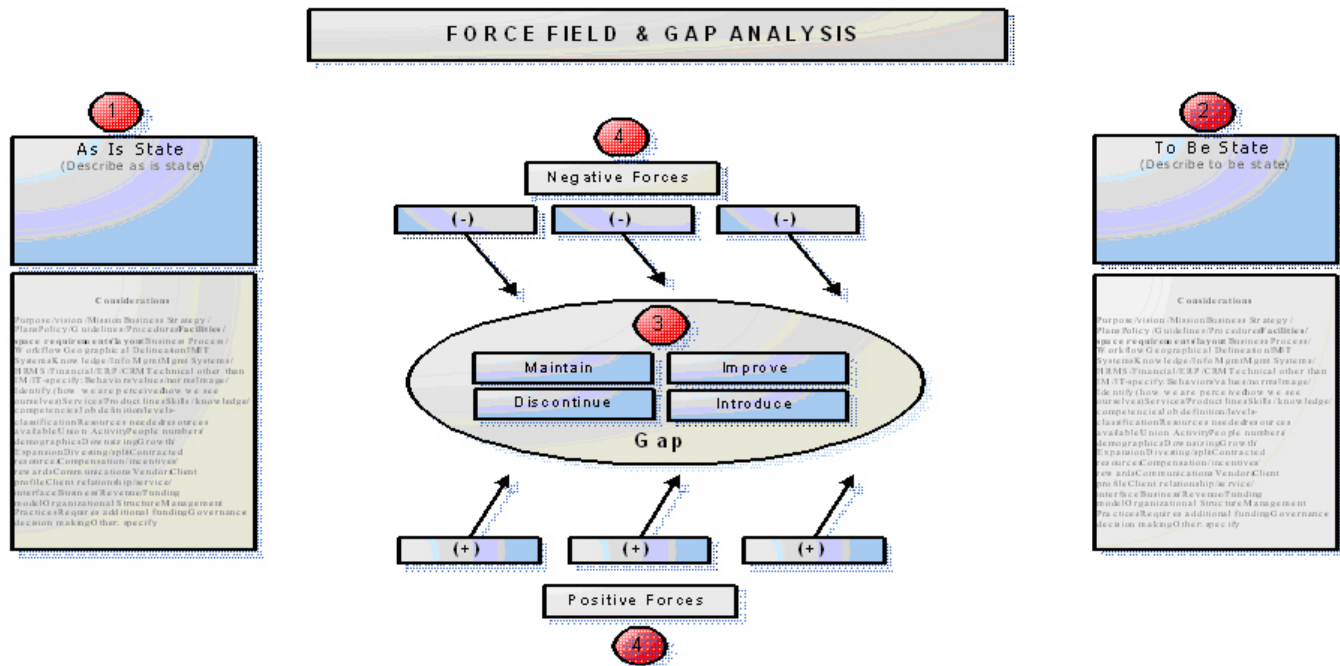


Template Step 1.3: Assess Organization

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

Change Management Process

Step 1-3 Current Organizational Assessment



2. Gap Analysis

Considerations	As-Is	Maintain	Improve	Discontinue	Introduce	To-Be
Purpose/Vision/Mission						
Business Strategy /Plans						
Policy /Guidelines/ Procedures						
Facilities/space requirements/ layout						
Business Process/Workflow						
Geographical Delineation						
IM/IT Systems						
Knowledge/Info Mgmt						
Mgmt Systems/HRMS/Financial/ ERP/CRM						
Technical other than IM/IT- specify:						
Behaviors/values/norms						
Image/Identify (how we are perceived/ how we see ourselves)						
Services/Product lines						
Skills/knowledge/competencies						
Job definition/levels- classification						
Resources needed/resources available						
Union Activity						

Considerations	As-Is	Maintain	Improve	Discontinue	Introduce	To-Be
People numbers/Demographics						
Downsizing						
Growth/Expansion						
Divesting/split						
Contracted resources						
Compensation/incentives/ rewards						
Communications						
Vendors						
Client profile						
Client relationship/service/ interface						
Business/Revenue/Funding model						
Organizational Structure						
Management Practices						
Requires additional funding						
Governance-decision making						
Other: specify						

Section 3, Sub-section 1: Magnitude Scoping Questionnaire

Please use the following questions to scope the magnitude of the change related to a new project. This data will be used to provide input to Section 3, sub-section 2: Magnitude Assessment. If there is a need to develop a more detailed assessment you will need to complete the templates of Section 5: In-Depth Assessment.			
Project Initial Scoping Questions		Answers	Date Data Gathered
	Who is the change Sponsor?		
	Who is Project Manager?		
	Who is considered to be the client?		
	Planned Project Start Date?		
	Project End Date?		
	Describe the nature and scope of your change.		
Organizational Scale - Change Assessment Tab	Who is affected by the change (One working group or the entire organization?)?		
Response to Geographic Dispersion of Employees - Change Assessment Tab	What is the geographic dispersion of those affected? Are the employees affected in one location or spread across Canada?		
	Which groups are most severely impacted?		
	Which groups are least impacted?		
	For each group can you identify the number of impacted employees - break down by employees, managers, supervisors etc.?		
Organizational Adaptability - Change Assessment Tab	Would you consider your organization (department etc) change resistant or change-ready? Why?		
	Is the impacted audience's organization over saturated with change?		
	Are there any immediate and anticipated challenges presented by any audience group esp. senior or middle managers and supervisors?		
	Which Managers/Directors could be champions for this change?		
	Are there any managers/directors who do not support the change?		
Variation in Impacted Group Change Assessment Tab	Will all employees be affected by the change equally or will different groups receive the change differently?		
	Is this change radical (introducing new process/tools etc) or incremental (updating existing process/tools)?		
Degree of Process Change - Change Assessment Tab	What is the degree of Process change impacting the user - no change to 100% change?		
Degree of Technology / System Change - Change Assessment Tab	What is the degree of Technology / System change impacting the user - no change to 100% change?		
Degree of Job Role Changes - Change Assessment Tab	What is the degree of Job Role change impacting the user - no change to 100% change?		
Degree of Organization Restructuring - Change Assessment Tab	What is the degree of Organizational Restructuring impacting the user - no change to 100% change?		
Timeframe for Project - Change Assessment Tab	What is the project timeline in months?		
	List known timelines for project (project initiation, plan, design, build, install, evaluate).		
	Are you aware of any other opportunities, approved projects or key initiatives that overlap or interact with your change?		
Communications/ Training	Have there been communications activities outside the project team? If yes, please describe.		
	Has the sponsor completed any communication activities with affected employees to date?		
	What other types of communications activities/events are required and when?		
	Beyond communications, do you anticipate the need to "educate" people about the change?		
	What type of "education" do you anticipate will be required for affected users to be "job ready"?		
	Will users be required to travel to these education sessions? If so, is there a pre-conceived notion about where/how the training would take place?		

Project Initial Scoping Questions		Answers	Date Data Gathered
Relevant for some outside projects	Do you hold the budget for training costs (travel, expenses, rental, set up, delivery, etc)?		
	Do you anticipate there is a need to provide support to affected audiences once the new system or process has been deployed (e.g. job aids on the intranet, how to guides, etc.)?		
	If training is required, who do you anticipate will deliver the training (project resources, clients or other?)?		
Relevant to internal initiatives	Does your Branch have a Change Agent Network. Do you foresee using the Change Agent Network to assist with project deployment?		
Client questions	In the past, has the client completed their own Change Management activities?		
	Does the client have sufficient resources and time to support this project?		
	Has the client gone through any recent major change?		
	How successful have projects been in the past with this client?		
	Is the relationship with the client positive?		
	Is the relationship between the project and the client positive?		
	What is the impact(s) to the client if this project is not successful?		
	What involvement has the client had in the project so far? What will be their involvement during the project?		
	Is the client aware of PWGSC's Change Management organization, Change Management Process and Change Management Framework?		
Executive /Union Support/Stakeholders	What is the level of executive support?		
	Is the sponsor active and supportive of the change?		
	Has the sponsor completed any communication activities with affected employees to date?		
	Has their been any union involvement up to this point?		
	Is union involvement/support important to this project?		
	Who has a vested interest in the successful completion of this project besides the sponsor? Stakeholders?		
Risks	What do you see as the biggest challenge for the project (i.e. resources, scope, timeline, executive support, funding, etc.)?		
	Are there any risks associated with this project? What are they?		
Dependencies	Does this project have any dependencies that could affect your deadlines/execution?		
Support	Are you familiar with what a CM resource can do for your project?		
	When do you anticipate needing a CM resource on board?		
	How often would you be available for project discussions? (Weekly/Bi-weekly or as often as required?)		

SECTION 3, Sub-Section 2: Magnitude of Change Assessment

Note: Enter data in yellow cells only.

Initiative Name:		Initiative Cost (Total Salary and Non Salary \$)	
Change Sponsor:		Planned Project Start Date:	
Change Project Manager:		Project End Date:	

Opportunity Profile (pull data from briefing and business purpose)

Note: you may assign the appropriate weight as you deem relevant to your project

			Ranking (1 to 5 scale)	Weight	Score
Organizational Scale					
Workgroup = 1	Directorate = 3	Department wide = 5		1	0
Comments:					
Organizational Adaptability					
Highly receptive to change = 1	Moderately receptive to change = 3	Highly resistant to change = 5		1.5	0
Comments:					
Geographic Dispersion of Employees					
All in one location = 1	In one Region = 3	Across Canada = 5		0.5	0
Comments:					
Variation in Impacted Group					
All groups impacted the same = 1	Mixed change experience = 3	Groups experiencing change differently = 5		1	0
Comments:					
Degree of Process Change					
Little or no change = 1	Some Change = 3	100% change = 5		1.5	0
Comments:					
Degree of Technology / System Change					
Little or no change = 1	Some Change = 3	100% change = 5		1.5	0
Comments:					
Degree of Job Role Changes					
Little or no change = 1	Some Change = 3	100% change = 5		1.5	0
Comments:					
Degree of Organization Restructuring					
Little or no change = 1	Some Change = 3	100% change = 5		0.5	0
Comments:					
Timeframe for Project					
< 3 months = 1	12 months = 3	Very long > 18 months = 5		0.5	0
Comments:					
			9.5 to 47.5	Total	0

CM Assessment Score	Degree of CM Complexity	Recommendation
Scores of 32 or greater:	Transformational	Project Team / CPO provides extensive communications and training support: complete Section 5
Scores of 23 to 31 are considered:	Transitional	Project Team / CPO provides moderate communications and training support: complete Section 4 or 5
Scores of 16 to 22 are considered:	Developmental	Project Team provides communications support with minimum CPO involvement: complete Section 4
Scores <15 are considered:	Incremental	Project team provides communications support & CPO not involved: complete Section 4 with limited # of groups

Note: the above scores are considered to be a suggested "range" and the type of CM support provided should be considered in conjunction with the detailed Project Management scoping questionnaire

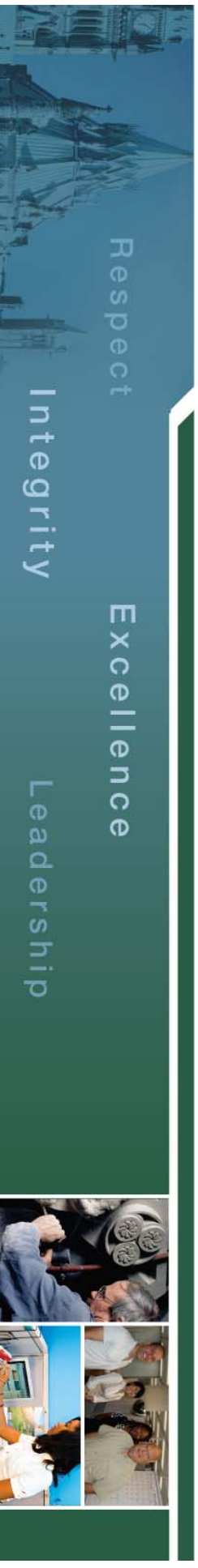
Comments:

Section 4:
 Impact Assessment – Stakeholder Group Interview

Group Name:	
Group Leads Name & Title:	
Director/Manager(s) Title(s): (Names are not needed)	
Number of Employees at Other Levels & Titles: (Names are not needed)	
Accountable for: (Brief description of the group’s responsibilities and specific tasks, computer systems currently used (if relevant), etc.	
Interacts with Which Other Groups & Why:	
Location of Group:	

Section 4:
 Impact Assessment – Stakeholder Group Interview

Questions to Pose/Consider:	- What aspects of the unit’s Job Role does the group see as changing? - What is the unit concerned about in this regard? What will be the negative impact on your unit’s Job Role? - What is the unit hopeful about? What will be the positive impact on your unit’s Job Role? - What aspects of the unit’s Business Processes does the group see as changing? - What is the unit concerned about in this regard? What will be the negative impact on your unit’s Business Processes? - What is the unit hopeful about? What will be the positive impact on your unit’s Business Processes? - What aspects of the unit’s IM/IT System does the group see as changing? - What is the unit concerned about in this regard? What will be the negative impact on your unit’s IM/IT system? What is the unit hopeful about? What will be the positive impact on your unit’s IM/IT system?
Stakeholder Observations	- Supporter (1 low - 5 high) - Detractor (1-5) - Impact: direct/indirect - Level of influence (1-5)
Other Comments or Concerns:	



Change Management Process

Step: 1-3, Section 5

In-Depth Assessment

People in Transition Toolkit

Why a do we need this tool?

Because change needs to be led.....

Employees will look to you throughout the change process to provide them with structure, direction, and support. They will need your assistance to meet the challenges associated with:

- Leaving behind the old way of doing business
- Accepting the new way of doing business
- Learning new processes, procedures, and working in a new culture



About the toolkit...

The Tool is intended to support the activities associated with the People Transition, ie: re-alignment of functions and positions that affect the to-be.

This tool provides a series of tools and templates which will help you through several types of change situations. In some cases, it simply provides a tool and a template while in others, it suggests activities such as leadership alignment, stakeholder enrolment, communications, impact assessments, and team development to ensure that our people are prepared to transition with confidence.



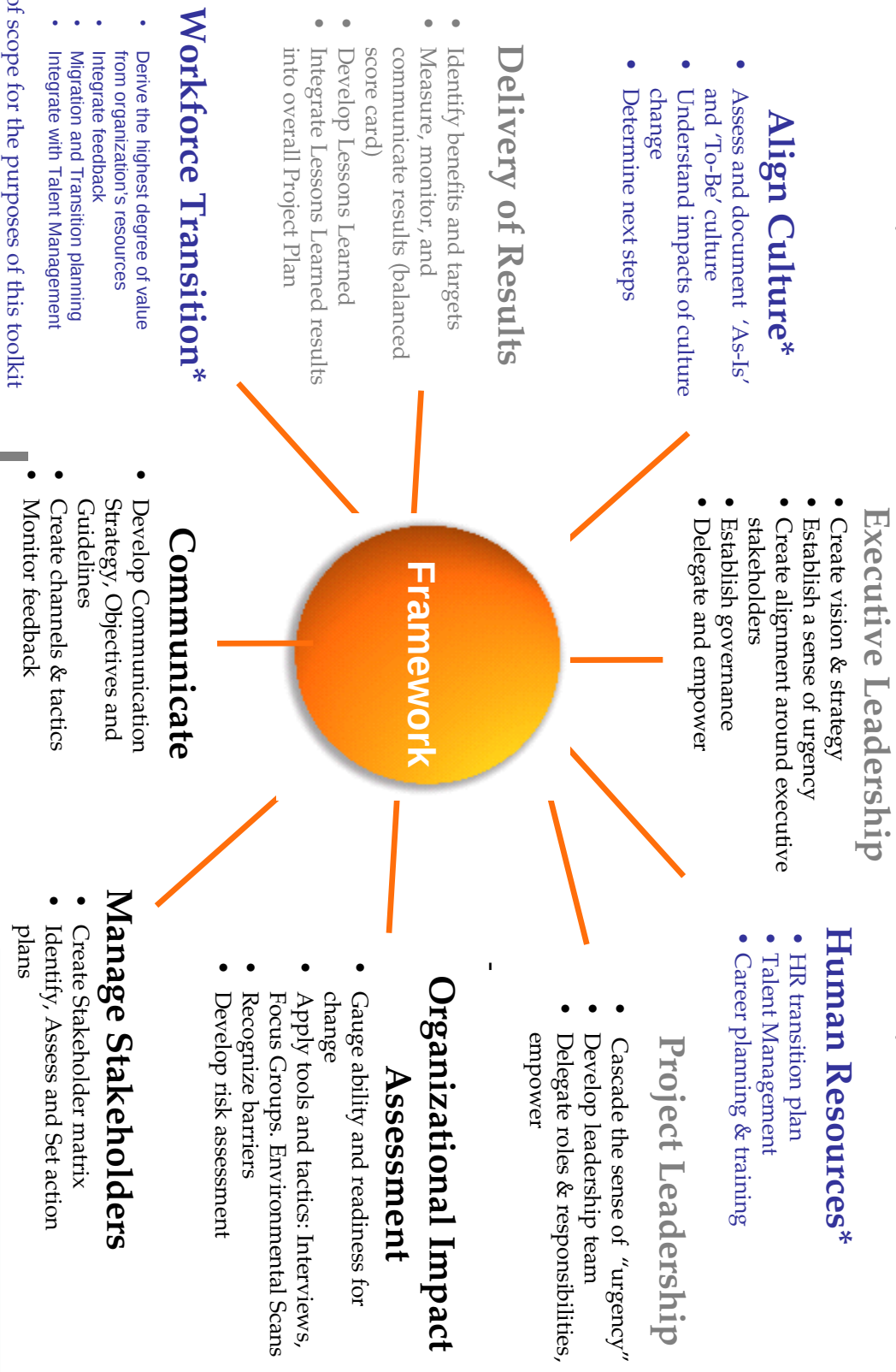
What should you do to manage change?

Take a **proactive, issue-driven** approach to managing the 'people'-side of initiatives that involves:

- **Surfacing** and understanding **dissatisfaction** with status quo
- Aligning leaders around a **common mandate**
- **Enrolling key stakeholders** to rally behind that mandate
- Assessing and communicating how the new mandate will **impact people** both in the long and short term
- **Telling stakeholders what they must do** to make this mandate successful
- Measuring **behaviour change** and **targeting results**



This framework includes 9 streams of work



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Implementing the Framework

To help you implement the framework, the rest of this toolkit will focus on reviewing each stream to provide you with an introduction, overview of the methodology and some key tools and tactics (including templates).

..... Let's get started!



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Management of Change Framework				
Organizational Impact Assessment	Stakeholder Management	Communicate	Delivery of Results	Executive Leadership
				Project Leadership

Section A: Organizational Impact Assessment



Organizational Impact Assessment

Introduction

Methodology

Tools & Tactics:

Focus Group Summary of Findings Template

⇒ Interviews & Environmental Scan (survey)

⇒ Organization Impact Assessment Summary Reporting Template



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Introduction

Since “people” form the basis of whether the change will be successful or not, it makes sense that our first critical activity in both the Management of Change and the engagement strategy is to understand the nature of the feelings, thoughts and perceptions of the people impacted by change.

The Organizational Impact Assessment is a tool to gather these insights from an identified group. The result of this activity will give us critical information about our ability to successfully manage these changes and more importantly, will give us a proactive view towards developing customized activities which would ease the change process.



Introduction

An Organizational Impact Assessment will provide:

Specific and actionable information about the readiness of the organization to operate in the new environment ;

Insights into the effectiveness of the change plans that focus scarce resources on the priorities;

A tool to help create consensus at all levels of the transition about the key issues to be addressed;

A means to educate the key stakeholders and leaders of the employee community on the factors critical to the success of the transition and on the challenges that their own groups are facing; and

A baseline for monitoring progress on the change efforts.



Methodology

Organizational Impact Assessments (OIAs) are traditionally composed of three segments. They are the “interviewing of leadership”, the “focus groups workshops” of a sample of employees and the “surveying” of the entire department.

While in the ideal world, it is prudent to complete the entire process, we also realize that we are operating under various constraints which prevent us from a performing a full scale OIA. Therefore, while it may not be the best answer, we strongly urge you to deliver a series of focus groups across your department.



Tools and Tactics

1. Focus Groups



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Focus Group

Through the Focus Group process, we can surface “hard” as well as “soft” data relative to helping your department to clearly understand its challenges (both obvious and hidden) and to develop action plans to mitigate these risks.

As a standard for this project, the People Transition Team has established the use of the Six Hats Technique to deliver the focus group process. These materials along with materials for knowledge transfer can be found in Appendix A of this toolkit.



Summarizing Focus Group Results

After conducting a focus group using the Six Hats technique, you will need to understand the results of the assessment in order to provide context for meaningful discussions with your employees around the upcoming changes within your department.

These discussions, or debriefs, will provide you with a better understanding of what your employees are going through, in order to help you to develop a more focused and targeted support process-essentially ensuring a smoother transition.



Summary of Key Findings Template

The following is the Summary of Key Findings template which will facilitate the collection, organization and analysis of the focus group results.

Developing a Summary of Key Findings requires a specific order (described in detail in the following pages)...

- Outline the purpose of document
- Provide background information (context, methodology)
- Organize focus group information using the Key Issues template
- Provide a list of all action items
- Explain the IDEEA Model
- Identify appropriate Tools & Tactics
- Include appendices (survey questions and raw data)



Key Issues Template

The Issue



LEADERSHIP AND VISION CLARITY

Definition



The degree to which stakeholders and employees understand and are aligned with the vision; the level of process change that will be introduced, and how well the vision can be articulated by executives, management and employees across XXX.

Observations



Quote

TEMPLATE

Response:



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Key Issues Template

The Issue



WORK ENVIRONMENT (internal)

Definition



The degree to which there is a solid understanding of the impact of the new work environment on the day to day lives of the employees.

Observations



Quote

TEMPLATE

Response:



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Key Issues Template

The Issue



WORK ENVIRONMENT (external)

Definition



The degree to which the transitioned employees are confident they will be able to maintain quality service to their clients.

Observations



Quote

TEMPLATE

Response:



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Key Issues Template

The Issue



COMMUNICATION

Definition



The degree to which stakeholders believe they have been consistently informed and involved in the entire transition process.

Observations



Quote

TEMPLATE

Response:



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Key Issues Template

The Issue



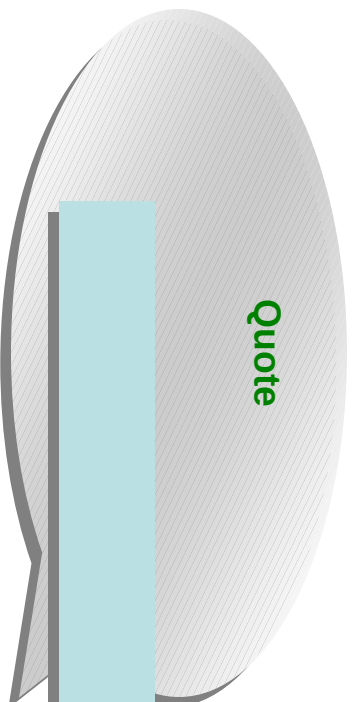
PERSONAL FEARS AND CONCERNS

Definition



The degree to which employees understand how the changes will effect them personally and, the degree to which they are comfortable with what is planned to help them deal with the impacts.

Observations



Response:

A large green rectangular box for the response.



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Key Issues Template

The Issue



CULTURE

Definition



The extent to which the cultural differences involved in transition are taken into account by senior level management and decision-makers.

Observations



Quote

TEMPLATE

Response:



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Key Issues Template

The Issue



IMPLEMENTATION

Definition



The extent to which people are aware of the roadmap and project plan for both Service and People Transition components.

Observations



Quote

TEMPLATE

Response:



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Tactics to Build Commitment vs. Awareness...

IDEA model:

“I” involve

Commitment-based

“D” demonstrate

“E” explain

“A” aware

Awareness-based



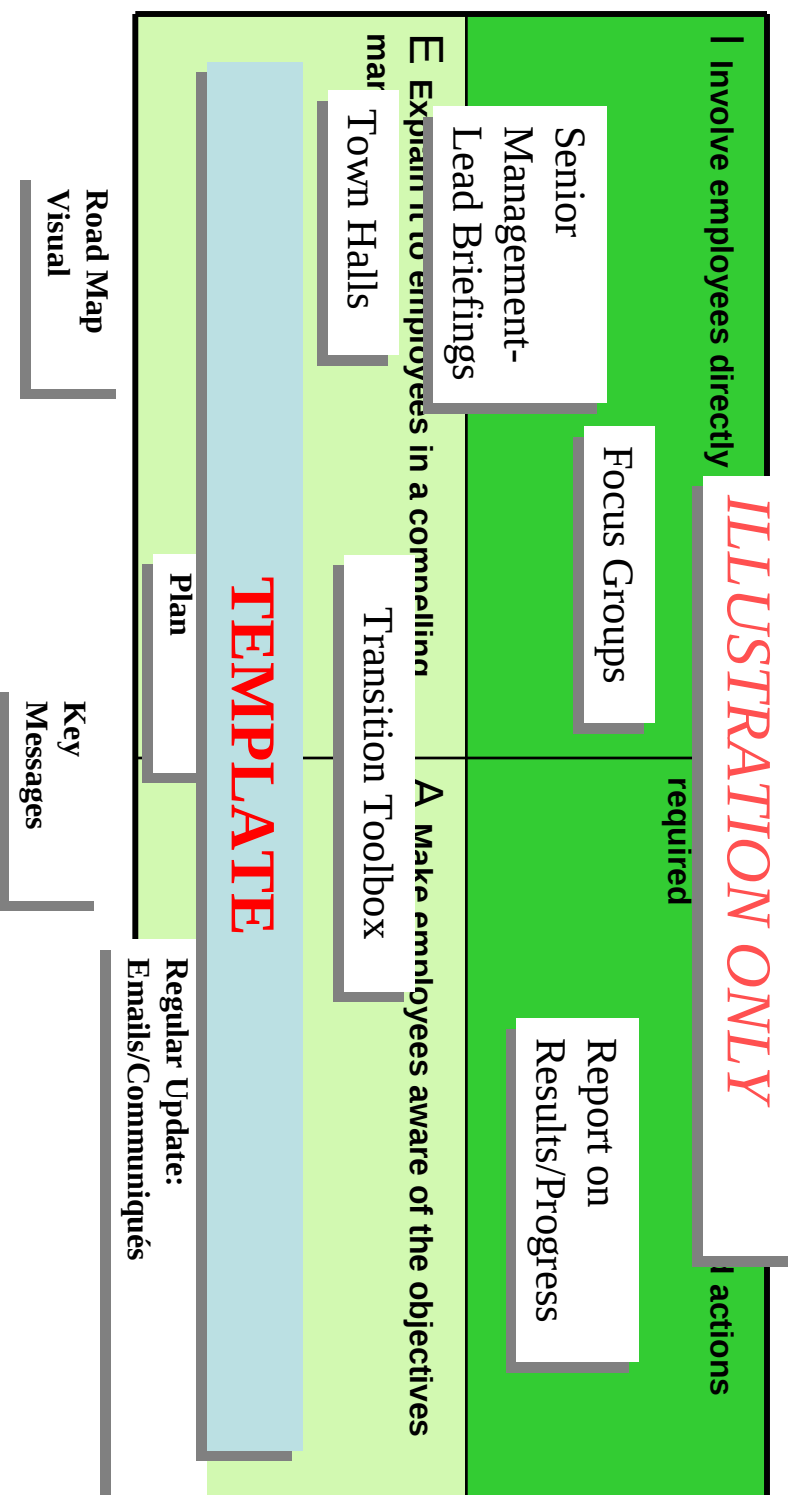
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Tools and Tactics

Tactics that ***Involve*** the employee directly in the process and actively ***Demonstrate*** are the most effective for achieving engagement. In comparison, tactics that simply ***Explain*** or make ***Aware*** are used for commitment building purposes. A combination of tactics from the across the grid is ideal. Further, ***Involve*** and ***Demonstrate*** tactics are usually most expensive and resource intensive than those that raise awareness.



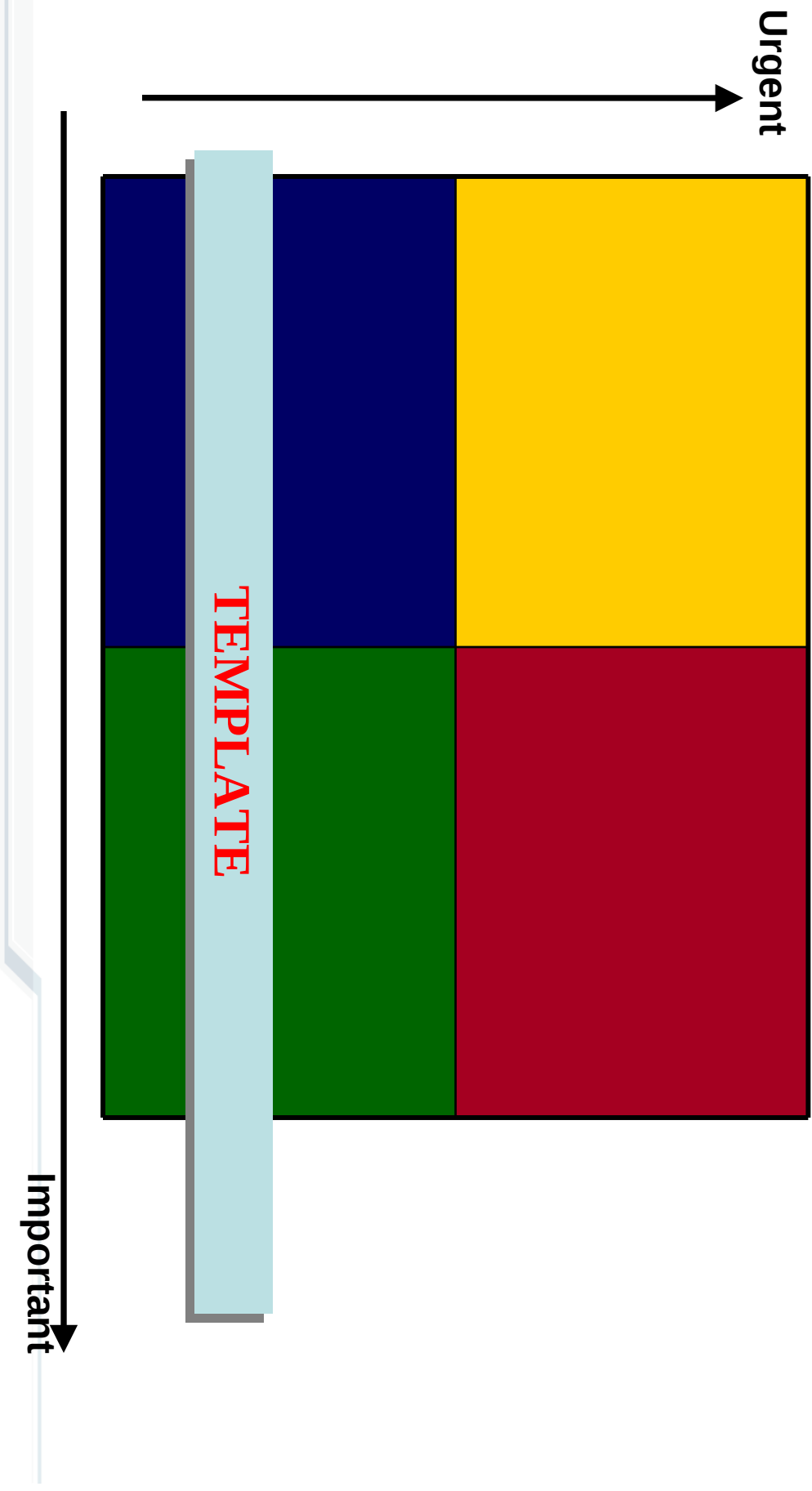
WIIFM presentations



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Tools and Tactics – Identifying and Defining Priorities



Tools and Tactics

2. Individual Interviews & Environmental Scans



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Interviews and Environmental Scans

As previously mentioned, Organizational Impact Assessments (OIA) traditionally are composed of three segments. They are the “interviewing of leadership”, the “focus groups workshops” of a sample of employees and the “surveying” of the entire department which are considered environmental scans.

Depending on operational constraints, it may be possible to conduct all three, although it is likely that only one will be feasible to complete. While focus groups are the preferred method, there may be times when conducting interviews and/or surveys is preferred.

Regardless of methodology, the goal remains to gather “hard” as well as “soft” data relative to helping your department to more clearly understand its challenges (both obvious and hidden) and to develop action plans to mitigate these risks.

When choosing to conduct interviews and/or surveys, there are key elements of this approach that need to be considered.



Key Elements of the Approach

A tailored instrument

- To gain really practical and actionable insights, the survey / interview instrument must be tailored to reflect the specific environment and challenges of their department

A phased approach

- Separate assessments need to be conducted for each phase of the transition
- Each group will be assessed at two crucial points: once prior to integration and once prior to transition

A collaborative effort

- To make effective use of resources, members of People Transition Team will be involved through out the process to validate the information collected and the resulting actions.

A foundation for continuous improvement

- The People Transition Team will conduct a 'Lessons Learned' session to ensure success of the initiative



Activities and Action Plan - Illustration

Key Activities	
Planning & Preparation – Mobilize Resources/Team – Confirm scope and timing – Select sample – Agree on logistics – Customize survey and interview questionnaires – Define communications strategy – Present approach	Action – Validate plans – Identify population to survey and individuals for interviews – Validate survey instruments – Tailor communication plans
Data Collection – Communicate process to organization – Distribute & collect questionnaire – Conduct interviews/survey – Review related documents (surveys, plans..)	– Craft and deliver communication – Organize logistics for interviews and survey
Data Analysis and Reporting – Analyze data and interpret results – Synthesize all data & develop conclusions	– Validate information

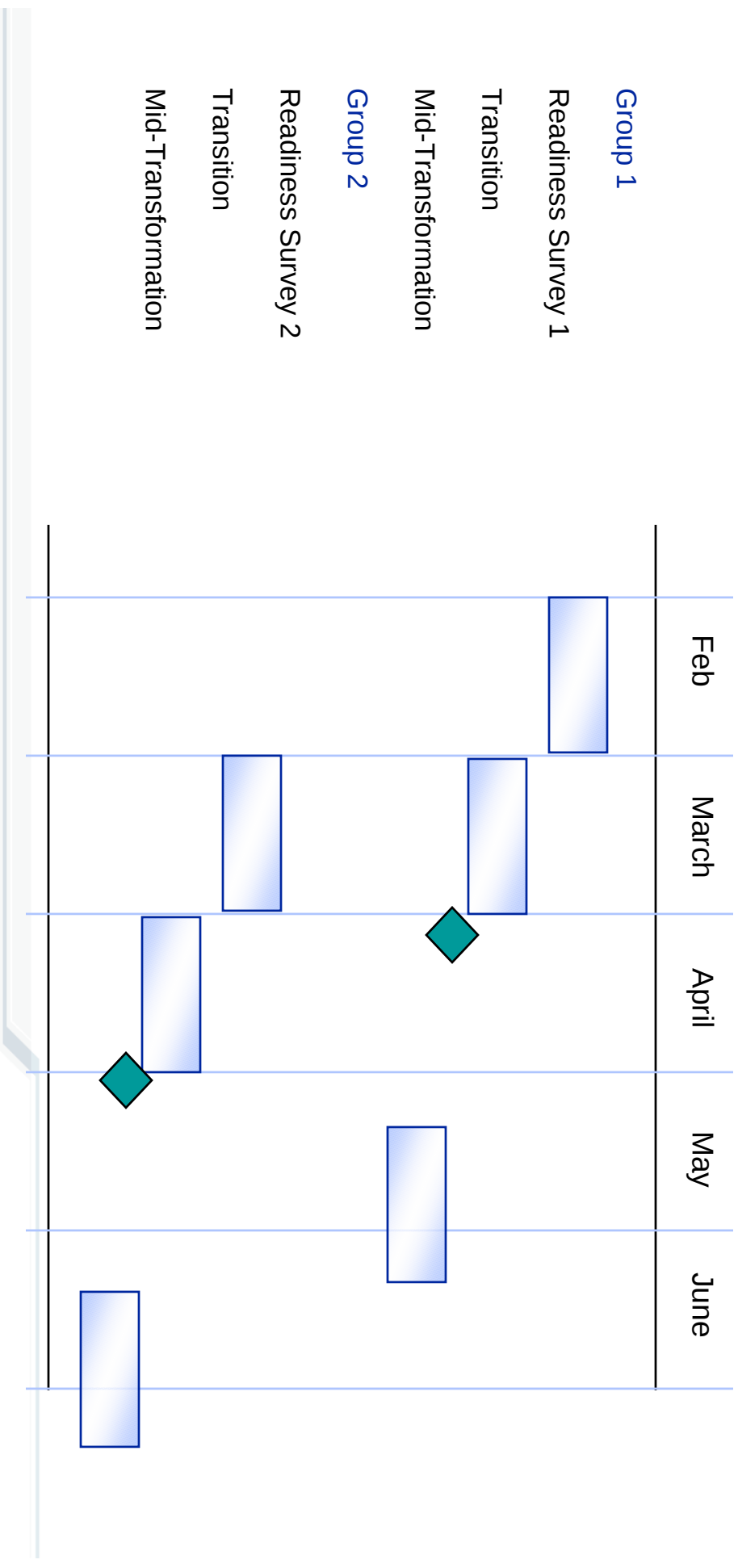


Activities and Action Plan - Illustration

Key Activities	Action
Presentation of Preliminary Findings – Present/Discuss with Leadership and representatives of change team – Gather feedback and respond to questions – Present to broader organization Plan Development – Validate results in a workshop with change teams – Agree on critical issues & set priorities – Revise overall change plan accordingly – Establish a mechanism to customize & implement plans for each employee population	– Participate in presentations/ discussions – Coordinate the dissemination of Summary of Information to employees
Implementation – Define timing and process for monitoring results and measuring progress – Assist in developing interventions (TBD)	– Keep employee population informed on priorities and progress – Coordinate execution the change plans



Plan of Overall Approach - Illustration



Sample Questions & Indicators for Interviews and Surveys

Communication

- Do they believe the change is necessary and beneficial?
- Have the key messages reached employees?
- Is the change infrastructure working?

Culture

- Do they understand the differences between the current and future processes and work practices?
- Do they know how interactions with other groups have changed?

Work Environment (internal and external)

- Do they understand how their work impacts other groups?
- Are they clear about their new work environment relative to transactions, activities, responsibilities and expectations?
- Do they understand the impact on their existing clients? External partners?



Readiness Indicators (cont'd)

Personal Fears and Concerns

- How comfortable are they with their ability to do their new job?
- Are adequate support and resources deployed?
- Do they know what they need to know?
- Are they capable of dealing with the workload and stress?
- What are the situational challenges?

Leadership and Vision Clarity

- Are there Business Champions?
- Are leaders articulating and supporting the vision?

Implementation

- Is the roadmap and project plan for the transition clear? Are people aware?



Tools and Tactics

3. Organizational Impact Summary Reporting Template



Organizational Impact Summary Reporting

Regardless of the chosen organizational assessment tool (interviews, surveys or focus groups), all final data should be presented using a standard template.

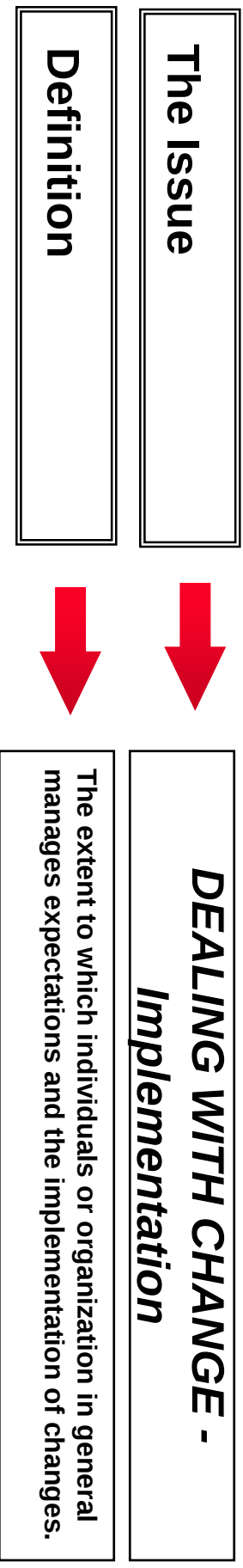
By capturing and reporting information in a clear and consistent way, it facilitates the identification of key action items, focuses activities, provides a repeatable framework and allows progress to be easily tracked.

The template utilizes the same key issue definitions used to gather the OIA information (Leadership and Vision Clarity, Work Environment (internal and external), Communication, Personal Fears and Concerns, Culture, Implementation) and reports it in a way that provides a benchmark for determining an organization's readiness for change.

Based upon the reporting template, a detailed action plan can then be created that addresses each key issue and provides a roadmap for moving forward.



Organizational Impact Assessment Reporting Template



Expectations that change will be implemented on time	☒
Enough time to get ready for major changes	☒
Involving people in designing and implementing changes	☐
Knowing where one stands as change is implemented	☒



High Risk



Moderate Barrier



Enabler



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Detailed Action Plan for Organizational Assessment Results

Activities

Audience

Measurement

Objectives

Deliverables

What does Success look like?

Timing



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Management of Change Framework				
Organizational Impact Assessment	Stakeholder Management	Communicate	Delivery of Results	Executive Leadership
				Project Leadership

Section B: Manage Stakeholders



1. Appendix A: Six Hats Focus Group Methodology



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Focus Group Framework and Methodology

Insert Date

Six Hats Strategic Brainstorming Session
Focus Group

GROUP #

Name of Scribe:



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Benefits of Six Thinking Hats

Used individually or in a group / meeting scenario, Six Thinking Hats:

- Allows people to say things without risk
- Creates awareness of multiple perspectives
- Is a mechanism for 'switching gears'
- Provides a structured approach
- Focuses group and individual thinking
- Improves communication
- Improves decision making
- Opens people up to a new way of thinking rather than relying on our usual preferences



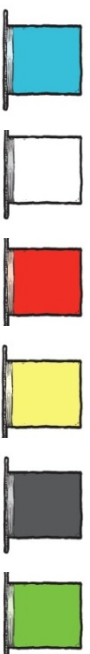
The Hats Concept

There are six different colored hats

Each represents a particular type of thinking

You use one mode of thinking at a time

The goal is to gain the ability to switch from one to another as the situation requires



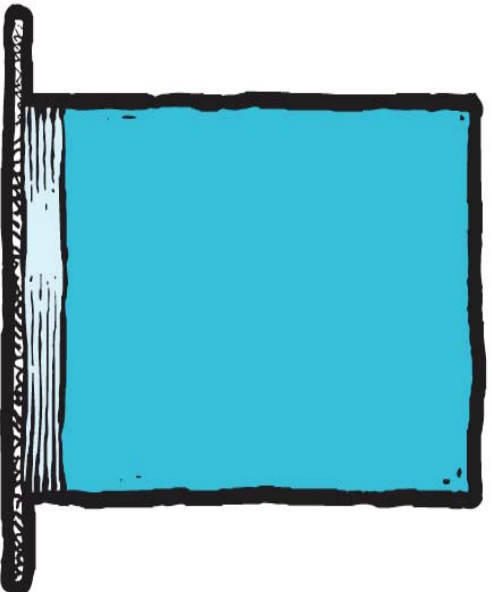
Wkbk: 13



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The Blue Hat



- “Control” Hat
- Organizes the Thinking
- Sets the Focus and Agenda
- Summarizes and Concludes

Managing the Thinking Process

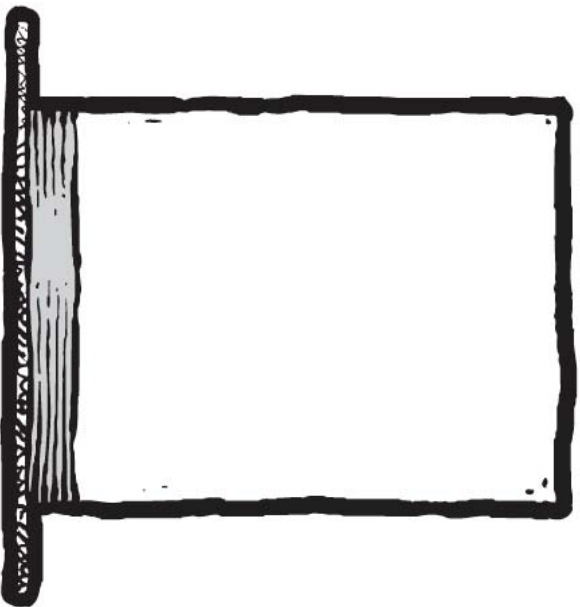
Wkbk: 16



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The White Hat



Information Available and Needed

- What do we know?
- What do we need to find out?
- How do we get the information?
- Who is responsible for getting the information?
- Hard facts & doubtful information

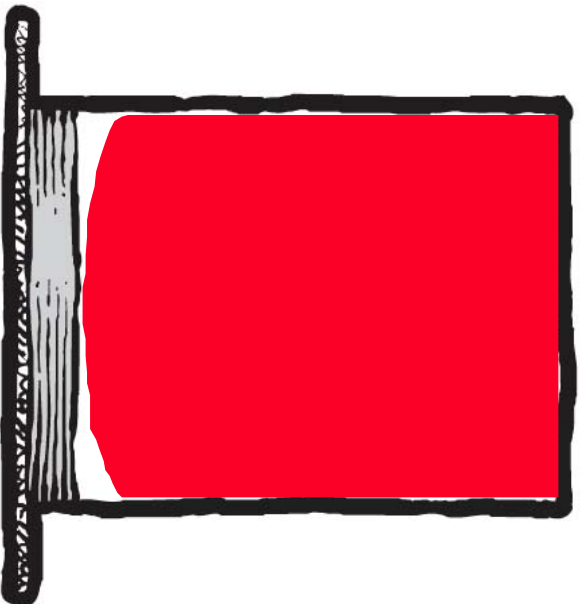
Wkbk: 19



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The Red Hat



- Permission to Express Feelings without justification
- How do I react to this idea/potential solution
- How do I feel about this idea/potential solution
- What is my gut feel about this?
- How will this impact on others?

Feelings Intuition

Emotion

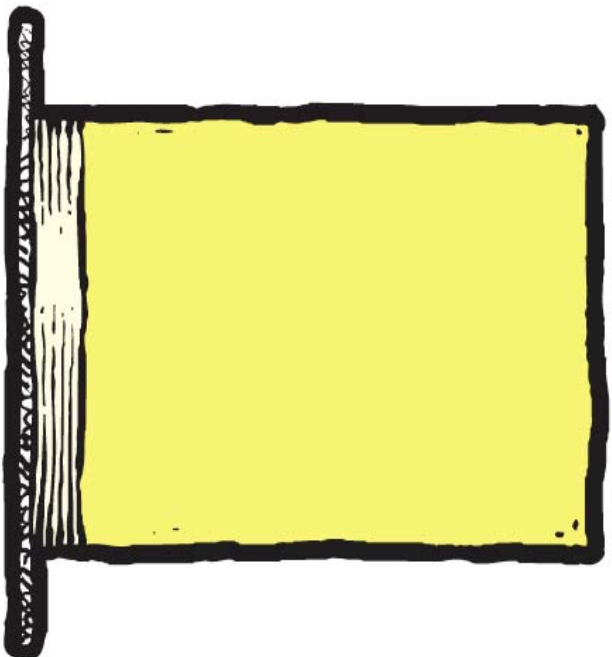
Wkbk: 19



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The Yellow Hat



Benefits and Value

- Optimistic View
- Looks for Reasons and Concepts behind Ideas
- What are the merits or positive aspects of this solution?
- What are the benefits of the solution?
- Why is it a great alternative?

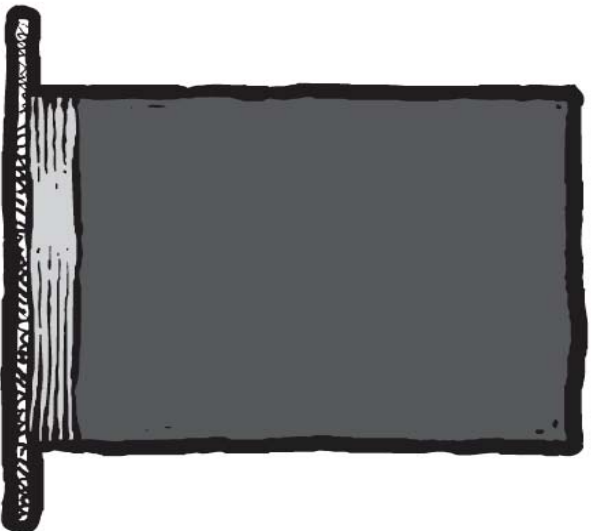
Wkbk: 24



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The Black Hat



- Pessimistic View
- Points out thinking that does not fit the facts, regulations, or values
- What could potentially go wrong with this solution?
- What could be the negative consequences, problems, or risks associated with this solution?
- What are the... 'ya buts'?

Caution, Difficulties, and Weaknesses

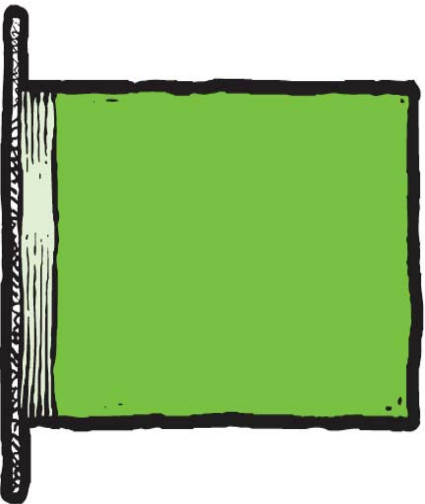
Wkbk: 26



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The Green Hat



- Creative thinking
- What are the Possible Alternatives and possibilities?
- If we could start over and had all the resources we needed, how would we resolve this issue?
- Does not have to be logical
- How do we overcome black hat concerns

Alternatives and Creative Ideas

Wkbk: 28



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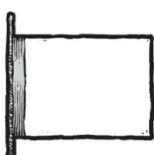
Suggested Six Hats Sequence

Hat	Objective	Duration
	Facilitator provides process overview	5 min.
	Reaction to morning presentation (content)	5 min.
	Strategy expert to answer questions, provide additional info	10 min.
	Identify benefits of new strategy (process, change)	10 min.
	Identify concerns, risks, downsides of new strategy	20 min.
	Organize and cluster the black hat concerns	3 min.
	Select 5 most pressing black hat concerns; Individual voting	5 min.
	Set up brainstorming ground rules	2 min.
	Brainstorm ideas to address concerns and help achieve vision	30 min.
	Select 5 top ideas to present; Individual voting (urg't v. Imp't)	10 min.
	Complete presentation template (to report back to large group)	10 min.



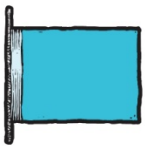


Red Hat *Reactions*



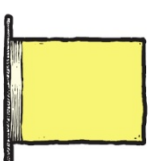
White Hat *Additional Information*





Blue Hat

Organize



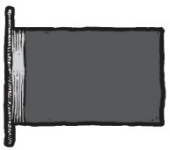
Yellow Hat

Benefits



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Black Hat

Concerns, Risks, & Challenges



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Green Hat

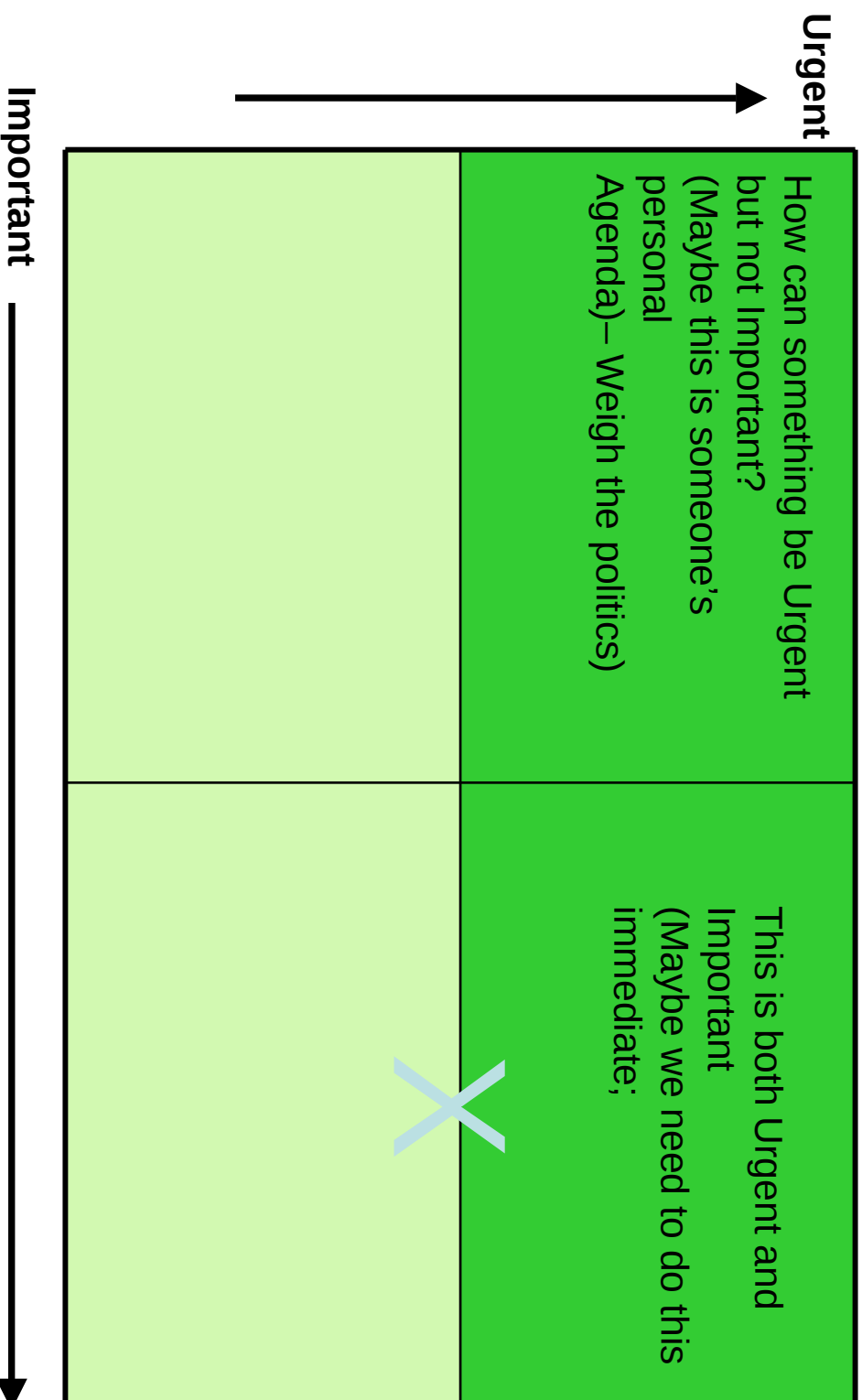
Creative Solutions



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Of the Green Hat Solutions, which are most urgent and most important?

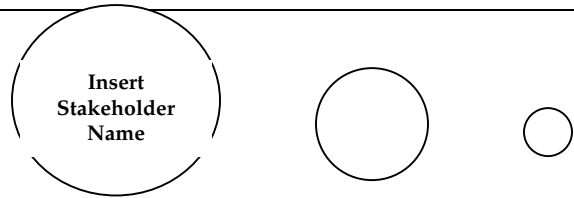
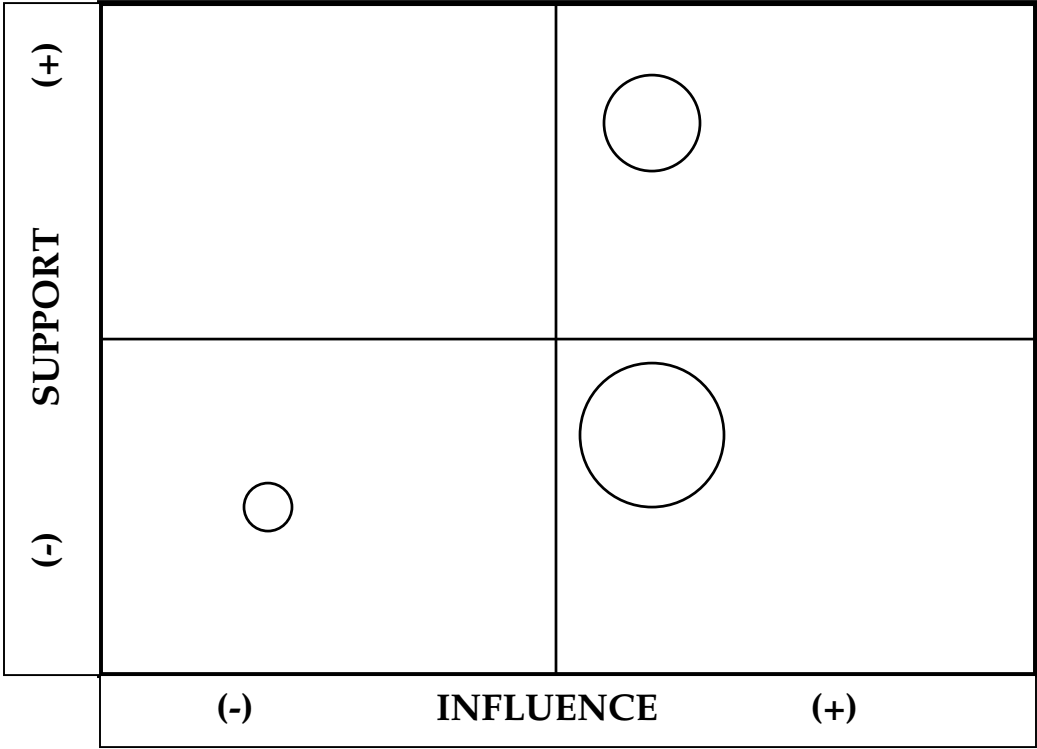




Step 1-3, Section 6: Project Stakeholder Analysis

Key Stakeholders	Role	Confirm What Stakeholder Needs	Confirm What Project Needs from Stakeholder	Resistance Points	Support Points	Opportunities	Messages
(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Internal							
Branch/Business Line							
Department							
External							
Clients							
OGD's							
Regulatory Agencies							
Suppliers/Vendors							

Section 7:
 Stakeholder Mapping



Adjust the size of the bubble to indicate the relative magnitude of impact

Public Works and Government Services Canada Change Management Process



*“To assess the readiness of the organization
to move to the planning stage of the
transformation and provide recommendations”*

Step 1-3 Section 8 Readiness Check

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

Executive Summary:

The following table illustrates the current readiness of xxx to implement xxx.
As you can see there will be.....

Factor	Status ¹	Urgency ²	Degree of difficulty to fix ³
Business purpose of change-need			
Vision			
Organizational capacity (desire, willingness and ability)			

¹ **Status:** Red, equals substantial work before proceeding,
Yellow , some work,
Green some readiness
Blue , no readiness issues

² **Urgency:** If it is determined that a readiness factor is urgent, it means that action is needed before moving to the next step in the process...

³ **Degree of difficulty to fix:** no action easy, moderate and difficult

1. Readiness Assessment;

1.1 Business purpose of change and problem assessment

The case for change is relevant to organization, employees and stakeholders. The Problem Definition can be clearly articulated and creates a strong focus for aligning purpose, establishing urgency, and motivating action in support of the change effort.

Indicators metrics used to define and measure a factor	Observations Information that led to determination of gap and status	Gaps disparity or difference between existing and desired state	Suggested improvement actions activities to be taken that will narrow the gap
▪ Ensure that your core team has been identified. ▪ The need for change (business case) should be clearly defined. ▪ It is important that your business purpose be clearly aligned to departmental vision, mandate and governmental priorities. ▪ Key stakeholders must be identified to ensure your problem assessment is relevant to each group. ▪ Employees at all levels of the organization need to be invited to participate in the Problem Assessment to ensure accuracy and relevance of findings. ▪ Ensure that your problem assessment is clearly identified, confirmed at all levels and can be clearly articulated. ▪ Does everyone team member clearly understand the Change Catalysts (environmental influences, market conditions, business imperatives) leading to the decision to develop the business case? ▪ Ensure that the consequences to not initiating this business case are identified in your problem analysis.	•	•	•

1.2 Vision

There exists a picture of both the current state and the future organization (“To-Be” state) as it would look following the successful implementation of the change. The description of the desired future state serves as a guiding light for all stakeholders throughout all phases of the change. It has been developed with involvement from employees at all levels and can be clearly articulated.

Indicators metrics used to define and measure a factor	Observations Information that led to determination of gap and status	Gaps disparity or difference between existing and desired state	Suggested improvement actions activities to be taken that will narrow the gap
■ It is important that management be able to clearly define the vision objectives, in both strategic and specific terms, and in ways that are relevant to all impacted groups. ■ Your sponsor must be committed to employee engagement and to articulating the vision in both strategic and specific terms. ■ This point should develop your engagement and communications approach, with commitment to two-way engagement and conveying what employees need to know about the impact on their day-to-day environment and/or tasks. ■ Your vision communications should include attitudes, values and behaviours required for the new state. ■ Leadership -- in defining vision and needs -- has outlined commitment, authority to implement and engagement of employees throughout. ■ Ensure that key internal and external stakeholder input has been sought. It is essential that the scope and approach of the transformation initiative have been clearly defined and agreed upon throughout the organization.	•	•	•

1.3 Sponsorship & Leadership:

The individual champions the initiative with ultimate responsibility. There exists the leadership to drive the change vision—setting the direction and parameters and ensuring that the necessary resources are available throughout the change process.

Indicators	Observations	Gaps	Suggested
metrics used to define and measure a factor ▪ Be sure that stakeholders are clearly identified and a given a clear sense of their interest in and responsibility to the project. ▪ You have developed a culture that encourages participation towards corporate rather than local objectives. ▪ Leaders must be willing to reference, or address, any organizational history of being able to successfully implement change activities. ▪ Leaders have committed to address and foster “real”, (as opposed to symbolic or old way), cultural issues and participation in management processes. ▪ Throughout the initiative, leaders have committed ongoing project review with openness to feedback and clear course correction guidelines. ▪ Ensure accountability is aligned with where the benefits of success, or consequences, will be felt. ▪ Leaders have been (and remain) visible, approachable and are willing to walk the talk throughout. ▪ Has your Sponsor taken a walk among employees to “notice” and thank employees for their effort? ▪ Leaders are the story tellers of the overall vision. Communications and speeches create a story where people see themselves in the change or To-Be.	Information that led to determination of gap and status •	disparity or difference between existing and desired state •	Suggested improvement actions activities to be taken that will narrow the gap •

1.4 Organization capacity (desire, willingness, ability)

The organization has the capacity to successfully complete the next phase in the change process.

Indicators metrics used to define and measure a factor	Observations Information that led to determination of gap and status	Gaps disparity or difference between existing and desired state	Suggested improvement actions activities to be taken that will narrow the gap
■ Confirmation that there is a senior executive sponsor in place. This is their primary focus (not in addition to their "day job."). Check to ensure that your change governance structure is clear. ■ Prior to moving forward, it is crucial that you confirm with your change team – which includes representation at all levels—that your problem assessment is accurate, your vision is clear and attainable and that you have confirmed this in your assessment ■ Confirm that you have identified: stakeholder's needs; the impact on each stakeholder, what influence each has on the initiative; their level of support or lack of; strategies to address and engage each need. ■ Your change team will need to have a candid discussion regarding the impact that executing the initiative may have on the organization, with clear indication of the intent to accept the impacts. ■ Are the budget and key resources in place for the next phase of the initiative? ■ Confirm that your top executives convey clear messages that the organization will follow-through, a message that identifies the effort as well as the benefits. ■ Openly address any organizational change history. Ensure that the tough cultural questions have been discussed. Is there change fatigue? Have you included input at every level? ■ Confirm that there is agreement throughout the organization that the transformation initiative is the 'right' thing to do. Before moving to the "Plan" phase, ensure that your engagement strategy is in place and that all stakeholders are identified.	•	•	•

■ Confirm with your change team that stakeholders believe they are valued and influential. Be sure leaders have demonstrated the value of stakeholder input. ■ People involved in the initiative are open and direct in their communications and willing to say what they know and what they don't know -- but will find out and follow up. Follow-up will be critical to establishing credibility. ■ Confirm that adequate resources have been allocated to the next phase of the change process. ■ Ensure that open appreciation exists among the change team, and those they are working with, for their effort and commitment.			
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Public Works and Government Services Canada Change Management Process

1.3 Tools Assess Organization

Internal Communications (IC)

<http://source.pwgsc.gc.ca/ci-ic/text/index-e.html>



Public Works and Government Services Canada Change Management Process

1.3 Users Guide



Step 1-3 Users Guide

Instructions for Step 3

Purpose:

To identify gaps between the current and desired future state, identify changes required and developing a comprehensive understanding of the impact of the change on the organization as well as the positioning of stakeholders in the context of the To-Be.

Introduction

This is the most complex step of the Toolkit. Navigating through the templates will depend on whether or not your organization will be undergoing a “light” or “in-depth” change. The map below shows the path to follow; you may want to refer back to this map to guide you through the process.

Sections 1 to 3

In order to support and embed the Vision, it is essential to analyze what internal and external forces will help or hinder reaching the desired “To-Be” state. It is also critical to perform an analysis of the gaps to bridge between the “As-Is” and the “To-Be,” to determine which elements of the business will be Improved, Maintained, Discontinued or any new ones being Introduced. Doing this work will greatly facilitate the development of the Strategy and Work Plan in the Steps 2-1 and 2-2.

Section 1

Sub-section 1.1:

As-Is

To define your “As-Is” in Box 1, start with the Problem Areas you described in Step 1-1. You may also consider adding any other In-Scope considerations (brought forward from Step 1-2, Section 8).

Sub-section 1.2:

To-Be

Based on the Business Features and Innovations, as well as on the desired outcomes from of Step 1-2 (sub-section 4), depict your “To-Be” desired state in Box 2.

Section 2: Gap Analysis

Sub-section 3

Review each element you listed in your As-Is. For each element of the business, identify what needs to be Maintained, Improved, Discontinued and Introduced to fill the Gap between the two states.

Complete the template supplied for Section 2. It is pre-filled with In-Scope Considerations to be supplemented, in the left hand column, with your new Business Features and Innovations.

Return to the diagram of Section 1 and fill in the boxes of Sub-section 3 according to what will be Maintained, Improved, Discontinued or Introduced.

Section 1:

Sub-section 4: Force Field Analysis

Once Gaps have been identified, facilitate a brainstorming session with the group of stakeholders to identify what internal and external influences a) help (positive forces) or b) hinder (negative forces) the organization's ability to fill in the Gaps and move from the As-Is to the To-Be. Typically, one would identify "Negative" forces first and then move to "positive" forces that counteract the negative ones.

Assign a score to each force (1 = weak to 5 = strong). Score this analysis then brainstorm on ideas that would influence positively on the forces. For example, if "fear of technology" had a score of four in the "against change" or "Negative" side, then a suggestion of "computer learning teams" might reduce the score to a one. The changes that are brainstormed could move the balance of an idea from, against to in favor. It can also help to identify and demonstrate that a plan to harness a particular force has very little chance of success.

Gap Analysis People Leadership Tips

Complete this step in-group setting.

It is imperative that you include employees at all levels in this task. For maximum input, this should include supporters and detractors of change.

Including employees in this step will gain significant credibility for your initiative, help employees to "own" the solutions and ensure buy-in for any upcoming changes.

It is recommended to use a large Brown Kraft paper with the diagram printed on it and to stick on the wall so that all members of your group can work on the same document. Alternatively, use up to six flip chart sheets – or one series for each topic.

Force Field Analysis People Leadership Tips

This tool will help you communicate to decision-makers, and various other audiences, how the group arrived at recommendations for conducting specific activities to fill in Gaps.

This tool will become very useful, once again, when the strategy (Step 2-1) and Project Plan (Step 2-2) will be developed, as it helps to identify the tangible activities that need to take place to reach the "To-Be" state.

Section 3: Assessing the Magnitude of Change

Section 3

Sub-section 1:

Magnitude of Change Questionnaire

Consider the Gap Analysis and the Force Field Analysis and answer the questions asked on this template.

Section 3:

Sub-section 2:

Magnitude of Change Assessment

Consider the answers to Sub-section 1 and assign scores accordingly. Multiply your score by the Weight and write the result in the corresponding box. You will note that each factor is already weighted for their importance.

This weighting is based on experience but you may decide to assign a different weight to each factor if your situation is unique or, for example, the To-Be is radically different from the As-Is.

Tally the total score.

Magnitude of Change People Leadership Tips

Involve all of those potentially affected by the change, directly or indirectly, in assessing the magnitude of change.

Experience has shown that completing this task, as a group is essential as each stakeholder brings a unique and in-depth understanding of the work environment.

Be sure to use multiple sources of information to confirm findings.

Important Instructions: “Change Light, or In-Depth Change?”

- If the change magnitude scores 32 or above, the change is “Transformational”. You will need to skip Section 4 and complete Section 5: In-Depth Assessment before continuing with Sections 6 and 7.
- If the score is 23 to 31, the change could be considered to be “Transitional”. You could complete Section 4: PWGSC Impact Assessment – Stakeholder Group Interview only, but it is recommended that you complete Section 5: In-Depth Assessment before continuing with Sections 6 and 7.
- If it is between 16 and 22, it could be considered “Developmental”. Complete Section 4: PWGSC Impact Assessment – Stakeholder Group Interview, skip Section 5 and continue with Sections 6 and 7.
- At a score below 16, the change is deemed “incremental”. It should be treated as continuous improvement needing communications support and little Change Management support. Complete Section 4: PWGSC Impact Assessment – Stakeholder Group Interview as needed and continue with Sections 6 and 7.

Section 4: Impact Assessment – Stakeholder Group Interview

Use this Group Interview Guide with each unit affected directly by the change. If time permits, interview other units indirectly affected by the change and who may be in contact with the directly affected units.

Section 5: In-Depth Assessment

This Section is a self contained unit. Read through it and seek the guidance of the Change Process Office (CPO) as needed. You will be asked to use a series of templates that are meant to be filled out in a Focus Group setting. The Section contains guidelines for conducting the Focus Group workshops.

Section 6: Project Stakeholder Analysis

Retrieve the data from the Stakeholder Analysis templates of Step 1-1 (Section 3): Preliminary Stakeholder and Initiative Analysis and Step 1-2 (Section 6): Preliminary Stakeholder Analysis and insert /copy it in this Section.

At this point, for each stakeholder listed in column “A”, there are a series of (more or less) verified assumptions about each group’s / person’s needs from the project (column “C”), the project’s needs from each (column “D”) in relation to the change, the “pain points” which will generate resistance to the To-Be (column “E”), and those aspects of the change that they will support (column “F”). Verify these assumptions and adjust/verify them in light of the Impact Assessment. Identify the forthcoming Opportunities (column “G”) for engagement and identify the key message(s) (column “H”) that need to be delivered to bolster support for, and reduce resistance to, change and the To-Be.

People Leadership Tips

Impact Assessment Change

Keep the amount of analysis relevant to the size and scope of your change effort. Overanalyzing a small change effort could lead to change fatigue.

Using the questionnaire, hold meetings, interviews or focus groups to determine the answers to the questions.

It is important to obtain multiple responses from each level of your organization, to compare responses and ensure accuracy.

In order to encourage the flow of candid conversation, consider holding meetings with staff separately from their supervisors. Some employees will communicate more freely if they are not in public or with their manager. When conducting your analysis, you will be in contact with many key stakeholders. Use this as an opportunity for two-way communication. Be sure all of your analysts are conveying the same message.

Be very consistent with your questions. Ensure every analyst is using the same questions and with the same approach.

Section 7: Stakeholder Mapping

Take each stakeholder on your list and plot them against the two axes of the graph. See the legend at the bottom of the graph; it will explain that the more impacted units are shown in bigger circles.

After plotting the groups / individuals on the graph, you may want to depict the links between with arrows marked with (+) or (-) to show which groups hold positive or negative relationships with each other. This will structure the view of which alliances can, and should, be forged between groups to generate visible and audible support of the initiative.

IMPORTANT

Section 8: Readiness Check

Completion of 1-3 marks the completion of the Identify section of the CM Process.

It is critical that you perform a quick review of the “Identify” (Steps 1-1 to 1-3) prior to moving on to Step 2-1 of the “Plan” section. This will ensure you have not missed an essential part of the Identify process and that your initiative and organization are ready to move ahead.

To do this, simply review the questions in the 1-3 (section 8) Readiness Check and address any issues or missed information.

Stakeholder Mapping People Leadership Tip

Drawing a stakeholder map will allow leaders to depict and better understand the potential for coalitions between the change project and various stakeholders.

Leverage those who have a lot of influence and who are supportive. Ask them to help deliver the message. Remember that, among them, those who are heavily impacted have more credibility.

Have groups who have positive relationships come together to discuss the change. See if you can invite an influential, supportive group talk to one that is as influential but not as supportive.

Remember that alliances change over time. Revisit your map as need be.

Remember that, in most organizations, there will be about 20% of the population supporting the change and another 20% resisting it. Concentrate on those who are in between.

As leader it is critical that you review the 1-3 (section 8) Readiness Check with your team prior to moving to Step 2-1. This review will help ensure that your management team is ready to proceed to the planning stage with the necessary information and understanding of the initiative.

Public Works and Government Services Canada Change Management Process



Template Step 2.1: Change Strategy

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

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1.0 Executive Summary

2.0 Introduction

3.0 Transformation Overview

4.0 Key Findings

4.1 Key Problem Areas

4.2 Gap Analysis Summary

4.3 Impact Assessment

4.4 Stakeholder Analysis

4.5 Change Readiness Check

5.0 Revised Objectives and Risk Management Strategy

5.1 Revised Objectives

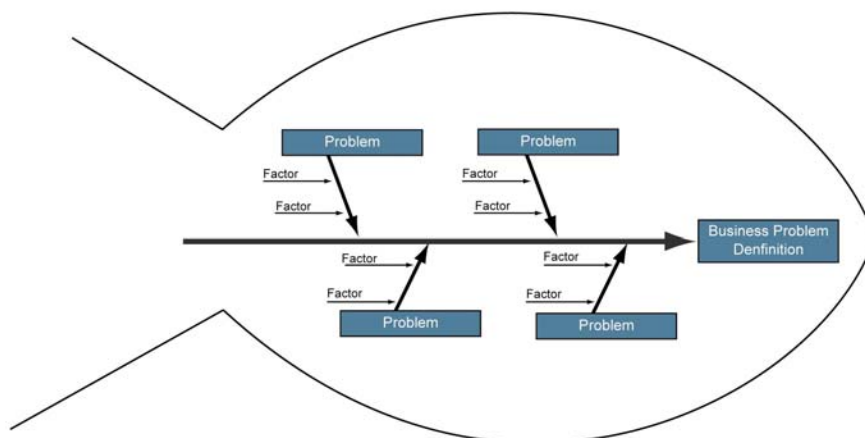


Figure 1: Revised Objectives Fish Bone Diagram

5.2 Monitoring and Evaluation

Table 1: Objectives and KPIs

Objectives	KPIs	Information/Verification Sources
Overall Outcome (fish head):		
Outcome 1	KPI 1.1 KPI 1.2	
Output 1.1	KPI 1.1.1 KPI 1.1.2	
Output 1.2	KPI 1.2.1 KPI 1.2.2	
Outcome 2	KPI 2.1 KPI 2.2	
Output 2.1	KPI 2.1.1	
Output 2.2	KPI 2.2.1	
Outcome 3	KPI 3.1	
Output 3.1	KPI 3.1.1	
Output 3.2	KPI 3.2.1	
Outcome 4	KPI 4.1	
Output 4.1	KPI 4.1.1	
Output 4.2	KPI 4.2.1	

5.3 Risk Management Strategy

5.3.1 Risk Assessment

5.3.2 Risk Mitigation

6.0 Assumptions and Constraints

6.1 Assumptions

6.2 Constraints

7.0 Principles

8.0 Strategy

8.1 Kick Off

8.2 Pre-Operational Alignment

8.3 Operational Alignment

8.4 Transformation

9.0 Key Activities

10. Implementation Timeframes

11. Budget and Resources

12. Next Step and Approvals

Public Works and Government Services Canada Change Management Process

2.1 Tools Change Strategy

Risk Management

<http://source.pwgsc.gc.ca/branch/ocro/text/rsqsrsk-e.html#rm1>



Public Works and Government Services Canada Change Management Process

2.1 Users Guide



Step 2-1

Users Guide

Purpose

The purpose of the strategy is to ensure that the organization has established relevant and systematic direction for developing the change project work plan.

Note: Step 2-1 builds on key findings from preceding work. Before proceeding with Strategy for the change effort, it is important to have, at least, completed the *Readiness Check* and the *Impact Assessment* in Step 1-3.

Section 1: Executive Summary

Typically, lays out the strategy for the change effort presented to senior management for approval. This section should present the purpose of the document and its structure. A summary of work accomplished thus far (in preceding Steps) may be included to establish the bases for your strategy.

Section 2: Introduction

This section should provide the reader with an overview of the document's contents. It can include a presentation of the Steps followed thus far and any intended next steps. Readers should be reminded that this is the first of two planning documents (Steps 2-1 and 2-2). To provide context for the Transformation Strategy, the Introduction can provide an overview of the problem and To-Be, desired state. It can introduce activities to be conducted and, you may wish to inform that associated timelines and costs will be found in the documents from the next Step—2-2 Change Project Plan.

People Leadership Tips

Set realistic timeframes for planning & implementing

Plan time & space on the management agenda to lead & manage change.

Overtly model the change you are asking of others.

Be mindful of the "Marathon Effect."

Plan for people to embrace this change initiative

Plan to articulate your strategy in the form of a story:

What it was like (Problem)?

What it is like now (Problem + Identifying and analyzing)?

What it will look like (vision)?

How we will get there (Strategy)

To avoid going "back to the old way we've always done it:"

Be sure to share your strategy to achieve "To-Be" state.

Be clear about any possible course corrections.

Measure commitment to your initiative and address any cultural barriers head-on.

Be clear about "what we know longer do."

Walk the talk and model the change.

Section 3: Transformation Overview

This section of the document restates the Vision and Mission statements. It describes the Key Business Features and Innovations of the “To-Be”. By highlighting the changing features of the As-Is state, it provides a descriptive list of the key issue/areas to be transformed.

Section 4: Key Findings

Insert key findings from Steps 1-1, 1-2 and 1-3 in sub-sections 4.1 to 4.5, below. List both obstacles to overcome and opportunities to exploit. Next sections of this document will be developed based upon this summary of Key Findings.

4.1 Key Problem Areas

4.2 Gap Analysis Summary

4.3 Impact Assessment

4.4 Stakeholder Analysis

4.5 Change Readiness Checklist

Section 5: Revised Objectives and Risk Management Strategy

Sub-section 5.1: Revised Objectives

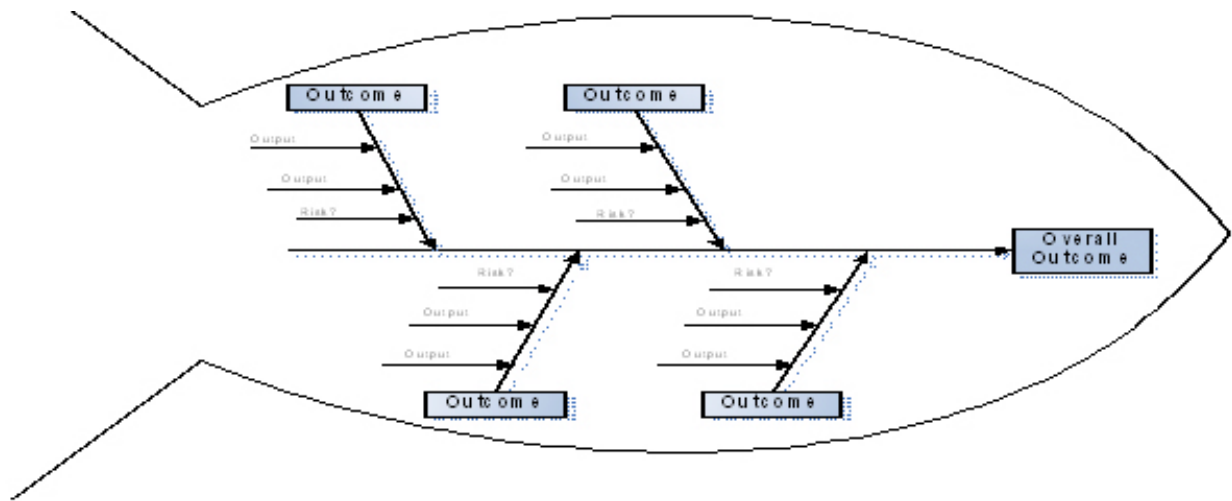


Figure 1: Revised Objectives Fish Bone Diagram

Your initial Outcomes and Outputs were developed in Step 1-2. These were established without the benefits of the *Impact Analysis*. At this point in the change process, it is important to revisit the objectives with a view to adjusting them in light of the *Impact Analysis*, and to establishing a risk mitigation strategy to ensure that the transformation’s objectives will be achieved.

It is suggested that this revision be done as a group, using the same workshop method used in Step 1-2. Consider all Key Findings and develop the revised list of Objectives. Using the table, identify the Outputs required to achieve each Outcome.

It is useful to number the Outcomes and to number the contributing Outputs using an Outline numbering system, i.e.: Outcome 1 is associated to Outputs 1.1, 1.2 and 1.3 , whereas Outcome 2 is associated to Outputs 2.1 and 2.2, etc.

Revising the objectives can be done using the “If-And-Then” approach to form logical objectives. This logic goes as follows: “if” Outcome 1 <X> is reached, “and” risk <R1> is managed, “then” the Overall Outcome can be reached.

Be sure that cause and effect are conceptually separate; if both Outputs and Outcomes state the same thing with different words, they are not clearly separated.

To ensure that Outputs and Outcomes are not actions, use the past tense. For example, “establish an internet portal,” is an action statement whereas “an internet portal is established,” is a result statement. This will be key to completing Section 10 of this document, and next, Step 2-2.

Tip: Do not use the word “and” in stating your objectives. This introduces the notion of a dual objective with separate sets of Key Performance Indicators (KPIs). It sets up the group to bundle objectives and, hence, activities and KPIs.

Note: Your Outputs will be broken down into specific Deliverables in Step 2-2, Project Charter. These, in turn, will be associated to quality specifications and requirements. Therefore, there is no need to be very detailed about Outputs at this time.

Sub-section 5.2: Monitoring and Evaluation

Establish a KPI for each Output. Note that an indicator is a unit of measurement and should not contain a goal. For example; height is measured by one-centimetre increments with the “centimetre” as the indicator (unit of measurement). A “goal” for this indicator might be that a plant should grow 20 centimetres per year.

Outcome-related KPIs may address measurements of a) knowledge (such as scores in an examination), b) attitudes (such as in ranked preferences) or c) behaviours (such as in the number of times a client purchases from a supplier, or the volume of sales).

Outputs are generally measured by being counted, e.g.: 1000 pamphlets, 15 computer data-entry screens, one software package, 26 training sessions delivered, etc..

Apply the SMART rule to selecting an indicator: it should be “specific”, “measurable”, “available”, “relevant” and “timely”. For each KPI, identify your source(s) of information. Limit the number of KPIs for outcomes

Table: Objectives and KPIs

Objectives	KPIs	Information Sources
Overall Outcome:		
Outcome 1	KPI 1.1:	
Output 1.1	KPI 1.1.1 KPI 1.1.2 KPI 1.1.3	
Output 1.2	KPI 1.2.1 KPI 1.2.2 KPI 1.2.3	
Outcome 2	KPI 2.1:	
Output 2.1	KPI 2.1.1 KPI 2.1.2 KPI 2.1.3	
Output 2.2	KPI 2.2.1 KPI 2.2.2 KPI 2.2.3	

Sub-section 5.3: Risk Management Strategy

This sub-section focuses on assessing the risks identified as part of the logic model and on developing risk management strategies. Up to now in the Steps, risks have been simply listed. The sub-sections below take this analysis further by assessing the listed risks and finding mitigation strategies to adopt.

When assessing risk and determining risk strategies, be sure to consult PWGSC's Office of the Chief Risk Officer and the Risk Management Handbook. These can be found at: http://source.pwgsc.gc.ca/branch/ocro/docs/rskmngmnt_guide-e.pdf. You will also find information on: Key Elements of Risk Management, Five Main Activities and Categories to Consider for Risk Identification. You may wish to consider the assistance of the Risk Management Network Member for your work unit ; this person can be identified by accessing the list at: <http://source.pwgsc.gc.ca/branch/ocro/text/crbpgr-e.html>

Sub-section 5.3.1: Risk Assessment

Note: Risks can take place on various levels of your initiative such as in your project plan, strategy or stakeholder uptake. Be clear about risks to your change initiative in terms of Content, People and Change Process.

Use the standard PWGSC approach to assessing risks according to likelihood and impact, capture them on a two-by-two window like this model which is used widely in the Department.

IMPACT (Consequence)		Risk Management Action		
	Significant (We couldn't function or our mandate would have to change)	Medium	High	High (Critical)
	Moderate (We could still function)	Low	Medium	High
	Minor (Nominal)	Low	Low	Medium
		Low (Nominal or Unlikely)	Medium (Likely)	High (Very Likely)
Probability (Likelihood)				

Risk Response Strategy
High risk: immediate action required, senior executive management attention needed, and management accountability and responsibility specified
Medium risk: manage by specific monitoring or response procedures by accountable line managers
Low risk: manage by routine procedures, unlikely to need specific application

Sub-section 5.3.2: Risk Mitigation

Establish a mitigation strategy for each potential risk. As the table above indicates, risks in the upper right quadrant (those with a high likelihood of occurring and having a high impact on the initiative) will require extensive management attention. In effective risk management, it is key to clearly specify the attention that will be brought to bear on each risk. This will also become part of the governance framework -- to be spelled out in the next Step, *Change Project Charter and Work Plan*.

Section 6: Assumptions and Constraints

Sub-section 6.1 Assumptions

An assumption is a condition taken as a given. In this section, clearly identify all assumptions being made with regard to the transformation initiative. Sample categories of assumptions include: availability of funding, timing of funding, availability of consulting services, length of contracting process to obtain services, suitability of training opportunities, availability of resources on change management team, key dates and milestones, key audiences or stakeholders needs. Assumptions will become dependencies that should be managed as risks (and mitigated accordingly) should they not materialize.

Sub-section 6.2: Constraints

A constraint is a restriction on the degree of freedom you have in implementing the transformation initiative. Constraints can be economic, political, technical, legal, or environmental and can pertain to each aspect of the design strategy. In this section, list all constraints affecting the change initiative. Like assumptions, these should be managed as risks should they impact on the initiative.

Section 7: Principles

A principle is a belief or opinion that will have an influence on the transformation strategies for the initiative. For example, some basic principles will involve a choice between some the following options:

- Will solutions be developed in-house or will they be purchased/borrowed from other entities?
- Will consultants be used or will staff be used to implement the effort? What mix of the two will be allowed and what tasks will be given to each group?
- Will the change effort be driven exclusively from the top or will there be involvement from front line staff in implementing it, thus introducing a bottom up approach to the effort? What will be the balance between the two; will the staff assigned to this effort be asked to participate in it in addition to their regular work or will they be entirely devoted to the change initiative?
- Will externally imposed deadlines drive the project or will it proceed based on meeting internal milestones and quality standards?
- Will the transformation be driven by technology or will technology support re-engineered work processes?
- Will the “quick wins” first be visible to clients or staff?
- Will clients be included in implementing the change, or will they simply be informed?

Section 8: Strategy

A strategy is a broad plan of action designed to achieve a particular goal. It is a complete plan for whatever situation might arise; this fully determines the team's behavior. A strategy will determine the action the change team will take at any stage of the transformation effort. A strategy statement provides guidance about a direction to be taken. It is explicit enough that one knows what the first step is to execute the strategy.

A typical change effort to move from an "As-Is" to a "To-Be" takes place over the four phases of the CM Process; Identify, Plan, Implement and Embed. Your strategy falls under the Plan phase but also forms the basis for how you will Implement and Embed your initiative. In this context then, your strategy must be developed with Implementation in mind. The CPO recommends using a four-phased approach to outline your strategy for "Implementing (Step 3)" and "Embedding (Step 4)." The approach recommended is to break down the effort into at least the following phases:

- the Kick Off phase;
- the Pre-Operational Alignment phase;
- the Operational Alignment phase; and
- the actual Transformation phase.

Sub-section 8.1: Kick Off

The Kick-Off phase is the initiation of the implementation. Typically, it will concentrate resources and effort on creating "quick wins" that are highly visible to influential staff and to clients. There is no hard and fast rule to define how "quick" is "quick". Usually, for longer term projects, a highly visible and beneficial improvement needs to have happened within three to six months of initiating the implementation of a change effort. This will help to minimize scepticism and cynicism about the seriousness of the change effort. In defining the strategy for the Kick Off phase, and for Quick Wins, the following could be considered:

- Upon which part of the Content/Problem Area (as identified in Step 1-1) should the change team concentrate first to create the desired "quick win."
- Identify the "low hanging fruit", those problems that can be easily solved with a minimum of effort during the Pre-Operational Alignment phase.
- Among stakeholders, are there areas or groupings of "Early Adopters" with whom to work in the kick-off phase?
- Identify how the launch of implementation will be made. Will it be done at a town hall meeting or will there be some other launch activity? What role, messaging and tone will the change team want the senior management to adopt at the launch? How soon after "Launch Day" will the first project review take place? How, and to whom, will the results of that review be communicated?

Sub-section 8.2: Pre-Operational Alignment

It is during Pre-Operational Alignment phase that the scope of the change is detailed, documented and confirmed with all stakeholders. Pre-Operational Alignment is the phase addressed during the scope of the Gap Analysis. It is a refined and detailed listing of the work needed to align the “As-Is” with the “To-Be.” It may include doing a final inventory of assets; completing the detailed study of work processes (even looking at forms or computer screens); confirming existing staff positions and details of the organizational design; examining current training programs for their adequacy in meeting the “To-Be” requirements. The analysis will form specifics for each member of work units targeted for change.

Sub-section 8.3: Operational Alignment

This phase ensures all preparatory work is conducted in order to ensure the “To-Be” operates efficiently from its inception. Typically, this phase will see the “As-Is” modified to align -- as much as possible-- to the To-Be. It is at this phase that detailed work flow studies will be conducted to document how the “old” and the “new” work processes / policies / technology systems, etc. will be brought together (at the lowest level of analysis) in the organization, i.e.: the front line staff. Management mechanism and decision-making supports will be developed to emulate what will become standard procedure when the “To-Be” is launched. Training programs will be developed (and initiated) to prepare staff for operating in the “To-Be” environment; new organizational designs will be developed and communicated to staff; job descriptions will be developed and communicated to affected staff; measures to recycle workers into new positions are developed and initiated.

It is also at this point that two systems, or other aspects of the work, will be prepared and start to run in parallel prior to the Transformation phase. Beta systems will be have been tested and readied for launch. Trials of new procedures/policies/guidelines, etc., will be conducted during this phase of implementation, and corrections will be implemented to pilot tests prior to installing and rolling out the full-scale “To-Be” throughout the organization.

Sub-section 8.4: Transformation

This is the phase during which the “As-Is” is replaced by the “To-Be.” One possible strategic approach is to replace the “As-Is” in one fell swoop. This is the so-called “big bang” approach. Another is to adopt the “To-Be” in pieces. The strategic consideration will be guided based on the *Impact Assessment* form Step 1-3 (what will cause the least stress on the organization). The strategy should choose between a) a shorter but more intense period of disruption, or b) a longer and less intense period of disruption as the new methods of operating are installed. This should be predicated on a fact based assessment of the level of change fatigue in the organization. Strategy development around this phase will consider: implementation information and governance; monitoring, course corrections and rate of stakeholder uptake; ongoing learning; reinforcement and rewards; and, continuous improvement. Three KPIs should be monitored during this phase: first, the rate of utilization of the new methods; secondly, the rate of proficiency of the users of the new methods; thirdly, the rate of uptake of the new methods of work.

Section 9: Key Activities

List the key activities that will produce the Outputs aligned to the desired Outcomes. Stay at a high level. The specifics of the activities will be addressed in the Step 2-2, Project Charter and Work Plan. That Step will also cover communications and training.

These should also be in line with your 8.1, 8.2, 8.3 and 8.4 strategy statements above.

Section 10: Implementation Timeframes

For each major activity, indicate the foreseeable start and end dates. You may wish to highlight critical timeline dependencies between activities.

Section 11: Budget and Resources

Identify the amount of financial resources to produce each output. Also, indicate the number, type and timing required relative to the human resources needed to carry out the major activities listed under Section 9.

Section 12: Next Step and Approvals

In this section, indicate that the next Step will be the development of a Project Charter followed by the establishment of a change project work plan, including plans for communications and training.

Public Works and Government Services Canada

Change Management Process

Planning phase



Step 2-2: Change Project Charter

Change Initiative Name:

Date Issued:

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

Document Change Controls

Revision Number	Date of Issue	Author(s)	Brief Description of Change
1.0	[yyyy-mm-dd]	[Author name]	Creation of the document.

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Executive Summary

Section 1: Introduction

The Change Project Charter is “a document issued by the project initiator or sponsor that formally authorizes the existence of a project, and provides the project manager with the authority to apply organizational resources to project activities.”¹

Section 2: Change Project Overview

2.1 Change Project Objectives

Table 1: Project Objectives and KPIs

Overall Outcome			
•			
No.	Outcomes	Outputs	KPI
1		•	•
2		•	•
3		•	•

2.2 Scope

2.2.1 Scope Description

2.2.2 Requirements

2.2.3 Boundaries

Table 2: Project Scope Boundaries

Content In Scope	Content Out of Scope
1.	1.
2.	2.
3.	3.

2.2.4 Project Timeframes

2.2.5 Related Projects

¹ A Guide to the Project Management Body of Knowledge (PMBOK® Guide) Third Edition, p. 368. has been Reformatted from TBS Project Charter Template & ITSB Project Charter template. Catalogue number: **XX**. ISBN **XX**. This document is available in alternative formats and on the Treasury Board of Canada Secretariat's Web site at the following address: www.tbs-sct.gc.ca

Section 3: Work Breakdown Structure, Costing and Quality Management

3.1 Outputs and Deliverables

Table 3: Outputs and Deliverables

Outputs (A)	Deliverables (B)	Description (C)
1.	1.1	
	1.2	
	1.3	
2.	2.1	
	2.2	
	2.3	
3. Etc.		

3.2 Activities

Table 4: Outputs and Deliverables Based Activities

Outputs (A)	Deliverables (B)	Activities (C)
1.	1.1	A 1.1.1 A 1.1.2 A 1.1.3
	1.2	A 1.2.1 A 1.2.2 A 1.2.3
	1.3	A 1.3.1 A 1.3.2 A 1.3.3
2.	2.1	A 2.1.1 A 2.1.2 A 2.1.3
	2.2	A 2.2.1 A 2.2.2 A 2.2.3
	2.3	A 2.3.1

Outputs (A)	Deliverables (B)	Activities (C)
		A 2.3.2 A 2.3.3
3. Etc.		

3.2.1 Dependencies

Table 5: Dependencies

Activity #	Dependency #	Dependency Description	Start and End Dates	Contact

3.2.2 Milestones

Table 6: Project Milestones

Project Milestone	Description	Expected Date
1. Deliverable #		
2. Deliverable #		
3. Activity #		

3.3 Cost Estimate and Source of Funding

3.3.1 Cost Estimate

Table 7: Output / Deliverable Based Costing

Project Phase or Deliverable Cost Category	Estimated Cost by Fiscal Year			
	FY[1]	FY[2]	FY[3]	Ongoing
Kick-Off Phase Deliverable #]				
Salary				
Professional Services				
Capital				
O&M				
Ongoing cost				
Other				
Sub-Totals				
Pre-Operational Alignment Phase Deliverable #				
Salary				
Capital				
O&M				
Other				
Sub-Totals				
Operational Alignment Phase Deliverable #				
Salary				
Capital				
O&M				
Other				
Sub-Totals				
Transformation Phase Deliverable #				
Salary				
Capital				
O&M				
Other				
Sub-Totals				
TOTALS				

3.3.2 Source of Funding

3.4 Risks

Table 8: Risks Assessment and Mitigation

No.	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Planned Mitigation
1				
2				
3				

3.4.1 Assumptions

Table 9: Planning Assumptions

No.	It is assumed that:
1	
2	
3	

3.4.2 Constraints

Table 10: Constraints

No.	Category	Constraints
1		

3.5 Quality

3.5.1 Quality Assurance

Table 11: Quality Criteria and Thresholds

Deliverable #	Quality Criteria	Threshold
1		
2		
3		
4		
5		
6		
7		
8		

3.5.2 Quality Control

4.1 Project Organization

4.1.2 Roles & Responsibilities -- R.A.C.I.E. Diagram

Table 12: RACIE Matrix

4.2 Governance

4.3 Facilities and Resources

Section 5:Change Project Close-Out

Section 6:Application of Past Lessons Learned

Section 7:Project References

7.1References

Document Title	Version #	Date	Author and Organization	Location (link or path)

7.2Authorization

Full name

Executive Sponsor

Position, Client Organization

Date

Full name

Project Sponsor

Position, Client Organization

Date

Full name

Project Manager

Position, Your Organization

Date

Full name

Title

Position, other supporting organization

Date

Full name

Title

Position, other supporting organization

Date

Checklist for reviewing your Project Charter:

After you have completed your Project Charter Template, review the list below to ensure you have included all the information required.

- ☐ The executive summary demonstrates a clear alignment between the project, the Departmental Strategic Framework, and Program Activity Architecture.
- ☐ There are specific and measurable project objectives, and business outcomes that are linked to project goals.
- ☐ The scope of the project is clearly stated: the reader can easily understand what product, service, or result will be delivered by the project and what high-level activities will be performed.
- ☐ The deliverables are spread over the duration of the project, following a phased approach composed of decision gates.
- ☐ Summary cost estimates and sources of funding to produce internal and external deliverables are provided, these include project management and administrative requirements as well as any equipment required (hardware, software, floor space, etc.).
- ☐ Strategic risks are identified and assessed.
- ☐ Quality control & assurance measures are specified
- ☐ A governance process is defined to escalate issues when required to approve changes to the project (scope, budget, schedule), and to accept deliverables.
- ☐ Authority relationships between team members are clearly presented.
- ☐ Project roles and responsibilities are defined and assigned to individuals or groups.
- ☐ Requirements for facilities and resources are described where significant logistical effort and/or funding are involved.
- ☐ Identify lessons learned to create and sustain successful change.

If all of these are checked as complete, delete this checklist; update the Table of Contents and save the document to file.

Initiative Name:		September-09					October-09					November-09					December-09				
#	Category / Activity	Responsible	Completed	31	7	14	21	28	5	12	19	26	2	9	16	23	30	7	14	21	28
1	Engagement Strategy		#N/A																		
2	Consult	Amanda	C																		
3	Draft strategy	Amanda	C																		
4	Review draft w. manager	Amanda	C																		
5	Update draft based on feedback	Amanda	C																		
6	Consult with Communication Advisor	Amanda																			
7			#N/A																		
8	Staffing		#N/A																		
9	Assess staffing requirements		#N/A																		
10	Design "to-be" organizational structure		#N/A																		
11	Recommend staffing solutions		#N/A																		
12	Staff vacant position (re/assign staff)		#N/A																		
13	Assess change project staffing needs		#N/A																		
14	Submit request for staffing		#N/A																		
15	Approval process		#N/A																		
16			#N/A																		
17			#N/A																		
18	Communication Event Plan		#N/A																		
19	Gather existing events planned	Beatrice	N/A																		
20	Draft event plan	Beatrice	#N/A																		
21	Review draft with manager	Beatrice	#N/A																		
22	Update draft based on feedback		#N/A																		
23	Review draft w. Communication Advisor		#N/A																		
24	Update draft based on feedback		#N/A																		
25	Approval process		#N/A																		
26	Communicate event plan with stakeholders		#N/A																		
27	Execute plan		#N/A																		
28	Consult for Web design support		#N/A																		
29			#N/A																		
30			#N/A																		
31	Learning Strategy		#N/A																		
32	Assess learning needs & requirements		#N/A																		
33	Draft learning strategy		#N/A																		
34	Send draft for review to manager		#N/A																		
35	Update draft based on feedback		#N/A																		
36	Approval process		#N/A																		
37	Develop training curriculum																				
38	Execute plan		#N/A																		
39	Coordinate training logistics (room, catering etc...)																				

Initiative Name:		September-09				October-09				November-09				December-09							
#	Category / Activity	Responsible	Completed	31	7	14	21	28	5	12	19	26	2	9	16	23	30	7	14	21	28
40	Monitor schedule		#N/A																		
41	Assess learning success		#N/A																		
42			#N/A																		
43			#N/A																		
44	Standard Operating Procedures (process)		#N/A																		
45	Assess needs & requirements		#N/A																		
46	Develop draft		#N/A																		
47	Consult w. XYZ...		#N/A																		
48	Update draft based on feedback		#N/A																		
49	Assess UAT(User acceptance testing) requirements		#N/A																		
50	Establish UAT plan		#N/A																		
51	Assess SME (subject matter expert) requirements		#N/A																		
52	Establish UAT plan		#N/A																		
53	Approval process		#N/A																		
54																					
55	Policies		#N/A																		
56	Assess needs & requirements		#N/A																		
57	Develop draft		#N/A																		
58	Consult w. XYZ...		#N/A																		
59	Update draft based on feedback		#N/A																		
60	Approval process		#N/A																		
61	Tools		#N/A																		
62	Assess needs & requirements		#N/A																		
63	Develop draft		#N/A																		
64	Consult w. XYZ...		#N/A																		
65	Update draft based on feedback		#N/A																		
66	Assess UAT(User acceptance testing) requirements		#N/A																		
67	Establish UAT plan		#N/A																		
68	Assess SME (subject matter expert) requirements		#N/A																		
69	Establish UAT plan		#N/A																		
70	Approval process		#N/A																		
71	Course Correct		#N/A																		
72			#N/A																		
73			#N/A																		
74	Financials		#N/A																		
75	Assess needs & requirements		#N/A																		
76	Develop draft		#N/A																		
77	Consult w. XYZ...		#N/A																		
78	Update draft based on feedback		#N/A																		

Initiative Name:		September-09			October-09			November-09			December-09										
#	Category / Activity	Responsible	Completed	31	7	14	21	28	5	12	19	26	2	9	16	23	30	7	14	21	28
79	Quality	Approval process	#N/A																		
80			#N/A																		
81			#N/A																		
82			#N/A																		
83		Assess needs & requirements	#N/A																		
84		Develop draft	#N/A																		
85		Consult w. XYZ...	#N/A																		
86		Update draft based on feedback	#N/A																		
87	Approval process	#N/A																			
88			#N/A																		
89	Facilities & Resources																				
90	Assess needs & requirements	#N/A																			
91	Develop draft requirement	#N/A																			
92	Consult w. XYZ...																				
93	Review w. manager	#N/A																			
94	Update draft based on feedback	#N/A																			
95	Approval process	#N/A																			
96			#N/A																		
97			#N/A																		
98	Rewards & Recognition		#N/A																		
99	Assess needs & requirements	#N/A																			
100	Consult existing program and evaluate with needs	#N/A																			
101	Develop draft requirement	#N/A																			
102	Review w. manager	#N/A																			
103	Update draft based on feedback	#N/A																			
104	Approval process	#N/A																			
105			#N/A																		
106	Evaluate the change success		#N/A																		
107	Create suggestion box		#N/A																		
108	Review suggestion box feedback																				
109	Conduct Brown Bag sessions to gather feedback		#N/A																		
110	Review feedback		#N/A																		
111	Conduct Diagnostic		#N/A																		
112	Evaluate diagnostic result		#N/A																		
113	Make recommendation		#N/A																		
114			#N/A																		
115			#N/A																		
116			#N/A																		
117			#N/A																		

Initiative Name:																									
#	Category / Activity	Responsible	Completed	September-09			October-09			November-09			December-09												
				31	7	14	21	28	5	12	19	26	2	9	16	23	30	7	14	21	28				
118	Lessons Learned		#N / A																						
119		Gather lessons learned	#N / A																						
120		Document	#N / A																						
121		Share	#N / A																						
122			#N / A																						
123			#N / A																						

Found in Subsidiary Plan
Scope Management
Schedule Management
Cost Management
Cost Management
Change Management
Change Management
Change Management
Change Management
Quality Management
Quality Management
Quality Management
Staffing Management
Staffing Management
Communications Management
Risk Management
Risk Management
Risk Management
Risk Management
Risk Management
Risk Management
Risk Management
Risk Management
Procurement Management
Procurement Management
Procurement Management

Public Works and Government Services Canada Change Management Process



Step 2.2 Readiness Check

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

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1.0 Introduction

2.0 Readiness Assessment

2.1 Rating the Factors

Each of the readiness factors will be rated using the following elements.

Urgency:

If it is determined that a readiness factor is urgent, it means that action is needed before a transformation initiative can begin.

Readiness Status:

Select which best describes the readiness status of each factor.

Low	needs substantial work before proceeding
Fair	needs some work before proceeding
Acceptable	some readiness issues exist, no showstoppers
Good	relatively minor issues exist
High	no readiness issues

Degree of Difficulty to Fix:

Select which best describes the effort required to overcome any issues identified.

No action needed
Easy
Moderate
Difficult

2.2 Readiness Factor: Vision

Readiness Factor Definition	Desirable indicators of readiness
The ability to clearly define and communicate what we are trying to achieve	- Management is able to clearly define the objectives, in both strategic and specific terms. - Leadership in defining vision and needs comes from the business side with stakeholder input. - Predictable and proven processes exist for moving from vision to statement of requirements. - The primary drivers for the initiative are clear. - The scope and approach of the transformation initiative have been clearly defined throughout the organization.

2.2.1 Observations

Note any observations or issues that led to the rating of this readiness factor.

2.2.2 Assessment for Vision

Rate this factor from the perspective of each element.

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Vision			

2.2.3 Gaps

Note any gaps or clear area that need to be addressed to fix the problem.

2.2.4 Suggested Improvement Actions

Identify possible actions that could improve the issues identified above.

2.3 Readiness Factor: Desire, Willingness, and Resolve

Readiness Factor Definition	Desirable indicators of readiness
A desire to achieve the results, willingness to accept the impact of doing the work, and the resolve to follow through and complete the project	- There is a senior executive Sponsor in place. (Step 1) This is their primary focus (not in addition to their “day job.”) - A change governance structure is in place. - There is active discussion regarding the impact that executing the project may have on the organization, with clear indication of the intent to accept the impacts. - Assignment of money and key resources to the project. - Top executives project the clear message that the organization will follow through, a message that identifies the effort as well as the benefits. - There is a history of finishing what is started and of coming to closure on issues in the timeframes needed. - There is agreement throughout the organization that the transformation initiative is the ‘right’ thing to do.

2.2.1 Observations.

2.2.3 Assessment for Desire, Willingness, and Resolve

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Desire/Willingness/Resolve			

2.2.3 Gaps

2.3.4 Suggested Improvement Actions

Readiness Factor: Need

Readiness Factor Definition	Desirable indicators of readiness
A compelling need to do the project.	- There are clear statements regarding what the organization will not be able to do if the project does not proceed, and equally clear statements of what the project will enable the organization to do. - Employees at all levels, including “front line” employees have confirmed the need and are engaged in the solution. - There are visible and broadly understood consequences of project failure. - Success criteria have been clearly identified and communicated. - A firm commitment at all levels for this project that clearly identifies what is no longer in place (no going back to the “way we’ve always done it.”)

2.3.5 Observations.**2.3.6 Assessment for Need**

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Need			

2.3.7 Gaps**2.3.8 Suggested Improvement Actions****2.4 Readiness Factor: Sponsorship and Leadership**

Readiness Factor Definition	Desirable indicators of readiness
Strong sponsorship that is broadly shared--but not so broad as to diffuse accountability. Leadership committed to keep everyone on board and to project the goal.	▪ The project is sponsored by an executive who is appropriately aligned to provide the leadership the project needs and able to articulate and defend the needs of the project at the senior management level. ▪ There is a senior executive Sponsor in place. This is their primary focus (not in addition to their “day job.”) ▪ The sponsor understands the importance of remaining visible throughout the initiative. ▪ The sponsor is aware that executive modeling of the change or “new state” is a critical success factor in change. ▪ The executive team are engaged and will remain engaged throughout the project.

2.4.1 Observations.**2.4.2 Assessment for Sponsorship and Leadership****2.4.3 Gaps**

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Sponsorship and Leadership			

2.4.4 Suggested Improvement Actions

2.5 Readiness Factor: Governance

Readiness Factor Definition	Desirable indicators of readiness
The ability to engage and obtain the support of all parties with an interest in or responsibility to the project with the objective of ensuring that the corporate interests are served and the objectives achieved.	- Clearly identified stakeholders and a clear sense of their interest in and responsibility to the project. - A culture that encourages participation towards corporate rather than local objectives. - A history of being able to successfully manage activities that cross interest areas. - A culture that fosters meaningful, as opposed to symbolic, participation in management processes. - A commitment to ongoing project review and challenge and openness to outside advice.

2.5.1 Observations.

2.5.2 Assessment for Governance

2.5.3 Gaps

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Governance			

2.4.4 Suggested Improvement Actions

2.6 Readiness Factor: Accountability

Readiness Factor Definition	Desirable indicators of readiness
The assignment of specific and appropriate accountability, aligning decision making with areas of responsibility and where the impact of the decisions will be felt.	- Accountability is aligned with the area where the benefits of success or consequences of failure on the project will be felt. - Accountability and responsibility areas align.

2.6.1 Observations.

2.6.2 Assessment for Accountability

2.6.3 Gaps

2.7.4 Suggested Improvement Actions

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Accountability			

2.7 Readiness Factor: A Workable Approach, Execution Model and Communications Plan

Readiness Factor Definition	Desirable indicators of readiness
A project approach that makes sense relative to the task, with a supporting environment, modeled after a proven approach. Clear notions of the client and the client's role (relative to the builder or prime contractor).	▪ The organization is experienced with projects of this type so that the processes, disciplines, expertise, and governance are already in place and proven. We simply have to apply them to this project. ▪ All the players know their roles because they have played them before with success. In particular, the roles of "client" and "systems builder" are mature and stable. ▪ There is a communications plan (Step 2, link) involve communications professional and engage employees. Step 5A, link, communications plans and employee engagement) covering all levels of the organization and meeting the needs ranging from awareness to availability of technical detail. ▪ Employees at all levels provide feedback to throughout change initiative, including: to the governance team, in strategic plans, during the business problem assessment, in assessing solutions. ▪ There is a rewards and recognition plan in place (Step 7, link) to recognize teams and individuals who use good change management practices, planning and prevent crisis behaviours (Step 6, link) assess progress and course correct) and reinforce the new way of doing business. ▪ It is clear to everyone how implementation will occur, how it will be monitored and how realignment actions will be made (Step 4, link) Strategy, define governance, determine objectives). ▪ There are adequate resources dedicated for the life of the transformation (Step 4 (link) define required resources).

2.7.1 Observations.

2.7.2 Assessment for A Workable Approach and Execution Model

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
A Workable Approach and Execution Model			

2.7.3 Gaps

2.7.4 Suggested Improvement Actions

2.8 Readiness Factor: IT Capacity to Execute

2.8.1 Observations.

2.8.2 Assessment for IT Capacity To Execute

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
IT Capacity To Execute			

2.8.3 Gaps

2.8.4 Suggested Improvement Actions

2.9 Readiness Factor: Departmental Capacity to Execute

Readiness Factor Definition	Desirable indicators of readiness
The ability to perform all the tasks required by the project, in areas outside of IT, including the ability to make decisions within the tight time constraints typical to project environments.	▪ Recent successful execution of a project at least half the size and complexity of the project being contemplated. ▪ Existence of the processes and discipline appropriate to a project of this type. ▪ Availability of the skills necessary to execute the project. ▪ A demonstrated ability by the organization to deal with the type of mid-project issues and requirements for decision typical of complex projects. ▪ Recognition of the need for knowledge and skill-building for the new way of working. ▪ Recognition of the value of a formal gap analysis for skills and behaviour.

2.9.1 Observations.

2.9.2 Assessment for Departmental Capacity to Execute

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Departmental Capacity To Execute			

2.9.3 Gaps

2.9.4 Suggested Improvement Actions

2.10 Readiness Factor: Ability to Implement and Operate

Readiness Factor Definition	Desirable indicators of readiness
The ability to implement the new system and its related business processes, absorb the changes arising from implementation, and ongoing ability to operate in the new environment.	- Recent proven ability to deal with the change management issues arising from new processes and systems - Systems operations, maintenance and support for existing systems work well and disciplines and procedures are in place - These are clearly stated in the Business Purpose of Change, (Step 1, link) and Vision, (Step 2, link)

2.10.1 Observations.

2.10.2 Assessment for Ability to Implement and Operate

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
Ability to Implement and Operate			

2.10.3 Gaps

2.10.4 Suggested Improvement Actions

3.0 Key Issues

3.1 Summary of Assessments of Readiness Factors

Readiness Factor	Urgency	Readiness Status	Degree of Difficulty to Fix
1. Vision			
2. Desire/willingness/resolve			
3. Need			
4. Business case			
5. Sponsorship and leadership			
6. Governance			
7. Accountability			
8. A workable approach and execution model			
9. IT capacity to execute			
10. Departmental capacity to execute			
11. Ability to implement and operate			

3.2 Readiness Issues

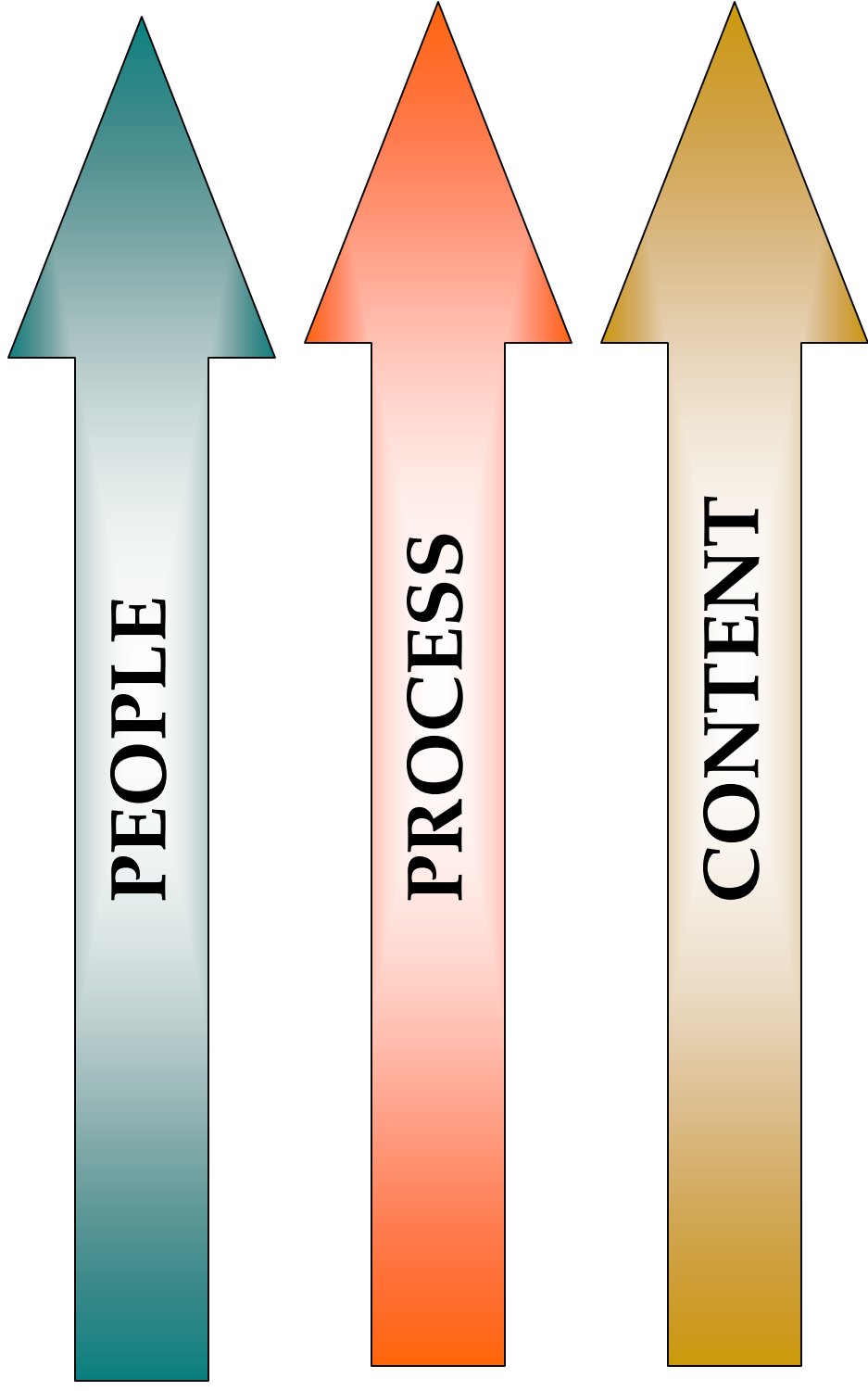
4.0 Recommendations

Public Works and Government Services Canada Change Management Process

2.2 Tools Change Project Plan



Roles & Responsibilities



R.A.C.I.E

- **R**= Responsible for performing / completing
- **A**= Accountable for getting done
(Thumb of rule, only 1 group can be accountable)
- **C**= Consulted- provide input to complete
(When consulted they are informed as well)
- **I**= Informed- must be notified of activity and results
- **E**= Execute-used only of “E” completes / performs the activity in support of “R”

Roles and Responsibilities

PEOPLE	HR	Core Transformation team	Corporate Services	Program Services	Networks
Engagement	<u>C.I.</u> - Builds view into HR implications w. strategy - Models & promotes change initiative by building in learning & performing evaluation	<u>A.</u> - Builds strategy & adjusts during implementation - Provides guidance, advice, support & tools - Models & promotes change initiative	<u>C.I.</u> - Supports engagement aligned w. strategy & w. PWGSC positioning - Model & promotes change initiative that facilitates adoption of engagement approach/plan	<u>R.</u> - Builds engagement aligned w. strategy - Models & promotes change initiative	<u>R.C.I.</u> - Builds engagement aligned w. strategy - Models & promotes change initiative
	<u>C.</u> - Supports the strategy with timely Q & As and other communications - Provides advice related to HR content, process & policies - Provides advice on wording related to HR content	<u>A.</u> - Prepares documentation - Coordinates the needs/requirements - Develops events plan - Monitors & assesses impacts of communications - Coordinates translation req. - Develops story line - Delivers communication	<u>R.</u> - Approves strategy - Delivers w. transformation team - Coordinates dept. communications/ events - Assesses impacts of communications - Reviews & approves intranet content/ changes	<u>R.</u> - Supports the strategy - Provides advice - Prepares employees to change - Supports translation req.	<u>C.I.</u> - Supports the strategy - Provides advice - Prepares employees to change
Communication					
Capacity Building for Change	<u>R.</u> - Staff vacant position - Re-assign staff - Classify position(s) - Design Organization	<u>R.</u> Coordinates capacity needs/ requirements	<u>C.I.</u> - Assesses contribution to build capacity for change - Provides advice - Supports the strategy	<u>A.</u> - Supports the strategy - Provides advice - Assesses contribution to build capacity for change - Consults w. stakeholders - Propose organizational design	<u>C.I.</u> - Supports the strategy - Provides advice - Assesses contribution to build capacity for change

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Roles and Responsibilities

PEOPLE	HR	Core Transformation team	Corporate Services	Program Services	Networks
Learning Strategy	<u>R.</u> - Assesses & develops training curriculum - Coordinates and plans training schedules - Creates & maintains Help line support - Assesses training impacts	<u>R.</u> - Assesses & coordinates the training/learning needs/requirements - Monitors training impacts - Monitors continuous learning - Provides guidance to Learning Team - Oversees alignment in training w. other contents - Open line learning group for employees to refer to for advice, guidance	<u>I.C.</u> - Provides advice and up-dates on actual initiatives - Supports the strategy - Assesses resources/capacity to support training schedules - Provides advice on proposed strategy	<u>A.</u> - Provides advice on content & meets project requests. - Supports the strategy - Provides advice on proposed strategy - Assesses resources/capacity to support training schedules - Provides advice and up-dates on actual initiatives	<u>C.I.</u> - Supports the strategy - Provides advice
	<u>R.</u> - Provides advice/guidance on program - Assesses & approves recommended approach - Reviews employee feedback and course corrects - Aligns activities/programs	<u>R.</u> - Recommends incentive approach; implements, monitors & communicates - Communicates & celebrates successes - Reviews, assesses and communicates employee feedback - Establish 2-way communication to gather employee feedback	<u>C.I.</u> - Participates in the celebration of successes - Shares lessons learned - Shares employees feedback - Supports the strategy - Provides advice - Support 2 way communication	<u>A.</u> - Supports the strategy - Provides advice - Participates in the celebration of successes - Shares lessons learned - Leads incentive programs - Leads incentive, employee feedback programs	<u>C.I.</u> - Supports the strategy - Provides advice - Participates in the celebration of successes - Shares lessons learned

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Roles and Responsibilities

PROCESS	HR	Core Transformation team	Corporate Services	Program Services	Networks
Governance	<u>C.I.</u> - Provides support - May be a member of the change team governance	<u>R.</u> - Builds governance through team leadership structure - Coordinates governance needs/ requirements - Communicates the structure - Establishes roles & responsibilities	<u>C.I.</u> - Provides support - Member of the change team governance	<u>A.</u> - Provides support - Member of the change team governance	<u>L.</u> - Provides support - May be a member of the change team governance
	<u>R.</u> - Provides support, input and advice on change plan - Integrates change activities in their other activities - Ensures the actions required are aligned to their activities - May have deliverables from change plan	<u>A.C.I.E.</u> - Builds change plan - Communicates progress, achievements - Coaches, mentors & provides feedback - Ensures roles & responsibilities are aligned with change plan requirements - Coordinates & integrates change activities	<u>R.</u> - Provides support, input and advice on change plan - Integrates change activities in their other activities - Ensures the actions required are aligned to their activities - Messages about the change plan - May have deliverables from change plan	<u>R.</u> - Provides support, input and advice on change plan - Integrates change activities in their other activities - Ensures the actions required are aligned to their activities - May have deliverables from change plan	
Change Management Plan					

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Roles and Responsibilities

PROCESS	HR	Core Transformation team	Corporate Services	Program Services	Networks
Project Planning	<u>C.</u> • May be part of the project governance • Informed of the project progress • Adjust activities to change project plan or other	<u>A.</u> • Works in liaison with project team to coordinate change plan • Provides guidance and advice on CM • Accountable for the project planning	<u>C.</u> • May be part of the project governance • Informed of the project progress • Potentially accountable for some project deliverables	<u>R.</u> • Part of the Project governance • Monitors & informs of the project progress • Potentially accountable for some project deliverables • Responsible for the purchase of services	<u>L.</u> • May be part of the Project governance • Informed of the project progress • Potentially accountable for some project deliverables
Implementation & Monitoring	<u>C.</u> • Informed on the plan, results & takes corrective action • Provides feedback	<u>A.</u> • Monitors progress, risks, achievements, & deliverables • Implements change plan	<u>C.</u> • Informed on the plan & results • Provides feedback	<u>C.</u> • Informed on the plan & results • Provides feedback	<u>C.L.</u> • Informed on the plan & results • Provides feedback
Measuring & Reporting	<u>L.</u> • Informed on the objectives & results • Provides feedback	<u>A.</u> • Measures & reports progress, risks, achievements, & deliverables	<u>L.</u> • Informed on the objectives & results • Provides feedback	<u>R.</u> • Informed on the objectives & results • Provides feedback	<u>L.</u> • Informed on the objectives & results • Provides feedback
Funding	<u>R.</u> • Provides dedicated FTE support	<u>R.</u> • Assess fund requirements • Monitors budget & expenses	<u>R.</u> • Provides dedicated FTE support	<u>R.</u> • Secures & accounts for funding & expenditures	<u>L.</u> • Informed of the budget and expenses

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Roles and Responsibilities

CONTENT	HR	Core Transformation team	Corporate Services	Program Services	Networks
Legislative	<u>C.</u> - Assess changes to HR policies - Provides guidance, feedback in regards to HR policies	<u>R.</u> Recommends new /changes to policies	<u>C.</u> - Assesses changes to business planning, communications policies - Provides guidance, feedback in regards to policies	<u>A.</u> - Assesses changes to business planning, communications policies - Provides guidance, feedback in regards to policies	<u>L.</u> Informed in regards to legislative changes
	<u>R.</u> - Provides guidance, feedback in regards to technology changes and impacts of the change - Provides HR business requirements to IM/IT	<u>R.</u> - Assesses change impact of the new technology needs / requirements - Recommends approach to implement change - Recommends supporting technology	<u>C.</u> Provides guidance, feedback in regards to technology changes and impacts of the change	<u>A.</u> - Provides guidance, feedback in regards to technology changes and impacts of the change - Develops & installs technology	<u>L.</u> Informed in regards to technology changes and impacts of the change
Process/Tools	<u>R.</u> - Provides guidance, feedback in regards to processes & tools - Implements change requirements on processes & tools - Informed on changes	<u>R.</u> - Recommends work process & operating procedures - Evaluates & monitors changed processes & tools	<u>R.</u> - Aligns process & tools with Corporate Business Planning initiatives - Provides guidance - Informed on changes	<u>A.</u> - Design work process - Develop standard operating procedures - Informed on changes	<u>L.</u> Informed on changes

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Roles and Responsibilities

CONTENT	HR	Core Transformation team	Corporate Services	Program Services	Networks
Culture	<u>R.</u> • Prepares employees by modeling & integrating the competencies to change • Helps facilitate change in mind-set and behaviours • Shares feedback on employee's change capacity, mind-set & behaviours • Shares Lessons Learned	<u>R.</u> • Creates motivation for change • Scans the culture • Ensures change is embed • Creates & sustains conditions for success • Facilitates change efforts and prepares employees to change • Helps facilitate change in mind-set and behaviours • Provides expert advice on how to improve culture • Creates Center of Expertise with int./ext. experts to understand best practices, lessons learned & to improve our CM process	<u>C.</u> • Prepares employees to change • Helps facilitate change in mind-set and behaviours • Shares feedback on employee's change capacity, mind-set & behaviours • Shares Lessons Learned	<u>A.</u> • Prepares employees to change • Helps facilitate change in mind-set and behaviours • Shares feedback on employee's change capacity, mind-set & behaviours • Shares Lessons Learned	<u>R.</u> • Prepares employees to change • Helps facilitate change in mind-set and behaviours • Shares feedback on employee's change capacity, mind-set & behaviours • Shares Lessons Learned

R.A.C.I.E. Responsible, Accountable, Consulted, Informed, Execute

Public Works and Government Services Canada Change Management Process

2.2 Users Guide





Step 2-2: Users Guide

Purpose

The Change Project Charter is “a document issued by the project initiator or sponsor that formally authorizes the existence of a project, and provides the project manager with the authority to apply organizational resources to project activities.

Document Control

This section serves to control the development and distribution of revisions to the Change Project Charter. It should be used together with a document management system. It is recommended that changes to the Charter are documented by using the Track Changes feature of the Microsoft Word software and that the revised document be saved in a new version. This will keep an accurate history of the original document that was first approved.

People Leadership Tips

It is important to ensure that all project documentation is up-dated when a change is accepted and that approval is renewed.

To ensure everyone remains informed of the implications of any changes, keep clear records of any changes or new decisions as required. This will also alleviate project slippage and scope creep issues.

Executive Summary

Provide a brief summary of the change project in business terms, demonstrating alignment with the ultimate/strategic outcome targeted by the participating organization(s), Branches...

Summarize the most important aspects of the change project by answering the questions:

- How and why the change project was initiated?
- Who will use the final deliverable of the change project?
- Who will be impacted by the change project?
- Summarize the most important aspects of the change project by identifying:
 - o change project goals and objectives;
 - o key deliverables;
 - o major milestones;
 - o key risks and, estimated total costs.

Section 1: Introduction

The Change Project Charter is “a document issued by the project initiator or sponsor who formally authorizes the existence of a project, and provides the project manager with the authority to apply organizational resources to project activities.”¹

The purpose of the Charter is to obtain formal approval on the general parameters and structure of the proposed change project, including:

- the change project objectives and outcomes, benefits, scope and risks;
- the change project deliverables, schedule, milestones, and estimated costs; and
- the change project organization, governance structure and stakeholders.

Section 2: Change Project Overview

2.1 Change Project Objectives

This section describes the Overall Outcome for your change project and links the contributing Outcomes and their related Outputs, as outlined in your Step 2-1, *Strategy*. It also lists the measurement criteria (KPIs from Step 2-1), which will be used to confirm that quality Outputs and Outcomes have been reached.

If the *Strategy* document of Step 2-1 has been completed, please copy *Table 1: Objectives and KPIs* and transpose them here. If this Step has not been completed, complete the table and refer to the instructions contained in the Users’ Guide for Step 2-1, *Strategy*, sub-sections 5.1 and 5.2; tips are provided on numbering and establishing KPIs.

2.2 Scope

This section identifies what is included in the project and what is not included. Refer back to the scope developed in Step 1-2, Section 8: *High Level Scope*, and amend it according to what was identified in Step 2-1, *Strategy*, sub-section 5.1, *Revised Objectives*.

¹ A Guide to the Project Management Body of Knowledge (PMBOK® Guide) Third Edition, p. 368.



2.2.1 Scope Description

Provide a high level description of the characteristics, features, requirements, conditions or capabilities of the “To-Be” and what aspects of the “As-Is” are to be affected by the project (refer to Step 1-2 *Scope* and 1-3 *Gap & Force Field Analysis* and 2-1 *Strategy* for guidance)

2.2.2 Requirements

Identify the conditions or capabilities that must be met or possessed by the outputs and / or deliverables of the project.

2.2.3 Boundaries

This is where you refine the scope of the Content areas for the change as depicted in the *Change Management Framework*. Make sure to include activities under “Out of Scope” to reduce ambiguity.

While the table provides a summary view of the project boundaries, further explanations should be provided in a narrative form – add rows as required.

2.2.4 Project Timeframes

Describe the overall timeframes for the change project, including expected start date and final project date (This can be carried forward from Step 2-1, *Strategy*). Break down the timeframe into the four strategic phases of the project: Kick-Off; Pre-Operational Alignment Operational Alignment and; Transformation.

2.2.5 Related Projects

Identify any related projects, including those completed in the past, those currently underway, and any expected to start up within the duration of this initiative. Identify which ones create dependencies for the change effort. Also identify which ones are likely to create pressures on the change effort because they may draw on the same resources or impact the same stakeholders, thus raising the level of change fatigue.

People Leadership Tips

Gather key stakeholders to build the charter. Refer to previous steps taken to ensure consistency and to identify new developments not considered in prior documentation. Solicit innovation from the team.

Post the expected outcomes for people to refer to. This will reduce the risks of developing out of scope results

Involve your Communication and Human Resources Advisors.

Listen to the identified boundaries very attentively. If a person has reason to believe an item is a boundary, it may affect the motivation of this project and the ability to successfully implement the change. Investigate the boundaries, ensure they are valid, relevant and identify the risks.

Validate organizational accountability with those responsible to ensure affected groups both accept, and commit, to their responsibilities.

Section 3: Work Breakdown Structure, Costing and Quality Management

- 3.1 Outputs and Deliverables
- ✓ In the table, identify and define the key deliverables the project must deliver in order to achieve the stated objectives (Outputs).
 - ✓ At the end of the table, include internal project deliverables required in the Project Management Process for review and approval (e.g. project transition plan, communication plan, lessons learned etc.). Number them differently so as to distinguish them from the formal Project Outputs and deliverables identified in the Step2-1, *Strategy*.

Leadership Tips

- Set realistic timeframes and plan expected delays.
- Use techniques for influence without authority.
- Look for areas to reward good work.
- Look for ways to identify quick wins.

- ✓ The deliverables section can be used to build the top levels of a project’s Work Breakdown Structure, which divides the big deliverables for a project into smaller, more manageable parts.

3.2 Activities

For each Output (Table 4, column A), and set of Deliverables (column B in Table 4), provide a list of the major activities required to successfully deliver on these. These should be broken down into the strategy’s four phases: Kick-Off; Pre-Operational Alignment; Operational Alignment; and Transformation. It is recommended that activities be numbered corresponding with the Outputs as in: “A 1.1” for output 1.1.

- 3.2.1 Milestones
- Identify the significant points or events in the change project (phases, stages, decision gates, approval of a deliverable, etc.). This can also represent a high-level project schedule. Your Quick Wins, Pre-Operational Alignment, Operational Alignment and Transformation Strategy in your Step 2-1, *Strategy* should be consulted here for assistance and consistency.

- 3.2.2 Dependencies
- ✓ This is where you list dependencies for the change project such as:
 - A predecessor/successor relationship exists with another project (MOU, partnerships, etc.);
 - A related project expects a deliverable from your project;
 - Your project expects a deliverable from a related project; or
 - Your project delivers a product, service or result that will (or needs to) be released with another new change initiative.

3.3 Inputs: Resource Estimates and Sources of Funding

3.3.1 Cost Estimate

- ✓ This is where you record a summary of cost estimates for all of the resources (human, material and financial) required to produce the deliverables for each output, and meet the objectives established for the project.
 - ✓ Table 7 provides an example for capturing costs. It should be adapted so that each Deliverable has an associated cost breakdown. This may entail the need to modify the template to ensure that all Deliverables are listed for each strategic phase (Kick-Off, Pre-Operational Alignment, Operational Alignment and Transformation).
 - ✓ For inputs, and to make sure the full project scope is covered, refer to your Class D estimates in your Step 1-2 Vision and any items listed in the initial Impact Analysis (Step 1-3) and/or Change Management Strategy (Step 2-1). Don't forget to include one-time as well as ongoing costs. For example: the estimated cost to sustain the product(s)/service(s) of the project should be provided. Modify the table as required.
- ✓ Any related business case for the project should contain cost estimates that can be used as the basis for this summary.

Leadership Tips

- Involve your Financial Advisor.
- Make sure a contingency is factored in for unforeseen expenses.

3.3.2 Source of Funding

- ✓ State the various sources of funding that will be used to support the project. It should be clear to the project sponsor and the project manager where the funds come from and the level of resources committed to this project.

3.4 Risks

- ✓ This initial risk assessment conducted in Step 2-1, *Strategy*, does not replace the full risk assessment conducted during the planning phase and documented within the project plan. Risks associated with Outcomes and Outputs will have been completed for the Outcomes and Outputs as part of Step 2-1, *Strategy*.
- ✓ In Table 8, identify and describe the key risks involved in the project as they relate to conducting the activities or obtaining / using the inputs (resources).
- ✓ For each risk, also list both the level of impact and the degree of probability (high, medium, low). This will help to determine the level of management attention required.

Leadership Tips

- Do not underestimate the risks associated with underfunding and under-resourcing. Studies have found this to be one of the biggest reasons for failed change efforts.
- Also, be mindful of the risks associated with communications breakdown between all stakeholders during the "heat" of implementation. Plan for frequent and closely-spaced face-to-face meetings.

- ✓ Identify the possible mitigation actions needed during the project to lessen the impact or lower the probability of the risk involved. Assign the person or team responsible for resolution.
- ✓ Risk can take place on various levels of your initiative, such as in your project plan, quality of deliverables, conduct of activities or stakeholder uptake.

3.5 Assumptions

- ✓ Carry forward Assumptions from your Step 2-1 Strategy, but expand on them to include those that could materialize at the level of inputs, activities, deliverables and outputs..
- ✓ State all factors that are, for planning purposes, considered to be true, real or certain but without proof. These assumptions will be validated during the work planning process, and during implementation. If any are inaccurate, inconsistent, or incomplete, they will result in project risks and should be managed as such. Add rows as required.
- ✓ Use Table 9 to provide a list of the items that cannot be proven or demonstrated when this Project Charter is prepared, but they are taken into account to stabilize the project approach or planning.

3.6 Constraints

- ✓ Identify the specific constraints or restrictions that limit or place conditions on the project, especially those associated with the project scope (e.g. a hard deadline, a predetermined budget, a set milestone, contract provisions, privacy or security considerations, etc.). It will help to categorize the constraints if there are several.
- ✓ Use Table 10 to provide a list of the conditional factors the project must operate or fit within. Add rows as required.

3.8 Quality Assurance and Control

3.8.1 Quality Assurance

- ✓ Specify, or reference, the quality assurance standards for deliverables produced within the framework of the change initiative. These may be developed internally or borrowed from external sources such as the National Quality Institute (NQI), the International Standards Organisation (ISO), APQC, Information Technology Information Library (ITIL) or others relevant to the content areas for the change.
- ✓ When a particular criterion is composed of several characteristics, specify what is the threshold of acceptability for a deliverable, i.e.: it must meet three of five characteristics to qualify as “acceptable”.
- ✓ Specify the plans for assuring the transformation initiative fulfills its commitments and generates the desired Outcome as indicated in the *Vision* (Step 1-2) and *Strategy* (Step 2-1) KPIs and Information sources. Also specify any supporting plans and standards, procedures or guidelines to which the process or the product must adhere. These plans may include steps for obtaining formal accreditation and / or certification of the new work environment with any of the organizations mentioned above.

- ✓ As applicable, specify the quality assurance procedures to be used, such as the standards of acceptance, analysis, inspection, review, audit, and approval. Describe the relationship between the quality assurance, verification and validation, review, audit, Sponsor, management, system engineering, and assessment processes.
- ✓ Indicate the stakeholder(s) responsible for approving each deliverable.

3.8.2 **Quality Control**

- ✓ Specify the processes to be used to measure and control the quality of the work and the resulting work products. Specify the use of quality control processes such as quality assurance of conformance to work processes, verification and validation, joint reviews, audits and process assessment. In the case of, for example, client satisfaction measurements, be sure to review departmental and GoC guidelines for gathering information, when using surveys, focus groups, etc., for measurement. Make sure that the Public Opinion Research team is consulted on your plans.

Section 4: Change Project Structure

4.1 Project Organization

4.1.1 Core Transformation Team Structure

- ✓ Use an organizational chart to show the structure of the Core Transformation Team as well as the relationships between team members.
- ✓ You should also show how the team interacts with, or relates to, the governance structure for the project.
- ✓ For small projects, the names of the team members can be included; for larger projects, the organizational chart should name the groups or entities that form the Transformation & project teams.

4.1.2 Roles & Responsibilities
R.A.C.I.E. Diagram

- ✓ Define the roles and responsibilities assigned to each member of the project team as well as any stakeholders and working groups that have a significant influence on the project.
- ✓ In the left hand column, indicate the deliverable, activity or project management function to be performed. In the top row, indicate the names of business units or individuals involved.

Section 4 and 5: People Leadership Tips

- Inspire people to be excited about the change.
- Use techniques for influence without authority.
- Build motivation with your enthusiasm and confidence.
- Help people understand why this project is so important, through discussions, collaborative planning and frequent reinforcement of goals and accomplishments.
- Communicate effectively.

- ✓ In the body of the table, indicate whether a business unit is Responsible, Accountable, Consulted, Informed or Executing on the deliverable, activity or project management. There should only be one unit Accountable. It is also advisable to have only one unit Responsible but it is possible that the Office of Primary Interest (OPI) may need support from another unit. In cases such as these use a capital “R” to depict the OPI and a small case “r” to depict the supporting role of the other unit.
- ✓ Include all committees and entities identified in the sections, *4.2 Project Governance*.

4.2 Governance

- ✓ This is where you show how your project is governed and the corporate governance bodies that may be involved in the approval process. In other words, it shows how decisions are made, and who makes which decisions.
- ✓ A organizational chart or flow chart diagram could be used to depict the realtionships between bodies.
- ✓ If committees are shown in the diagram, include a description of these committees’ Terms of Reference.

4.3 Facilities and Resources

- ✓ Describe, if applicable, the project's requirements for facilities and resources, such as office space, accessibility, special facilities, computer equipment, office equipment, and support tools.
- ✓ Identify the person or team responsible for obtaining the specific items needed to support the project’s development environment.

Section 5: Change Project Close-Out Report

The word closure has the connotation of ending and conclusion; in a project management sense, closure also represents the tying up of any remaining loose ends.

The Project Closure Process is performed to formally terminate a project and to transfer its completed products and deliverables to operations, while ensuring minimal disruption in business services.

In the Change Management Process, this report is prepared at Step 4-2. In the Project Charter, ensure that you identify who will prepare the Project Close-out Report, when and how.

The Project Closure Process is also required to close a cancelled project.

Leadership Tips

- Ensure that hand-offs are clearly identified and responsibilities for continuous improvement are clear to all involved.
- Planning a workshop to develop the Project Close-out Report is a best practice that helps ensure all stakeholders have identified loose ends and hand-offs.

Section 6: Application of Past Lessons Learned

This is where you identify and describe the lessons considered from past initiatives and the new ones gathered during this change project

Section 7: Project References

7.1 Project References

- ✓ This is where you describe and identify the location of key documents that define and establish the project such as any business cases, change plans, the departmental investment plan, departmental long-term strategy, outcome management plan, outcome map, Speech From The Throne, Cabinet directions, horizontal government initiatives, etc.

7.2 Authorization

- ✓ This section contains the signature of key stakeholders, which shows they agree with their role and the description of the project as it appears in the Project Charter.

This Change Project Charter formally authorizes the existence of the project Initiative Name, and provides the project manager with the authority to apply organizational resources to the project activities described herein. If there is a change in the project scope, the Charter will be updated and submitted for re-approval. Training and Learning.

You may discover the need for a training element for your initiative. Be sure to consult departmental guidelines prior to proceeding with your learning or training development.

As every change effort and its associated learning are different, it is highly recommended that you contact your learning professional prior to development of training. This can help you identify:

Any existing training.

Appropriate departmental policies, guidelines and procedures.

Additional professional resources.

The need to institute Ongoing Organizational Learning (such as Sigma) addressed in Step 4-1.

A helpful source of information is PWGSCs Learning and Training Web page within Human Resources Branch: <http://source.pwgsc.gc.ca/rh-hr/text/emp/fa-lt-e.html>

Step 2-2: Change Work Plan Users Guide

Purpose:

To identify and document all deliverables and subdivide activities for implementation of the transformation. This will provide a detailed view, with start and end date, of all transformation activities, their required resources and who is assigned each task.

Introduction:

Identifying needs and deliverables within a project requires the perspective of all contributors – including different functions and support groups. Understanding and identifying the organizational accountabilities of different activities will help to better understand the required stakeholder interactions in delivering on transformation activities.

The Work Plan supports the Charter. The purpose of the Charter is to obtain formal approval on the general parameters and structure of the proposed change project, including:

- the change project objectives and outcomes, benefits, scope and risks;
- the change project deliverables, schedule, milestones, and estimated costs; and
- the change project organization, governance structure and stakeholders.

Tab 1: Organization accountability:

Identifying needs and deliverables within project requires the perspective of all contributors – including different functions & support groups. Understanding & identifying the organizational accountabilities of different activities will help to better understand the required stakeholder interactions in delivering on transformation activities.

Tab 1: Organization accountability Leadership Tips

Gather key stakeholders to conduct a brainstorming session. Use a large sheet of “brown paper” and stick to the wall for capturing the information; people will be able to participate in completing your diagram. Use “sticky notes” to fill in boxes; people will be able to refine / change their statements as they go along, if need be. You may want to involve HR and Communications during this exercise.

Use the Departmental Directory Service to view the organization.
<http://directory.pwgsc.gc.ca/DDS/Application/Controller.aspx>

Be open that you may need to come back to this document when completing the Tab 2: Work Plan in the event that new activities are identified.

Tab 2: Work plan

Documenting activities and deliverables is essential to project monitoring and successful implementation. As you record the required tasks, you will be able to evaluate the timeline for implementation, dependences, risks and required resources to meet expected outcomes.

The project Work Plan also supports communication and tasks related to the People/Process/Content aspects of the CM Process. Transformation activities may include (but are not limited to) such things as:

- Change Management Strategy:
- Engagement
- Governance
- Staffing
- Communication
- Learning Strategy
- Standard Operating Procedures (processes)
- Tools
- Financials
- Quality
- Facilities & Resources
- Rewards & Recognition
- Lessons Learned
- Change Success

The Work Plan;

- Column B: Major activities and deliverables for implementation.
- Column C: Resource names assigned to complete deliverables
- Column D: Completion date for deliverables
- Column E and over: weekly calendar and status criteria for each deliverable; S= scheduled, I= in progress, C= completed, CA= cancelled

Tab 2: Work Plan Leadership Tips

Determine roles and responsibilities for each person assigned deliverables. Take their strengths, existing partnerships and career development aspirations into consideration when assigning deliverables.

Involve participants when establishing a schedule with timelines and completion dates by activity.

Establish a monitoring program through regular meetings and status updates. Ensure consistent reporting style to help keep things on track.

Consistent monitoring of all deliverables is required throughout the implementation phase. If you foresee risks, impacts to not meeting a timeline, take necessary remedial action to limit the impact to your project time-frame.

Public Works and Government Services Canada Change Management Process Planning phase



Step 3: Implement (Change Project Charter & Work Plan)

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.



Step 3 Users Guide

- Carry forward your Step 2-2 Change Charter and Step 2-2 Work Plan for implementation.
- To ensure your initiative is well managed and evolving effectively, be sure to regularly refer to your Oversight Tools in the first section of this Toolkit.

These are:

- Change Sponsor Checklist
- Process Overview
- CM Process Initiative Oversight Manual
- Why is Change Management Important & Change Curve

People Leadership Tips

- Instruct all managers and supervisors to meet with each of their employees, face-to-face, to discuss impact of changes on their job. Have managers confirm and report for every employee and identify all employees' feedback.
- Follow up with all managers and supervisors to make sure they are communicating with all employees face-to-face.
- Respond immediately to manager and supervisor inquiries on behalf of their employees.
- Maintain effective working relationships and partnerships
- Monitor regularly and communicate often.
- Ensure two-way communications mechanisms are in place and monitor all feedback.
- Anticipate "ups" & "downs" of change implementation dynamics & adapt
- Understand and address resistance
- Stay in control & build in check points
- Celebrate achievements
- Stay involved all the way through, be visible to all staff
- Recognize efforts & results
- Ensure accountability

Change Management Project “X”

Monthly Status Report

Notes on Using this Template

Document Purpose

- The Monthly Status Report is designed to provide senior executive teams with regular change initiative updates.
- Please note that this proposed report is derived from the monthly reports currently produced by Real Property Branch and Acquisitions Branch for the Deputy Minister. As with all PWGSC CM tools, this template is considered evergreen.

Completing this template:

1. Previous briefing:

[Paste cover page of previous briefings and enter a brief description of the agenda]

2. Transformation Framework

This slide provides an overview of the transformation.

- Transformation content areas (topics being updated) are represented by the coloured arrows in the middle of the slide.
[Insert each of your transformation content areas title onto the arrows—these colours will represent the indicated content area from this point forward]
- As-Is State
[Insert a brief description of the initial state for each of the content areas identified by the coloured arrows]
- To-Be State
[Insert a brief description of the planned end state for each of the content areas identified by the colored arrows.]

3. Core Principles

[Insert the aim of the transformation initiative. This should be the carried forward from the vision overview in step 1.2]

4. Initiative Drivers

[Insert Problem Definition carried forward from step 1.1]

5. Today’s Agenda

[List the change elements that will be discussed in the report—colours as per number 2: Transformation Framework]

6. Agenda Items

There should be a slide for each agenda item listed in 5 above (Today’s agenda).
[Insert title and appropriate colour coded arrow. Inserted in the body of the slide will be your update for that particular element]

7. Key review point schedule

This slide outlines the schedule for change element updates.
[Insert the titles for each of the change elements. The coloured cells indicate the schedule for updating each of the change elements—fill the cells as appropriate]

8. Annex A: Status update by Content Areas

This section provides an update on each of the change elements.
Slide 15 provides the status colour coding to be used for each of the content areas activities.

9. Update by change process element

There should be a slide for each agenda item listed in 2. Transformation framework

- [Insert title and appropriate colour coded arrow in the top left hand corner as illustrated]*
- [In the left column insert each of the sub-elements associated with the slides change element]*
- [In the second column insert a short descriptor of this element]*
- [In the third column list the activities associated with this element and their status]*
- [In the fourth column insert the OPI]*
- [The final columns are colour coded as per slide 15. The first 3 columns represent the element stage while the second 2 columns represent the status the previous month and this month respectively]*

Public Works and Government Services Canada Change Management Process

3.0 Tools Implementation





<Initiative Name>

Forward Strategy

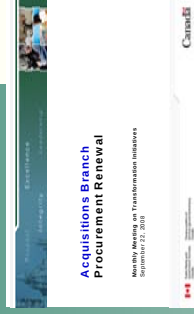
<Month/YY> Status

Presentation to the Deputy Minister

Previous Briefings

<date>

*Insert front of appropriate deck
and indicate Audience*



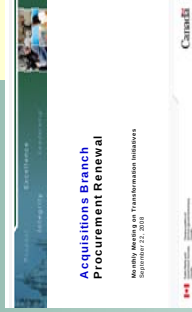
<date>

*Insert front of appropriate deck
right and indicate Audience*



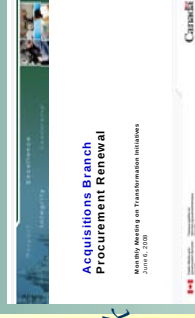
<date>

*Insert front of appropriate deck to left
and indicate Audience*



<date>

*Insert front of appropriate deck
right and indicate Audience*



< Initiative Name > framework



< Transformation Name> Core Principles

The aim of is to...



Public Works and
Government Services
Canada

Travaux publics et
Services gouvernementaux
Canada

< Transformation Name>

Initiative Drivers

le. Speech form the throne



Today's Agenda...

1 <Change element>

2 <Change element>

3 <Change element>

4 Change element

5 Change element

6 Change element

Change Element

- ...< insert update topic 1



<change element 1



- ...< insert update

Change element 1

- ...< insert update



Change element 3

- ...< insert update



Change element



- ...< insert update





- ...< insert update



Key Review Points Schedule – <initiative>

[illegible]



Annex A –Change Elements, Action Plans & Reporting

Status Update

Presentation to the Deputy Minister



Public Works and
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Canada

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Services gouvernementaux
Canada

Canada

Colour Key

COLOUR	STATUS DESCRIPTION
	On target
	Behind, under control
	Behind, potential (or actual) critical path impact
	Completed
	On hold / cancelled
	Not yet started / planning/implementing

Update by change process element

Move Business Forward		OPI	Not yet started				
<insert change element>			Planning	Implementing	Status last month	Status this month	
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					

Update by process element

Move Business Forward		OPI	Not yet started				
<insert change element>			Planning	Implementing	Status last month	Status this month	
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					

Update by process element

<insert change element>

Move Business Forward			OPI					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •	<insert details about what is taking place and Status: >					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •	<insert details about what is taking place and Status: >					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •	<insert details about what is taking place and Status: >					

Not yet started
Planning
Implementing
Status last month
Status this month

Update by process element

Move Business Forward		OPI	Status				
<insert change element>			Not yet started	Planning	Implementing	Status last month	Status this month
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >					

Update by process element

Move Business Forward		OPI	Status				
<insert change element>	<insert short description>	• <insert details about what is taking place and Status: > • •	Not yet started	Planning	Implementing	Status last month	Status this month
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					
<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > • •					

20

Change process element

Move Business Forward		OPI	Not yet started Planning Implementing Status last month Status this month				
<insert change element>	<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: > •				
	<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >				
	<insert sub element>	<insert short description>	• <insert details about what is taking place and Status: >				

Public Works and Government Services Canada Change Management Process



Step 4.1: Anchor Changes and Promoting Organizational Learning

This template is provided and maintained by the **Departmental Change Process Office**, whose mandate is to provide departmental leadership for designing, developing and implementing corporate change management strategies and tools to support the organizational transformation of PWGSC.

Anchor Change and Promote Organizational Learning

Success builds on success. Motivation builds on recognition. People work for people who recognize them for their unique contribution.

As leaders, it is important to create loyalty towards the desired change that we ourselves model. It is important to anchor behaviors that support the change by taking the time for simple “thank you” opportunities. One way is to formally build recognition, reward and appreciation into your change plan. Point to role models of change and communicate their success and effort throughout the initiative. In successful change initiatives, it is crucial that we recognize and reward the people and behaviors that are necessary to anchor change.

Building public celebrations into your plan, where key employees and teams are recognized for their hard work, also provides a backdrop for communicating key messages and desired behaviors. From the organizing team to the end user, there are many opportunities to recognize effort, attitude and adaptability. Having an employee stakeholder embrace your change effort is as important as having dedicated teams carry out the change management agenda.

Both quietly and publically reward those who innovate and adapt to the new operating reality. This can be as simple as a few weekly “cards of thanks” given to deserving employees, or using PWGSC Instant Awards.

PWGSCs Awards and Recognition Program provides resources on how to recognize employees, while using existing departmental guidelines and resources: <http://source.pwgsc.gc.ca/rh-hr/text/emp/rcnssnc-awrds-e.html>

PWGSC’s Awards and Recognition Program (A&R)

Did someone say "recognition"?

It's common knowledge that in order to keep the troops healthy, loyal and dynamic, an employer must not only take note of good work or a good attitude but also express appreciation. Indeed, everyone has seen how an expression of recognition can affect an individual. We just have to think about how self-esteem is reinforced and ties with the person who made the gesture are strengthened, or how the people who have been recognized are willing to show more initiative or outdo themselves. In the workplace, this can also translate into renewed energy, a desire to innovate, a stronger sense of belonging to one's work team, and even improved health.

Whether the goal is to acknowledge professionalism, a significant contribution to a project, or years of service in the public service, recognition always has its place. It can range from a simple "thank you" or compliment to a major reward. The purpose of the Recognition Program is to support the formal and informal recognition initiatives within the Department or the Public Service. The Program is managed by the National Office of the Recognition Program, which coordinates the following:

- instantaneous recognition activities (requests and awards);
- activities recognizing career milestones and retirements;
- dissemination of information to PWGSC employees from other recognition organizations;
- procedure for granting PWGSC's Awards of Excellence;
- cost-saving and innovation suggestions made to the Deputy Minister.

Should you have any questions on the justification, process or nature of a gesture of recognition, feel free to contact the National Office of the Recognition Program or your organization's coordinators.

Awards Categories

- PWGSC Awards of Excellence
- Instant Recognition
- Career Milestone
- Branch and Regional Awards
- Awards open to Public Servants

Awards Resources and Tools

- Awards Calendar
- Guiding Principles
- Presentation Tips
- Useful Definitions

Organizational Learning

The promotion of ongoing learning will assist your organization in fully embedding your initiative for the long-term. (For example, PWGSCs Sigma program.)

This was addressed in Step 2-2, as you may have discovered the need for a training element for your initiative.

Be sure to consult departmental guidelines prior to proceeding with your learning or training development.

It is highly recommended that you contact your learning professional prior to development of training. This can help you identify:

- Any existing training
- Appropriate departmental policies, guidelines and procedures
- Additional professional resources
- The need to institute Ongoing Organizational Learning (such as Sigma)

A helpful source of information is PWGSCs Learning and Training Web page within Human Resources Branch: <http://source.pwgsc.gc.ca/rh-hr/text/emp/fa-lt-e.html>

Public Works and Government Services Canada Change Management Process

4.1 Tools

Anchoring Change and Promoting Org'l Learning

Awards and Recognition

<http://source.pwgsc.gc.ca/rh-hr/text/emp/rcnnssnc-awrds-e.html>

Learning Programs and Activities

<http://source.pwgsc.gc.ca/intranet/s1-ap-ld-eng.html>



Public Works and Government Services Canada Close-out Report for Large Scale Initiatives

(Including lessons learned)

Part of the PWGSC Change Management Toolkit



When best practices are not part of a wider scale effort to improve strategy execution business performance then deteriorates into strategy blind efforts to manage better
Unknown author

Change Initiative Name:

Start date:

Completion date:

Project Sponsor:

Project Leader:

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Prepared By:**Table 1: Document Owners**

Document Owner(s)	Project/Organization Role

Project Closeout Report Version Control:**Table 2: Version Control**

Version	Date	Author	Change Description

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Executive Summary

Overview

Highlights

Overall Results

Table 3: Overall Results

Category	Measure/KPI	Achieved Y or N
Expected Results achieved		☒ ☒
Stakeholder’s satisfied		
Rate of Utilization Achieved ¹		
Rate of Uptake ²		
Rate of proficiency ³		
Budget		
Schedule		

Recommendation

¹ The rate of utilization is the ratio of people using the new features of the To-Be work environment.

² This is the percentage of change in the ratio of people who are adopting new behaviors as required by the To-Be work environment.

³ This is defined as the percentage of people complying with the new guidelines surrounding the new work environment of the To-Be.

1.0 Change Project Overview

1.1 Expected Outcomes:

1.2 Post Initiative Activities

1.3 Closure Synopsis

1.4 Close-out activities

1.5 Outstanding Issues

2.0 Detailed Results

Table 4: Results Assessment

Initiative Element	Results	Factors that contributed to results	Successful ☒ ☐
<i>Expected Outcomes/Objectives/Intended benefits</i>			
1.			☒ ☐
2.			☒ ☐
3.			☒ ☐
4.			☒ ☐
<i>Initiative Deliverables/Milestones</i>			
1.			☒ ☐
2.			☒ ☐
3.			☒ ☐
<i>Stakeholder Client Criteria</i>			
1. Quality of Relations			☒ ☐
2. Acceptance of Deliverables			☒ ☐
3.			☒ ☐
<i>Costs</i>			☒ ☐
<i>Schedule</i>			☒ ☐
<i>Scope</i>			☒ ☐
<i>CM Management Process</i>			☒ ☐
<i>CM Leadership</i>			☒ ☐
<i>Other</i>			☒ ☐
<i>Overall Success</i>			

3.0 Recommendation

3.1 Short Term

3.2 Long Term

3.3 Action Plan

Table 5: Integrating Best Practices into the Organization

Action	Performance Indicator	OPI	Due Date	Status C/I/D ⁴
Actions to be taken	Performance Indicator that will be used to assess results of implementing			

⁴ C=complete, I=In-progress, D=delay

4.0 Review and Approval

4.1 Approved by:

_____ Executive Sponsor	_____ Date
_____ Initiative Leader	_____ Date
_____ Name/Position	_____ Date

CHANGE MANAGEMENT MEASURING PROJECT SUCCESS

PROJECT DETAILS

Project Name:	Project #
Project Start Date:	Project End Date:
Project Manager:	CMP:
Scope:	

CHANGE MANAGEMENT CRITERIA

Project Criteria	Results	Successful *	
		Y	N
1. People		☐	☐
2. Process		☐	☐
3. Content		☐	☐
4.		☐	☐
5.		☐	☐
Client Facing Criteria			
1. Rate of utilization		☐	☐
2. Rate of growth of use		☐	☐
3. Proficiency		☐	☐
4.		☐	☐
5.		☐	☐

* Discussion between CMP and Project Manager

OVERVIEW – Lessons Learned

Table 1: Summary of Lessons Learned – Project Team Perspective

Area	PROJECT TEAMS' PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
Project Sponsorship	• x	• x
Communications	• x	• x
Training	• x	• x
Acceptance Management	• x	• x
Change Team/Agent Network	• x	• x
Interaction Between CM and Project Team	• x	• x
Interaction Between Deployed & Core CM <i>[this section only to be completed by the core and deployed CM practitioners]</i>	• x	• x

Table 2: Summary of Lessons Learned - Audience Perspective

Area	IMPACTED AUDIENCES PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
Project Sponsorship and Governance	• x	• x
Engagement and Communications	• x	• x
Training	• x	• x
Implementation	•	•
Roles and responsibilities were clearly understood	•	•
Acceptance -- Change curve	•	•

1.0 Detailed Perspectives

Project Team Perspective

Area	PROJECT TEAMS' PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
Project Sponsorship	- x - x - x	x
	Improvement Actions	x
Initiative Governance (including decision making and approval)	- x - x	x
	Improvement Actions x	
Engagement/Communications Management	x	x
	Improvement Actions x	
Resource Management	x	x
	Improvement Actions x	
Issues Risk/Management	x	x
	Improvement Actions x	
Quality Management	x	x
	x	x

Area	PROJECT TEAMS' PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
	Improvement Actions x	
Expectations Management	x	x
	Improvement Actions x	
Training	- x - x - x	x
	Improvement Actions x	
Acceptance Management	- x - x - x	x
Change Team/Agent Network	- x - x - x	x
	Improvement Actions x	
Interaction Between CM practitioners and Project Team	x	x
	Improvement Actions x	

Area	PROJECT TEAMS' PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
Interaction Between Project Team CM Practitioners and CPO	x	x
	Improvement Actions x	
Schedule	- x - x	- x - x - x
	Improvement Actions x	
Workload	x	- x - x
	Improvement Actions x	
Dependencies	x	- x - x
	Improvement Actions x	
Scope Management	x	- x - x
	Improvement Actions x	

Area	PROJECT TEAMS' PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
CM Process Flow	x	- x - x
	Improvement Actions x	

2.0 Impacted Audience Perspective

Area	IMPACTED AUDIENCE PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
Implementation	x	
	Improvement Actions	
Project Sponsorship and Governance	x	x
	Improvement Actions	
Engagement and Communications	x	x
	Improvement Actions	
Issues Management and Resolution	x	x
	Improvement Actions	
Roles and responsibilities were clearly understood		x
	Improvement Actions	
Training	x	
	Improvement Actions	
Deliverables	x	x
	x	x
Dependencies	Improvement Actions	
	x	x
	x	x



Area	IMPACTED AUDIENCE PERSPECTIVE	
	What Worked Well	Opportunities for Improvement
	Improvement Actions ▪	
Change curve -- Acceptance/flow	▪	▪ x ▪ x
	Improvement Actions ▪ x	
Project flow	▪ x	X x
	Improvement Actions ▪ x	

Public Works and Government Services Canada Change Management Process

4.2 Users Guide



Step 4-2
What Worked Well & Lessons Learned
Users Guide
Change Management Project “X”
What Worked Well & Lessons Learned

Notes on using this template:

This template is only a guide, use your judgment based on your specific project as to whether it needs to be change

As much as possible, hold face-to-face sessions to gather this information as the data may be richer

After this data is gathered, it should be shared with the core CM Team so lessons learned can be shared with other CM practitioners and incorporated into future projects.

Data gathering approach for lessons learned:

1. Project Team

[Enter a brief description of who you gathered the data from and how you gathered the data – e.g., through a team brainstorming session, individual emails, survey, etc.]

2. Impacted Audiences

[Enter a brief description of who you gathered the data from and how you gathered the data – e.g., through focus groups, emails, survey, Change Agents, etc.]