The Change Management Body of Knowledge

Capturing the Maximum Value Possible from Projects and Programs

Linda Crafts, Ph.D.
Ed Warnock
Martin G. Heltai

Change Management Body of Knowledge

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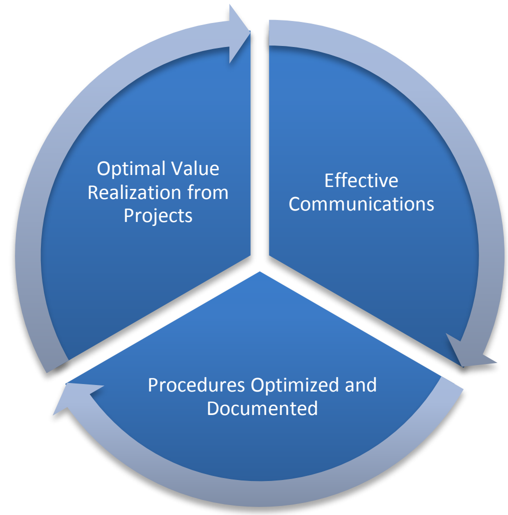


The goal of change management is “value realization”. Projects are originally proposed by leadership to deliver a specific business outcome.

Time and time again projects fall short of delivering promised value to the organization. Often this is not due to a flaw in the design of the project, but slow or incomplete adoption of the changes by the people in the organization. This can come from:

- Not understanding of the compelling business reasons behind the change
- Failure to adequately learn the new system
- Clinging to old ways of doing things even though a better way is available
- Fear of the changes engendered by the new system
- Delaying change as a way of dealing with personal stress levels

Change management’s main responsibility is to see that that value is delivered to the greatest degree possible and as soon as possible.

To this end the change management office is tasked with delivering three major goals:

- **Optimal value realization from projects** - Minimal productivity disruptions and a higher level of adoption
- **Effective communications** – to provide timely and accurate organization-wide information
- **Procedures optimized and documented** – to keep the business manageable

To accomplish these goals, the Change Management Office provides the following functions and services:

Change Management Function and Corresponding Services		
	Role of Change Management Function	**Corresponding Services Provided by Change Management**
Assessment	• Evaluating project proposals to determine the need for change management services	• Organizational assessment • Change readiness assessment • Individual change resilience assessment
Planning	•Assisting leadership in owning change	• Strategy development
Implementation and Delivery	• Guiding businesses through change interventions • Providing support, including coaching and resources, throughout change initiative • Ensuring timely delivery within budget • Maximizing the adoption of new practices by employees • Maximizing departments' effectiveness • Realizing the targeted benefit	• Change resilience development • Communications planning • Training, including change leadership development and change performance management • Facilitating partnering meetings with stakeholders • Problem solving on change issues • Provision of tools for measuring results • Documentation of new procedures

Adapted from the IBM Corporate Leadership council document "Structure and Operations of the Change Management Function" © 2007

This body of knowledge reviews each of these goals; however the focus is organizational development which minimizes productivity disruptions.

There are three parts to every successful effort to control productivity losses during a period of change:

1. Conceptualization of a design to address the barriers to change and leverage and accelerate the positive enablers of change
2. Creation and execution of implementation change management plan
3. Capturing the hearts and minds of the people who have to carry out the changes

Any change management effort must have as its foundation strong employee/manager relationships. This *guide* outlines the change methodology that the Change Management Organization (CMO) uses here at Lender Business Process Services (LBPS), and is intended to accelerate the change process by engaging people to the greatest degree possible. To do this it is important to emphasize the following three factors:

The change manager as catalyst

In the laboratory, a catalyst is a substance that heightens or accelerates a reaction. In the workplace the definition is similar: someone who sparks action in others. Being a catalyst is not just another role. It requires a shift in thinking. It multiplies effectiveness. It requires consistency. When effective, the work of the change manager is often behind the scenes and not readily apparent to people outside the scope of the change project.

Engaging people during times of change

When people interact, they generally have two kinds of needs: practical needs (to reach a productive outcome), and personal needs (to be understood and involved). Addressing ***both*** kinds of needs helps ensure successful interactions. When left on the sidelines during change, people turn to speculation. Morale drops and trust declines. The solution is to get people involved and give them ownership in creating solutions.

The importance of clear communications

The glue that holds everything together during times of uncertainty is good communications. It is inevitable that issues will arise, people will face confusion and everyone will need to be refocused and reenergized. Times of change require extraordinary skill at communications.

The following chapters outline the methodology in the order that it usually flows, however, you will find that you will often have to pick and choose the particular tools and processes that are relevant to each unique change situation.

1 Understand the purpose of the change

Projects will come to the Office of change management through the Investment and Management board. Projects of sufficient complexity, magnitude or importance will be assigned a change manager to help optimize value realization.

1.1 The steps of project value realization

1. **Define** clearly the value to be delivered and how it will be measured
2. **Understand** the environment and systems that will receive and support value creation
3. **Plan** the new systems and procedures that will deliver the needed value
4. **Communicate** the value proposition to leadership, end users and stakeholders
5. **Determine** the barriers and enablers to the adoption of the new system and the realization of value
6. **Design** a change management intervention to speed and deepen the adoption of the new system
7. **Coordinate** the execution of the project plan and the change management plan
8. **Measure** and document the value actually realized

1.2 Understand the project's "value proposition"

The foundation of change management is to understand the purpose of a project from the organization's viewpoint. A project proposal is in effect a "value proposition." It states a business case, defines a value to be delivered and estimates a cost to realize that value.

The first step in the organizational change management process is for the change manager to interview the business leaders and managers and to thoroughly understand and document what led the organization to initiate these changes:

- The business purpose of the project
- How the business will measure value

The whole change management plan will be focused on maximizing the realization of this value to the business. Once the purpose of the change is thoroughly understood a plan can be designed to:

1. Reduce the productivity dips during times of change
2. See that the new systems and procedures deliver value as early as possible
3. Ensure that the new system is thoroughly adopted and utilized to deliver maximum value

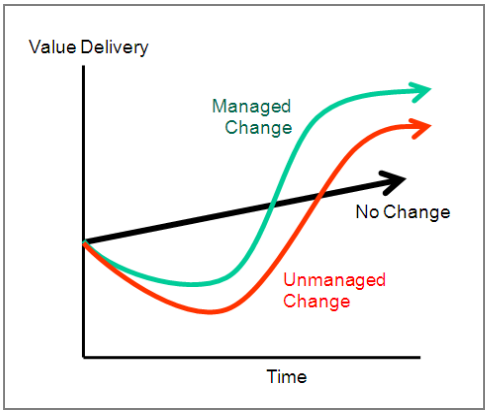


Figure 1 Managed Change vs. Unmanaged Change Curves

2 Analyze Change Impact

2.1 Identify areas of change

It is important to understand exactly what will be changing. If stakeholders are confused or have differing visions of the change, you can guarantee that the change will either grow in magnitude, creating undue anxiety, or the change will be minimized causing surprises down the line. The following checklist is designed to help identify exactly where change will occur.

2.1.1 Change impact questionnaire: identifying areas of change

This questionnaire is used during planning meetings to stimulate thinking about the magnitude of change imbedded within a project. It is to be used by a planning team to determine additional work that will need to be addressed within the project.

The change impact questionnaire seeks to pinpoint the places in the organization that will be experiencing the greatest changes.

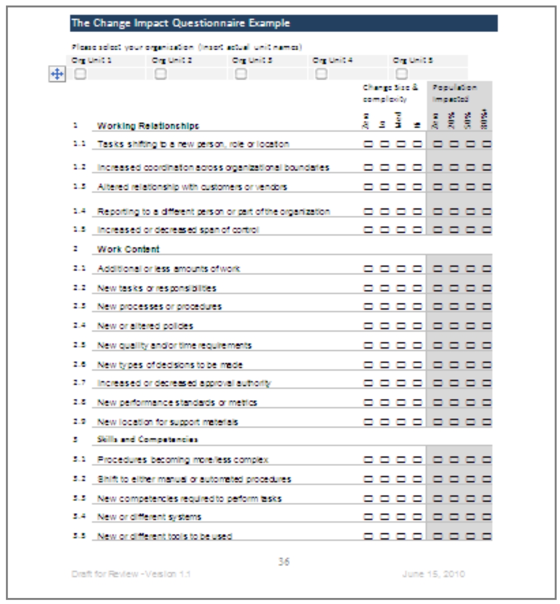
Possible change areas are rated two ways:

1. Change size and complexity
2. The percentage of the group's population impacted

Possible areas of change are:

1. Working relationships
2. Work content
3. Skills and competencies
4. Work environment

To view details of a change impact questionnaire, see Appendix A – Change Impact Questionnaire Example



The Change Impact Questionnaire Example

Please select your organization (insert actual unit names)

Org Unit 1 | Org Unit 2 | Org Unit 3 | Org Unit 4 | Org Unit 5

Change Size & complexity | Population Impacted

1 Working Relationships
1.1 Tasks shifting to a new person, role or location
1.2 Increased coordination across organizational boundaries
1.3 Altered relationship with customers or vendors
1.4 Reporting to a different person or part of the organization
1.5 Increased or decreased span of control
2 Work Content
2.1 Additional or less amounts of work
2.2 New tasks or responsibilities
2.3 New processes or procedures
2.4 New or altered policies
2.5 New quality and/or time requirements
2.6 New types of decisions to be made
2.7 Increased or decreased approval authority
2.8 New performance standards or metrics
2.9 New location for support materials
3 Skills and Competencies
3.1 Procedures becoming more/less complex
3.2 Shift to either manual or automated procedures
3.3 New competencies required to perform tasks
3.4 New or different systems
3.5 New or different tools to be used

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Draft for Review - Version 1.1 June 15, 2010

Figure 2 Change Impact Questionnaire

2.1.2 Customize the change impact questionnaire where appropriate

The change impact questionnaire will work with a large percentage of changes you will encounter, but can be customized for change projects that have change impacts not covered.

2.1.3 Identify the change impact questionnaire participants

Identify which of the stakeholder or stakeholder groups should be interviewed either individually or in focus groups to better understand the impact of the change project.

2.1.4 Administer the questionnaire via focus groups and interviews

Once the stakeholders are identified the change manager should arrange individual interviews, facilitate focus groups, email or an online survey service to administer the questionnaire.

2.2 Visualize the "change hot spots" by using a change point matrix

Identify specific points of high change where the changes will be impacting the organization.

Transfer the change impact questionnaire scores from the groups impacted by the changes into the change point matrix and sort the matrix. The change point matrix creates a "heat map" that identifies points within the organizations structure that will be subjected to the most change.

The change point matrix can be sorted so that the areas that can benefit the most from a change management effort are in the upper left of the matrix. The organizations that are the most impacted by the change are at the top of the list and the types of change that will cause the greatest impacts are now on the left.

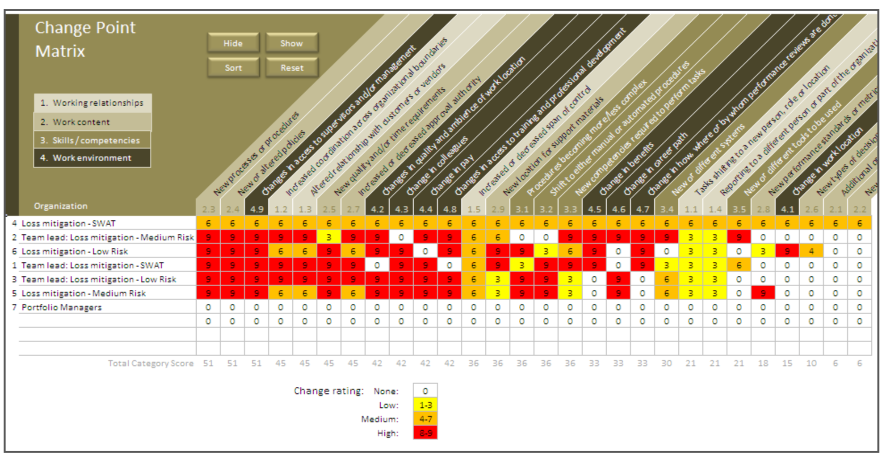


Figure 3 Change Point Matrix

2.3 Determine if change management is needed

If there are a large percentage of scores rated *high*, a change manager should be assigned to the project. If the scores tend to be rated *medium*, a change manager should act as a consultant to the project, sharing any applicable change management work breakdown structure modules. A *low* score means that the change has such a low impact that change management is not necessary.

2.4 Identify any barrier or enablers associated with key stakeholders

Identify issues that must be addressed to maximize the contribution of the project owner and key stakeholders to achieving the desired end-state. Issues that are identified will be added to the change work breakdown structure (WBS) matrix in section 4 – Develop the Change Management Plan.

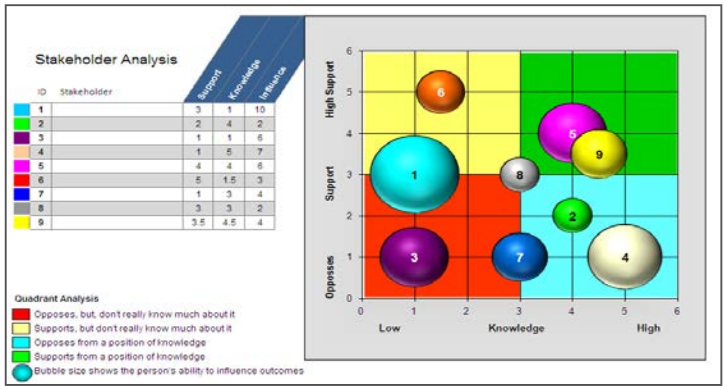


Figure 3 Stakeholder Analysis (bubble chart)

It is important to confirm all the stakeholders of the project. It is often useful to analyze key stakeholder relationship to the project in the areas of their level of support, knowledge, and ability to influence other stakeholders. The stakeholder analysis matrix is a way to easily do that:

After analyzing all key stakeholders, it will be important to develop mitigation strategies to influence stakeholders that are negative or lacking knowledge about the change. This is done in section 4 – Develop the Change Management Plan

2.5 Identify and prioritize risks inherent to the change

Identify specific risks to achieving the desired end-state of the project and maintaining productivity during the period of change.

Risk Plan

Sort by Risk Severity | Show Mitigation Plan | Show Contingency Plan
Renumber Risks | Hide Mitigation Plan | Hide Contingency Plan

Present Rank	ID or WBS Number	Description of the Risk	Potential Cost of the Risk	Impact (1-10)	Probability (1-10)	Severity Rating	Actions to Mitigate the Risk	Cost of Mitigation	Timing of the Mitigation Actions	Person Assigned to Mitigate the Risk
1	P3.2	Gate delays due to passengers complaining about no assigned seats	Unable to achieve # 1 in on-time status	8	5	40	Explain policy in advertizing	$8M/ year over 3 years	Start ads immediately . Target Jan1	Kumar
2						0				
3						0				
4						0				

Figure 4 Risk Planning Table

Fill out the change risk mitigation matrix to analyze change risks. It should be noted that these are specifically organizational change-related risks, rather than risks to the project. Prioritize these risks from those with the highest risk to those with the lowest risk.

3 Determine the Organization's Change Enablers and Barriers

3.1 Review historical enablers and barriers to change

The change manager should first develop a prioritized list of historical barriers and enablers for the coming changes that can be added to the change WBS matrix in section 4 – Develop the Change Management Plan.

A force field analysis is a useful tool for capturing a view of the organizations overall change history. Be sure to review any existing organizational change readiness assessments.

Figure 5 Barriers and Enablers Lists

Select the three or four top scoring enabling forces and opposing forces and add them to the list of "change enablers and barriers."

3.2 Assess the organization's current change capacity

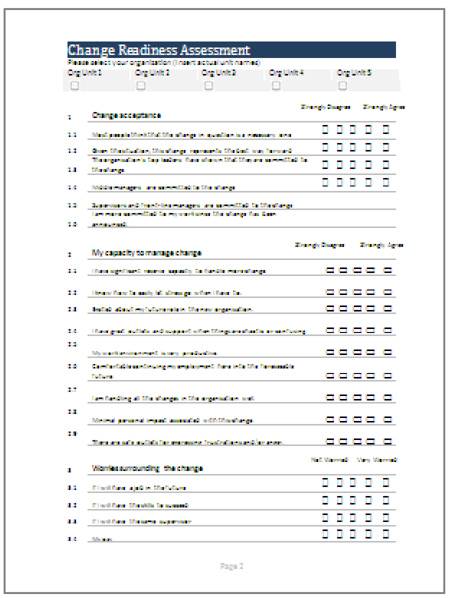


Figure 6 Change Readiness Assessment

It is important for the change manager to identify those barriers and enables that are present at an organizational level. These should also be added to the change WBS matrix.

If it is a significant change initiative, it will be important to assess the organizations capacity to absorb the change and position for success. This may not be required if there are previous change readiness assessments that can be accessed to obtain this data. Plus the change manager should be sensitive to the number and frequency of surveys generated. Surveys can be a significant distraction for busy workers.

See Appendix B - Change Readiness Assessment for the full change readiness assessment text.

3.2.1 Conduct interviews and/or focus groups if required

As an alternative, or as a supplement, to using an emailed or online survey the change manager may want to schedule interviews or facilitate focus groups. The questions for the interviews and focus groups should be based upon the customized change readiness assessment.

3.2.2 Prioritize the change enablers and barriers stemming from the organization's capacity to handle change

Continue to build the list of organizational enablers and barriers for the coming change that can be added to the change WBS matrix in section 4 – Develop the Change Management Plan.

Again, you can use the force field analysis tool to capture barriers and enablers of this particular change and its current perceived status within the organization.

3.3 Assess the availability and quality of change sponsors and champions

Add to the list of change enablers and change barriers items that come from the availability and quality of the change sponsors and champions. The change management plan will be developed out of the final list of change enablers and barriers. Change sponsors and change champions play an important part in determining whether a change will be adopted or resisted. People take clues from management as to whether they should take a change seriously or not. If "the right" managers don't seem to think the change is important, people will be more likely to ignore the change or make it a second priority. Managers with influence, who visibly support a change, can speed the rate of adoption. Managers need to be prepared and willing to give compelling reasons why the change is important to the business.

Draft a complete list of potential change sponsors and champions. Validate that they:

- Understand the significance of the project
- Are committed to supporting the project
- Are at an appropriate level in the organization such that they can make 80% of the critical decisions that the change project will require
- They have the necessary availability in their schedules to give the project the required attention

The stakeholder analysis matrix created in section 2.3 looks at the first three of these factors.

3.4 Assess the capacity of individuals to manage change

The change manager should assess the individuals that will be impacted by the change and add to the list significant change enablers and change barriers that can be added to the change WBS matrix.

According to Dr. Bridges there are two main drivers of behavior during times of change:

1. Fear of losses
2. Lack of information

Both can cause serious losses of productivity and extend the time it takes for people to adopt the changes. Our capacity to handle more change is known as "change resilience." Resilience is defined as: the ability to recover from or adjust easily to misfortune or change.

William Bridges says change is what happens to our work procedures and work environment. The organization can change in an instant; people on the other hand react to change slower and in different ways. People go through a transition period where they adjust to the change. Some people go through their transition quickly and ultimately align with the change. Other people will resist, ignore or deny the change. People's capacity to handle any given change is highly personal. Individual reactions to change can depend on factors such as:

- How much change is going on in other areas of their life
- Have they recently gone through stressful changes
- Have changes in the past been seen as positive or negative
- Do they perceive they are losing something that was valuable to them
- Are they healthy or sick
- Have they recently had significant personal losses
- Are they already feeling stress or pressure at work or at home

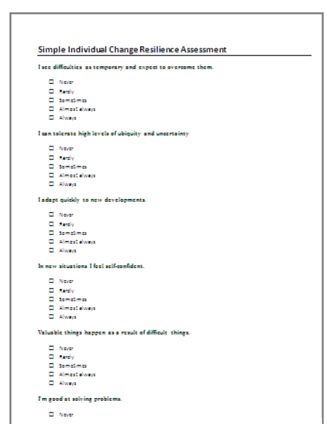
People can resist change for many reasons:

- They fear losses caused by the change
- They mistrust those who lead
- They disagree with the change
- They don't tolerate change well
- Their experience with past changes has been negative

Some of the things people can be afraid of losing due to the change are:

- Job security
- Psychological comfort and security
- Control over one's future
- Purpose/meaning
- Competence
- Social connections
- Territory
- Future opportunities
- Power
- Social status
- Trust in others
- Independence and autonomy

Some people will have lots of capacity to absorb more change; others will have little or no capacity to deal with more change. The state of an individuals and a groups collective "change resilience" can often be a major determining factor in whether the change will be adopted or not. The degree of change resilience can also impact the productivity losses associated with the change. As people focus on their losses and resist change productivity dips lower and the dip lasts longer.


Simple Individual Change Resilience Assessment

I see difficulties as temporary and expect to overcome them.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I can tolerate high levels of ubiquity and uncertainty

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I adapt quickly to new developments.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

In new situations I feel self-confident.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

Valuable things happen as a result of difficult things.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I'm good at solving problems.

- ☐ Never

Figure 7 Individual change resilience assessment

3.4.1 Assess the change resilience of the impacted population.

The change readiness assessment will measure how much change is coming. An individual change resiliency assessment will determine how much capacity people will have to deal with the change.

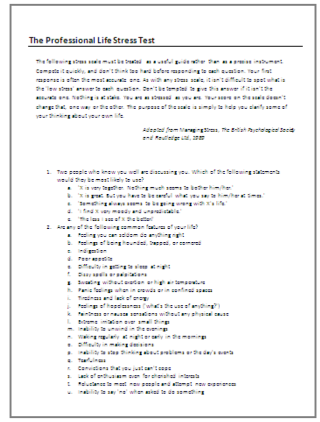


Figure 8 Professional Life Stress Test

See Appendix D – Simple Individual Change Resilience Assessment and Appendix E - The Professional Life Stress Test.

Prioritize the change enablers and barriers after assessing the status of individual change resilience in the group.

3.5 Create a prioritized list of the major change barriers and change enablers

Combine all of the significant change enablers and change barriers into a single prioritized list to be used to determine what should be included in the change management plan. The major change barriers can be added to the change WBS matrix in section 4 – Develop the Change Management Plan. Activities can be added to the change plan to leverage the change enablers.

Review the enablers and barriers to this change from:

- Specific areas of change mapped to the organizational structure – change point matrix (Section 2.2)
- Risks to the change (Section 2.3)
- Historical experience with change (Section 3.1)
- The organization's change capacity (Section 3.2)
- The capacity of individuals to successfully handle more change (Section 3.3)

Select the significant barriers to a successful change from each section above and combine them into a single prioritized list.

Select the significant enablers for a successful change from each section above and combine them into a single prioritized list. The force field analysis tool is often used to present the final list of barriers and enablers.

Figure 9 Change Barriers and Enablers List

4 Develop the Organizational Change Management Plan

4.1 Plan the change management activities (WBS)

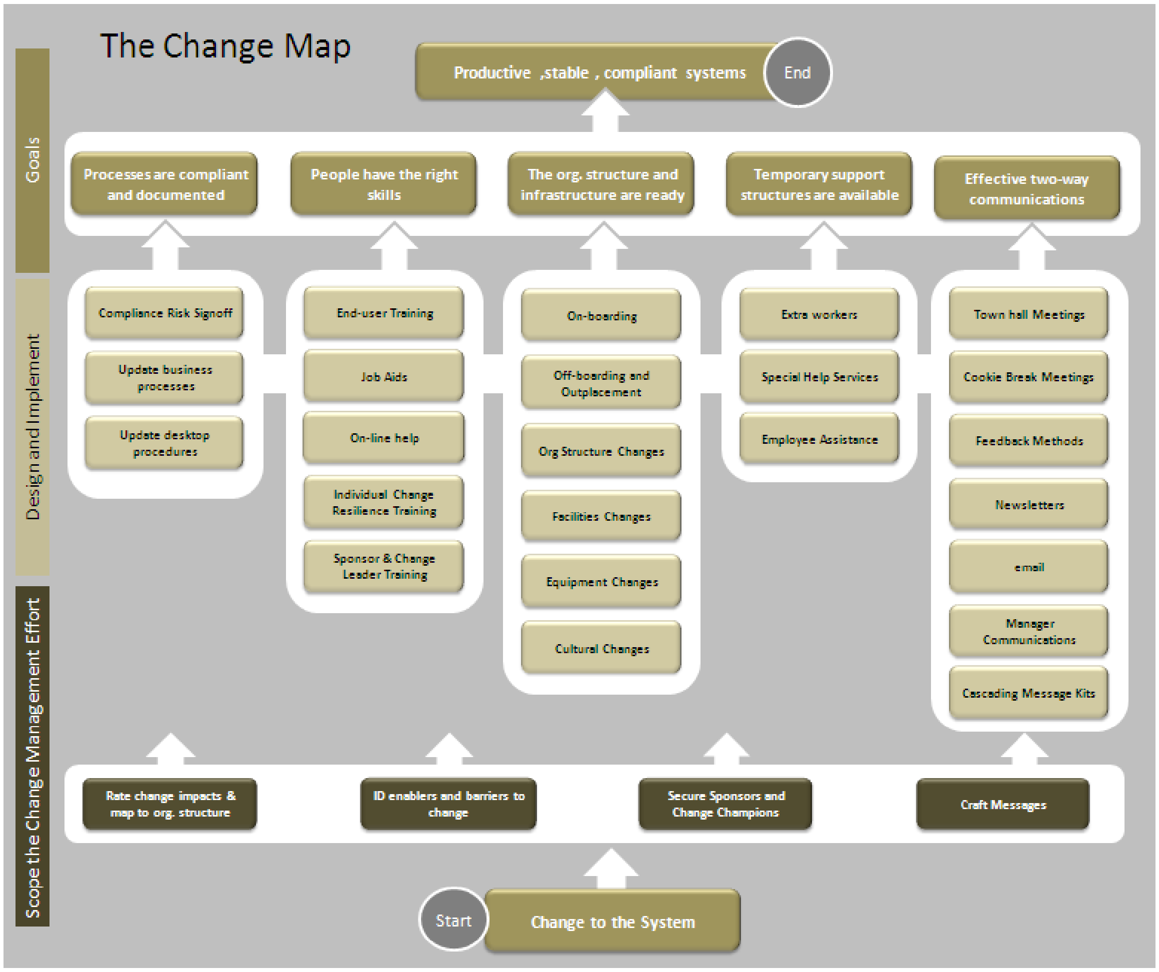


Figure 10 Change Map or Change WBS

The purpose of this activity is to develop a plan to return the organization to a productive, stable with compliant business systems as rapidly as possible by insuring that:

- People will have the right skills
- There are effective two-way communications during the change
- New organizational structures and infrastructure will be ready
- Temporary change support structures are deployed where needed
- All new processes are compliant and documented

Customize the standard change management WBS project modules to fit the specifics of the change project.

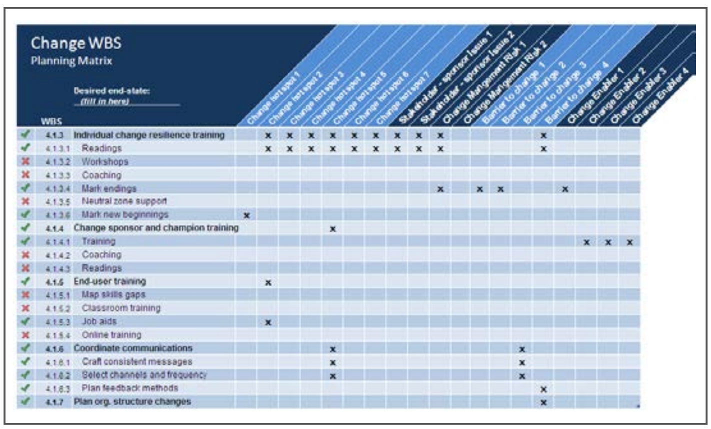
4.1.1 Review the business purpose of the project and the change management goals

Make sure there is a clear understanding of the business purpose of the project plus the conditions that are desired during and following toward which change management can make a contribution.

Possible change management goals:

- Delivering the business goals as quickly as possible
- Establishing a higher level of adoption of the changes
- Ensure compliance after all changes
- Avoiding productivity losses during the change period
- Doing the change at the lowest costs
- Staff retention
- Keeping moral high during the change period
- Emerging from the change with improved attitudes or culture

If there is not a clear understanding of the goals for the change management efforts, work with the change sponsor and key stakeholders to determine the complete range of their change management goals and priorities. Part of this discussion will be to clarify: the scope of the change based upon information gathered in the assessment phase.



Change WBS
Planning Matrix
Desired end-state:
(fill in here)

	WBS		Change hot spot 1	Change hot spot 2	Change hot spot 3	Change hot spot 4	Change hot spot 5	Change hot spot 6	Change hot spot 7	Stakeholder - sponsor issue 1	Stakeholder - sponsor issue 2	Change Management Risk 1	Change Management Risk 2	Barrier to change 1	Barrier to change 2	Barrier to change 3	Barrier to change 4	Change Enabler 1	Change Enabler 2	Change Enabler 3	Change Enabler 4
✓	4.1.3	Individual change resilience training		x	x	x	x	x	x	x	x	x					x				
✓	4.1.3.1	Readings		x	x	x	x	x	x	x	x	x					x				
✗	4.1.3.2	Workshops																			
✗	4.1.3.3	Coaching																			
✓	4.1.3.4	Mark endings										x		x	x			x			
✗	4.1.3.5	Neutral zone support																			
✓	4.1.3.6	Mark new beginnings	x																		
✓	4.1.4	Change sponsor and champion training					x														
✓	4.1.4.1	Training																	x	x	x
✗	4.1.4.2	Coaching																			
✗	4.1.4.3	Readings																			
✓	4.1.5	End-user training		x																	
✗	4.1.5.1	Map skills gaps																			
✗	4.1.5.2	Classroom training																			
✓	4.1.5.3	Job aids		x																	
✗	4.1.5.4	Online training																			
✓	4.1.6	Coordinate communications					x									x					
✓	4.1.6.1	Craft consistent messages					x									x					
✓	4.1.6.2	Select channels and frequency					x									x					
✓	4.1.6.3	Plan feedback methods															x				
✓	4.1.7	Plan org. structure changes															x				

Figure 11 Change Work Breakdown Structure Planning Matrix

4.1.2 Select change activities

Transfer the "hot spots" from the change point matrix and the significant barriers and enablers to the change to the change WBS planning matrix. The change WBS planning matrix is constructed with the types of change that can impact your organization across the top and possible change management activities down the left side. For each area that was rated as having a "high" or "medium" degree of change, select an appropriate change management activity from the left column. The goal is to build a change management plan that will produce the desired end-state and minimize productivity dips during the period of change. The activities in the left hand column were taken from the MS Project generic change management plan.

Select activities from the generic change plan, WBS that will:

- Keep productivity as high as possible during the period of change

- Shorten the time between introducing the change and full adoption
- Deliver all of the elements of the desired “end-state”
- Address the “hot spots” in the change point matrix
- Leverage the “enablers” to change
- Overcome the “barriers” to change

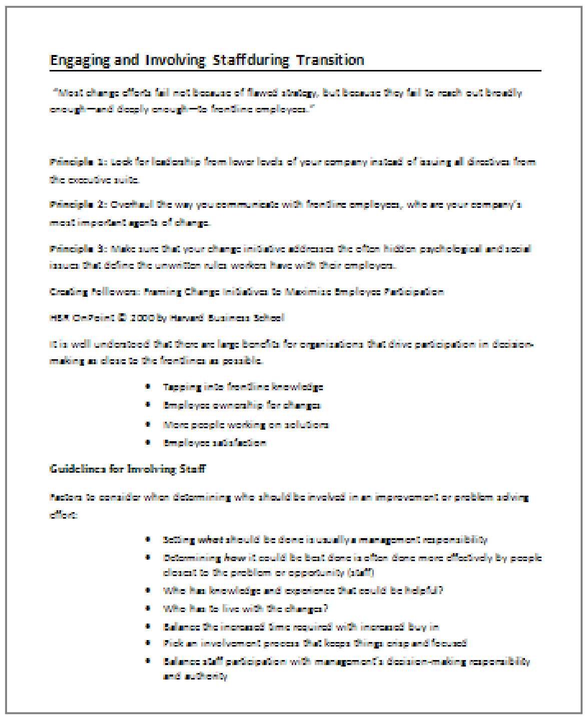
People can develop their innate capacity to be resilient by:

- Learning to solve problems vs. becoming a victim to problems
- Have positive expectations for the future
- By experiencing positive results during change
- Maintaining health
- Having a robust support network
- Having a robust support network

4.1.4 Create energy and lower resistance by involving staff

Avoid a situation where the changes are being planned in secret and then rolled out and “sold” to the staff. This invites a range of change induced problems that can range from disinterest in adopting the change to resistance to the change. The more people are involved in planning the change and the change management activities the more supportive people will be.

Involving staff and end-users in the planning fundamentally changes the change management environment. You are no longer in a position of “selling” the changes to the skeptical or the uninvolved, but working cooperatively with people to help them achieve goals they have set for themselves around the changes.


Engaging and Involving Staffduring Transition

“Most change efforts fail not because of flawed strategy, but because they fail to reach out broadly enough—and deeply enough—to frontline employees.”

Principle 1: Look for leadership from lower levels of your company instead of issuing all directives from the executive suite.

Principle 2: Overhaul the way you communicate with frontline employees, who are your company's most important agents of change.

Principle 3: Make sure that your change initiative addresses the often hidden psychological and social issues that define the unwritten rules workers have with their employers.

Creating Followers: Framing Change Initiatives to Maximize Employee Participation

HBR OnPoint © 2000 by Harvard Business School

It is well understood that there are large benefits for organizations that drive participation in decision-making as close to the frontlines as possible.

- Tapping into frontline knowledge
- Employee ownership for changes
- More people working on solutions
- Employee satisfaction

Guidelines for Involving Staff

Factors to consider when determining who should be involved in an improvement or problem solving effort:

- Setting *what* should be done is usually a management responsibility
- Determining *how* it could be best done is often done more effectively by people closest to the problem or opportunity (staff)
- Who has knowledge and experience that could be helpful?
- Who has to live with the changes?
- Balance the increased time required with increased buy in
- Pick an involvement process that keeps things crisp and focused
- Balance staff participation with management's decision-making responsibility and authority

Figure 12 Engaging and Involving Staff during Transitions

For a detailed discussion of how to creatively engage staff in the change management process see Appendix L - Engaging and Involving Staff during Transition.

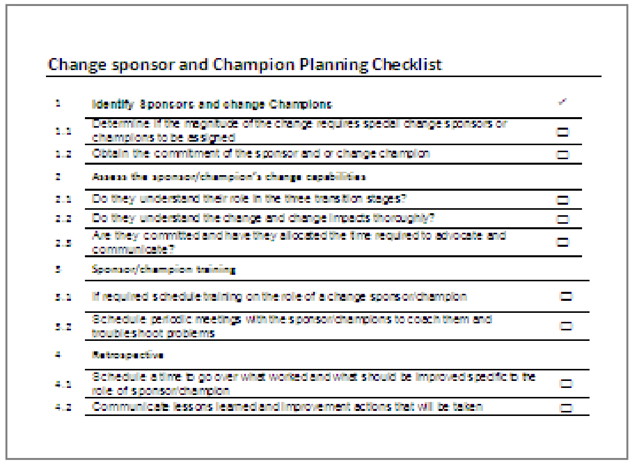
4.1.5 Plan change sponsors and champions training and coaching

Determine the level of change awareness in the sponsor/champion group. Make an assessment of the following:

- Knowledge of the stages of transition and the actions required
- Understanding of the need to *effectively* communicate
- Understanding of how the change may be viewed by the end-users
- Understanding of how involving end-users in the process lowers resistance

If the awareness level is low, plan to offer a brief executive overview training of change and transition management.

See Appendix G -Change sponsor and Champion Planning Checklist



Change sponsor and Champion Planning Checklist

1	**Identify Sponsors and change Champions**	✓
1.1	Determine if the magnitude of the change requires special change sponsors or champions to be assigned	☐
1.2	Obtain the commitment of the sponsor and or change champion	☐
2	**Assess the sponsor/champion's change capabilities**	
2.1	Do they understand their role in the three transition stages?	☐
2.2	Do they understand the change and change impacts thoroughly?	☐
2.3	Are they committed and have they allocated the time required to advocate and communicate?	☐
3	**Sponsor/champion training**	
3.1	If required schedule training on the role of a change sponsor/champion	☐
3.2	Schedule periodic meetings with the sponsor/champions to coach them and troubleshoot problems	☐
4	**Retrospective**	
4.1	Schedule a time to go over what worked and what should be improved specific to the role of sponsor/champion	☐
4.2	Communicate lessons learned and improvement actions that will be taken	☐

Figure 12 Checklist Change Sponsor Planning

4.1.6 Coordinate end-user skills training plan

Work with the training department to make sure that any necessary end-user skills training is identified and included in the overall change plan:

- Create skills gap map (heat chart)
- Determine specific training solution to be used
- Develop desktop aids and online references

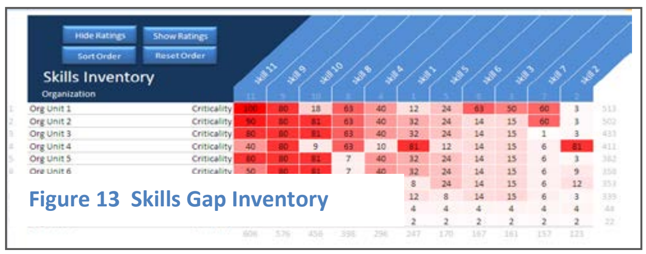


Figure 13 Skills Gap Inventory

4.1.7 Plan communications

The communication about the specifics of any change initiative is a key to the success of the project. There are many types and levels of communications that become appropriate based upon the change project complexity and the number of people impacted by the change. In general, a change initiative involves the following three steps:

1. Craft consistent messages
2. Select channels and frequency
3. Plan feedback methods and frequency

You can't communicate enough or talk to enough people. Communicate clearly and frequently. For more detailed information about these specific communication steps. See Appendix H - Planning Major Change Announcements Template

Planning Major Change Announcements Template

The Headline (The essential message: Crisp, clear, and well crafted):			
Best method, time and place to disseminate the message:			
Supplemental and supporting information			
Topics	Source - Author	Location	Method of Distribution
Plan to gather feedback and validate what people heard			
Group	Feedback Method(s)	Date(s)	Chief Listener
Dialogue to clarify the message			
Group	Dialogue Method(s)	Date(s)	Facilitator

Behaviors that can be modeled			
New behaviors or procedures that could be modeled	How it can be modeled	Who will model	Where and when
Attitudes that could be modeled	How it can be modeled	Who will model	Where and when
Virtual team skills that could be modeled	How it can be modeled	Who will model	Where and when
Demonstrations of compassion, justice, respect, excellence and stewardship	How it can be modeled	Who will model	Where and when

Figure 14 Major Change Announcement Planning Template

Ongoing or Periodic Communications

It is important to establish multiple (depending on the size of the change initiative) regular and reliable formats for communications. At LBPS this includes: email, the IBM Enterprise Content Management (ECM) system, staff meetings, round table discussions, and for significant announcements all-hands meetings. The following planning checklist and template assist in the planning of these kinds of communications.

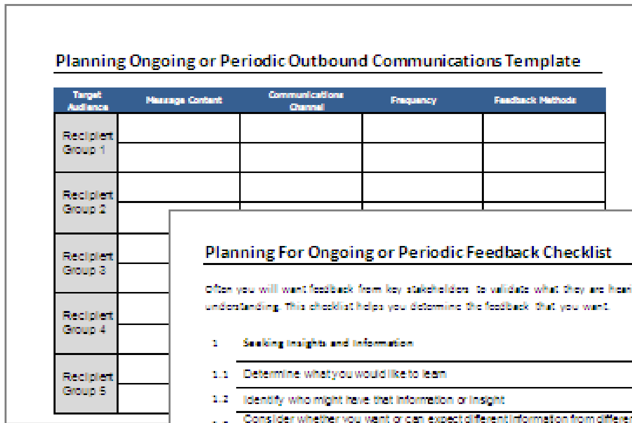
Ongoing or Periodic Communications Planning Checklist

1	**The Right Messages**	✓
1.1	Agree on what you want people to know and or do as a result of the communication	☐
1.2	Be sure content is provided and checked by the appropriate person or people	☐
1.3	Check for "unintended messages"	☐
1.4	Select the appropriate person to send the message	☐
2	**The Right Channel and Frequency**	
2.1	Select an optimal communications channel to get an appropriate hearing	☐
2.2	Determine the number of different communications channels needed	☐
2.3	Set a frequency of communications that is appropriate	☐
3	**Two-way Communications**	
3.1	Provide people with an effective and timely way to respond	☐
3.2	Provide people with an appropriate method and time to share confidential feedback	☐
3.3	Insure that confidential feedback is going to a "safe and trusted" person	☐
3.4	Clarify how any input will be used and where and how decisions will be made	☐
4	**Verification and Validation of Communications**	
4.1	Verify that the right message got through	☐
4.2	Validate the communications format, channel and frequency for effectiveness	☐
4.3	Revise communications procedures to improve their effectiveness based on feedback	☐

Figure 15 Outbound Communications Checklist

See Appendix I – Ongoing or Periodic Communications Planning Checklist

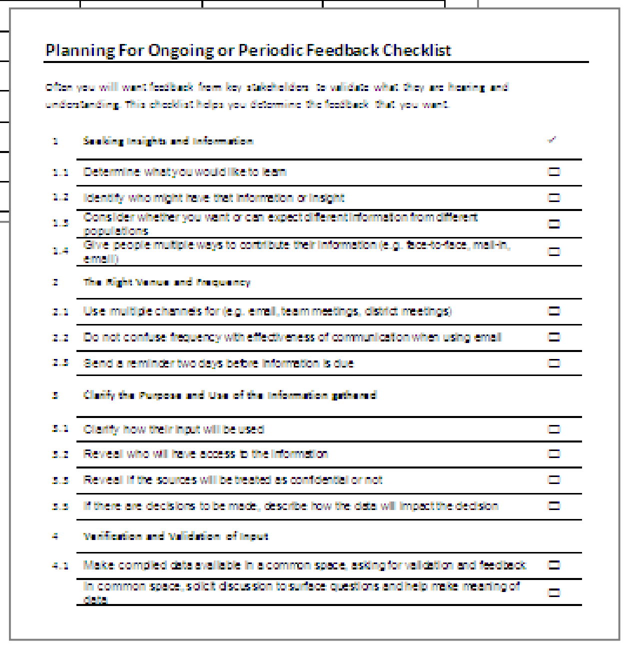
See Appendix J - Planning Outbound Communications Template



Planning Ongoing or Periodic Outbound Communications Template

Target Audience	Message Content	Communications Channel	Frequency	Feedback Methods
Recipient Group 1				
Recipient Group 2				
Recipient Group 3				
Recipient Group 4				
Recipient Group 5				

Figure 16 Planning Ongoing or Periodic Outbound Communications Template



Planning For Ongoing or Periodic Feedback Checklist

Often you will want feedback from key stakeholders to validate what they are hearing and understanding. This checklist helps you determine the feedback that you want.

1	**Seeking Insights and Information**	✓
1.1	Determine what you would like to learn	☐
1.2	Identify who might have that information or insight	☐
1.3	Consider whether you want or can expect different information from different populations	☐
1.4	Give people multiple ways to contribute their information (e.g. face-to-face, mail-in, email)	☐
2	**The Right Venue and Frequency**	
2.1	Use multiple channels for (e.g. email, team meetings, district meetings)	☐
2.2	Do not confuse frequency with effectiveness of communication when using email	☐
2.3	Send a reminder two days before information is due	☐
3	**Clarify the Purpose and Use of the Information gathered**	
3.1	Clarify how their input will be used	☐
3.2	Reveal who will have access to the information	☐
3.3	Reveal if the sources will be treated as confidential or not	☐
3.3	If there are decisions to be made, describe how the data will impact the decision	☐
4	**Verification and Validation of Input**	
4.1	Make compiled data available in a common space, asking for validation and feedback	☐
	In common space, solicit discussion to surface questions and help make meaning of data	☐

Feedback is an important part of any communications plan. It is important to both validate the effectiveness of outgoing communications, and to determine what needs need to be addressed in further communications. See Appendix K - Feedback Planning Checklist

Figure 17 On-going Feedback Checklist

4.1.8 Plan to coordinate any required modifications to the organization's structure

If the change plan will involve changes to the organization's structure (roles, tasks, reporting level, performance metrics, etc.), determine the activities that need to occur to put these changes in place:

1. Coordinate the determination of facilities and infrastructure requirements caused by the change.
4. Coordinate the determination of any staffing requirements caused by the change.
5. Coordinate the planning of staff redeployments, hiring's or outplacements with impacted management
6. Facilitate the design and deployment of optimal organizational structures
7. Facilitate discussions with key stakeholders to help develop a strategy to move the organization towards an optimal and supportive organizational culture in areas impacted by the change.

4.1.9 Plan useful temporary support structures

Determine any work arounds or temporary working arrangements that need to be put in place to support impacted stakeholder groups while the change is being rolled out.

4.2 Clarify that responsibility for all change management results are clear

The purpose of this is to ensure that there is no confusion about who is doing what.

A change management project typically requires the coordination of activities across organizational boundaries. There can be confusion about who is going to do actual work. It is essential that all responsibilities and working relationships are negotiated, agreed to and documented. A responsibility and assignments matrix can be a useful tool for this.

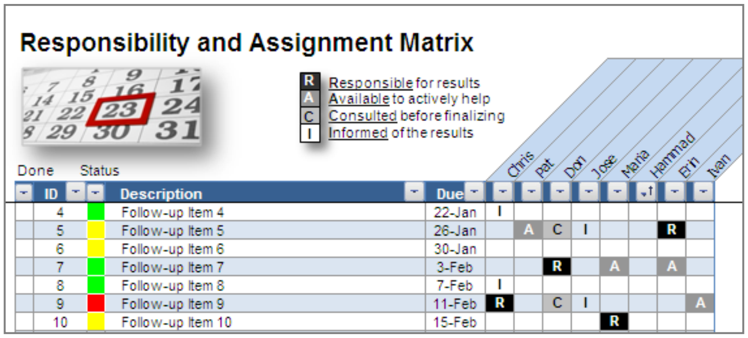


Figure 18 Responsibility and Assignment Matrix

4.3 Confirm due dates for all change management milestones (for all 4.1 activities)

Working to guarantee that the team is in agreement on when milestones will be finished is important for the success of the project.

Coordinate with the Project Manager to plan the appropriate timing of the WBS change modules, to minimize organizational impact, and resolve any conflicts. Refine the Gantt chart of the WBS change activities, as appropriate.

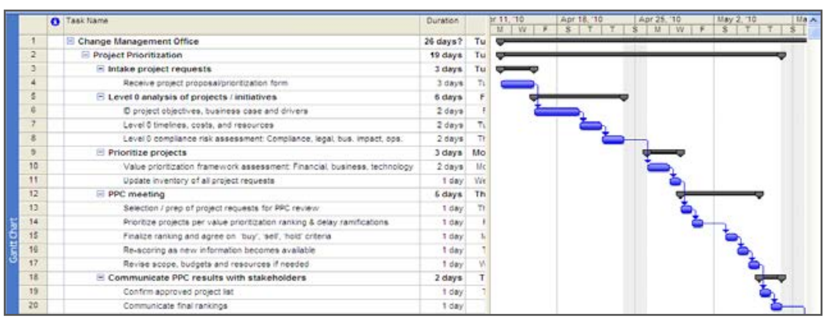


Figure 19 Change Management Project Schedule

4.4 Analyze project plans for compliance risks

Insure that there are no unacceptable risks to compliance, legal, business impact, operations imbedded in the change management plan.

- Pass the completed change management plan to the Operations Risk Analyst
- The operations risk analysis will review the project as designed for legal and compliance issues

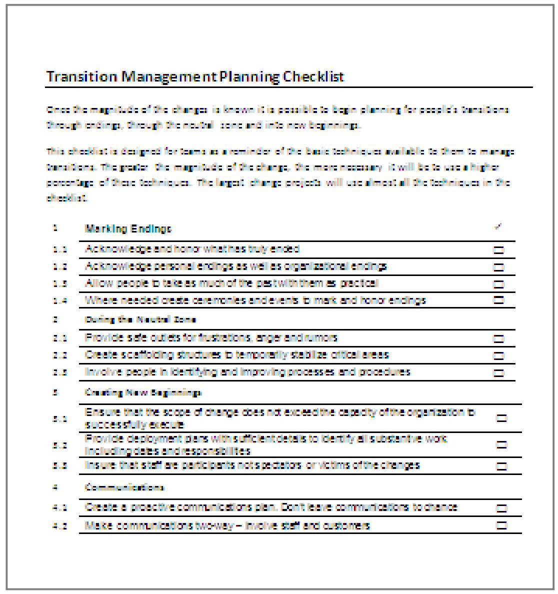
- Correct any compliance related issues

4.5 Review and approve the change plan

Review the change plan with the project owner, project manager, and any key stakeholders that stand in a decision-making capacity on the project. The purpose of this step is to gain a common understanding of the change plan, make any necessary modifications, and to secure final approval for the change activities. This step can be done electronically, but for a large change project, this review should be in person. For a significant change projects it is advisable to have an approval sign-off page for the change plan with a line for each key stakeholder.

5 Create a transition plan to help people successfully deal with change

To accelerate the speed of change adoption by directly addressing the issues that slows the psychological acceptance of change. See Appendix F - Transition Management Planning Checklist.



Transition Management Planning Checklist

Once the magnitude of the changes is known it is possible to begin planning for people's transitions through endings, through the neutral zone and into new beginnings.

This checklist is designed for teams as a reminder of the basic techniques available to them to manage transitions. The greater the magnitude of the change, the more necessary it will be to use a higher percentage of these techniques. The largest change projects will use almost all the techniques in the checklist.

1	**Marking Endings**	✓
1.1	Acknowledge and honor what has truly ended	☐
1.2	Acknowledge personal endings as well as organizational endings	☐
1.3	Allow people to take as much of the past with them as practical	☐
1.4	Where needed create ceremonies and events to mark and honor endings	☐
2	**During the Neutral Zone**	
2.1	Provide safe outlets for frustrations, anger and rumors	☐
2.2	Create scaffolding structures to temporarily stabilize critical areas	☐
2.3	Involve people in identifying and improving processes and procedures	☐
3	**Creating New Beginnings**	
3.1	Ensure that the scope of change does not exceed the capacity of the organization to successfully execute	☐
3.2	Provide deployment plans with sufficient details to identify all substantive work including dates and responsibilities	☐
3.3	Insure that staff are participants not spectators or victims of the changes	☐
4	**Communications**	
4.1	Create a proactive communications plan. Don't leave communications to chance	☐
4.2	Make communications two-way – involve staff and customers	☐

Figure 20 Transition Management Planning Checklist

During times of change, people need the time and ability to go through a process of making peace with endings, and the time and ability to go through a chaotic middle ground before they can fully embrace new beginnings. There is a great danger the very changes designed to help everyone will:

- Be resisted by the very people we want to help and those we need the most to make things work
- Get people lost and destroy old patterns of productivity
- Alter mission critical relationships
- Reduce people's satisfaction with their jobs and end up reducing productivity

The reason for the potential problems is that while organizations can be changed with the stroke of a pen, people change more slowly and go through a period of adjustment and "transition". Transitions involve three distinct stages:

- A period of endings
- A chaotic middle ground
- Creating and adjusting to new beginnings.

A common mistake is to avoid the first two stages and attempt to go directly to the new beginnings. In the literature this is called an "unmanaged transition." An unmanaged transition typically takes longer, experiences greater productivity losses and results in unnecessary losses of key staff.

5.1 William Bridges Three Questions [1]

Getting ready to talk to the executive director of a large non-profit organization the other day, I found myself jotting down three questions that I wanted to ask her. I realized that I had been

[1] Taken from *Organizations in Transition*, Vol 13, #2

using these questions with clients, in one form or another, for some time now but had never written them out and reflected upon why I was using them. When I did so, I realized how central they are to my practice. Here they are:

- What is changing?
- What will actually be different because of the change?
- Who's going to lose what?
- Here is why I think that they are so important:

5.1.1 What is changing?

It surprising how often organizations undertake changes that no one can describe very clearly.

> **Unclear descriptions of change:** "*We're changing the whole way we manufacture our product." Or, "We're developing a world-class HR infrastructure." Or, "We've come to believe that it is time to rethink the way that we go to market competitively and differentiate ourselves from the other niche players in our industry.*

The trouble with these announcements is that they convey a very unclear picture of the change to those who have to make it work.

In fairness, it is often true that at an early stage in the process they themselves have only a vague idea of what, specifically, is going to have to change. The planners know only that there needs to be change in response to some threatening presence or some great opportunity "out there."

But until that vagueness can be cooked out of the undertaking and until the leaders of the change can not only explain it clearly, but do so in a statement lasting *no longer than one minute,* there is no way that they are going to be able to get other people to buy into the change. Longer explanations and justifications will also have to be made, of course, but it is the one-minute statement that will be the core of people's understanding.

Don't get me wrong. I am not urging you to do a *Readers Digest* version of all your strategic plans. I'm only saying that the successful leader is a person who can take a complex change and reduce it to statements that are readily comprehensible to the people who are going to have to make the changes work. The Communications Department may offer editorial help, but the statement itself needs to express the understanding and intention of the leader.

So the first thing to check is whether there is, in fact, a short statement describing and justifying the intended change, one that doesn't use jargon. (What is a "world class HR infrastructure," anyway?)

And be sure that the statement ties the change to whatever situation it is that makes the change important. The way we often say that to our clients is, "Sell the problem before you try to sell the solution." In other words, don't try to make a change to meet a challenge, solve a problem, or seize an opportunity unless you have already established the challenge, the problem, or the opportunity in people's minds.

5.1.2 What will actually be different because of the change?

Explaining the *what* and *why* of the change is essential, but it is not enough. I go into organizations where a change initiative is well underway, and I ask what will be *different* when the change is done—and no one can answer the question. One of my students arrived to run a transition management seminar at a large oil company and asked, in all innocence, what was going to be different because of the change. "We thought that you were going to tell us," replied the room full of managers.

Many change projects are designed and launched at such a high level in the organization that all the planning is unrelated to the everyday, operational details that make up the lives of most workers. In such cases, the decision-makers often have no idea how changes will actually make anyone's life or job, or even the function of a whole department, different. Yet that is all that people need to know before they can embrace and support a change.

Leaders find this frustrating. "The workers can't even see the crisis the organization is facing!" they growl. True. But who is responsible for that fact? Leaders are paid to understand the organization's larger problems, but at most companies the people under them are paid to do their jobs. When we tell the leaders that they ought to share the state of the business, in all its financial detail, with their followers, they say, "That'll just worry them. Besides, they don't need to know that stuff to do their jobs."

A change may seem very important and very real to the leader, but to the people who have to make it work it seems quite abstract and vague until actual differences that it will make begin to become clear. Some of those differences will be behavioral (answering customer complaints within 24 hours, for instance), while others will be structural (realigning sales teams by product rather than region or reducing the layers between CEO and line workers from twelve to five).

The drive to get those *differences* clear should be an important priority on the planners' list of things to do. If the differences simply cannot be spelled out at this time, then tell people how they will be established (by whom, using what criteria?) and when the differences will be explained. If you miss that date, by some mischance, explain why you missed it and give a new date. The thing to remember: Say what you'll do and do what you say.

5.1.3 Who is going to lose what?

The previous two questions, as important as they are, concern the *change*--the shift in the situation. The *transition*--the psychological reorientation that the people must go through to make the change work—does not start with a new situation. It starts when the affected people let go of their old situation. Endings come first. You can't do something new until you have let go of what you are currently doing. Even the transitions that come from "good" changes begin with *losses* of some sort, for letting go of the old way is experienced by the people who were used to it as a *loss.*

For that reason, we often say in training programs that you don't cross the line separating change *management* from *transition management* until you have asked "Who will lose [or has lost] what?" Some of our clients resist asking that question. "That's negative," they say. "We want to be positive about this change." Or they argue, "Let's don't talk about what is ending. What we want them to understand is the new things that are beginning." Or they rationalize: "It isn't as though they were going to lose their jobs. It's just a reorganization, for heaven's sake"--as if leaving the team or the boss you've worked with for a year weren't a loss. Sometimes they argue, "If we talk about losses, we'll just trigger off a lot of bitching and moaning," or that "I don't think that loss-stuff has even occurred to them. We don't want to be putting ideas into their heads."

There must be a hundred other versions of this objection to dealing with endings and losses, but they are all variations on a single theme: the mistaken idea that the best way to get people through a transition is to deny that they are even in a transition. In fact many communications projects are based on this central misconception that you can (and should) talk people out of their reactions to the change.

Transition management is based on another idea: that the best way to get people through transition is to *affirm their experience* and to help them to deal with it. It is not a question of agreeing with people or being nice to them. It is simply a question of understanding how the world looks to them and using that as the starting point in your dealings with them.

When you do that, you bring issues out on the table, build trust and understanding, and give people the tools they need to move forward through a difficult time. When you speak to where people actually are in the transition process rather than telling them that they ought to be somewhere else, you are bringing people along with you.

If, on the other hand, you deny endings and losses and act as though they did not need to let go of anything, you are sowing the seeds of mistrust and talking in a way that simply convinces people that you don't know or care anything about them. That is not your intent, of course. But that is why "Who is going to lose what?" is such an important question.

For it is by asking that question, that you open the door to the transitions that people will have to make if the change is to work. It is that question that helps them to let go of the old way, so that the new way can be established and work.

More than half of "communication" is the result of listening rather than speaking. That is why three questions are so important in a time of change:

What is changing?

What will be different because of the change?

Who's going to lose what?

They not only create a climate of listening which reassures people and defuses opposition. They also generate information that you may not, yourself, know yet. And, hey, you're in transition too.

5.2 Dealing with endings

People cannot adopt the new way of doing things until they have released the old ways. Those planning organizational changes need to also plan to assist their staff in accepting what has ended.

The first step to restoring any morale and productivity losses is to accept what specific things have ended and need to be grieved and then given up. It is usually *not* sufficient to only emphasis the positive gains within the change. A quicker transition to productivity can be made if the leadership team insures that everyone goes through a process of identifying and dealing with losses.

5.2.1 Dealing with Losses

Behavior that signals that people are grieving for real and perceived losses:

Anger	Sadness
Bargaining	Disorientation
Anxiety	Depression

Losses shared by everyone

Identify what was good and is now lost in the new order of things. Organizations lose such things as:

- Structure – a way that the organization functioned that was clearly understood
- Meaning – commonly understood values and interpretation of outcomes
- Vision/Mission/Values – the old comfortable vision may have shifted…even a small shift will be perceived as a loss

Publicly acknowledge and honor these losses – don't try to hide them or gloss over them.

- Talk about what was good about the "old" way before talking about the new…do not make the old way totally wrong
- Talk or get people to talk about what is being lost and what that feels like to them
- In these initial meetings hold the future vision and plan out there, but allow a set period of time (e.g. a month) to mainly focus on endings.

For difficult losses create ways of marking the endings. Acknowledging and marking endings is the first step in moving beyond strongly felt losses and starting the journey towards a new beginning.

If people are losing their position, provide outplacement assistance and keep those remaining apprised and celebrate when the person finds a new position so people don't feel like the person has "disappeared"…a fate which they may share someday.

When a company or part of a company loses a highly regarded manager, hold a good- bye event and allow people to say goodbye and put forward their good wishes. If at all possible have the manager who is leaving introduce the new manager…even if he/she needs to come back to do so. This lends legitimacy to the new manager and provides continuity in the transition.

Case Example:

When one organization was forced to lay off employees, they set up a special area for outplacement training and services. The company kept a special bulletin board with pictures in the cafeteria to let people know when someone had landed on their feet. People understood the business reasons for the lay-off but felt that people were being humanely treated, which kept the morale from plummeting.

Losses for individuals

Train all staff members to identify and acknowledge what they personally will be losing due to the changes. People lose such things as:

- Attachments – relationships with managers and co-workers
- Turf – an area where a person had power or influence
- Reputation and Expertise – learning new skills can seem like "starting over;" being valued for your expertise is a primary motivator for many people
- Future - clear career goals
- Control – an ability to direct a set of tasks or people in a way that ensured the outcomes

Recognize the broad range of things that people can perceive of as losses

Honor peoples' losses even if they don't seem significant to you

Create safe formats for them to express and grieve for what they're losing. For example:

- Hold small focus groups to listen to peoples concerns without judgment. At the end of the session, let people begin to image what the new way will be like.
- Set aside several hours a week for appointments just to address peoples concerns and questions about the change. Keep them to 15 minutes (face-to-face or on the phone),
- Set aside a section of the team meeting for the team to surface questions, issues or concerns…seed these discussions with your own issues and what you are doing about them.

Assist them in creating a formal ending for these losses. The formal ending marks a place in time where people can begin to move toward their new beginnings.

- If people are moving into new positions, hold a luncheon to honor them for their past service.
- Hold a funeral. This works particularly well when it is an old “system” that is changing. Have people write down the thing they liked the most about the old system and fold it up adding it to a “coffin” which can later be disposed of in a way the group sees fit. It is good to do this close to the go-live of a new system.

5.3 The “Transition Zone”

People don’t recover immediately from their real and perceived losses. It is common for them to enter a chaotic middle ground called the neutral zone. This period can be identified by people alternately focusing on moving forward into the new beginnings and then returning to worrying, grieving or complaining about what has been lost. This vacillating is normal behavior for people transitioning through a change with strong perceived losses.

There are a few key things that leaders and managers can do to shorten unproductive time in the neutral zone. Allow people a space and time for erratic neutral zone behavior.

Resist saying:

- “Get over it and get back to work!” Something more like, “I know this change is hard to adjust to, what things in particular are causing problems for you?”
- “If you can just hang on a little longer, I think you will feel better about some of these changes as we work out the kinks.”
- “I think what you are doing to cope with this change is creative, would you mind sharing that at our next team meeting?”

Create temporary support systems

- Be clear that they are only a temporary work-around.
- Create and use a transition monitoring team to help with communications at team meetings and to assist you in taking issues and questions forward.
- Involve everyone in inventing creative solutions (see Chapter 1).

Use the chaotic neutral zone as an opportunity to be creative

- The CMO can help design and facilitate change related meetings, retreats and brainstorming or problem-solving workshops to design and improve things.
- Use the CMO to provide training in creative problem solving techniques.
- Encourage experimentation.
- Don’t block people’s creativity by making the temporary systems too rigid.

5.4 New Beginnings

It is important to get the sequencing correct with new beginnings. There is a temptation to begin a change with a "new beginning" celebration or announcement. The "new beginnings" we are talking about here are not the announcement of the change. The "new beginnings" here is the recognition that the change has happened and the adjustments required have largely been successfully made. It acknowledges that the losses associated with the change have been adjusted to and we are entering a new phase of productivity and focus. Having the new beginning too early may lengthen the time people spend in the low productivity "neutral zone."

A good analogy would be the transition someone goes through when change takes the form of losing a loved one.

- Endings – the memorial service acknowledging the loss
- Neutral zone - a period of grieving
- New beginning – becoming engaged and active again

New beginnings refers to the planned and orchestrated process of moving people away from endings, out of the chaos of the neutral zone and focusing on the new state of increasing productivity.

Techniques:

1. Create powerful symbols, stories and analogies for the new identity. For example:

   When Jack Welch was trying to transform an old-fashioned manufacturing company into a more entrepreneurial company, he created the values of "Speed, Simplicity and Boundarylessness," and spent a year defining those values and telling stories of people within the company who exemplified them.

8. Carefully design and sequence each new start.
9. Have an executable plan for each new beginning
10. The timing of each new beginning is critical.
11. Don't overwhelm employees.
12. Change one thing at a time.
13. Clearly explains the purpose of the changes
14. Give each individual an important part to play.
15. Give people specific information they can act on about the new state of things.
16. Provide people with the knowledge and skills to excel. People often start out associating the learning of a new skill with a loss of reputation or expertise. Make sure they have the resources they need to quickly gain competence in the new skill:
17. Have a development plan in place
18. When you tell employees the new things that will be required of them, be able to tell them when they will be trained and for how
19. Carefully orchestrate and celebrate a continuing series of "wins." For example, when the team solves a difficult customer service problem using the new methods or tools:
20. Get communications resources involved to coordinate

21. Give people kudos and put the story in a newsletter and on the website with pictures…be sure it is seen with the organization and within the company.
22. Acknowledge the beginning in meetings
23. Acknowledge the beginning in emails

6 Conduct a risk analysis for the change management plan

It is important that the change manager anticipate what can go wrong with the change management plan and take steps to mitigate those possibilities.

Look at change activities in the context of other major activities competing for attention during the same time period. Take into account all change readiness data collected previously as well as the complexity of internal and external work product handoffs and the change history of the end-users impacted by the change. For a small change this analysis will be short or nonexistent. However, for larger change efforts, the analysis may surface many potential issues.

6.1 Identify risks to the change plan

Using the r*isk possibilities list*, express all the potential risks to the change effort, with everything that is known about each issue

Change management risks can include:

- Inadequate end-user involvement
- Inadequate management support
- Insufficient time available for the change manager
- Management doesn't adequately understand the change
- Communications fail to get the message across
- Training on new systems and processes is inadequate
- Training may be adequate, but people don't have time to attend
- Desktop job aids not available at implementation
- Users devise unauthorized workarounds to avoid adopting the changes
- People are distracted by other priorities or stresses
- People don't understand the need for the change
- People don't ultimately accept that the changes are necessary
- People resist the changes because they are overloaded
- People see change management as a distraction and resist or ignore it

Risk Plan

Sort by Risk Severity | Show Mitigation Plan | Show Contingency Plan
Renumber Risks | Hide Mitigation Plan | Hide Contingency Plan

Present Rank	ID *or WBS Number*	Description of the Risk	Potential Cost of the Risk	Impact (1-10)	Probability (1-10)	Severity Rating	Actions *to Mitigate the Risk*	Cost *of Mitigation*	Timing *of the Mitigation Actions*	Person Assigned *to Mitigate the Risk*
1	3	Low management support	Delays in adoption	8	5	40	Meet with managers to see the understand the needs	2 hours	Week 1	Lena
2	1	Desktop job aids aids not available	Error rates high initially	4	4	16	Coordinate with training	3 hour	Week 3	Ed
3						0				
4						0				

Figure 21 Risk Planning Table

6.2 Prioritize the change management plan's risks

Rank each of the risk for impact and probability on a scale of 1 to 5. Multiply those two numbers together to obtain a “risk severity” rating. Sort the list of risk by order of “severity” to identify the top risks to which you should pay the most attention.

6.3 Develop mitigation and contingency plans for the top risks

Using the *Risk Planning Table*, add mitigation and contingency plans that can be adopted if the risk should occur.

7 Execute the Change Management Plan

7.1 Monitor change milestone delivery and key performance indicators

Monitoring the milestones and key performance indicators (KPIs) provides a simple way to track progress and predict schedule problems in advance.

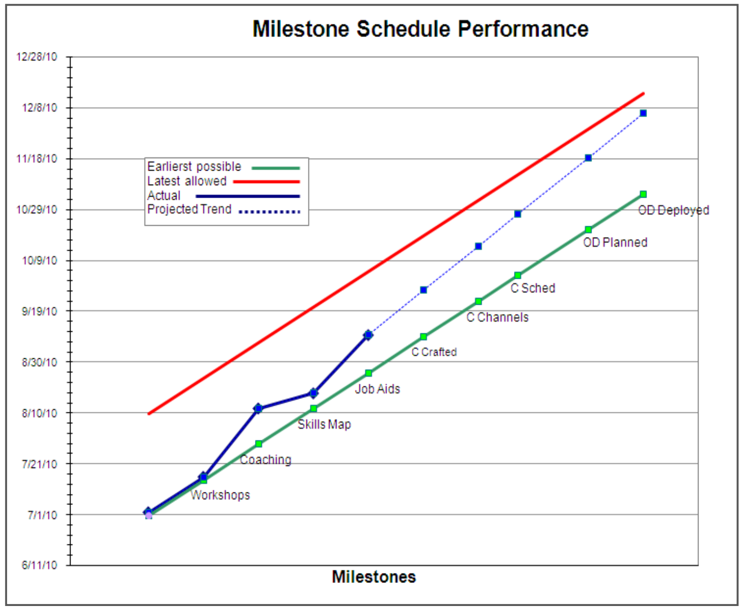


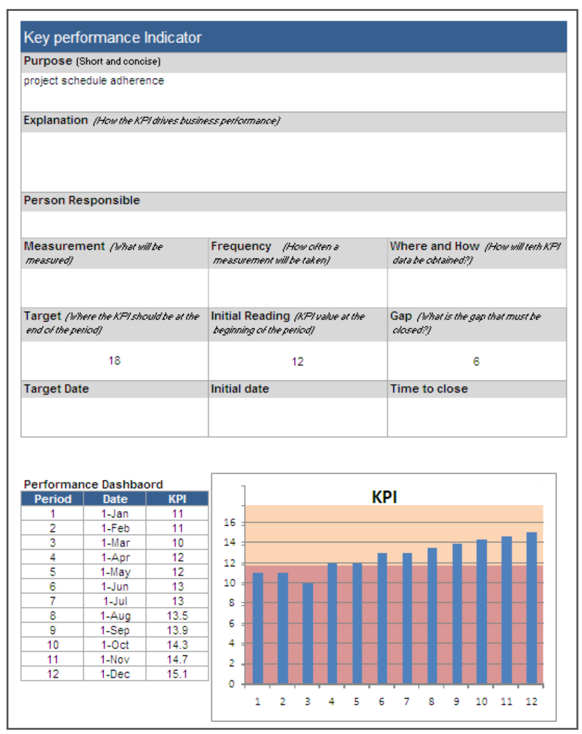
Figure 22 Milestone Schedule Performance

For simple or short change management projects a simple list of due dates for milestones is sufficient. For longer, more complex projects it will be useful to have a milestone tracking system that plots progress and predict future completion dates. For these more complex projects it is recommended that a milestone performance dashboard be used.

Activities:

- Update the milestone performance dashboard. Based upon the complexity of the change project, determine a regular schedule (e.g. twice a week, weekly, bi-weekly, etc.) to update the performance dashboard. This dashboard should be included in regular project update communications.
- Adjust the project schedule, if needed, based upon actual milestone progress.
- Modify the change management plan to close any gaps.
- Capture and track emerging issues

Monthly, measure and track change management project KPIs based upon performance of all change projects against specified metrics.



Period	Date	KPI
1	1-Jan	11
2	1-Feb	11
3	1-Mar	10
4	1-Apr	12
5	1-May	12
6	1-Jun	13
7	1-Jul	13
8	1-Aug	13.5
9	1-Sep	13.9
10	1-Oct	14.3
11	1-Nov	14.7
12	1-Dec	15.1

Figure 23 Key Performance Indicator Dashboard

7.2 Coordinate change project communications

When information is lacking, people invent worse case answers, when coordinating the change project communications we combat misinformation and reduce the time lost speculating about the unknown. The rumor mill will spread the misinformation throughout the organization. The communications portion of the change management plan is of the most important and effective tools available to reduce lost time and reduce unnecessary anxiety and stress.

Communications activities:

- Select optimal communications channels based upon the purpose, numbers of people impacted, level of complexity, etc.
- Craft consistent messages for all communication channels.
- Communicate a clear and consistent business case for change, based upon the direction set by the leadership team.
- Communicate clearly about restructuring, staffing changes, etc.
- Test the effectiveness of the communications by asking random people or groups of people (usually by attending normally scheduled meetings) what they heard and understand about the communications.
- Maintain a communications dash board to evaluate the effectiveness of the communications

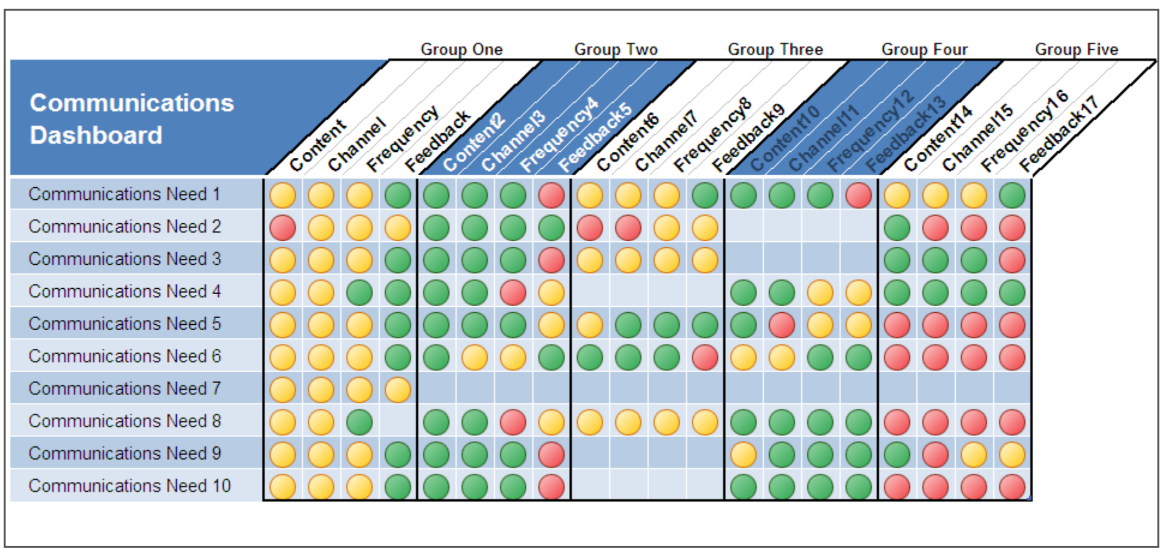


Figure 24 Communications Dashboard

7.3 Coordinate the execution of organizational design activities

These activities are completed to insure that any changes to the organization's structure dictated by the changes will be thoughtfully planned and deployed to minimize work disruptions.

Activities:

- Coordinate the deployment of facilities and infrastructure requirements caused by the change.
- Coordinate the execution of any staffing requirements change plans.
- Coordinate any staff redeployments, hiring's or outplacements with impacted management
- Facilitate the deployment of any optimal organizational structures planned
- Coordinate the execution of any strategies to move the organization towards an optimal and supportive organizational culture planned for areas impacted by the change.

7.4 Coordinate training

Coordinate with all the people, departments and vendors involved in training the end users to minimize delays and insure people are prepared to be productive when the change rolls out.

In this step all planned training is deployed. The change and resilience training is supported by the CMO, while the skills-based training is supported by HR training with the change manager in a coordination role.

Activities coordinated by the change manager:

- The deployment of the change leader and sponsor training
- The deployment of the individual change resilience training
- The deployment of the end-user skills training
- The deployment of the desktop aids and online references
- Optimization and coordination of all training efforts
- Maintenance of a training dashboard

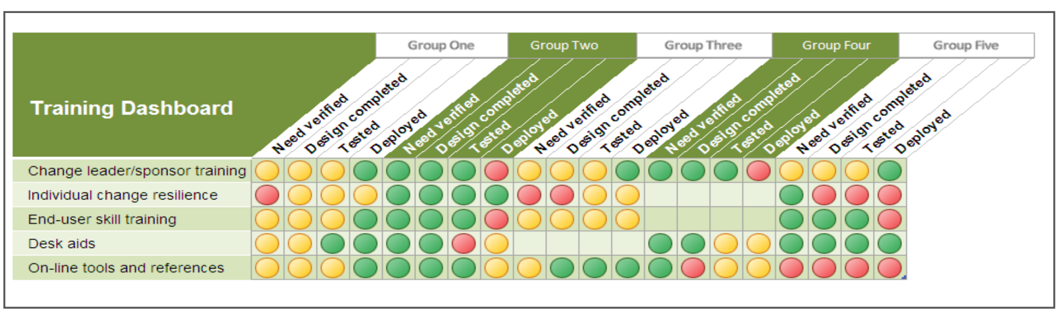


Figure 25 Training Dashboard

8 Ensure Knowledge Management Integrity

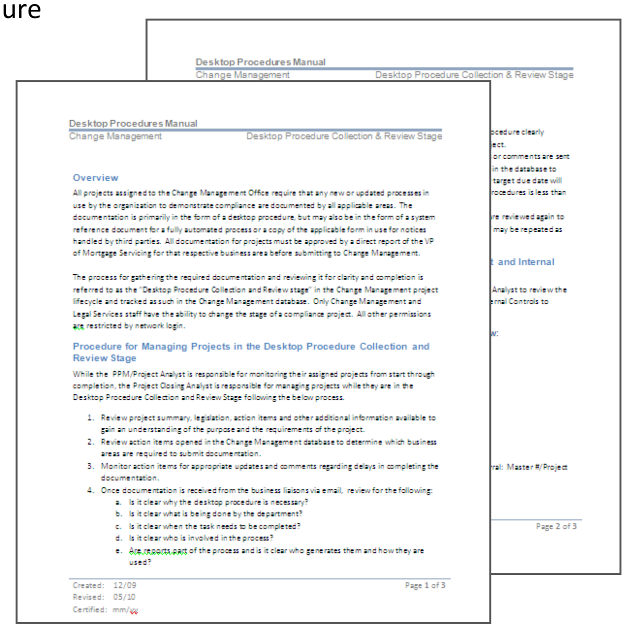
8.1 Update all business processes, desktop procedures and job aids

It is required that all projects with new or updated processes be documented by the originating areas to demonstrate compliance and to make the procedure available to the client upon demand.

The documentation is usually in the form of:

- Desktop procedure
- A system reference document for a fully automated process
- Or a copy of the applicable form in use for notices handled by third parties

Before submitting the procedure documentation to the project closing analyst for review, all procedure documentation must be approved by a direct report of the VP of mortgage servicing for that respective business area.


Desktop Procedures Manual
Change Management — Desktop Procedure Collection & Review Stage

Overview

All projects assigned to the Change Management Office require that any new or updated processes in use by the organization to demonstrate compliance are documented by all applicable areas. The documentation is primarily in the form of a desktop procedure, but may also be in the form of a system reference document for a fully automated process or a copy of the applicable form in use for notices handled by third parties. All documentation for projects must be approved by a direct report of the VP of Mortgage Servicing for that respective business area before submitting to Change Management.

The process for gathering the required documentation and reviewing it for clarity and completion is referred to as the "Desktop Procedure Collection and Review stage" in the Change Management project lifecycle and tracked as such in the Change Management database. Only Change Management and Legal Services staff have the ability to change the stage of a compliance project. All other permissions are restricted by network login.

Procedure for Managing Projects in the Desktop Procedure Collection and Review Stage

While the PPM/Project Analyst is responsible for monitoring their assigned projects from start through completion, the Project Closing Analyst is responsible for managing projects while they are in the Desktop Procedure Collection and Review Stage following the below process.

1. Review project summary, legislation, action items and other additional information available to gain an understanding of the purpose and the requirements of the project.
2. Review action items opened in the Change Management database to determine which business areas are required to submit documentation.
3. Monitor action items for appropriate updates and comments regarding delays in completing the documentation.
4. Once documentation is received from the business liaisons via email, review for the following:
   a. Is it clear why the desktop procedure is necessary?
   b. Is it clear what is being done by the department?
   c. Is it clear when the task needs to be completed?
   d. Is it clear who is involved in the process?
   e. Are reports part of the process and is it clear who generates them and how they are used?

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Revised: 05/10
Certified: mm/yy

Figure 26 Job Aid

The process for gathering the required documentation and reviewing it for clarity and completion is referred to as the d*esktop procedure collection and review stage* in the change management project lifecycle. The process is tracked as such in the change management database. Only the CMO and Legal services staffs have the ability to change the stage of a compliance project. All other permissions are restricted by network login

Knowledge management consists of two activities:

- Managing projects in the desktop procedure collection and review stage

  While the project prioritization project analyst is responsible for monitoring their assigned projects from start through completion, the project closing analyst is responsible for managing projects while they are in the desktop procedure collection and review stage.

- Referring projects to operational risk analyst and internal controls for review

8.2 Conduct a post-project business impact analysis

- Review business case and KPIs for the project to actual measurements for the project.
- Analyze post-project KPI performance against goals by comparing actual amounts to estimate and any

- Make recommendations to close any gaps

8.3 Identify future business transformation opportunities

Business transformation seeks to find ways to:

- Find previously undiscovered opportunities to drive performance improvements
- Reduce processing costs
- Make process efficiency a competitive edge

Analysis is conducted to identify:

- Work spending excessive time in backlogs
- Workers waiting for someone else before they can proceed
- Non-value added steps in a process
- Extra handoffs that are not required within a process
- Places in a process where it is easy to introduce errors
- Process points where specifications are consistently not met

This is the proactive approach to improve business performance compared to reactive problem solving. The goal is to get ahead of the performance improvement curve and make business processes at LBPS a principle competitive advantage.

8.3.1 Analyze business KPI performance and ROI when projects are finished

Transformation projects are approved based on the potential for a substantial ROI. In the weeks and months following the project the KPIs are tracked to establish a new baseline of performance and confirm the realization of the expected ROI.

8.3.2 Create and maintain "ideal state" business process flowcharts

"Ideal state" business process flowcharts and performance KPIs are created and maintained to function as a business model against which future transformation opportunities can be measured.

The market place environment and businesses do not remain static. Once an improvement has been realized the search begins again for opportunities to perform better.

8.3.3 Propose future project to improve business KPI performance

Following business transformation analysis a proposal is made to initiate a project to secure the potential gains and savings that have been identified. Project proposals are made for high return of investment (ROI) process transformation opportunities.

8.3.4 Execute projects that transform targeted business processes

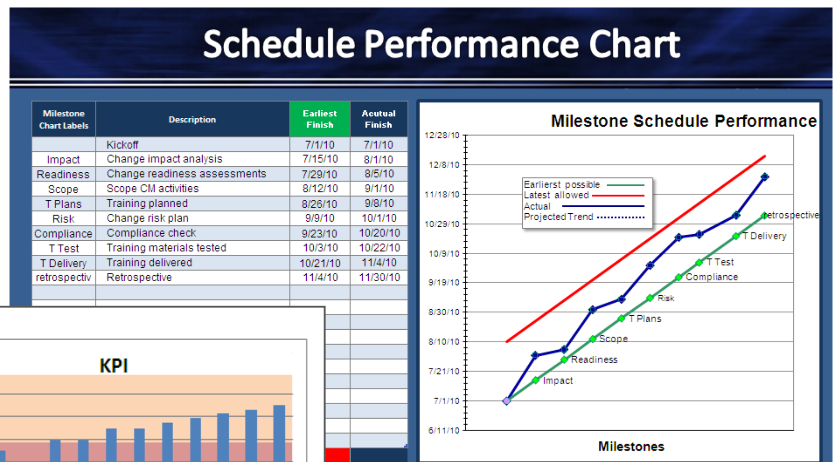
Once a project is proposed and accepted a detailed project plan is created. A project manager, business analysts and a change manager are assigned to create and execute the transformation plan.

9 Conduct a change management retrospective after the project

Evaluate the where and how the change management process can be improved for future projects

9.1 Analyze change management milestone and KPI performance

Use the retrospective review to capture the key change milestones and KPIs of from the completed change project in preparation for the retrospective review meetings.



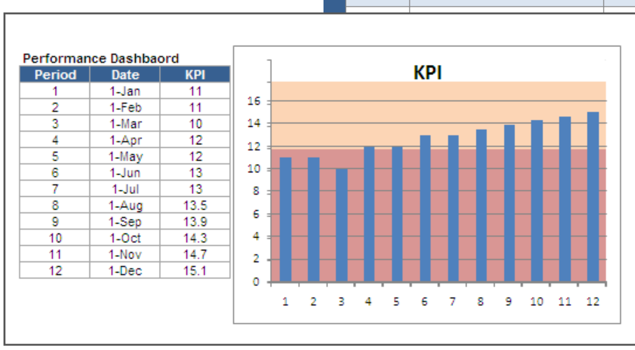


Figure 27 KPI Form

Figure 28 Milestone Schedule Performance

The change manager will compile statistics about the project, including the projected baseline *vs*. actual for the following items:

- Major change management milestone dates
- Final change management project completion date
- Budget for change management (if there is one)
- Labor effort for the change management activities
- Quality measures for change management

This document should also contain the following information, for comparison and sharing purposes with future projects:

- Scope changes for the change management project that occurred during the project
- Risks to change management that manifested and those that didn't
- Risk mitigation measures for change management that were effective and those that were not
- Estimates of major change management tasks that were correct and those that varied widely from actual time spent.

9.2 Conduct a change management retrospective

Who: The project manager is accountable for calling the meeting to review successes and lessons learned. All full-time and part-time members should be invited, as well as major stakeholders. It is often outsiders who are best able to see objectively what has occurred.

- All team members should actively participate in the review.
- Alternately, a team may decide to hold two meetings, one for the team members and one for stakeholders to maximize free expression of opinion.

When: The retrospective review meeting is held as soon after the completion of the project as possible. Often, it is held at the time of the regularly scheduled status meetings, one week after project completion. Do not wait too long, or participants will have forgotten key items.

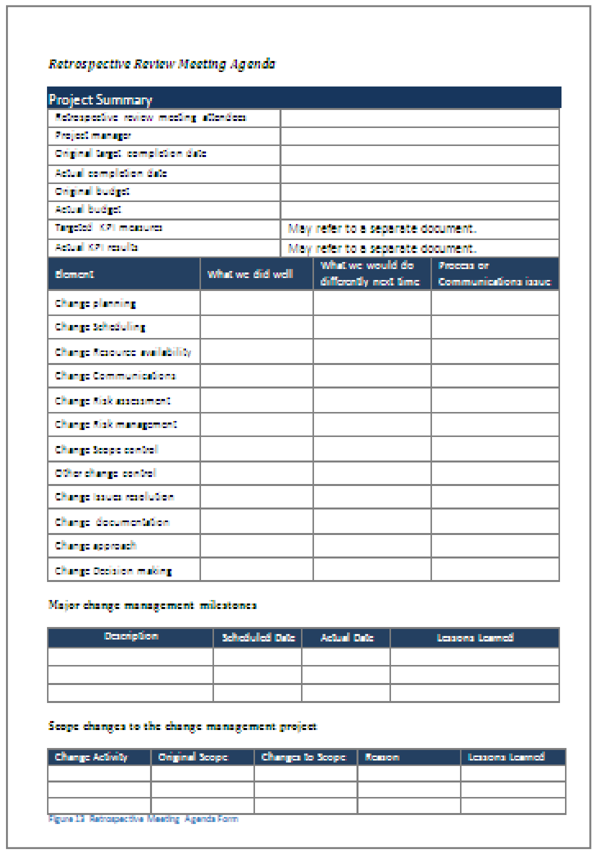
There will usually be many ideas. Therefore, two (2) hours should be allowed for the meeting.

Goals:

- Recognize processes that worked, so that they can be repeated in future projects.
- Learn from mistakes and publish these learnings to avoid repetition on future projects.
- Prepare and distribute retrospective review document

Consider using a third-party facilitator to conduct the meeting. Change management performance issues are to be discussed and a consensus reached, if possible. If a consensus cannot be reached, the differing opinions should be documented.

See



Retrospective Review Meeting Agenda

Project Summary	
Retrospective review meeting attendees	
Project manager	
Original target completion date	
Actual completion date	
Original budget	
Actual budget	
Targeted KPI measures	May refer to a separate document.
Actual KPI results	May refer to a separate document.

Element	What we did well	What we would do differently next time	Process or Communications issue
Change planning			
Change Scheduling			
Change Resource availability			
Change Communications			
Change Risk assessment			
Change Risk management			
Change Scope control			
Other change control			
Change issues resolution			
Change documentation			
Change approach			
Change Decision making			

Major change management milestones

Description	Scheduled Date	Actual Date	Lessons Learned

Scope changes to the change management project

Change Activity	Original Scope	Changes to Scope	Reason	Lessons Learned

Figure 13 Retrospective Meeting Agenda Form

Figure 29 Retrospective Meeting Agenda

Appendix O - Retrospective Review Meeting Agenda.”

The tables from this form could be drawn on a white board or projected on a screen to help facilitate the retrospective discussion.

9.3 Review Change project effectiveness in key areas

Evaluate the following areas for what was effective; what could be done differently next time and process or Communications issue:

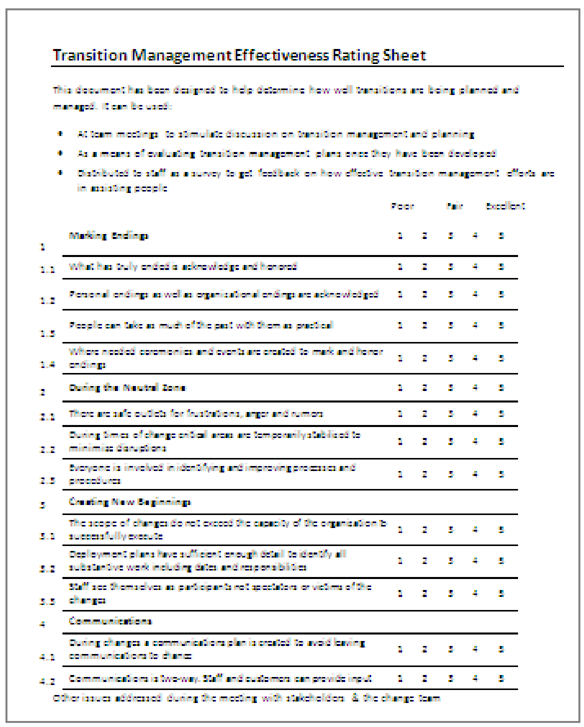
- Change planning
- Change Scheduling
- Change resource availability
- Change communications
- Change risk assessment
- Change Risk management
- Change scope control
- Other change control
- Change Issues resolution
- Change documentation
- Change approach
- Change management related decision making

9.4 Rate the effectiveness of the transition management efforts with the stakeholders

The change management plan often includes specific activities designed to help people with their transitions through the changes. Following the project it will be important to assess the effectiveness of these efforts.

The data gathered from the “Transition Management Effectiveness assessment will be used go to improve future transition management plans.

See Appendix P - Transition Management Effectiveness Rating Sheet



Transition Management Effectiveness Rating Sheet

This document has been designed to help determine how well transitions are being planned and managed. It can be used:

- At team meetings to stimulate discussion on transition management and planning
- As a means of evaluating transition management plans once they have been developed
- Distributed to staff as a survey to get feedback on how effective transition management efforts are in assisting people

		Poor		Fair		Excellent
1	**Marking Endings**	1	2	3	4	5
1.1	What has truly ended is acknowledge and honored	1	2	3	4	5
1.2	Personal endings as well as organizational endings are acknowledged	1	2	3	4	5
1.3	People can take as much of the past with them as practical	1	2	3	4	5
1.4	Where needed ceremonies and events are created to mark and honor endings	1	2	3	4	5
2	**During the Neutral Zone**	1	2	3	4	5
2.1	There are safe outlets for frustrations, anger and rumors	1	2	3	4	5
2.2	During times of change critical areas are temporarily stabilized to minimize disruptions	1	2	3	4	5
2.3	Everyone is involved in identifying and improving processes and procedures	1	2	3	4	5
3	**Creating New Beginnings**					
3.1	The scope of changes do not exceed the capacity of the organization to successfully execute	1	2	3	4	5
3.2	Deployment plans have sufficient enough detail to identify all substantive work including dates and responsibilities	1	2	3	4	5
3.3	Staff see themselves as participants not spectators or victims of the changes	1	2	3	4	5
4	**Communications**					
4.1	During changes a communications plan is created to avoid leaving communications to chance	1	2	3	4	5
4.2	Communications is two-way. Staff and customers can provide input	1	2	3	4	5

Other issues addressed during the meeting with stakeholders & the change team

Figure 30 Transition Management Effectiveness Rating Sheet

9.5 Incorporate improvement ideas into future change management projects

Integrate any changes based upon lessons learned into the change process and update desk top procedures.

9.6 Communicate lessons learned and changes made

Email r*etrospective meeting minutes* and a list of subsequent changes to key stakeholders.

Tools, Templates and Reference Materials

Appendix A - Reference Materials and Additional Reading

Creating Followers: Framing Change Initiatives to Maximize Employee Participation, HBR OnPoint © 2000 by Harvard Business School

Beer, Michael and Nohria, Nitin, Cracking the Code of Change, Harvard Business Review 133 (May June 2000)

Bridges, William, Managing Transitions: Making the Most of Change (2nd Edition), Da Capo Press. 2003

Collins, James, Turning Goals into Results: the Power of Catalytic Mechanisms, Harvard Business Review 71, at 82 (July August 1999) (quoting from Walden)

Duarte, Deborah and Snyder, Nancy, Mastering Virtual Teams, Jossey-Bass, Inc., 2000.

Goleman, Daniel, Leadership That Gets Results, Harvard Business Review 78, at 82 (March-April 2000)

Henry, Jane and Hartzler, Meg, Tools for Virtual Teams, ASQ Quality Press, 1998.

Jude-York, Deborah, Davis, Lauren, Wise, Susan, Virtual Teaming: *Breaking the Boundaries of Time and Place*, Crisp Publications, 2000.

Kimball, Lisa, Noble, Stu and Kennedy, Jon, *Virtual Team Tool Kit*, Group Jazz Publishing, 2002.

Lipnack, Jessica and Stamps, Jeffrey, Virtual Teams: Reaching Across Space, Time and Organizations with Technology, John Wiley & Sons, 1997.

Appendix B – Change Impact Questionnaire Example

The Change Impact Questionnaire Example

Please select your organization (Insert actual unit names)

Org Unit 1	Org Unit 2	Org Unit 3	Org Unit 4	Org Unit 5
☐	☐	☐	☐	☐

		Change Size & complexity				Population Impacted			
1	**Working Relationships**	Zero	Lo	Med	Hi	Zero	20%	50%	80%+
1.1	Tasks shifting to a new person, role or location	☐	☐	☐	☐	☐	☐	☐	☐
1.2	Increased coordination across organizational boundaries	☐	☐	☐	☐	☐	☐	☐	☐
1.3	Altered relationship with customers or vendors	☐	☐	☐	☐	☐	☐	☐	☐
1.4	Reporting to a different person or part of the organization	☐	☐	☐	☐	☐	☐	☐	☐
1.5	Increased or decreased span of control	☐	☐	☐	☐	☐	☐	☐	☐
2	**Work Content**								
2.1	Additional or less amounts of work	☐	☐	☐	☐	☐	☐	☐	☐
2.2	New tasks or responsibilities	☐	☐	☐	☐	☐	☐	☐	☐
2.3	New processes or procedures	☐	☐	☐	☐	☐	☐	☐	☐
2.4	New or altered policies	☐	☐	☐	☐	☐	☐	☐	☐
2.5	New quality and/or time requirements	☐	☐	☐	☐	☐	☐	☐	☐
2.6	New types of decisions to be made	☐	☐	☐	☐	☐	☐	☐	☐
2.7	Increased or decreased approval authority	☐	☐	☐	☐	☐	☐	☐	☐
2.8	New performance standards or metrics	☐	☐	☐	☐	☐	☐	☐	☐
2.9	New location for support materials	☐	☐	☐	☐	☐	☐	☐	☐
3	**Skills and Competencies**								
3.1	Procedures becoming more/less complex	☐	☐	☐	☐	☐	☐	☐	☐
3.2	Shift to either manual or automated procedures	☐	☐	☐	☐	☐	☐	☐	☐
3.3	New competencies required to perform tasks	☐	☐	☐	☐	☐	☐	☐	☐
3.4	New or different systems	☐	☐	☐	☐	☐	☐	☐	☐
3.5	New or different tools to be used	☐	☐	☐	☐	☐	☐	☐	☐

4	**Work Environment**								
4.1	Change in work location	▢	▢	▢	▢	▢	▢	▢	▢
4.2	Changes in quality and ambience of work location	▢	▢	▢	▢	▢	▢	▢	▢
4.3	Change in colleagues	▢	▢	▢	▢	▢	▢	▢	▢
4.4	Change in pay	▢	▢	▢	▢	▢	▢	▢	▢
4.5	Change in benefits	▢	▢	▢	▢	▢	▢	▢	▢
4.6	Change in career path	▢	▢	▢	▢	▢	▢	▢	▢
4.7	Change in how, where or by whom performance reviews are done	▢	▢	▢	▢	▢	▢	▢	▢
4.8	Changes in access to training and professional development	▢	▢	▢	▢	▢	▢	▢	▢
4.9	Changes in access to supervisors and/or management	▢	▢	▢	▢	▢	▢	▢	▢

Appendix C - Change Readiness Assessment

Introduction

The goal of this change management assessment is to help us prepare for the coming changes in the most thoughtful way possible and with the least impact on productivity and effectiveness. This will be accomplished by:

- Giving individuals' knowledge, skills and information that will allow them to manage their own transitions through change.
- Giving managers the understanding of tools, techniques and processes that will keep productivity and moral high during the changes associated with the acquisition.
- Building a communication program that gives people a map to the goals and progress reports along to help people focus on creating a compelling future together.
- Engaging people early as contributors to the process of change.
- Building the capacity for on-going change.

Message from Leader

This survey has been designed for everyone within the organization to assess:

- The level of individual's capacity to successfully manage change and their knowledge and access to tools and techniques to manage their own transitions.
- The level individual engagement in the change process.
- How individuals understand the connection between their work and the goals of the organization.
- The organization's skills and capacity for change agility.
- Discover the major barriers and enablers to making a smooth transition into the new organization.

Anonymity

Personal identities will be at all times protected. Every effort will be made to insure that while results will be communicated throughout the organization there will be no way to link results to a particular individual. Results will be grouped by large enough sections of the organization that anonymity will be preserved.

Results of the Survey

Results of the survey will be posted at ___________ for everyone to review within ten days of receipt.

Change Readiness Assessment

Please select your organization (Insert actual unit names)

Org Unit 1	Org Unit 2	Org Unit 3	Org Unit 4	Org Unit 5
☐	☐	☐	☐	☐

		Strongly Disagree				Strongly Agree
1	**Change acceptance**					
1.1	Most people think that the change in question is a necessary one	☐	☐	☐	☐	☐
1.2	Given the situation, this change represents the best way forward	☐	☐	☐	☐	☐
1.3	The organization's top leaders have shown that they are committed to the change.	☐	☐	☐	☐	☐
1.4	Middle managers are committed to the change	☐	☐	☐	☐	☐
1.5	Supervisors and front-line managers are committed to the change	☐	☐	☐	☐	☐
1.6	I am more committed to my work since the change has been announced.	☐	☐	☐	☐	☐

		Strongly Disagree				Strongly Agree
2	**My capacity to manage change**					
2.1	I have significant reserve capacity to handle more change.	☐	☐	☐	☐	☐
2.2	I know how to easily let stress go when I have to.	☐	☐	☐	☐	☐
2.3	Excited about my future role in the new organization.	☐	☐	☐	☐	☐
2.4	I have great outlets and support when things are chaotic or confusing.	☐	☐	☐	☐	☐
2.5	My work environment is very productive.	☐	☐	☐	☐	☐
2.6	Comfortable continuing my employment here into the foreseeable future.	☐	☐	☐	☐	☐
2.7	I am handling all the changes in the organization well.	☐	☐	☐	☐	☐
2.8	Minimal personal impact associated with this change.	☐	☐	☐	☐	☐
2.9	There are safe outlets for expressing frustrations and/or anger.	☐	☐	☐	☐	☐

		Not Worried				Very Worried
3	**Worries surrounding the change**					
3.1	If I will have a job in the future	☐	☐	☐	☐	☐
3.2	If I will have the skills to succeed	☐	☐	☐	☐	☐
3.3	If I will have the same supervisor	☐	☐	☐	☐	☐
3.4	My pay	☐	☐	☐	☐	☐
3.5	My benefits	☐	☐	☐	☐	☐
3.6	My future position or prestige	☐	☐	☐	☐	☐
2.7	It won't be as fun to work here	☐	☐	☐	☐	☐

		Strongly Disagree				Strongly Agree
4	**The organization's capacity to manage change**					
4.1	The organization has a history of handling change pretty well.	▢	▢	▢	▢	▢
4.2	We have the capacity to successfully execute this magnitude and scope of change.	▢	▢	▢	▢	▢
4.3	As an organization, we have a clear track record of learning from previous change experiences.	▢	▢	▢	▢	▢
4.4	We have a successful track record helping people negotiate change.	▢	▢	▢	▢	▢
4.5	The organization makes allowances for productivity dips during times of change.	▢	▢	▢	▢	▢
4.6	We have an effective way of dealing with rumors.	▢	▢	▢	▢	▢
4.7	I am an important part of this organization.	▢	▢	▢	▢	▢
4.8	I can actively participate in identifying things that need to change in order to reach our goals.	▢	▢	▢	▢	▢
4.9	Good support is provided when taking on new roles or tasks.	▢	▢	▢	▢	▢
4.10	It is safe to take an "intelligent" risk in this organization.	▢	▢	▢	▢	▢
4.11	The organization resolves things on a timely basis and doesn't let them become long-term issues	▢	▢	▢	▢	▢
4.12	We are encouraged to speak candidly about the organization's problems.	▢	▢	▢	▢	▢

		Strongly Disagree				Strongly Agree
5	**Leadership's capacity to manage change**					
5.1	Our leader's have a history of acting on their commitments.	▢	▢	▢	▢	▢
5.2	Decisions are generally made in a timely fashion.	▢	▢	▢	▢	▢
5.3	I understand why certain decisions were made.	▢	▢	▢	▢	▢
5.4	Leadership generally shows an awareness and concern for how change will affect the rest of us.	▢	▢	▢	▢	▢
5.5	Management, as a whole, has the skills and capacity to effectively lead us through this transition.	▢	▢	▢	▢	▢
5.6	When faced with challenges, the organization forgets turf-issues and gets problems solved.	▢	▢	▢	▢	▢
5.7	I can trust that concerns and/or questions will be responded to honestly.	▢	▢	▢	▢	▢

		Strongly Disagree				Strongly Agree
6	**Communication Practices**					
6.1	In the past, important information was well communicated (i.e. accurate and timely).	☐	☐	☐	☐	☐
6.2	There are effective ways for employees to voice their concerns and questions about the change.	☐	☐	☐	☐	☐

		Don't Prefer				Strongly Prefer
7	**The way I prefer to get information about things that will affect my <u>work life</u>**					
7.1	Face-to-face interaction with my direct supervisor	☐	☐	☐	☐	☐
7.2	Personal e-mail announcing the changes.	☐	☐	☐	☐	☐
7.3	General announcement by e-mail from Corporate Executive.	☐	☐	☐	☐	☐
7.4	Group or town hall meetings.	☐	☐	☐	☐	☐
7.5	Newsletter or corporate web-site.	☐	☐	☐	☐	☐

		Don't Prefer				Strongly Prefer
8	**The way I prefer to learn about the <u>company's strategic direction</u>**					
8.1	Face-to-face interaction with my direct supervisor	☐	☐	☐	☐	☐
8.2	Personal e-mail announcing the changes.	☐	☐	☐	☐	☐
8.3	General announcement by e-mail from Corporate Executive.	☐	☐	☐	☐	☐
8.4	Group or town hall meetings.	☐	☐	☐	☐	☐
8.5	Newsletter or corporate web-site.					

		Don't Prefer				Strongly Prefer
9	**The way I prefer to get information that effect <u>day to day issues</u>**					
9.1	Face-to-face interaction with my direct supervisor	☐	☐	☐	☐	☐
9.2	Personal e-mail announcing the changes.	☐	☐	☐	☐	☐
9.3	General announcement by e-mail from Corporate Executive.	☐	☐	☐	☐	☐
9.4	Group or town hall meetings.	☐	☐	☐	☐	☐
9.5	Newsletter or corporate web-site.	☐	☐	☐	☐	☐

Appendix D – Simple Individual Change Resilience Assessment

I see difficulties as temporary and expect to overcome them.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I can tolerate high levels of ubiquity and uncertainty

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I adapt quickly to new developments.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

In new situations I feel self-confident.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

Valuable things happen as a result of difficult things.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I'm good at solving problems.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

I'm strong and durable.

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Almost always
- ☐ Always

Note: Resilient people

- Cope well with disruptive change
- Bounce back from setbacks
- Overcome adversity
- Adapt when the old way no longer works

Appendix E - The Professional Life Stress Test

The following stress scale must be treated as a useful guide rather than as a precise instrument. Compete it quickly, and don't think too hard before responding to each question. Your first response is often the most accurate one. As with any stress scale, it isn't difficult to spot what is the 'low stress' answer to each question. Don't be tempted to give this answer if it isn't the accurate one. Nothing is at stake. You are as stressed as you are. Your score on the scale doesn't change that, one way or the other. The purpose of the scale is simply to help you clarify some of your thinking about your own life.

Adapted from Managing Stress, *The British Psychological Society and Routledge Ltd., 1989*

1. Two people who know you well are discussing you. Which of the following statements would they be most likely to use?
   a. 'X is very together. Nothing much seems to bother him/her.'
   b. 'X is great. But you have to be careful what you say to him/her at times.'
   c. 'Something always seems to be going wrong with X's life.'
   d. 'I find X very moody and unpredictable.'
   e. 'The less I see of X the better!'
2. Are any of the following common features of your life?
   a. Feeling you can seldom do anything right
   b. Feelings of being hounded, trapped, or cornered
   c. Indigestion
   d. Poor appetite
   e. Difficulty in getting to sleep at night
   f. Dizzy spells or palpitations
   g. Sweating without exertion or high air temperature
   h. Panic feelings when in crowds or in confined spaces
   i. Tiredness and lack of energy
   j. Feelings of hopelessness ('what's the use of anything?')
   k. Faintness or nausea sensations without any physical cause
   l. Extreme irritation over small things
   m. Inability to unwind in the evenings
   n. Waking regularly at night or early in the mornings
   o. Difficulty in making decisions
   p. Inability to stop thinking about problems or the day's events
   q. Tearfulness
   r. Convictions that you just can't cope
   s. Lack of enthusiasm even for cherished interests
   t. Reluctance to meet new people and attempt new experiences
   u. Inability to say 'no' when asked to do something
   v. Having more responsibility than you can handle

3. Are you *more* or *less* optimistic than you used to be (or about the same)?
    a. more
    b. about the same
    c. less
4. Do you enjoy *watching* sports?
    a. yes
    b. no
5. Can you get up late on weekends if you want to without feeling guilty?
    a. yes
    b. no
6. Within reasonable professional and personal limits, can you speak your mind to your boss?
    a. yes
    b. no
7. Can you speak your mind to your colleagues?
    a. yes
    b. no
8. Can you speak your mind to members of your family?
    a. yes
    b. no
9. Who usually seems to be responsible for making the important decisions in your life?
    a. yourself
    b. someone else
10. When criticized by superiors at work, are you usually:
    a. Very upset?
    b. Moderately upset?
    c. Mildly upset?
11. Do you finish the working day feeling satisfied with what you have achieved?
    a. often
    b. sometimes
    c. only occasionally
12. Do you feel most of the time that you have unsettled conflicts with colleagues?
    a. yes
    b. no
13. Does the amount of work you have to do exceed the amount of time available?
    a. habitually
    b. sometimes
    c. only very occasionally
14. Do you have a clear picture of what is expected of you professionally?
    a. mostly
    b. sometimes
    c. hardly ever
15. Would you say that generally you have enough time to spend on yourself?
    a. yes
    b. no
16. If you want to discuss your problems with someone, can you usually find a sympathetic ear?

   a. yes
   b. no
17. Are you reasonably on course towards achieving your major objectives in life?
    a. yes
    b. no
18. Are you bored at work?
    a. often
    b. sometimes
    c. very rarely
19. Do you look forward to going into work?
    a. most days
    b. some days
    c. hardly ever
20. Do you feel adequately *valued* for your abilities and commitment at work?
    a. yes
    b. no
21. Do you feel adequately *rewarded* in terms of status and promotion for your abilities and commitment at work?
    a. yes
    b. no
22. Do you feel your superiors actively *hinder you* in your work? Or do they actively *help you* in your work?
    a. hinder
    b. help
23. If ten years ago you had been able to see yourself professionally as you are now, how would you have seen yourself?
    a. exceeding your expectations
    b. fulfilling your expectations
    c. falling short of your expectations
24. If you had to rate how much you like yourself on a scale from 1 (least like) to 5 (most like), what would your rating be?
    a. 1
    b. 2
    c. 3
    d. 4
    e. 5

Key for the Professional Life Stress Test

For each question, score according to the directions that follow:

1. (a) 0, (b) 1, (c) 2, (d) 3, (e) 4
2. Score 1 for each 'yes' response
3. Score 0 for *a. more optimistic,* 1 for *b. about the same,* 2 for *c. less optimistic*
4. Score 0 for a. 'yes', 1 for b. 'no'

5. Score 0 for a. 'yes', 1 for b. 'no'
6. Score 0 for a. 'yes', 1 for b. 'no'
7. Score 0 for a. 'yes', 1 for b. 'no'
8. Score 0 for a. 'yes', 1 for b. 'no'
9. Score 0 for a. 'yourself', 1 for b. 'someone else'
10. Score 2 for a. 'very upset', 1 for b. 'moderately upset', 0 for c. 'mildly upset'
11. Score 0 for a. 'often', 1 for b. 'sometimes', 2 for c. 'only occasionally'
12. Score 0 for a. 'no', 1 for b. 'yes'
13. Score 2 for a. 'habitually', 1 for b. 'sometimes', 0 for c. 'only very occasionally'
14. Score 0 for a. 'mostly', 1 for b. 'sometimes', 2 for c. 'hardly ever'
15. Score 0 for a. 'yes', 1 for b. 'no'
16. Score 0 for a. 'yes', 1 for b. 'no'
17. Score 0 for a. 'yes', 1 for b. 'no'
18. Score 2 for a. 'often', 1 for b. 'sometimes', 0 for c. 'very rarely'
19. Score 0 for a. 'most days', 1 for b. 'some days', 2 for c. 'hardly ever'
20. Score 0 for a. 'yes', 1 for b. 'no'
21. Score 0 for a. 'yes', 1 for b. 'no'
22. Score 1 for a. 'hinder', 0 for b. 'help'
23. Score 0 for a. 'exceeding your expectations', 1 for b. 'fulfilling your expectations', 2 for c. 'falling short of your expectations'
24. Score 4 for a. '1', 3 for b. '2', 2 for c. '3', 1 for d. '4', and 0 for e. '5'

Interpreting Your Score

Keep in mind that scores on stress scales must be interpreted cautiously. There are so many variables which lie outside the scope of these scales but which influence the way in which we perceive and handle our stress, that two people with the same scores may experience themselves as under quite different levels of stress. Nevertheless, taken as no more than a guide, these scales can give us some useful information.

Score = 15. Stress isn't a problem in your life. This doesn't mean that you have insufficient stress to keep yourself occupied and fulfilled. The scale is only designed to assess undesirable responses to stress.

Score = 16-30. This is a moderate range of stress for a busy professional person. It's nevertheless well worth looking at how it can reasonably be reduced.

Score = 31-45. Stress is clearly a problem, and the need for remedial action is apparent. The longer you work under this level of stress, the harder it often is to do something about it. There is a strong case for looking carefully at your professional life.

Score = 45-60. At these levels, stress is a major problem, and something must be done without delay. You may be nearing the stage of exhaustion in the general adaptability syndrome. The pressure must be eased

Appendix F - Transition Management Planning Checklist

Once the magnitude of the changes is known it is possible to begin planning for people's transitions through endings, through the neutral zone and into new beginnings.

This checklist is designed for teams as a reminder of the basic techniques available to them to manage transitions. The greater the magnitude of the change, the more necessary it will be to use a higher percentage of these techniques. The largest change projects will use almost all the techniques in the checklist.

1	**Marking Endings**	✓
1.1	Acknowledge and honor what has truly ended	☐
1.2	Acknowledge personal endings as well as organizational endings	☐
1.3	Allow people to take as much of the past with them as practical	☐
1.4	Where needed create ceremonies and events to mark and honor endings	☐
2	**During the Neutral Zone**	
2.1	Provide safe outlets for frustrations, anger and rumors	☐
2.2	Create scaffolding structures to temporarily stabilize critical areas	☐
2.3	Involve people in identifying and improving processes and procedures	☐
3	**Creating New Beginnings**	
3.1	Ensure that the scope of change does not exceed the capacity of the organization to successfully execute	☐
3.2	Provide deployment plans with sufficient details to identify all substantive work including dates and responsibilities	☐
3.3	Insure that staff are participants not spectators or victims of the changes	☐
4	**Communications**	
4.1	Create a proactive communications plan. Don't leave communications to chance	☐
4.2	Make communications two-way – involve staff and customers	☐

Appendix G -Change sponsor and Champion Planning Checklist

1	**Identify Sponsors and change Champions**	✓
1.1	Determine if the magnitude of the change requires special change sponsors or champions to be assigned	☐
1.2	Obtain the commitment of the sponsor and or change champion	☐
2	**Assess the sponsor/champion's change capabilities**	
2.1	Do they understand their role in the three transition stages?	☐
2.2	Do they understand the change and change impacts thoroughly?	☐
2.3	Are they committed and have they allocated the time required to advocate and communicate?	☐
3	**Sponsor/champion training**	
3.1	If required schedule training on the role of a change sponsor/champion	☐
3.2	Schedule periodic meetings with the sponsor/champions to coach them and troubleshoot problems	☐
4	**Retrospective**	
4.1	Schedule a time to go over what worked and what should be improved specific to the role of sponsor/champion	☐
4.2	Communicate lessons learned and improvement actions that will be taken	☐

Appendix H - Planning Major Change Announcements Template

The Headline (The essential message: Crisp, clear, and well crafted):			
Best method, time and place to disseminate the message:			
Supplemental and supporting information			
Topics	**Source - Author**	**Location**	**Method of Distribution**
Plan to gather feedback and validate what people heard			
Group	Feedback Method(s)	Date(s)	Chief Listener
Dialogue to clarify the message			
Group	Dialogue Method(s)	Date(s)	Facilitator

Behaviors that can be modeled			
New behaviors or procedures that could be modeled	How it can be modeled	Who will model	Where and when
Attitudes that could be modeled	How it can be modeled	Who will model	Where and when
Virtual team skills that could be modeled	How it can be modeled	Who will model	Where and when
Demonstrations of compassion, justice, respect, excellence and stewardship	How it can be modeled	Who will model	Where and when

Appendix I– Ongoing or Periodic Communications Planning Checklist

1	**The Right Messages**	✓
1.1	Agree on what you want people to know and or do as a result of the communication	☐
1.2	Be sure content is provided and checked by the appropriate person or people	☐
1.3	Check for "unintended messages"	☐
1.4	Select the appropriate person to send the message	☐
2	**The Right Channel and Frequency**	
2.1	Select an optimal communications channel to get an appropriate hearing	☐
2.2	Determine the number of different communications channels needed	☐
2.3	Set a frequency of communications that is appropriate	☐
3	**Two-way Communications**	
3.1	Provide people with an effective and timely way to respond	☐
3.2	Provide people with an appropriate method and time to share confidential feedback	☐
3.3	Insure that confidential feedback is going to a "safe and trusted" person	☐
3.5	Clarify how any input will be used and where and how decisions will be made	☐
4	**Verification and Validation of Communications**	
4.1	Verify that the right message got through	☐
4.2	Validate the communications format, channel and frequency for effectiveness	☐
4.3	Revise communications procedures to improve their effectiveness based on feedback	☐

Appendix J - Planning Outbound Communications Template

Target Audience	Message Content	Communications Channel	Frequency	Feedback Methods
Recipient Group 1				
Recipient Group 2				
Recipient Group 3				
Recipient Group 4				
Recipient Group 5				

Communications Plan Revision History

This form is used to track communications plan changes.

Version Number	Date Updated	Revision Author	Summary of Major Changes Made
1.0	<Date>	<Author>	Initial document created.
<Next number>	<Date>	<Author>	<Description of major changes>

Appendix K- Feedback Planning Checklist

Often you will want feedback from key stakeholders to validate what they are hearing and understanding. This checklist helps you determine the feedback that you want.

1	**Seeking Insights and Information**	✓
1.1	Determine what you would like to learn	☐
1.2	Identify who might have that information or insight	☐
1.3	Consider whether you want or can expect different information from different populations	☐
1.4	Give people multiple ways to contribute their information (e.g. face-to-face, mail-in, email)	☐
2	**The Right Venue and Frequency**	
2.1	Use multiple channels for (e.g. email, team meetings, district meetings)	☐
2.2	Do not confuse frequency with effectiveness of communication when using email	☐
2.3	Send a reminder two days before information is due	☐
3	**Clarify the Purpose and Use of the Information gathered**	
3.1	Clarify how their input will be used	☐
3.2	Reveal who will have access to the information	☐
3.3	Reveal if the sources will be treated as confidential or not	☐
3.5	If there are decisions to be made, describe how the data will impact the decision	☐
4	**Verification and Validation of Input**	
4.1	Make compiled data available in a common space, asking for validation and feedback	☐
	In common space, solicit discussion to surface questions and help make meaning of data	☐

Appendix L - Engaging and Involving Staff during Transition

"Most change efforts fail not because of flawed strategy, but because they fail to reach out broadly enough—and deeply enough—to frontline employees."

Principle 1: Look for leadership from lower levels of your company instead of issuing all directives from the executive suite.

Principle 2: Overhaul the way you communicate with frontline employees, who are your company's most important agents of change.

Principle 3: Make sure that your change initiative addresses the often hidden psychological and social issues that define the unwritten rules workers have with their employers.

Creating Followers: Framing Change Initiatives to Maximize Employee Participation

HBR OnPoint © 2000 by Harvard Business School

It is well understood that there are large benefits for organizations that drive participation in decision-making as close to the frontlines as possible.

- Tapping into frontline knowledge
- Employee ownership for changes
- More people working on solutions
- Employee satisfaction

Guidelines for Involving Staff

Factors to consider when determining who should be involved in an improvement or problem solving effort:

- Setting ***what*** should be done is usually a management responsibility
- Determining ***how*** it could be best done is often done more effectively by people closest to the problem or opportunity (staff)
- Who has knowledge and experience that could be helpful?
- Who has to live with the changes?
- Balance the increased time required with increased buy in
- Pick an involvement process that keeps things crisp and focused
- Balance staff participation with management's decision-making responsibility and authority

Involving Staff in Major Improvement Efforts

- Major improvement initiatives are larger in scope, take longer and are more radical in nature. For such initiatives a rigorous methodology is required such as Business Process Improvement (BPI).
- Major improvement priorities are set by management
- Make a decision is made as to whether this is an opportunity to involve staff in creating solutions
- Pick an improvement process that matches the scope and nature of the change initiative
- Enlist the help of an appropriate mix and number of managers, staff, customer and experts
- Execute by following the procedures of the selected process (Work-Out, CAP or Service Design)
- Celebrate both achievements and lessons learned

Involving Staff in Emerging Quick Hitting Opportunities

- Include in staff meetings an agenda item for reporting on improvement opportunities
- Maintain a list of unresolved opportunities
- When bandwidth permits select an item from the list for investigation
- Appoint a lead staff person to lead the effort
- Form an appropriately sized team for the scope of the task including customer representatives wherever possible
- Write a simple “guiding question” to identify the scope of the initiative.

Have the improvement team make a recommendation for action

- Give authority to local managers to approve initiatives on as wide a range of topics as practical
- Take action and celebrate any improvements achieved
- When results are less than expected reinforce the positive fact that initiative has been taken and that the organization has gained from the “lessons learned.”

Appendix M – Planning Major Change Announcements

Often what starts as a simple message ends up being misinterpreted and triggers unexpected reactions…

Example of a communication gone awry:

The communications: "Pat Smith will join us as a new manager"

The intent: To simply introduce the new manager

What various employees "hear": "They are replacing the old manager because she was too lenient with us. Or…I heard that this manager has been hired to reduce head count"

The results: People unexpectedly become fearful and angry

Effective communications include four distinct processes:

State and disseminate the message

Validate what message was received

Clarify the message and align perceptions

Model the content wherever possible

Stating and disseminating important change messages

Limit rumors by giving people complete and accurate information; communicate through the most effective channel; provide people with a way to give feedback and get more information.

Process:

- Carefully craft a "*headline*" for clarity. It is the essential message: Crisp, clear, and well crafted
- Determine the *best method, time and place* to disseminate the message
- Assemble *detailed information* that people may find helpful

Plan in advance how you will:

- Gather feedback and validate what people heard
- *Clear up any misconceptions* and address unanswered questions
- Manage people's transitions to the new reality
- Communicate the headline
- Simultaneously distribute or make available the detailed information.

At the same time, tell people where and how they can:

- Give feedback.
- *Participate in a dialogue* to clarify the message and its implications.

Validating what people heard

The validation can be very brief or somewhat extended depending on the complexity and severity of impact. The purpose of validation is to expose unintended conclusions being derived from the message.

- Create a *safe and open forum* for people to state their understanding of the message
- *Don't delay*. Discover rumors and misconceptions quickly
- *Answer all questions*. Both the question and answers should be disseminated to everyone
- Promptly clarify any misunderstandings

Clarifying important messages

Clarification can be the most important step in communications. In the clarification phase the manager should:

- Be genuine, listen more than talk
- Be empathetic of impacts on a person's professional or personal life
- Give space for expressions of doubt, anger, or sadness

Model any desired behavior

Before executing any communication, as the manger you should ask yourself a series of questions:

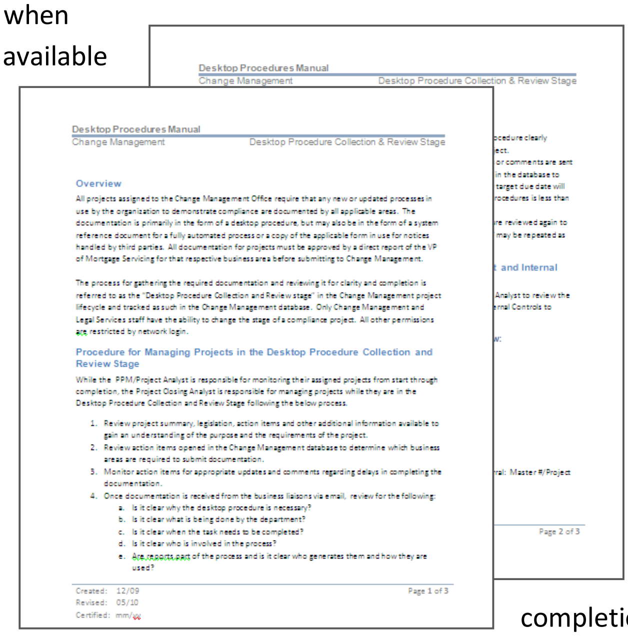
- What do I expect people to do differently as a result of this communication? Are there new behaviors expected? Are there new procedures to be followed?
- What attitudes would be desirable in the light of this communication?
- Is this a time to use a desirable virtual team skill like, empathetic listening, creativity, group problem solving, etc.
- How could we express compassion, justice, respect, excellence and stewardship?
    - Invent a way to model the behavior you want to see in others.
    - Publicly demonstrate the desired attitude or behavior.

"You must ***be*** the change you wish to see in the world" Ghandi

Appendix N - Ensure Knowledge Management Integrity

Update all business processes, desktop procedures and job aids

All projects require that any new or updated processes in use by the organization are documented by the originating areas to demonstrate compliance when applicable and ultimately to make the procedure available on demand for the client. The documentation is primarily in the form of a desktop procedure, but may also be in the form of a system reference document for a fully automated process or a copy of the applicable form in use for notices handled by third parties. All documentation for projects must be approved by a direct report of the VP of Mortgage Servicing for that respective business area before submitting it to Project Closing Analyst for review


Desktop Procedures Manual
Change Management — Desktop Procedure Collection & Review Stage

Overview

All projects assigned to the Change Management Office require that any new or updated processes in use by the organization to demonstrate compliance are documented by all applicable areas. The documentation is primarily in the form of a desktop procedure, but may also be in the form of a system reference document for a fully automated process or a copy of the applicable form in use for notices handled by third parties. All documentation for projects must be approved by a direct report of the VP of Mortgage Servicing for that respective business area before submitting to Change Management.

The process for gathering the required documentation and reviewing it for clarity and completion is referred to as the "Desktop Procedure Collection and Review stage" in the Change Management project lifecycle and tracked as such in the Change Management database. Only Change Management and Legal Services staff have the ability to change the stage of a compliance project. All other permissions are restricted by network login.

Procedure for Managing Projects in the Desktop Procedure Collection and Review Stage

While the PPM/Project Analyst is responsible for monitoring their assigned projects from start through completion, the Project Closing Analyst is responsible for managing projects while they are in the Desktop Procedure Collection and Review Stage following the below process.

1. Review project summary, legislation, action items and other additional information available to gain an understanding of the purpose and the requirements of the project.
2. Review action items opened in the Change Management database to determine which business areas are required to submit documentation.
3. Monitor action items for appropriate updates and comments regarding delays in completing the documentation.
4. Once documentation is received from the business liaisons via email, review for the following:
   a. Is it clear why the desktop procedure is necessary?
   b. Is it clear what is being done by the department?
   c. Is it clear when the task needs to be completed?
   d. Is it clear who is involved in the process?
   e. Are reports part of the process and is it clear who generates them and how they are used?

Created: 12/09 — Page 1 of 3
Revised: 05/10
Certified: mm/yy

Figure 31 Job Aid

The process for gathering the required documentation and reviewing it for clarity and completion is referred to as the *Desktop Procedure Collection and Review stage* in the Change Management project lifecycle and tracked as such in the Change Management database. Only the Change Management Office and Legal Services staff have the ability to change the stage of a compliance project. All other permissions are restricted by network login

Procedure for Managing Projects in the Desktop Procedure Collection and Review Stage

While the Project Prioritization Project Analyst is responsible for monitoring their assigned projects from start through completion, the Project Closing Analyst is responsible for managing projects while they are in the Desktop Procedure Collection and Review Stage by following the process below:

1. Review project summary, legislative compliance, action items and other additional information available to gain an understanding of the purpose and the requirements of the project.
2. Review action items opened in the Change Management database to determine which business areas are required to submit documentation.
3. Monitor action items for appropriate updates and comments regarding delays in completing the documentation.
4. Once documentation is received from the business liaisons via email, review for the following:
5. Is it clear why the desktop procedure is necessary?

6. Is it clear what is being done by the department?
7. Is it clear when the task needs to be completed?
8. Is it clear who is involved in the process?
9. Are there reports that are part of the process and is it clear who generates them and how they are used?
10. Is it clear when the procedure was created, changed or certified?
11. Is it clear who performs each part of the process?
12. If the procedures meet the above guidelines, review to ensure that the procedure clearly demonstrates compliance with the requirements and objective of the project.
13. If any of the above is missing or unclear, the procedures with documented questions or comments are sent back to the liaison for updates. An additional action item will be assigned in the database to update the procedures with the additional information needed and a new target due date will be set. General guidelines for establishing target due dates for the turnaround of updated procedures is less than one week, however this may vary.
14. Once updated documentation from the business liaison is received, they are reviewed again to ensure that the requested changes are appropriately captured. Steps 2 through 7 may be repeated as many times as necessary to capture all required documentation.

Appendix O - Retrospective Review Meeting Agenda

Project Summary	
Retrospective review meeting attendees	
Project manager	
Original target completion date	
Actual completion date	
Original budget	
Actual budget	
Targeted KPI measures	May refer to a separate document.
Actual KPI results	May refer to a separate document.

Major change management milestones

Description	Scheduled Date	Actual Date	Lessons Learned

Scope changes to the change management project

Change Activity	Original Scope	Changes to Scope	Reason	Lessons Learned

Other change management project changes
[Include any comments about non-scope project changes.]

Change management risk review
• Change management risks that manifested • Mitigation measures that worked • Mitigation measures that did not work • Recommendations for future change management projects

Review of the effectiveness of change management efforts by key area

Change Management Element	What we did well	What we would do differently next time	Process or Communications issue (P/C)
Change planning			
Change Scheduling			
Change Resource availability			
Change Communications			
Change Risk assessment			
Change Risk management			
Change Scope control			
Other change control			
Change Issues resolution			
Change documentation			
Change approach			
Change Decision making			

Other issues addressed during the meeting with stakeholders & the change team

Appendix P - Transition Management Effectiveness Rating Sheet

This document has been designed to help determine how well transitions are being planned and managed. It can be used:

- At team meetings to stimulate discussion on transition management and planning
- As a means of evaluating transition management plans once they have been developed
- Distributed to staff as a survey to get feedback on how effective transition management efforts are in assisting people

		Poor		Fair		Excellent
1	**Marking Endings**	1	2	3	4	5
1.1	What has truly ended is acknowledge and honored	1	2	3	4	5
1.2	Personal endings as well as organizational endings are acknowledged	1	2	3	4	5
1.3	People can take as much of the past with them as practical	1	2	3	4	5
1.4	Where needed ceremonies and events are created to mark and honor endings	1	2	3	4	5
2	**During the Neutral Zone**	1	2	3	4	5
2.1	There are safe outlets for frustrations, anger and rumors	1	2	3	4	5
2.2	During times of change critical areas are temporarily stabilized to minimize disruptions	1	2	3	4	5
2.3	Everyone is involved in identifying and improving processes and procedures	1	2	3	4	5
3	**Creating New Beginnings**					
3.1	The scope of changes do not exceed the capacity of the organization to successfully execute	1	2	3	4	5
3.2	Deployment plans have sufficient enough detail to identify all substantive work including dates and responsibilities	1	2	3	4	5
3.3	Staff see themselves as participants not spectators or victims of the changes	1	2	3	4	5
4	**Communications**					
4.1	During changes a communications plan is created to avoid leaving communications to chance	1	2	3	4	5
4.2	Communications is two-way. Staff and customers can provide input	1	2	3	4	5

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