Case for Change Template

The *Case for Change Template* is a tool that provides the Change Manager with one place to capture all the reasons a change needs to occur. Information to complete this template will be pulled from existing documents: Scope of Work, Project Charter, and relevant background information provided by the Sponsor.
Information on this template will be used to craft communications for each relevant audience impacted by the change.

To reveal the reasons for the change answer the following questions.

Background What current problems need to be solved? How did we get here?	
Current State Where are we now? Why is what we're doing currently not working? What opportunities are being missed?	
Risks of Not Taking Action What future problems are anticipated if no action is taken? What is the impact to the organization?	
Benefits of Taking Action What are the benefits of making the change? What is the impact to the organization?	

Audience:

- Tailor the Case for Change message to the audience
- Narrow focus to 3-5 specific (most compelling) things that will resonate with that audience
  - Sponsor
  - Process Owner(s)
  - Sub-process Owner(s)
  - Directors/Managers of impacted employees
  - Impacted Employees
  - Customers

Compelling Why Interview Template

The Compelling Why Template is a tool that provides the Change Manager with an outline of reasons why change is necessary. The purpose of this template is to showcase your team with the logic, emotion, visual and story behind the change. This can include the facts, figures, principals, steps, progress, context and end result.

To discover the Sponsor's vision for the change discuss and answer the following questions.

Organizational Goal What do we hope to achieve?	
Organizational Benefits How will things be better? What steps must be taken?	
Logic Where are we now?	
Impact to Stakeholders Expected benefits?	
Logic Where are we now? **Impact to Stakeholders** Potential consequences or impacts?	

Audience:

Tailor the Compelling Vision message to the audience

Put yourself in the shoes of your stakeholders – what will be inspiring to them?

- ◻ Sponsor
- ◻ Process Owner(s)
- ◻ Sub-process Owner(s)
- ◻ Directors/Managers of impacted employees
- ◻ Impacted Employees
- ◻ Customers

Sponsor Expectation Tool

Effective project sponsorship is essential to the success of a change initiative. The executive sponsor is accountable for achieving the initiative's expected realized benefits. The project sponsor serves as the primary link between the project work team and executive leadership. This involves acquiring the necessary organizational support and facilitating strategic decision making to ensure a successful project outcome.

Throughout the lifecycle of the change initiative (pre-implementation, implementation, post-implementation) an effective sponsor must actively engage in the following activities:

The below outlines the responsibilities of an effective sponsorship throughout the lifecycle of a change initiative:

SPONSOR RESPONSIBILITIES

Pre-Implementation	Implementation	Post-Implementation
☐ Ensure alignment with strategic goals ☐ Assess organizational readiness based on existing commitments ☐ Create and lead Steering Committee (if needed) ☐ Contribute to Project Charter & provide sign-off for go/no-go decision ☐ Communicate expected project benefits to impacted stakeholders ☐ Delegate decision making authority as appropriate ☐ Champion project pre-implementation kick-off with a personal commitment message ☐ Serve as point person for escalated issues ☐ Approve Project Plan and secure project resources ☐ Attend regular status updates and provide feedback to prevent scope creep and course correct if needed	☐ Delegate decision making authority as appropriate if iterations are necessary ☐ Kick-off project implementation launch by publicly acknowledging work done for the change initiative ☐ Receive regular status updates and provide feedback ☐ Spearhead ongoing executive level communications and Steering Committee updates ☐ Celebrate key milestones with Project Team ☐ Communicate key milestones to impacted stakeholders	☐ Broadly communicate and celebrate realized benefits and lessons learned ☐ Attend lessons learned session and provide official sign-off for project closure ☐ Sustain realized benefits by ensuring people and processes are in place for long term stability

Stakeholder Analysis and Engagement Plan Overview

What is a Stakeholder?
A stakeholder is a person who has a vested interest in something and who is impacted by and cares about how it turns out. Refer to your COPIS, created during the process mapping phase of the project, as it provides a starting list of stakeholders.

Potential Stakeholders:

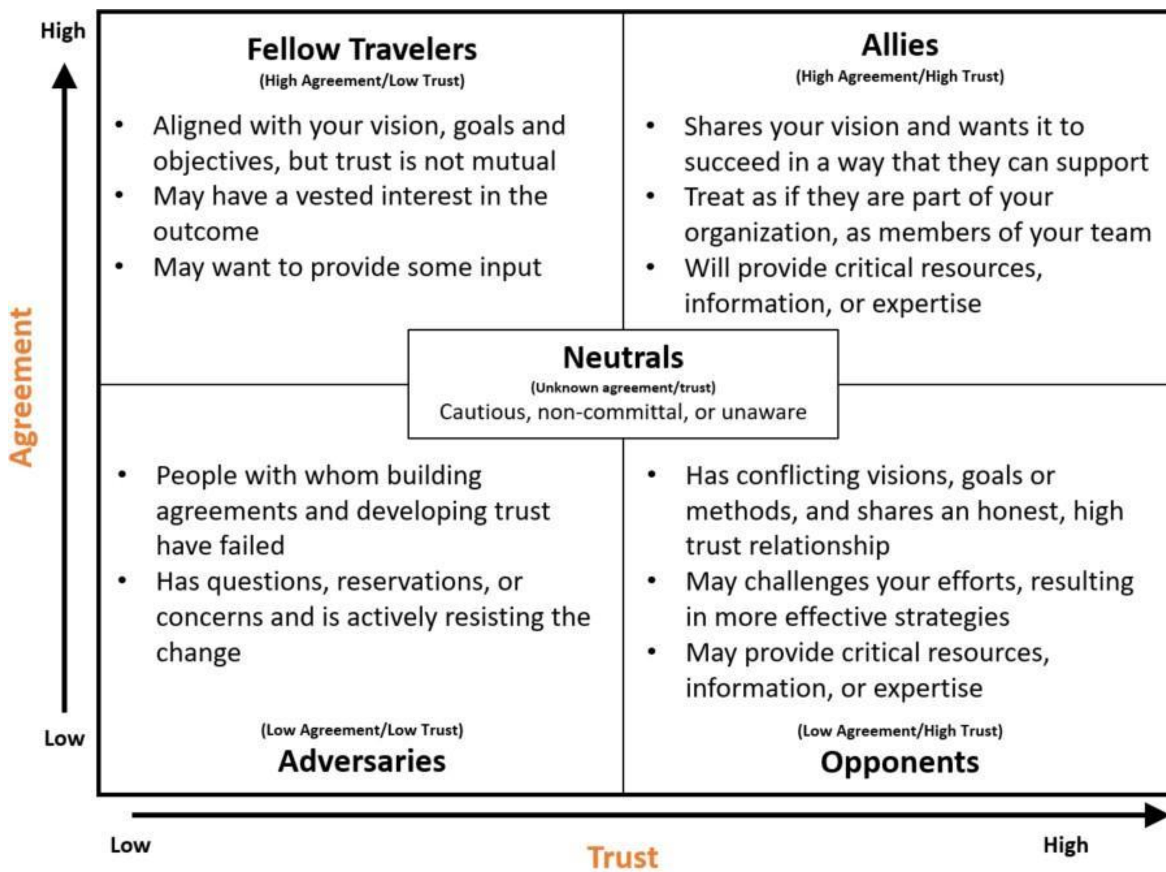
People who can exert influence or pressure on your change

People responsible for creating your change

People who can choose to use or not use the results of your change

People who will ultimately benefit from the work of your change

Stakeholders Types:



Block's Stakeholder Strategies

Identify each of your stakeholders into their appropriate types:

List Your Allies
List Your Opponents
List Your Fellow Travelers
List Your Neutrals
List Your Adversaries

Strategy for engaging each Stakeholder Type:
Once your stakeholders are identified into the appropriate type, it is a best practice to prioritize stakeholder engagement in the following order:

1) Allies,
2) Opponents
3) Fellow Travelers
4) Neutrals
5) Adversaries

This prioritization strategy ensures the highest level of ongoing support for the change effort.

Stakeholder Approaches:
Listed below are various approaches for each Stakeholder Type to either maintain or shift each stakeholders' level of commitment.

Allies (High Agreement/High Trust)

<u>An approach for Maintaining Agreement and Trust</u>

Goal: Affirm agreement

1. Reaffirm the quality of the relationship
2. Acknowledge any doubts and vulnerability you have with respect to your vision and project
3. Discuss their issues or concerns with your project
4. Ask them for advice and support
5. Achieve understanding on their role and responsibilities
6. Confirm their commitment to support your project

Fellow Travelers (High Agreement/Low Trust)

<u>An approach for Maintaining Agreement and Increasing Trust</u>

Goal: Build trust

1. Reaffirm agreement by reiterating the value and importance of their support of your project
2. Acknowledge any caution that exists
3. Make it clear you are not expecting them to get actively involved
4. Ask them how they would like to be updated on the project going forward

Opponents (Low Agreement/High Trust)

<u>An approach for Shifting Commitment and Maintaining Trust</u>

Goal: Build agreement

1. Reaffirm the quality of the relationship
2. Identify their particular skills and talents and how these connect to your project
3. State your position (case for change, vision for change, benefits to them)
4. State what you think their position is in a neutral way
5. Extend a personal invitation for them to get involved with your project
6. Engage in problem-solving so that you build something together
7. Confirm their commitment to support your project

Adversaries (Low Agreement/Low Trust)

An approach for Shifting Agreement and Increasing Trust

Goal: Minimize threat to your project

1. Estimate the impact on your project if this person is not on board
2. Identify individuals who can educate you about this person, their issues and concerns
3. State your position (case for change, vision for change, benefits to them)
4. Ask questions that respectfully uncover root cause of their resistance
5. State what you think their position is in a neutral way
6. Identify your own contribution to the lack of trust that exists
7. End the meeting with your plans and no demands
8. If you are going to go around them or over them, tell them your plans
9. Let go; the more you try to convert and pressure them, the more entrenched they will become in their position

Neutrals (Unknown Agreement and Unknown Trust)

An approach for Determining Agreement and Level of Trust

Goal: Educate and determine their position

1. State your position (case for change, vision for change, benefits to them)
2. Ask where they stand
3. Ask what it would take for them to support your project
4. Extend a personal invitation for them to get involved with your project

Adapted from Katherine Mitchell, University of California, Berkeley based on The Empowered Manager: Positive Political Skills at Work by Peter Block 1991

Team Communication Overview

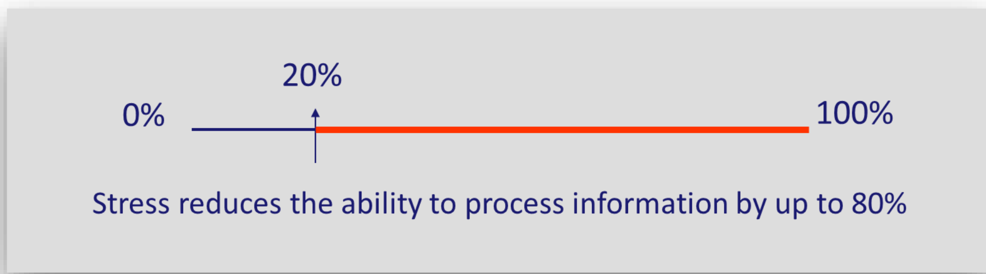
To achieve successful implementation, ongoing team communication is required. Communication must be proactively planned for and scheduled.

During times of change it is not uncommon for leaders to experience the following frustrating scenario:

> *As the manager, I feel like I have communicated clearly and frequently about the current changes, the business plan to address the changes, and the need to move forward. However, the large majority of my team seems confused about any possible changes and at least one staff member has blamed me for not giving the staff enough information.*

Leaders often wonder… Why does this happen?
We know from brain imaging research, that we can't think cognitively very well when we are emotional. The deductive reasoning area of our brain actually shrinks! When anxiety and fear are cumulative, our ability to function actually becomes impaired. This is true for us and for our employees. As supervisors, not only do we need to take steps to address our own emotions around the change, but we need to provide resources, be available to our employees, and role model self-care

The reason we communicate extensively during change is to ensure that everyone is hearing the same message, understands the new direction, and how their work and behaviors will be impacted by it. Something to keep in mind is…when people are under stress, their ability to process information is reduced by 80%.



People Under Stress …

- Have difficulty hearing, understanding and remembering information
- Understand information at four grades below their education level
- React to perceived threats rather than to reality
- Want to know you care before they care what you know

Communicating Organizational Change: Information Technology meets the Carbon-Based Employee Unit, Joseph G. Wojtecki, Jr., and Richard G. Peters, Center for Risk Communication, 2000

Change Communications Plan Overview

The *Change Communications Plan* is a tool that provides the Change Manager with a high level messaging plan for informing important stakeholders throughout the lifecycle of a change project. These communications are used to create awareness and provide key information to keep stakeholders updated appropriately.

Messaging around a change is often complex. There can be numerous stakeholders with varying interests requiring messages to be framed differently. For this reason, it is important to have the right people in the room when drafting the *Change Communications Plan* to ensure a holistic approach when determining: the audience (who), messaging (what), and communication delivery method (how).

Work Session Participants:

Change Manager

Project Manager

Project Leadership Team (Sponsor, Project Leads, Process Owners, etc.)

Work Session Format:

2-Hr Meeting (add additional meetings if needed)

- Include *all* required participants

Edit *Process Improvement Communications Plan* in real-time

- LCD Projector & Laptop
- Project *Process Improvement Communications Plan* template (see Pages 35-38)

Instructions for *Change Communications Plan Template*:

1. Using the provided template, work session participants will complete Sections 1 & 2 together to the best of their ability. Keep in mind this is a working document and additional items can be check marked throughout the working session.
2. Begin to complete Section 3 by referring to the first identified audience in Section 1 and complete the template for all messages related to that particular audience.
3. Continue to follow Step 2 until all audiences have been addressed in the Section 3's plan.
4. Once complete, the Communications Plan is managed and owned by the Change Manager and/or the Communications Leads who will ensure the execution of these messages.

Instructions for *Change Communications Brief Template*:

There are often numerous stakeholders with varying interests that require messages about the change initiative to be framed differently. The Change Manager will use the completed *Change Communications Plan* to create *Change Communications Briefs* for each determined communication.

Often in small to medium sized change initiatives, the Change Manager is expected to craft the messaging themselves. Use the *Change Communications Brief Template* as a thinking tool to outline your messages.

In the event that you are able to partner with a Communications Specialist, provide the completed *Change Communications Brief Templates* to them for reference as they prepare messaging for you.

Change Communications Plan Template

Project Title: ____

Project Description:
Combine Case for Change and Compelling Vision wording obtained from Project Charter.

SECTION 1: Determine Stakeholders

Read through the list of Stakeholders below and place a checkmark next to any that will require messaging for your project

Best Practices for Leading Change – What to Do

Provide information, what you know, what you don't, when to expect updates. – Employees need all available information to make realistic assessments and effective plans. Share what information you have when you have it: what is changing, what is not, what is known, what is unknown, when to expect updates.

Display a positive attitude – As the leader, you are in a positon of great influence. In a sense you are your team's North Star. Even if you are not yet fully onboard with the change, display to your team an attitude that is unbiased and welcoming of feedback.

Stay connected to your team – Focus on team goals, foster support, monitor functioning, and celebrate achievements.

Re-recruit people – Reiterate to each team member their value, and your desire to have them remain on the team and support the change.

Surface issues and concerns – Show empathy; help employees reframe their personal response to the change so they can effectively manage their own personal resistance

Provide more structure – Define short-term objectives, time frames, priorities, and standards to help your team regain its equilibrium

Protect quality and customer service – Service standards must remain high.

Delegate – Continue delegating work tasks while remaining mindful of each employee's emotional stage and providing them relevant support.

Empower – As appropriate, give employees more influence in day to day decisions. Determine the appropriate level of authority to assign by considering an employee's current emotional stage, level of experience, capability, and the task itself.

Raise the bar – Provide challenging assignments and coach employees to grow and develop their skills

Recognition – During change it is especially important to show appreciation and provide acknowledgement for work well done.

2-**way communication –** Be honest about what you can't say or don't know, and be open to hearing feedback.

Inform/update higher management – Provide candid feedback on the change as it relates to the work and its impact on the people. This ensures leadership has the information needed to make informed decisions

Practice the 4 Vs:
This is not a change strategy by itself, rather a piece of a larger strategy, or a tool, to use at the very moment the change goes live.

> **Visibility** – Be visible, available and interested in your employees during this time. Brief check-ins will leave employees feeling supported and valued.
>
> **Variability** – Allow for varying personal reactions (see Kubler-Ross grief cycle model, pages 17-19) and give employees more flexibility at work to take care of themselves.
>
> **Ventilation** – allow opportunities (both formal and informal) for employees to tell their stories, compare their reactions, and express their feelings. Productivity may decrease initially; however, allowing ventilation can expedite getting back to a focus on work.

Validation – say thank you and acknowledge employees for their contributions. Special recognition and verbal encouragement go a long way in challenging times

Implementation Strategies

When implementing change there are three strategies to consider: Pilot, Big Bang, or Phased Big Bang.

Pilot: Choose a Pilot implementation, if you are testing a new innovative idea, possible growth strategy, or very risky core business operation. By implementing a pilot this will help the project team to analyze results, determine ROI and identify areas of risk and/or improvement before a full implementation roll-out. Ultimately, the reason for pilot testing is to test quickly and iterate as necessary.

Big Bang: Choose a Big Bang implementation for initiatives that align to strategic business priorities driven from the highest levels of leadership. A Big Bang is best used for rolling out a new system or strategy that requires campus-wide adoption and is effective immediately. The implementation typically occurs all at once, and mass communications are used to update and inform employees.

Phased Big Bang: A Phased Big Bang approach is used to chunk the implementation roll-out into cohorts. This approach aims to reduce operational risks associated with ramp up time or scalability and gives the project team the opportunity to iron out any difficulties identified. Groups who are selected for the first cohort must be willing to provide necessary feedback and be strong adopters of the strategy. As each new cohort rolls-out, implementation is expected to get easier as it gains more positive employee traction.

Example:
Cohort 1: *Roll-out – January 1*
Cohort 2 *Roll-out - March 1*
Cohort 3 *Roll-out – June 1*

Characteristics of each Strategy

	Pilot	**Big Bang & Phased Big Bang**
Timeframe *How long will this project run?*	Lasts less than 3 months	More than 3 months
Risk *Associated risk of execution*	Low Risk	High Risk
Cost *Capital cost, 3rd party resources etc.*	High initial cost	Low cost over time
ROI *Return on Investment*	Volatile return	Faster return
Disruption to Operations *Ramp-up period, CM etc.*	Minimal; However employees may lack buy-in to test	Moderate; Organization will need ramp-up time
Next Steps for Implementation *Go forward as-is or iterate*	Requires go/no-go decision	Always a “go” decision; with Sponsor approval

Best Practices for Leading Change – What NOT to Do

Don't censor information or hold back until everything is known
Employees need all available information to make realistic assessments and effective plans. Share what information you do have, when you have it even if the information you have is not complete.

Don't express cynicism
Employees look to you as a role model and need your support and constructive guidance.

Don't be unrealistically positive
Don't be Pollyanna… acknowledge when things are difficult.

Don't isolate yourself
Employees need access to you to feel supported. Use employees' cues to know when to become more involved and when to back off.

Don't expect employees to all react the same way at the same time
Employees respond to the same situation differently (see Kubler-Ross grief cycle model, pages 17-19).

Don't enable resistance
Enabling is an action you take that protects the employee from consequences of his/her actions and actually helps the employee to not move through the change process. Examples of enabling include:

Covering Up

Providing alibis, making excuses or even doing someone's work for them rather than confronting the issue that they are not meeting expectations.

Rationalizing

Developing reasons why the person's behavior is understandable or acceptable.

Withdrawing/Avoiding

Avoiding contact with the person whose behavior is problematic.

Blaming

Blaming yourself for the person's continued challenging behavior or getting angry at the individual for not trying hard enough to improve their behavior or to get help.

Controlling

Taking responsibility for the person by significantly changing their environment or trying to minimize the impact by moving them to a less important job.

Threatening

Saying that you will take action (i.e. formal disciplinary action) if the employee doesn't improve, but not following through.

Change Readiness Assessment (final check before pilot/big bang)

Use the below assessment to assess each team(s) and/or stakeholder(s) readiness for the change.

☐ **Team:**____________________________ ☐ **Stakeholder:** ____________________________

Questions to Assess Change Readiness	Yes	Partial	No
(Awareness) Does your team or does your stakeholder understand…			
1. the problems inherent in the current situation?			
2. the opportunities that are being missed if the change doesn't happen?			
3. what is trying to be achieved?			
4. how things will be better?			
5. how the change will impact their area of work?			
6. what their role will be in the future state?			
(Desire) Does your team or does your stakeholder…			
1. know that management is aligned with the change efforts?			
2. feel their concerns, questions, and needs are being heard?			
3. feel hopeful about the future?			
4. see value in the change?			
5. believe a well thought out strategy is being put in place to achieve the change?			
(Knowledge) Does your team or does your stakeholder… (skills, informational, training)			
1. have the necessary information, knowledge and skills to successfully fulfill their role?			
2. know where to go for additional information about the change?			
3. know what campus resources are available to support the personal side of change?			
4. know what success looks like?			
5. have a plan to achieve success?			
6. know which behaviors will need to change?			
(Ability) Does your team or does your stakeholder… infrastructure (systems, tools)			

1. believe that the organization has provided appropriate resources (time, staff, information, etc.) to support the anticipated change?			
2. have the necessary systems, processes, and policies in place?			
3. have the ability to execute the new behaviors required for the change?			
4. know how to perform the required tasks?			
(Reinforcement) Does your team or does your stakeholder…			
1. view management as a resource for removing/overcoming barriers?			
2. have mechanisms in place to reinforce the required behaviors?			
3. have metrics in place to assess the ongoing effectiveness of the change?			
Total			

Change Communications Plan Template

Project Title: **Renewal Revamp**

Project Description:

Combine Case for Change and Compelling Vision wording obtained from Project Charter.

SECTION 1: Determine Stakeholders

Read through the list of Stakeholders below and place a checkmark next to any that will require messaging for your project:

- Renewal Revamp Stakeholders (who needs to know of this change) ?
  -

- How will we communicate these changes to the stakeholders?
  -