# Trans Tech OCM Framework

WHAT IS ORGANIZATIONAL CHANGE MANAGEMENT?

> Organizational Change Management is a formalized process to address not only the business impact, but the **people** impact of change, in a proactive manner in order to adequately prepare for the upcoming change.

- ❑ **Change Targets**:
  - ❑ Those impacted by the change

- ❑ **Change Agents**:
  - ❑ Those who help facilitate the change by sharing information, addressing resistance issues, and being visible proponents for the change

- ❑ **Change Sponsors**:
  - ❑ Those who are in key leadership roles who "own" the change and can help find resources, etc. to address any resistance issues

- ❑ **Change Network**:
  - ❑ Network of change agents from the business who will help lead the change and facilitate the transformation

- ❑ NOTE: Someone might hold multiple roles in the Change Network
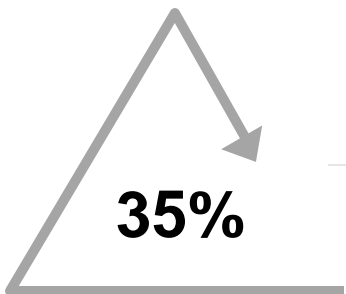
MANAGING ORGANIZATIONAL CHANGE

➢ Managing organizational change is a critical success factor in large transformations, and lessons learned about its value have been repeatedly proven.

➢ Successful projects report a high correlation between organizational change management effectiveness and level of project objectives met or exceeded.

143%
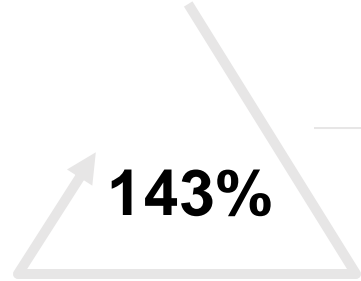
Return on Investment when an excellent organization change management program was part of the initiative

35%

Return on Investment when a poor organization change management program was part of the initiative

Where an effective change management program was in place, **88%** of those projects met or exceeded expectations, compared to **17%** of projects that did not.
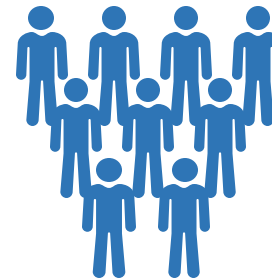
According to the Center for Creative Leadership, **66%—75%** of all public and private change initiatives fall short of meeting project objectives. *A resistant organizational culture was the chief culprit the majority of the time.*
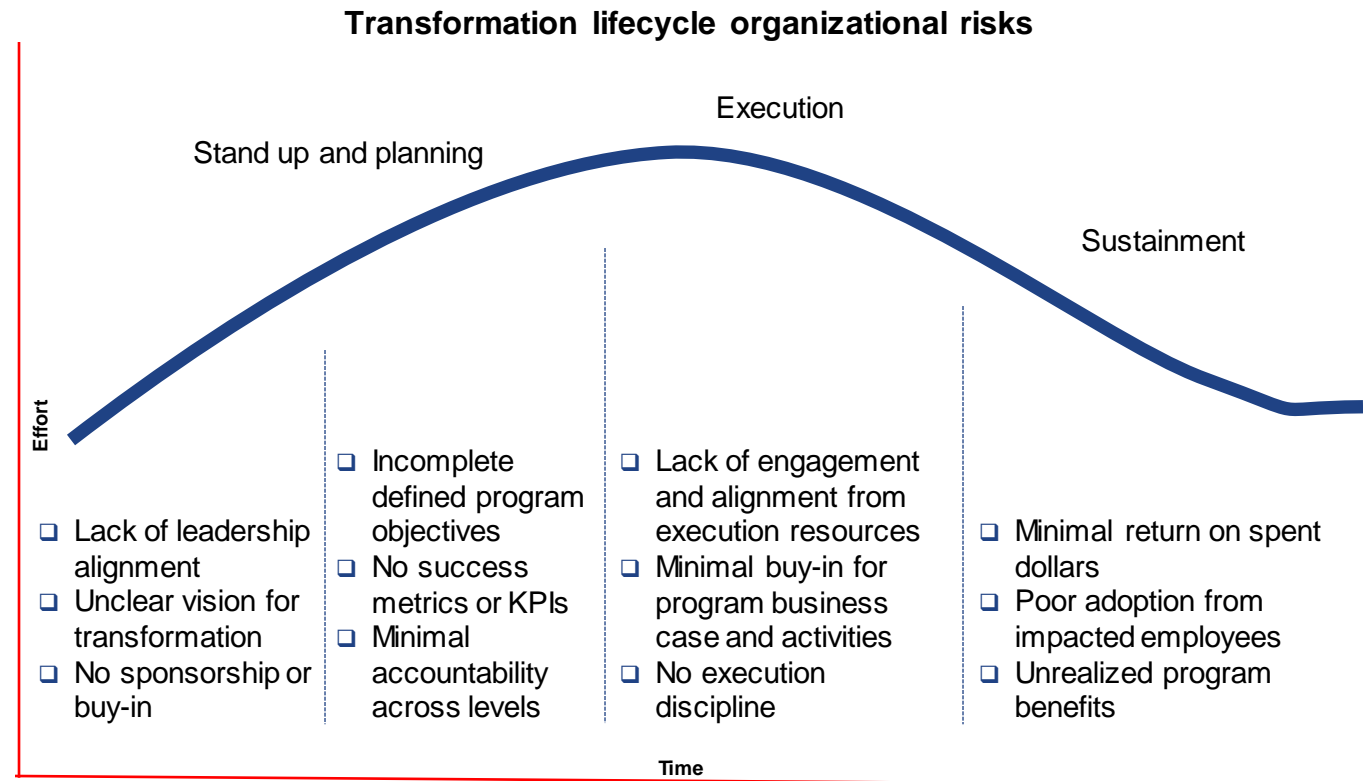
WHY OCM IS CRITICAL TO FDOT'S FUTURE

❑ All projects face risks. Do we have enough resources, Does the team have enough of the right skills, What are we missing, and Are end users ready?

❑ FDOT is proactively working towards addressing the organizational risks that most projects struggle with.

~75% of undertaken projects fall short of meeting project objectives

Change falls short as a result of:
❑ Unclear vision and case for change
❑ Weak sponsorship
❑ Poorly aligned change leadership
❑ Underestimating the time and complexity involved
❑ Lack of skills
❑ Ineffective teamwork
❑ Failure to monitor a changing external environment
❑ Shifting priorities or competing distractions

Transformation lifecycle organizational risks

Stand up and planning

Execution

Sustainment

Effort

Time

❑ Lack of leadership alignment
❑ Unclear vision for transformation
❑ No sponsorship or buy-in

❑ Incomplete defined program objectives
❑ No success metrics or KPIs
❑ Minimal accountability across levels

❑ Lack of engagement and alignment from execution resources
❑ Minimal buy-in for program business case and activities
❑ No execution discipline

❑ Minimal return on spent dollars
❑ Poor adoption from impacted employees
❑ Unrealized program benefits

HOW WE SUCCESSFULLY ENABLE TRANSFORMATION

❑ In order for organizations to successfully enable transformation, they must address people and business issues through a robust organizational change management program.

Engage with the business early/often

Support leaders with centrally coordinated communications and integration tools
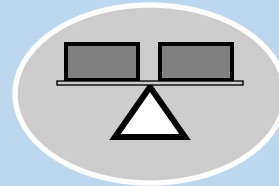
Balance technology and business readiness

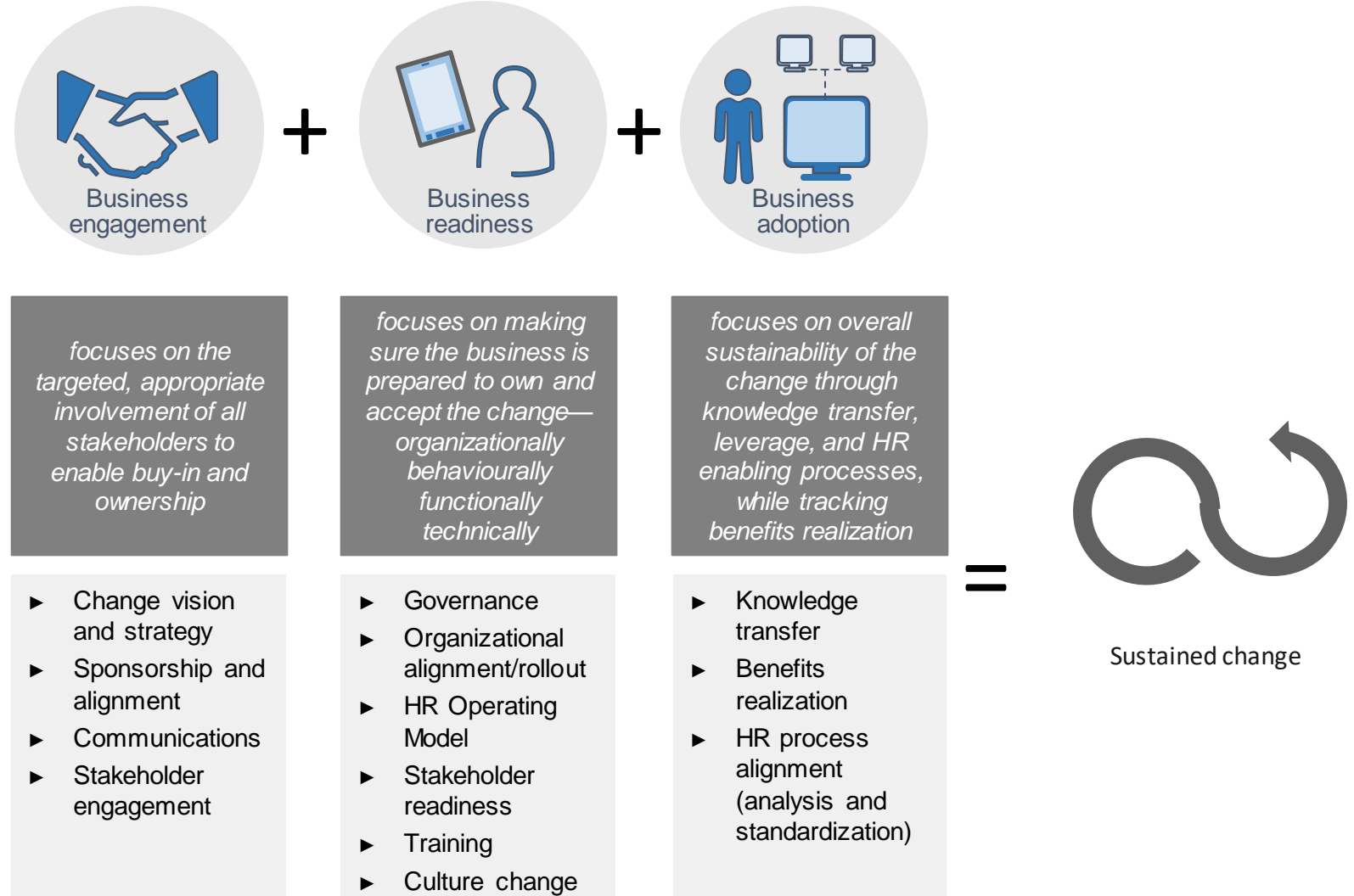Align focus and effort between business readiness and system readiness activities

Make the transformation operational

Identify ways to sustain and measure the change as part of normal operations

While focusing on these area will improve the likelihood of a successful transformation, it's important to understand WHY managing organizational change is critical to that success
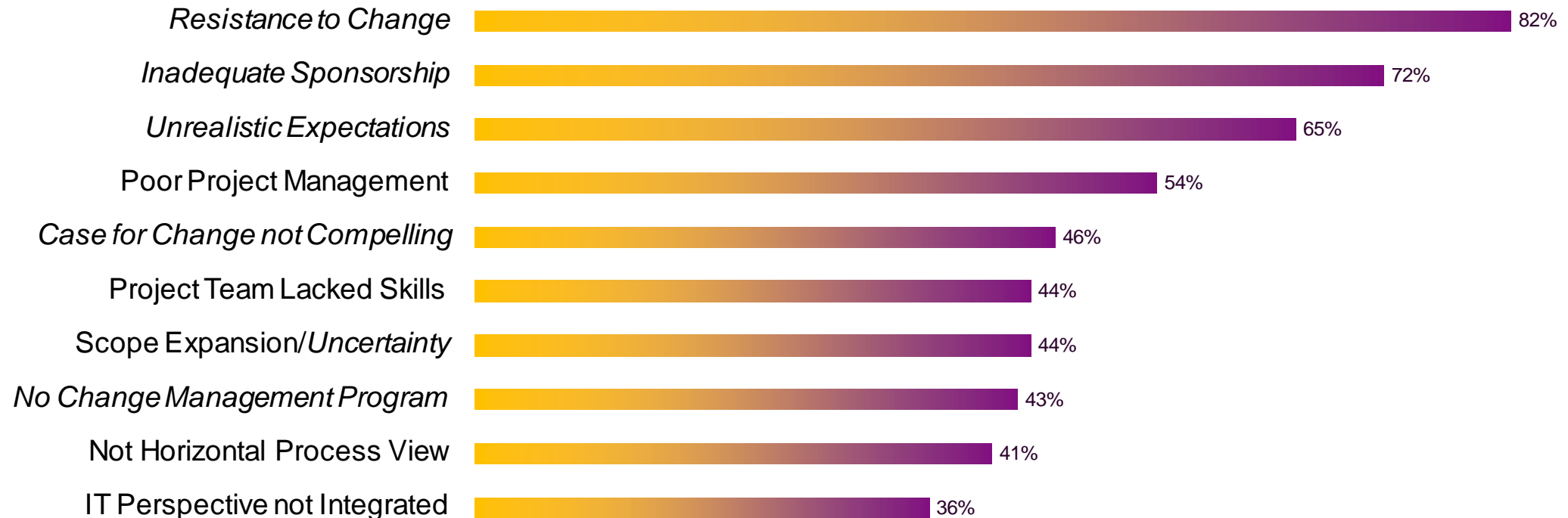
THE APPROACH TO ORGANIZATIONAL CHANGE

❑ We approach managing organizational change as a holistic combination of business engagement, business readiness, and business adoption activities.

❑ Our methods and tools provide employees with the knowledge, structure, and capabilities to successfully embrace and own the transformational change that facilitates sustained change and the realization of desired benefits.

Business engagement + **Business readiness** + **Business adoption** = Sustained change

Business engagement	Business readiness	Business adoption
focuses on the targeted, appropriate involvement of all stakeholders to enable buy-in and ownership	*focuses on making sure the business is prepared to own and accept the change— organizationally behaviourally functionally technically*	*focuses on overall sustainability of the change through knowledge transfer, leverage, and HR enabling processes, while tracking benefits realization*
► Change vision and strategy ► Sponsorship and alignment ► Communications ► Stakeholder engagement	► Governance ► Organizational alignment/rollout ► HR Operating Model ► Stakeholder readiness ► Training ► Culture change	► Knowledge transfer ► Benefits realization ► HR process alignment (analysis and standardization)

RESISTANCE TO CHANGE IS A SIGNIFICANT BARRIER TO REALIZING RESULTS AND SAVINGS
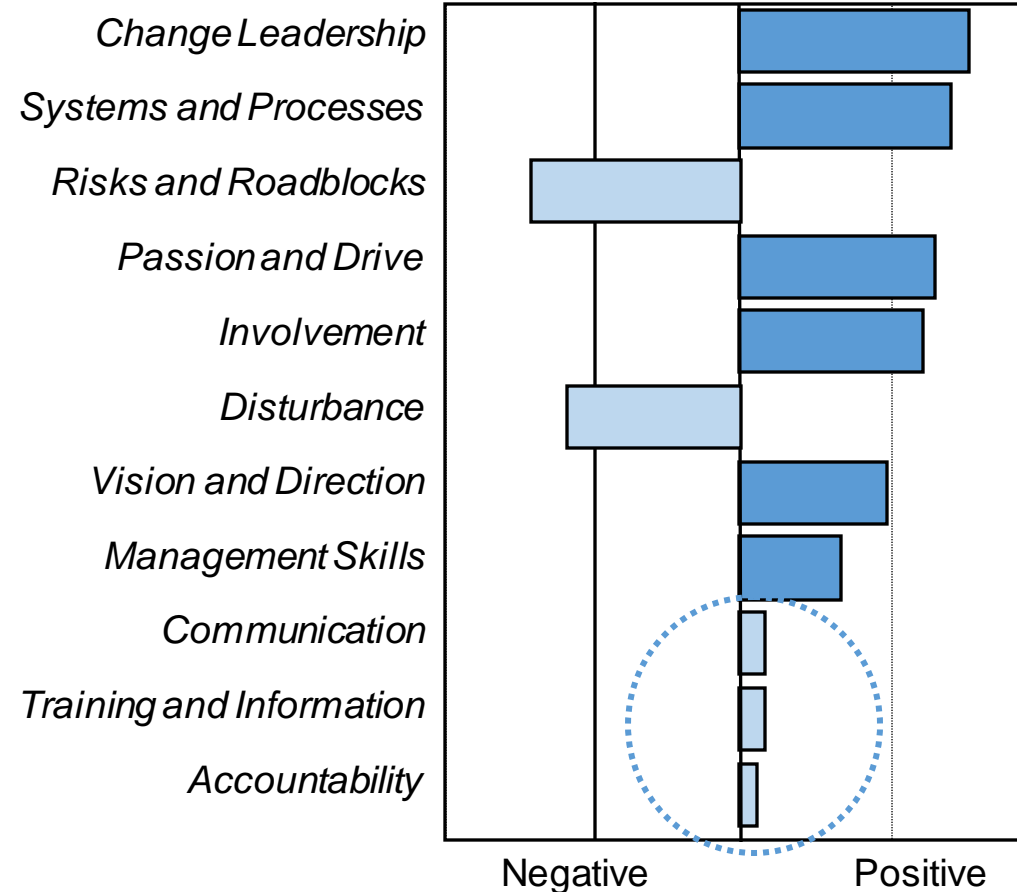
❑ When pursuing transformations, organizations rarely realize the benefits or retain the value they anticipated. While there are many reasons for this, the following survey of CEOs shows that 5 out of the top 10 business transformation showstoppers are 'people and organizational' issues.

Top 10 Barriers to Success

Barrier	Percentage
Resistance to Change	82%
Inadequate Sponsorship	72%
Unrealistic Expectations	65%
Poor Project Management	54%
Case for Change not Compelling	46%
Project Team Lacked Skills	44%
Scope Expansion/Uncertainty	44%
No Change Management Program	43%
Not Horizontal Process View	41%
IT Perspective not Integrated	36%

WHAT REALLY MATTERS

❑ Traditional change management activities, training and communication, are the least impactful in driving improved business performance through change efforts.

❑ Instead, it is important to prioritize change leadership and systems and processes to help drive successful change management reflected through increased business performance.

Change Leadership
Systems and Processes
Risks and Roadblocks
Passion and Drive
Involvement
Disturbance
Vision and Direction
Management Skills
Communication
Training and Information
Accountability

Negative   Positive

Relative importance of factors that drive improvement in business performance

A successfully managed organizational change program enables:

❑ **Aligned leaders** who provide visible sponsorship throughout the lifecycle of your transformation

❑ **Engaged stakeholders** who maintain accountability and move from aware to ready to adopt the changes driven by your transformational needs

❑ **Prepared employees** who understand their new roles and responsibilities, and are able to execute against these, thus enabling a return on spent dollars

❑ **Correct organizational structures and processes** to support your future state

❑ **Evangelism** to drive further adoption and enable sustainability throughout your organization until the future state becomes "the way" of doing things

… while increasing the likelihood of sustaining the change and realizing desired benefits

OCM OVERVIEW OF ACTIVITIES

Planning

☐ **Case for Change**
Develop and articulate easy-to-process information to communicate why the change is beneficial and/or necessary

☐ **Leadership Alignment**
Create common vision for project and commit to action from leaders

☐ **Business Readiness**
Identify barriers and measure preparedness to operate in future state

☐ **Stakeholder Analysis**
Identify groups who are impacted by and can influence change

☐ **Training**
Design, build, and deploy training based on learning needs for technology and process changes

Design/Development

☐ **Communication Plan**
Determine methods of communication, messages, timing, and channels to engage with stakeholders

☐ **Change Impact Assessment**
Assess people, process, technology and governance impacts and plan change actions (mitigations) to support the change

☐ **Job/Role Assessment**
Identify impacts to organizational structure, employee roles, and competencies

☐ **Change Champion Network**
Create network of "change agents" or project advocates to share information and gather feedback

Adoption

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Adoption

Business Readiness · Stakeholder Analysis · Communication Plan · Change Impact Assessment · Job/Role Assessment · Change Champion Network · Training Strategy & Plan · Case for Change · Leadership Alignment

Change Metrics
Measure adoption and progress against key metrics

CASE FOR CHANGE OVERVIEW

The Case for Change, starts by articulating the answer to questions like - "**Why are we doing this**?" and expands to unveil the **value of the initiative** for all impacted business groups by moving beyond the economic business case of the initiative and translating the change into **practical terms** that are **meaningful and relevant** to impacted people. It is a critical requirement to openly share the rationale for change acceptance and commitment to the project or program.

The process consists of:

1 Align on project vision	2 Define the case for change	3 Identify key benefits	4 Identify key challenges	5 Sustain the change

Key Components

1. Well articulated message (documented and/or visualized) around "why" the need for change and specifically why this project is needed/what is the benefit

2. The driving factors that cause an urgent need for transformation (i.e., market conditions, regulatory environment)

3. Benefits the project will provide from a people point of view

Purpose

- ❑ The purpose is to gain buy-in, acceptance, and commitment for the project from all impacted people, including executive leadership, project leadership, and business group managers
- ❑ To align stakeholders on one path forward towards the future state
- ❑ To create the rationale why FDOT should embark on the project

Outcome

- ❑ A common foundation for everything leaders say and do for the project, which minimizes confusion and allows for one common project message
- ❑ Builds momentum across the company by motivating and inspiring impacted people to take supportive action
- ❑ Aligns impacted people to one future state and rationale of why the change will occur and how the project will impact them
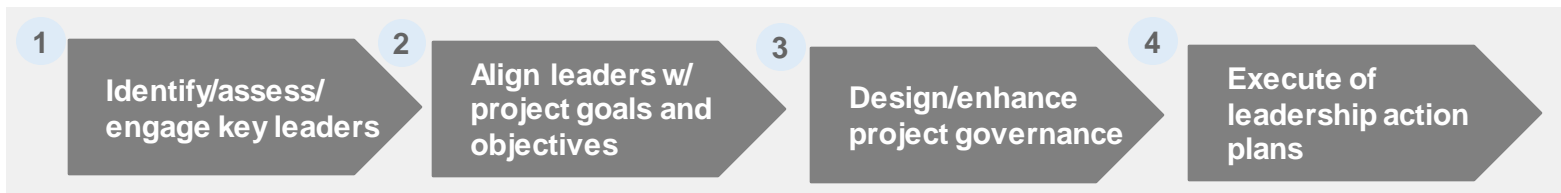
LEADERSHIP ALIGNMENT OVERVIEW

Leadership alignment is when leaders share a **common vision** and demonstrate their **commitment through actions**. It also helps to confirm prioritized areas for alignment among sponsors/executives and outline a high-level gap-closure strategy. To be effective, change leadership requires full engagement of leaders at all levels across the organization.

The leadership alignment process starts with an identification of the necessary leaders, the process consists of:

Key Components
1. Leadership engagement plan
2. Leadership action plans
3. Change governance
4. Communications

1 Identify/assess/ engage key leaders → **2** Align leaders w/ project goals and objectives → **3** Design/enhance project governance → **4** Execute of leadership action plans

Purpose

- ❑ Engage and align leaders to play a key role in overcoming resistance to change and securing buy-in
- ❑ Mobilize the institution to move in the same direction and take personal accountability for outcomes and benefits
- ❑ Put in place ongoing management of the governance approach to ensure that key decision makers are informed and kept up to date regarding benefit delivery
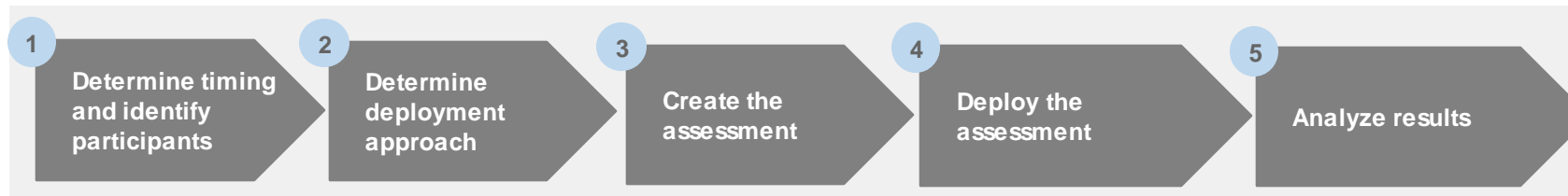
Outcome

- ❑ Creates a set of shared goals and activities
- ❑ Builds a coalition of leaders to drive, facilitate, and own change
- ❑ Establishes governance structure, clear roles, and responsibilities
- ❑ Engage Trans Tech OCM Office to confirm collaboration between project leads to ensure visible leadership commitment and support of the change

BUSINESS READINESS ASSESSMENT OVERVIEW

The objective of readiness assessment is to **identify barriers**, **level of buy-in,** and **preparedness** to operate in and sustain the new environment. It provides a **data-based assessment** of the business' knowledge of the solution, preparedness to execute, completion of key activities, and the institutions overall ability to change.

Readiness assessment is an iterative process:
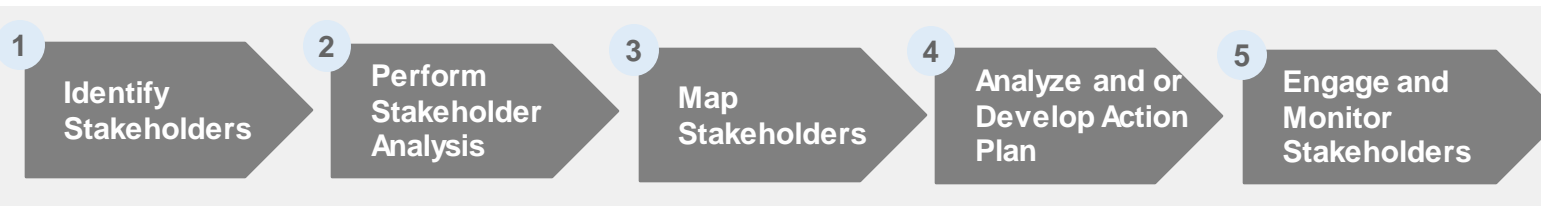
Key Components

1. Readiness assessment tools, criteria and conditions
2. Fact-based readiness questionnaires
3. Readiness requirements
4. Assessment deployment plan
5. Assessment findings and recommendations

1 Determine timing and identify participants	2 Determine deployment approach	3 Create the assessment	4 Deploy the assessment	5 Analyze results

- ❑ Determine timing and frequency
- ❑ Identify participants

- ❑ Determine deployment platform
- ❑ Determine deployment channel

- ❑ Identify criteria for assessing change
- ❑ Develop targeted questions to measure each criteria

- ❑ Deliver the assessment
- ❑ Gather assessment results

- ❑ Identify present trends
- ❑ Interpret results
- ❑ Provide a snapshot of the organization's business readiness
- ❑ Determine the effectiveness of change management initiatives

Readiness encompasses pre-go-live, go-live and post go-live readiness

STAKEHOLDER ANALYSIS OVERVIEW

The objective of assessing key stakeholders is to **identify those who can influence change** or are impacted by the change to **facilitate continued support** throughout the project, build an understanding of stakeholder needs (level of support/resistance, capability, and understanding of change), and develop tactics and accountability for downstream management.

The entire process consists of:

Key Components

1. Change commitment curve
2. Stakeholder management (stakeholder list, analysis, map and action plans)
3. Change Network (change champions and super users
4. Required culture and leadership behaviors

1 Identify Stakeholders	2 Perform Stakeholder Analysis	3 Map Stakeholders	4 Analyze and or Develop Action Plan	5 Engage and Monitor Stakeholders

Purpose

- ❑ To prepare all stakeholders for a successful implementation by creating the right level of executive sponsorship and managing needs of the relevant stakeholder groups
- ❑ To ensure we proactively manage stakeholders on a consistent approach using a common language
- ❑ To understand, manage, and influence people (an essential part of any successful change)

Outcome

- ❑ Informed and engaged stakeholders who are clear about the vision and impact. They are prepared to positively contribute to business performance
- ❑ Engaged executives and dedicated Change Champions with a clear and common vision. They will motivate and guide others through the change
- ❑ Collaborative alignment with Trans Tech OCM office to help manage time constraints against employees

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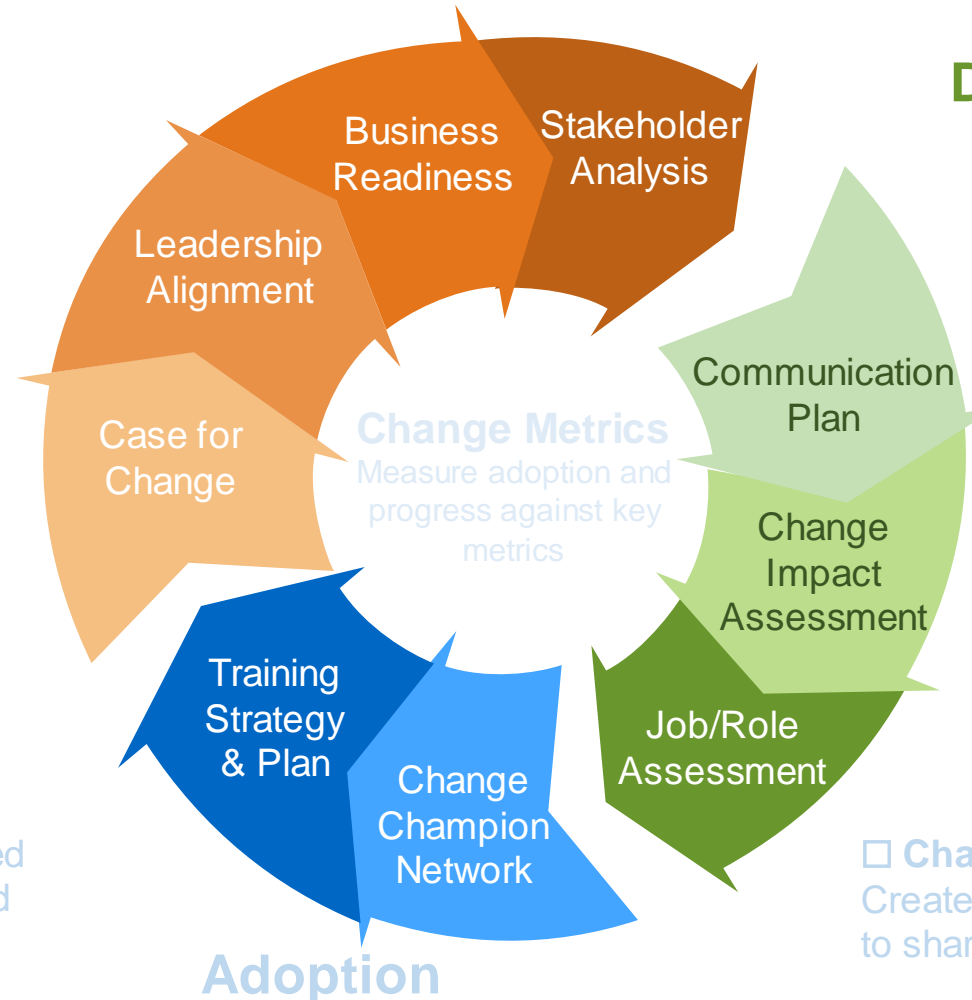
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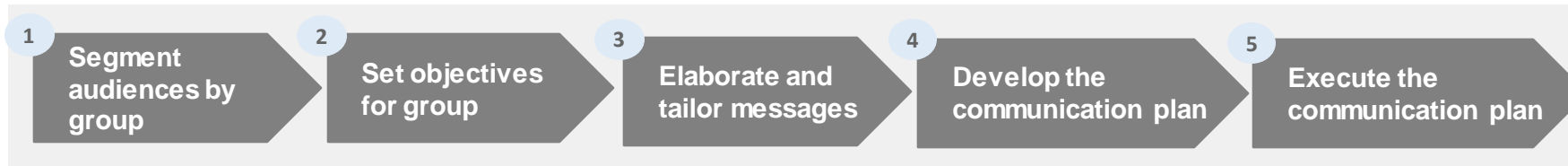
☐ **Change Champion Network**
Create network of "change agents" or project advocates to share information and gather feedback

Adoption

Circular diagram with center labeled **Change Metrics** — Measure adoption and progress against key metrics. Surrounding segments: Business Readiness, Stakeholder Analysis, Communication Plan, Change Impact Assessment, Job/Role Assessment, Change Champion Network, Training Strategy & Plan, Case for Change, Leadership Alignment.

COMMUNICATIONS PLAN OVERVIEW

The objective is to create a **two-way flow of information** to channel efforts in the right direction until the objectives of the project/program are achieved. A Communications Plan will provide details for **development and delivery of communication** and engagement activities with impacted stakeholders at the right milestones and ensure feedback loops with the organization are a central component. Here, you can coordinate recommendation with Trans Tech OCM office to recommend project manager recipients for an integrated communication plan which improves visibility to key messages and facilitates greater timing/audience alignment.

The process consists of:

Key Components

1. Communication and change continuum
2. Communication plan (includes key messaging, communications vehicles)
3. Feedback mechanisms and effectiveness

1 Segment audiences by group	2 Set objectives for group	3 Elaborate and tailor messages	4 Develop the communication plan	5 Execute the communication plan

Purpose

- ❑ Provide appropriate levels of information to impacted individuals using the most effective mediums and messages
- ❑ Distribute clear, consistent, and aligned communications with the business vision and strategy
- ❑ Send timely updates to individuals about implementation progress, what to expect in the future, and how they will be impacted
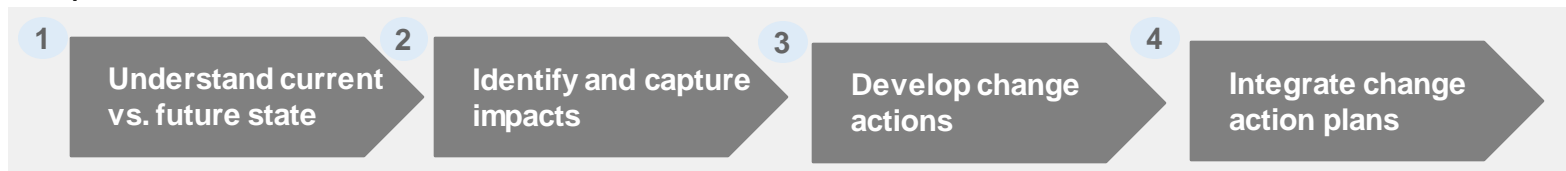
Outcome

- ❑ Common base of program awareness and understanding. General communications sent to a wide audience will develop the consistent base
- ❑ Deeper knowledge provided to individuals depending on impact level. Targeted communications will be sent to provide specific information about the program and its impact on individuals

CHANGE IMPACT ASSESSMENT OVERVIEW

Focuses on five key areas: people and organization, process, technology, policy, and governance to **periodically assess the level of buy-in** against an established baseline and preparedness required to operate in the new environment. The Department will identify project specific opportunities and barriers to change that must be addressed for the initiative or project to move forward effectively; this is designed to allow decision-makers to act on facts when planning the change management strategy for the project.

The process consists of:

1	2	3	4
Understand current vs. future state	Identify and capture impacts	Develop change actions	Integrate change action plans

Key Components

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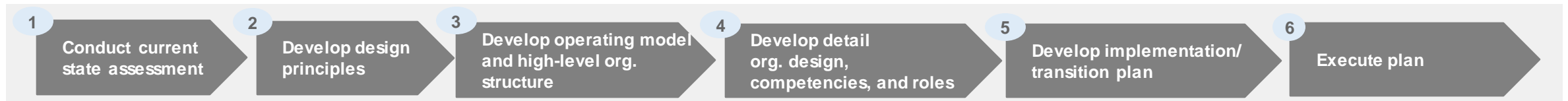3. Feedback mechanisms and effectiveness

Purpose

- To identify people, process, and technology impacts and gaps in order to understand the required transition
- To develop impact interventions and readiness action plans to support a seamless transition
- To develop necessary strategies to attract and retain the required resources for future success and sustainability
- To identify competencies and required behaviors to be successful in the future state

Outcome

- Documented gaps and intervention plans in current and future state
- Recruited and retained high performing resources
- Shifted culture and behavior that enables maximum performance in the future state
- Ability for future transformation, as necessary

JOB/ROLE ASSESSMENT OVERVIEW

Job/Role Assessment in change often refers to the **effort to align** access and authorization of impacted stakeholders to the end-state design. It is important to understand how project implementation will **impact day-to-day operations** to highlight **skill adaption/role adjustments** from current state to future state. Projects can collaborate with SOCM to confirm system/process roles and responsibilities to be assigned to FDOT functions/end users.

1	2	3	4	5	6
Conduct current state assessment	Develop design principles	Develop operating model and high-level org. structure	Develop detail org. design, competencies, and roles	Develop implementation/ transition plan	Execute plan

Activities are focused in four key areas:

1 **Organization design:** flexibly aligning the organization structure and roles to the solution and future, taking into account the extent of transformation

2 **Clear roles and responsibilities:** streamlined, responsive structure with appropriate segregation and headcount aligned with business strategy

3 **Systems, data, and processes:** alignment of program activities and ownership with what is happening in the wider business

4 **Performance management:** identifying new ways of working through performance management frameworks and KPI reporting

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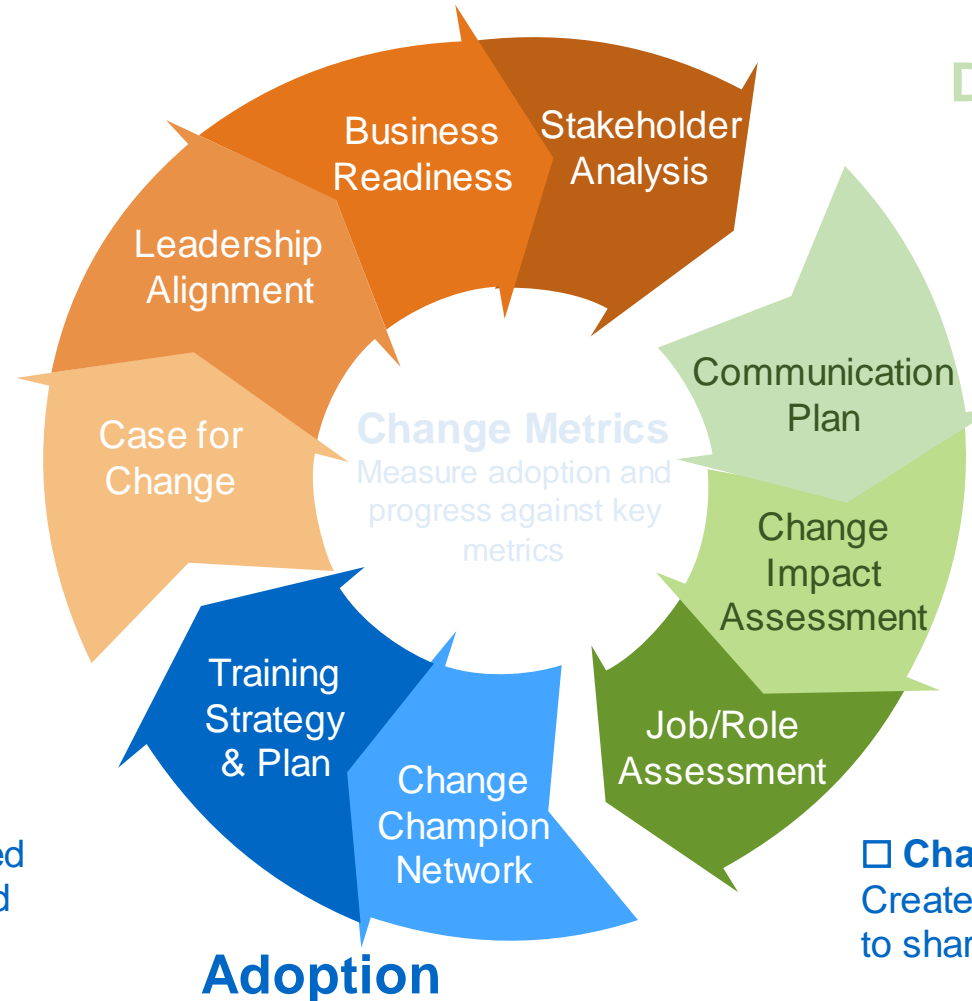
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Circular diagram

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- Leadership Alignment
- Case for Change
- Communication Plan
- Change Impact Assessment
- Job/Role Assessment
- Change Champion Network
- Training Strategy & Plan

Change Metrics
Measure adoption and progress against key metrics

Adoption

TRAINING STRATEGY AND PLAN OVERVIEW

Outline the necessary steps in building and executing an effective training program which **address both process and system training** (as appropriate) for successful deployment. At FDOT, Project Managers should leverage **project specific** knowledge to generate learning needs. The team should develop project specific preferred training strategy, curriculum/plan, content and resources, delivery (including format(s)), evaluation, and collaborating on final materials with Trans Tech OCM office.

The process consists of:
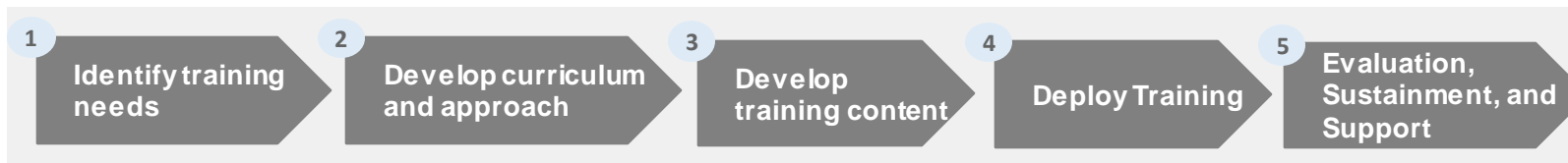
Key Components
1. Training needs assessment
2. Detailed training strategy
3. Training timelines
4. Training effectiveness and support

1 Identify training needs	2 Develop curriculum and approach	3 Develop training content	4 Deploy Training	5 Evaluation, Sustainment, and Support

Purpose

- ❑ To prepare resources to operate in the future state with new processes and systems
- ❑ To develop curriculum for training that teaches the necessary skills for resources
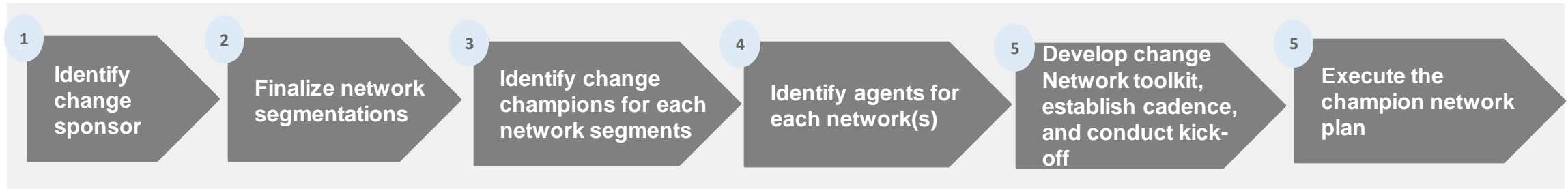- ❑ To plan successful deployment of training program

Outcome

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- ❑ Shifted culture and behavior that enables maximum performance in the future state
- ❑ Ability for future transformation, as necessary

JOB ROLE AND ASSESSMENT OVERVIEW

The Change Champion Network is a **cross-functional network of people** who serve as **advocates for the project** or initiative through communications, training, and change readiness.

Change Networks serve an integral role in the business engagement process by building awareness, commitment, and adoption.

| 1 Identify change sponsor | 2 Finalize network segmentations | 3 Identify change champions for each network segments | 4 Identify agents for each network(s) | 5 Develop change Network toolkit, establish cadence, and conduct kick-off | 5 Execute the champion network plan |

Change Networks offer several benefits, including:

1. Providing a platform for employees to gain **information, ask questions, and share thoughts** about the changes taking place;

2. Facilitating **frequent and consistent messaging** to manage expectations and help employees understand the 'path forward';

3. Accelerating **employee acceptance and commitment** to the changes;

4. Establishing effective **feedback mechanisms** to the Business Engagement and Readiness Team on potential barriers to success.

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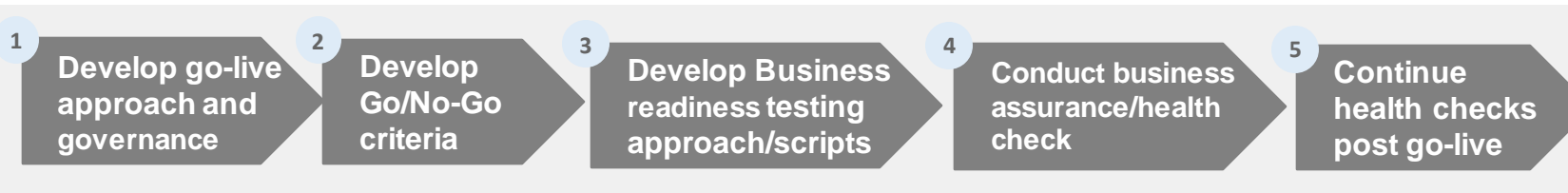Identify impacts to organizational structure, employee roles, and competencies

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Change Metrics
Measure adoption and progress against key metrics

CHANGE METRICS OVERVIEW

Throughout the change process, it is important to ensure that people, processes, sites, and systems are ready for transition to new ways of working and managing this transition effectively through go-live and post go-live. Project Managers should maintain a scorecard report and analysis that provides Trans Tech OCM office with a **documented view of progress** made against change objectives—as well as **setting targets for continuous improvement**.

The process consists of:

| 1 | Develop go-live approach and governance | 2 | Develop Go/No-Go criteria | 3 | Develop Business readiness testing approach/scripts | 4 | Conduct business assurance/health check | 5 | Continue health checks post go-live |

Key Components
1. Go-live approach and governance model
2. Go/No-Go checklist
3. Business readiness testing approach/scripts
4. Change metrics scorecard
5. Pulse survey

☐ **Purpose**

- ☐ Ensuring a smooth cutover for each wave with least impact to the business
- ☐ Assessment of business teams on their readiness
- ☐ Focus efforts to complete all activities prior to go-live
- ☐ Tests how ready the business actually is through scenarios and simulation of as close to a post go-live environment as possible
- ☐ Support end users immediately and 6 months post go-live

☐ **Outcome**

- ☐ Reduce anxiety and uncertainty around go-live
- ☐ Ensure successful migration
- ☐ Provide support to confirm preparedness
- ☐ Continues support during hyper-care