State of California

Organizational
Change Management
Framework

California
DEPARTMENT OF TECHNOLOGY
California Project Management Office

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Version History

Document history and version control is used to record detail of minor and major changes to the California Organizational Change Management Framework (CA-OCM).

Version #	Date	Author	Changes
1.0	7.18.2017	CDT	Initial Publication

Overview

This chapter provides an overview of the California Organizational Change Management Framework (CA-OCM), its purpose and use, and how it will help you with your projects.

In this chapter...

Overview of the CA-OCM Framework

Organizational Change Management (OCM) is a discipline that helps organizations implement change to achieve measurable results in their business strategies, work processes, structures, technologies, organizational cultures, and management styles. These changes can be driven by implementation of a new mandate, process, technology, or strategy. OCM focuses on the people in the organization and on identifying and enhancing the "human factors" that will achieve and sustain desired project results, which can include improved efficiency, quality, timeliness, and cost avoidance.

The California Project Management Office (CA-PMO) has developed the California Organizational Change Management Framework (CA-OCM or OCM Framework) to provide an OCM Practitioner with a practical guide for managing change within an organization. The CA-OCM provides guidance on OCM methods and approaches through the use of resources, tools, and templates, as well as narrative describing when and how specific OCM activities should be performed throughout the Project Management Lifecycle (PMLC).

While the CA-OCM is written in the context of information technology (IT) implementation efforts, it is applicable to any type of project that requires an organization, its groups, and its people to change. This must be done with a thoughtful approach that leverages best practices and lessons learned to help navigate California's unique environment and characteristics. The OCM framework aligns to and can be used with the California Project Management Framework (CA-PMF) and the California Business Process Reengineering Framework (CA-BPR or BPR Framework).

1.1 Purpose and Use of the CA-OCM

The CA-OCM is designed to assist organizations in managing the people-side of change in order to achieve business outcomes associated with that change. OCM facilitates the transition of individuals, teams, and organizations to a future state to achieve business benefits. To accomplish this, OCM takes into

consideration the complete organization and how the organization and people need to change. The CA-OCM provides a set of activities that:

- Address the people issues that arise when an organization tries to make changes

- Facilitate communication to increase awareness and ownership

- Identify and promote leadership support

- Foster strong and healthy working relationships between project teams, the Project Sponsor, and Stakeholders

- Mobilize commitment of Stakeholders to implement a change initiative

- Proactively identify and address resistance to change

- Create a thoughtful training approach to provide opportunities for end users to gain knowledge and skills in order to succeed in the future state.

The CA-OCM is a practical and useful guide to assist an OCM Practitioner in implementing OCM efforts for projects of all sizes and complexity levels. The CA-OCM provides recommended practices, activities, and tools/templates for OCM efforts, in addition to leveraging industry standards and resources.

The intended audience for the CA-OCM includes Practitioners responsible for performing or managing OCM activities, roles that may be held by state and/ or contractor resources, and other team members that may be involved in an OCM effort. The CA-OCM also provides helpful information to the Project Sponsor, project participants, and Stakeholders regarding OCM concepts and best practices. The OCM Practitioner should leverage the tools/templates, as applicable, and modify them to fit specific project needs.

Projects in California vary in size, type, and complexity; however, despite these differences, the objectives of OCM remain consistent. To account for an organization's specific project needs, the OCM approach and methods used will need to be tailored to the specific organization and project. The OCM Practitioner should adjust the level of complexity and rigor to match the needs of each individual project, and recognize that the level of complexity and rigor will differ from project to project. The CA-OCM provides guidance and adaptability to account for these project differences.

1.2 The Value of the CA-OCM

The CA-OCM provides a common foundation for state organizations to leverage and apply to project implementation efforts, to strive for a level of efficiency and consistency in OCM practices across the state. The many benefits include:

1. A guide for OCM Practitioners across a range of experience levels, using practical language and concepts that are easy to understand and apply.

2. An OCM framework, nomenclature, and toolset with templates, examples, and instructions that can be customized to account for differences in project needs, but are structured to be consistently applicable across a wide range of project types, sizes, and complexities.

3. Guidance based on industry standards, best practices, and lessons learned.

4. A statewide OCM perspective which addresses the relationships between OCM activities, project management activities, BPR activities, Project Approval Lifecycle (PAL) activities, and system development activities.

1.3 A Thoughtful Approach to OCM

The CA-OCM offers a set of tools and techniques to provide a structured, disciplined, and repeatable approach to OCM. Though a set of tools and techniques can increase the likelihood of success, OCM also requires the appropriate skills and experience to apply them. The ultimate success of an OCM effort depends on the knowledge, skills, and abilities of the OCM Practitioner.

An OCM Practitioner needs to be able to proactively identify change-related issues and to anticipate and plan for such challenges, mitigate issues as they arise, and work cohesively and effectively with a wide range of individuals. In leading OCM efforts, the OCM Practitioner should possess a set of knowledge, skills, and abilities that enable effective OCM activities and contribute to overall project success.

Knowledge

- **Organizational change management concepts and methodology knowledge.** While the CA-OCM describes key concepts, it is important for the OCM Practitioner to have OCM experience in order to effectively apply the OCM activities, tools, and templates, however, depending on that level of experience the value provided may fluctuate.

- **Integration of strategy, technology, business processes, and people.** The OCM Practitioner works in connection with many team members from other disciplines, including project management, technology, and business analysis. Successful OCM efforts depend on the thoughtful integration between these disciplines. As such, the OCM Practitioner must possess an understanding of these additional disciplines and the interrelationships between them.

- **Human resources processes and practices.** As part of the transition to a future state, the OCM Practitioner needs to be aware of human resource processes and practices. Such processes and practices are integral in identifying impacts on change activities, as well as changing job roles and classifications.

Skills

- **Strategic Thinking.** Effective OCM requires the OCM Practitioner to have a solid understanding of the organization and anticipate people's reactions to change. It requires strategic thinking, since the OCM Practitioner will need to identify a strategy to address OCM priorities and issues on the project.

- **Problem-solving.** The OCM Practitioner identifies people-related issues, assesses those issues, and determines the most appropriate solutions. The OCM Practitioner routinely uses problem-solving skills throughout the project and draws upon past experience to aid in decision-making.

- **Collaboration and teamwork.** The OCM Practitioner should demonstrate an ability to foster positive team dynamics and promote collaboration within the team. While the OCM Practitioner focuses on facilitating the people-side of change initiatives, the entire project team must work in concert for projects to be successful.

- **Communication.** The OCM Practitioner should be able to effectively communicate and serve as a facilitator to help achieve the project's objectives. The OCM Practitioner needs to create meaningful messages and deploy communication techniques to foster effective participation.

- **Listening.** The OCM Practitioner should possess strong listening skills and empathy to gain trust and to be able to proactively address employees' resistance to change.

Abilities

- **Build team effectiveness.** The OCM Practitioner helps build and support effective project teams, moving them from the "forming" stage to the "high-performing" stage.

- **Leadership and influence.** The OCM Practitioner provides leadership throughout a change initiative. The OCM Practitioner needs to build relationships, engage with Stakeholders to gain support, and create a high level of trust.

Framework Conventions and Structure

This section of the CA-OCM describes the conventions and structure that is used throughout. The graphical elements, strategic use of color, and call-out boxes are used to clearly communicate practical OCM concepts, as well as engage the reader's attention and improve information retention. The structure of the CA-OCM also organizes information through the use of chapters, knowledge areas (which are described later in this chapter), and key navigational elements to guide the reader.

2.1 Colors and Icon Conventions

Each chapter of the CA-OCM corresponds to a process phase of the PMLC and is identified with a specific color and distinct icon. These unique colors and icons are presented at the beginning of each chapter and continue throughout to visually guide readers as they progress through the document.

Groupings of related OCM activities are organized into knowledge areas. These serve to organize sets of OCM activities that share a common purpose and objective. Activities from multiple knowledge areas may occur within a single process phase. These knowledge areas are represented by their own icons and colors placed below each PMLC process phase chapter header. The methodical use of color is designed to help readers navigate the CA-OCM quickly and easily.

Icons used throughout this framework are shown by grouping for your reference:

📢	Recommended Practices	☑	Activities
➡	Inputs	💼	Tools
👫	Roles	📲	Outputs
📖	Skills		
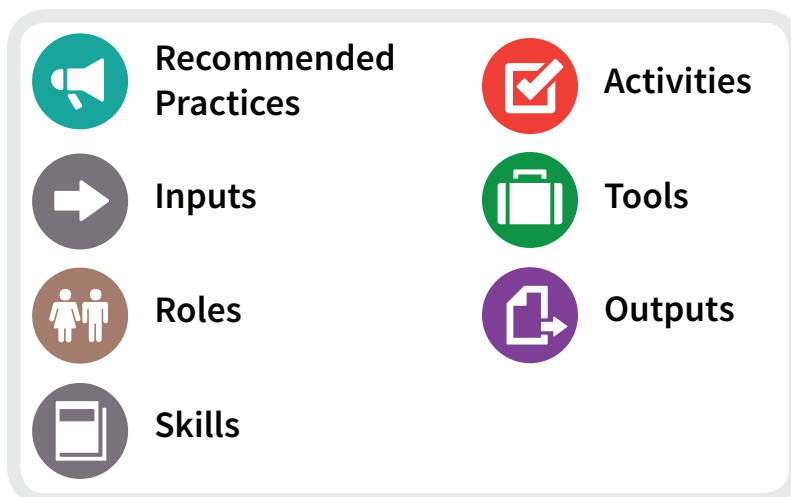
Project Management Lifecycle

Concept

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Organizational Change Management

OCM Lifecycle Management

Communication

Leadership Support

Team Dynamics

Stakeholder Enrollment

Training

2.2 Chapters

The CA-OCM is comprised of eight chapters. These chapters organize content into logical domains to help readers easily navigate the document. The eight chapters of the OCM framework are:

Overview

This initial chapter provides an introduction to the CA-OCM and its purpose and use. It discusses how specific icons and colors are used to facilitate navigation. It also offers a high-level overview of the OCM lifecycle and knowledge areas, which are core elements of the OCM effort.

Templates

This chapter contains information about the collection of templates that are available as part of the CA-OCM to help the OCM Practitioner successfully conduct an OCM effort.

Concept

This chapter describes initial OCM activities at the inception of a change initiative. The goals of this process phase are to define the change initiative and communicate it to key leaders and Stakeholders.

Initiating

This chapter provides guidance on how to identify OCM priorities and schedule OCM activities. In this process phase, the OCM Practitioner engages the Project Sponsor and other key executive leaders and defines the project team behavior guidelines.

Planning

This chapter provides recommendations for the OCM effort during the Planning Process Phase. The OCM Practitioner will plan and implement OCM activities, facilitate high level project communications, engage key Stakeholders and leaders, and assist in building the project team.

Executing

This chapter provides guidelines for the OCM Practitioner to use throughout the Executing Process Phase when the system development activities begin. The OCM Practitioner works to engage and transition individuals and the organization to the future state.

Closing

This chapter details the principles, practices, and tools used during the final process phase. This process phase concludes the formal OCM effort by closing out OCM activities, transitioning remaining OCM responsibilities, and planning for ongoing training needs.

Additional Resources

This chapter provides resources to support the CA-OCM. It includes a glossary of project roles and common OCM terms.

2.3 Key Navigation Elements

The CA-OCM contains seven categories of information to help the OCM Practitioner navigate the framework. These categories, referred to as key elements, include:

Recommended Practices

Techniques or methods that, through experience and research, help achieve a desired result.

Inputs

Information and/or documents that feed into a process.

Roles

Roles for project Stakeholders, including a list of key responsibilities associated with process phase and knowledge area activities.

Skills

Special or unique human expertise that should be applied to achieve a successful project outcome.

Activities

Actions or activities for the OCM Practitioner to undertake.

Tools

Templates or other resources to help create project outputs. Templates are documents that have been pre-developed for project use.

Outputs

Work products that are developed.

2.4 Call-Out Boxes

Throughout the CA-OCM, "call-out" boxes are used to bring attention to information that further supports the narrative. These graphics have been incorporated into the document to highlight useful information at a glance. Examples of call-out boxes may include:

- Navigation elements: recommended practices to consider, inputs to review, roles involved, guidelines to follow, activities to undertake, tools available for assistance, and outputs to create

- Skills that are useful for a particular activity

- Website links or other references for more information

- Quotes and that are highlighted for greater emphasis

Recommended Practices
Review recommended practices at the start of the process phase.

Inputs
The following is an input to the activity:
• Environmental Readiness Assessment

Roles
For a complete list of all CA-OCM roles, see the OCM Role Definitions in the Glossary.

Skills
Use the following skills to complete the activity:
• Strategic Thinking
• Teamwork

Tools
A template is available: Change Magnitude Assessment

Outputs
The following is an output of the activity:
• Completed Change Magnitude Assessment

Web Link/ Info
See the Human Resources & Staff Management section within the Planning Process Phase chapter of the CA-PMF.

"
When the project purpose and desired outcomes are vague, the risk of project scope creep is very high.
"

Alignment to Other Frameworks

3.1 Related Frameworks

The CA-OCM aligns with the CA-PMF and other frameworks that support the project implementation effort. CA-OCM activities span the PMLC and are grouped within PMLC process phases. It is important to recognize the integration points among the different frameworks and their associated lifecycles.

The OCM lifecycle refers to a series of activities that are conducted to address the people-side of a change initiative. This effort spans throughout the entire PMLC. The design accommodates projects that vary in size, complexity, and type, and all project OCM efforts can be aligned to the PMLC structure.

In addition to the PMLC, the OCM Lifecycle also aligns with:

- Business Process Reengineering (BPR) Lifecycle

- Project Approval Lifecycle (PAL)

- System Development Lifecycle (SDLC)

During project implementation, the OCM Lifecycle, PMLC, BPR Lifecycle, and SDLC may support one another and often occur in parallel. Figure 3-1 depicts the OCM Lifecycle in association with these lifecycles. The successful management of each lifecycle can greatly affect the others and contribute to the success of the overall project. In addition to these lifecycles, California has adopted the Project Approval Lifecycle (PAL) to improve the quality, value, and likelihood of success of technology projects undertaken by the State of California.

Project Management Lifecycle (PMLC)

Concept	Initiating	Planning	Executing	Closing

Organizational Change Management (OCM) Lifecycle

Business Process Reengineering (BPR) Lifecycle

Project Approval Lifecycle (PAL)

System Development Lifecycle (SDLC)
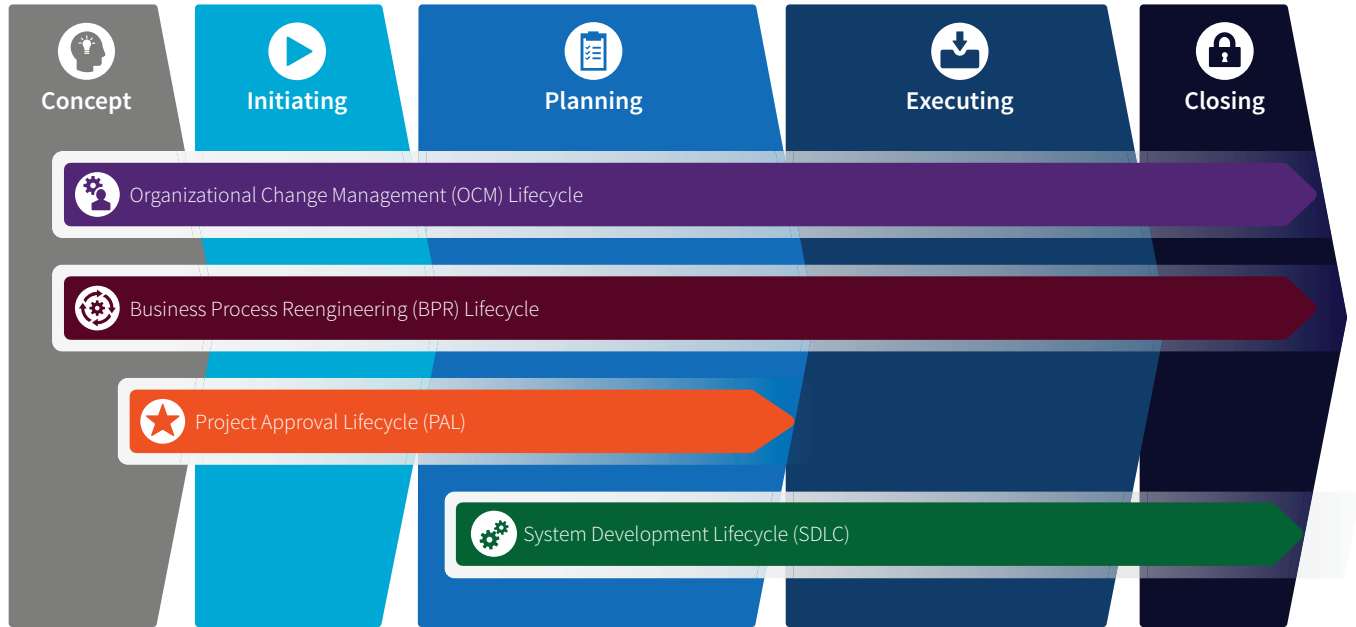
Figure 3-1

OCM Knowledge Areas

The CA-OCM is comprised of six knowledge areas. A knowledge area groups a set of OCM activities that share a common purpose and objective and can span across multiple PMLC process phases. This section describes the six OCM knowledge areas including the purpose, objectives, and timing within the PMLC.

4.1 Purpose of Knowledge Areas

The purpose of the OCM knowledge areas is to group the concepts the OCM Practitioner needs to understand and the associated activities he/she will need to perform. It is important to note that knowledge areas and their associated activities often have interdependencies and interrelationships with other OCM knowledge areas. The six knowledge areas of the CA-OCM are:

- OCM Lifecycle Management
- Communication
- Leadership Support
- Team Dynamics
- Stakeholder Enrollment
- Training

The CA-OCM provides guidance on when specific knowledge area activities should occur during a project. The CA-OCM presents the knowledge areas in the general order in which they begin within the PMLC; however, each OCM Practitioner will need to determine applicability and timing, and align OCM activities to the specific needs of a project. Guidance on tailoring OCM efforts to specific projects and project needs is provided throughout the CA-OCM.

4.2 OCM Knowledge Areas

Knowledge areas span multiple process phases and occur at different times during the PMLC. Figure 4-1 identifies the OCM knowledge area goal within each process phase where there are associated activities. Additionally, a single, overarching goal is presented for each knowledge area.

	Concept	Initiating	Planning	Executing	Closing
OCM Lifecycle Management	Understand the Magnitude of Change	Schedule Initiating Activities	Schedule Planning Activities	Schedule Executing Activities	Close OCM Effort
Ensure the Performance of the OCM Effort					
Communication			Implement Planning Process Phase Communications	Communicate Key Project Messages	Communicate Operations
Ensure Common Understanding					
Leadership Support	Select Project Sponsor	Engage Project Sponsor and Key Leaders	Support Project Sponsor	Engage Leaders	
Ensure Leadership Demonstrates Visible Support					
Team Dynamics		Develop Team Foundation	Initiate Planning Project Team	Monitor Team Dynamics	
Ensure High Performing Team					
Stakeholder Enrollment				Enroll Stakeholders	
Ensure Stakeholder Buy-in					
Training			Define Training Requirements	Conduct Training	Evaluate Training
Ensure Users Have the Necessary KSAs					

Figure 4-1

The following provides a brief description of the six OCM knowledge areas:

OCM Lifecycle Management

OCM Lifecycle Management focuses on managing the performance of the OCM effort through the planning and scheduling of OCM activities. These activities guide the direction and govern the sequence and resourcing of all other knowledge area activities. OCM Lifecycle Management requires continuous coordination with the Project Manager to ensure the OCM effort is integrated with other project activities and milestones.

Communication

Communication focuses on ensuring a common understanding of the change effort through communication and feedback activities. It works to inform and engage those involved with and affected by the change initiative. Communication is a vital component of the OCM effort as it creates awareness and understanding of the change to obtain Stakeholder buy-in and reduce employee resistance.

Leadership Support

Leadership Support focuses on ensuring that leadership at all levels demonstrates visible support for the change. Leadership Support activities guide the effort to engage and support all leaders influential to or impacted by the change, from the Project Sponsor to managers and supervisors. These leaders, in turn, provide visible change support and serve as role models to other Stakeholders.

Team Dynamics

Team Dynamics focuses on creating and maintaining high performing teams. Team Dynamics activities are tailored around team and individual expectations and guidelines and are designed to create a positive and collaborative working environment. Team Dynamics may focus on the project team and sub teams, or any other collaborative group.

Stakeholder Enrollment

Stakeholder Enrollment focuses on ensuring Stakeholder buy-in. Stakeholders include persons or groups who are directly or indirectly affected by a project, as well as those who may have the ability to influence its outcome. Stakeholder Enrollment builds on the Stakeholder identification, analysis, and management activities that are prescribed by the CA-PMF. Efforts in this knowledge area serve to connect with Stakeholders at all levels to ensure they are informed and accepting of the change initiative.

Training

Training focuses on ensuring end users have the necessary knowledge, skills, and abilities (KSAs) they need to transition and be successful in a new environment. Activities in this knowledge area plan for, build, and implement a training program that allows end users to be better prepared to adopt the new system.

Templates

This chapter describes the collection of templates that are referenced in the California Organizational Change Management Framework (CA-OCM). These are designed to support the OCM effort throughout the entire project lifecycle.

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Approach

Organizational Change Management (OCM) is a discipline that follows a consistent series of activities. The CA-OCM provides standardized templates to accompany key activities. These templates are a core component of the CA-OCM and will help the OCM Practitioner document activities and provide clear, meaningful results. In some cases, the CA-OCM refers to these templates as "tools." A template, just like any other tool, helps get the job done.

1.1 Advantages of Using Templates

Pre-developed templates offer the OCM Practitioner a standardized method for the collection, analysis, and documentation of OCM-related content required throughout the CA-OCM. This standardization reduces the time to complete OCM activities, increases transparency into OCM activities, reduces risk, and improve outcomes. Some organizations may already possess well-developed OCM templates; however, the OCM Practitioner may still benefit by supplementing templates that exist within the organization with those that are part of the CA-OCM.

1.2 Template Sources Referenced in the CA-OCM

The CA-OCM references and links to a variety of supporting templates designed for a specific purpose and with the objective of guiding the OCM Practitioner through implementing OCM activities. There are two main sources of templates referenced in the CA-OCM.

1.2.1 CA-OCM Templates

The CA-OCM templates are designed to enable project teams to manage the change associated with project implementations and/or Business Process

Reengineering (BPR) projects successfully, consistently, and efficiently. These templates are specific to OCM activities and will help the team plan, assess, and implement organizational change. The CA-OCM templates support OCM activities through all process phases.

1.2.2 CA-PMF Templates

The California Project Management Framework (CA-PMF) templates are designed to help Project Managers keep the project on schedule, on budget, and on time. CA-PMF templates provide Project Managers with the resources to manage all aspects of a project, including requirements, risk, schedule, scope, deliverables, cost, communication, and changes. CA-PMF templates are leveraged to support OCM activities where there are outputs that are the same or similar in content. CA-PMF templates are available at: http://capmf.cio.ca.gov/Templates.html.

> **ℹ Web Links**
>
> Leverage the CA-PMF templates where applicable: CA-PMF Templates.

1.3 CA-OCM Template Types

CA-OCM templates have been developed to accommodate differences in the experience of the OCM Practitioner. As a result, the CA-OCM templates have been designed in two formats or types: templates with instructions for those that require more guidance and template shells for those with more experience.

1.3.1 Templates with Instructions

Templates with instructions contain a significant amount of instruction describing how to complete the template. These templates are intended for the less experienced OCM Practitioner. The instructions serve as a guide and can be deleted as the template is completed. Many templates with instructions also contain examples and sample text that may be helpful. This text may also be deleted or modified to suit the needs of the project as the template is completed.

1.3.2 Templates Shells

Template shells contain the same template structure and content headings as the templates with instructions; however, they do not include significant amounts of instructional text or examples. Template shells are intended to assist the more experienced OCM Practitioner who is already familiar with similar tools and prefers to use a shell template, and/or those that have previously worked with the template with instructions and prefer to now start with a template shell.

Templates

1.4 Templates by Knowledge Area and Process Phase

Some of the templates that are used during the CA-OCM are used throughout multiple process phases. The table below lists each of the templates by knowledge area and identifies which process phases it is being used in.

> To access the templates in a fillable format see the CA-OCM website at the following link: http://projectresources.cio.ca.gov/ocm or by clicking here and expand the templates tab. CA-PMF templates can be accessed at: http://capmf.cio.ca.gov/Templates.html or by clicking here.

Knowledge Area/ Template Name	Process Phase				
	Concept	Initiating	Planning	Executing	Closing
OCM Lifecycle Management					
Change Magnitude Assessment Template	X	X			
Environmental Readiness Assessment Template	X	X			
OCM Schedule Template		X	X	X	
Organizational Change Readiness Assessment Template			X	X	
OCM Plan Template			X	X	
Lessons Learned Template (CA-PMF)					X

Knowledge Area/ Template Name	Process Phase				
	Concept	Initiating	Planning	Executing	Closing
Communication					
Communication Management Plan Template (CA-PMF)			X	X	
Communication Management Plan Feedback Channels Amendment Template			X		
Communication Action Log Template			X	X	X
Stakeholder Communication Questionnaire Template				X	
Communication Feedback Survey Template				X	
Leadership Support					
Project Sponsorship Assessment Template	X				
Project Sponsorship Action Register Template		X	X		
Leadership Support Assessment Template		X	X		
Leadership Support Action Log Template		X	X	X	
Executive Interview Guide Template			X	X	
Team Dynamics					
Project Team Guidelines Template		X			
Team Dynamics Action Log Template			X	X	
Team Guidelines Survey Template				X	
Team Effectiveness Survey Template (CA-PMF)				X	

Knowledge Area/ Template Name	Process Phase				
	Concept	Initiating	Planning	Executing	Closing
Stakeholder Enrollment					
Stakeholder Management Plan Template (CA-PMF)				X	
Stakeholder Register Template (CA-PMF)				X	
Stakeholder Enrollment Action Log Template				X	
Training					
Training Plan Template			X	X	
Training Action Log Template				X	X
Training Effectiveness Survey Template					X

Note: This table does not include the OCM Process Phase Checklists that correspond with each process phase chapter.

CA-OCM Templates

The templates that are used in the CA-OCM are grouped by the five project process phases: Concept, Initiating, Planning, Executing, and Closing. Each of the CA-OCM templates is listed and described along with the CA-PMF templates that support them. Note that the same template may be listed in multiple process phases as it may be used throughout the effort. To access the CA-OCM templates in a fillable format see the CA-OCM templates web page at the following link: http://projectresources.cio.ca.gov/ocm or by clicking here and expand the templates tab.

2.1 Concept Process Phase

The following CA-OCM templates accompany the Concept Process Phase:

- **Change Magnitude Assessment Template** – The Change Magnitude Assessment is used to gain an understanding of the organization, define the relative size and magnitude of the change, and tailor OCM efforts to the organization's priority areas. In addition, the assessment provides a high level overview for the OCM Practitioner to refer to when discussing the direction of the OCM effort.

- **Environmental Readiness Assessment Template** – The Environmental Readiness Assessment serves as a tool to assess an organization's level of readiness for change in four environmental areas: organizational readiness, leadership readiness, employee readiness, and supporting infrastructure readiness. Each environmental area is assessed based on statements regarding the readiness of that area, and assigned a numerical score, and ultimately, a priority level. The Environmental Readiness Assessment assists the OCM Practitioner in identifying OCM priority areas early in the project lifecycle.

- **Project Sponsorship Assessment Template** – The Project Sponsorship Assessment is designed to be an informal working document that identifies and evaluates potential Project Sponsor candidates. This assessment helps identify a Sponsor's level of availability, interest, influence, and knowledge of the change initiative.

- **OCM Concept Process Phase Checklist Template** – The checklist identifies the key OCM activities that are to be completed during the Concept Process Phase.

2.2 Initiating Process Phase

The following CA-OCM templates accompany the Initiating Process Phase:

- **Change Magnitude Assessment Template** – The Change Magnitude Assessment is used to gain an understanding of the organization, define the relative size and magnitude of the change, and tailor OCM efforts to the organization's needs. This working document provides a high level overview for the OCM Practitioner to refer to when discussing the direction of the OCM effort.

- **Leadership Support Action Log Template** – The Leadership Support Action log is a living document that allows the OCM Practitioner to keep track of the actions taken with each executive, as well as the responsible resource, the timing, and the frequency of such actions. This log also allows for an easy transition of responsibility if there is a change in role.

- **Leadership Support Assessment Template** – The Leadership Support Assessment serves as an internal assessment performed by the OCM Practitioner and project team. It evaluates leaders in two key areas or categories – their level of resistance and level of importance to the change initiative.

- **OCM Schedule Template** – This template provides a structure to document the OCM activities and tasks required during the current process phase required for the project. The OCM Practitioner coordinates closely with the Project Manager when developing the OCM schedule. Though other tools to develop and manage the schedule may be available to the OCM Practitioner, this template may be useful to help gather information from multiple team members that may not have access or be familiar with other project schedule tools.

- **Project Sponsorship Action Register Template** – The Project Sponsorship Action Register contains a list of the Sponsor's required actions, the frequency of these actions, and the detailed responsibilities of the Sponsor. The Project Sponsor will use the Sponsorship Action Register to track his/her project responsibilities and record progress and completion of the Sponsor's actions.

- **Project Team Guidelines Template** – The Project Team Guidelines documents the defined set of expected behaviors that best fit the needs of the project team. It records and displays the behaviors in a visible location for the project team to review and implement.

- **OCM Initiating Process Phase Checklist Template** – The checklist identifies the key OCM activities that are to be completed during the Initiating Process Phase.

2.3 Planning Process Phase

The following CA-OCM templates accompany the Planning Process Phase:

- **Communication Action Log Template** – The Communication Action Log is used to record communication dissemination and feedback collection. This living document tracks all communication sent and received.

- **Communication Management Plan Feedback Channels Amendment Template** – The Communication Management Plan Feedback Channel Amendment serves as an addition to the CA-PMF Communication Management Plan. The amendment assists the OCM Practitioner in identifying communication feedback channels, through which employees, leaders, and Stakeholders may provide opinions, ask questions, and identify concerns related to the project.

- **Communication Management Plan Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. The Communication Management Plan identifies project communication needs and expectations based on Stakeholder requirements. It describes how information will be communicated, when and where each communication will be made, and who is responsible for providing each type of communication.

- **Executive Interview Guide Template** – The Executive Interview Guide is used by the OCM Practitioner to assess executive leaders. It helps identify the executive group's strengths, questions, and possible problems.

- **Leadership Support Action Log Template** – The Leadership Support Action Log is a tool used to capture and organize tasks, resources, and timeframes for Leadership Support efforts.

- **OCM Plan Template** – The OCM Plan details all aspects of the OCM effort, including the scope of the OCM effort, how the change process will occur, how the OCM effort will be managed, and roles and responsibilities associated with the specific change and OCM effort.

- **OCM Schedule Template** – This template provides a structure to document the OCM activities and tasks required during the current process phase required for the project. The OCM Practitioner coordinates closely with the Project Manager when developing the OCM Schedule. Though other tools to develop and manage the schedule may be available to the OCM Practitioner, this template may be useful to help gather information from multiple team members that may not have access or be familiar with other project schedule tools.

- **Organizational Change Readiness Assessment Template** – The Organizational Change Readiness Assessment provides insight into the need for tailored OCM efforts in all knowledge areas from every level of the organization. The assessment is used to gauge each organizational level (executives, management, employees, project team, etc.) on the group's thoughts, feelings, and readiness in each knowledge area.

- **Project Sponsorship Action Register Template** – The Sponsorship Action Register is a tool used to capture and organize actions, tasks, timeframes, and time commitments for the Project Sponsor's efforts related to the project. The register should be completed and updated regularly to ensure is applicability to the project efforts.

- **Team Dynamics Action Log Template** – The Team Dynamics Action Log allows the OCM Practitioner to track the actions in the specific knowledge areas. There is one for almost every knowledge area and they span the entire knowledge area lifecycle.

- **Training Plan Template** – The Training Plan template serves as a guide for the OCM Practitioner in assessing, planning, developing, delivering, and evaluating end-user training. This document guides the entire training effort, from planning and development to delivery and execution.

- **OCM Planning Process Phase Checklist Template** – The checklist identifies the key OCM activities that are to be completed during the Planning Process Phase.

2.4 Executing Process Phase

The following CA-OCM templates accompany the Executing Process Phase:

- **Communication Action Log Template** – The Communication Action Log is used to record all identified communication actions.

- **Communication Feedback Survey Template** – The Communication Feedback Survey collects information regarding the effectiveness of the communication process. The survey assists the OCM Practitioner in identifying successful communication methods and areas of concern in order to modify communications and increase effectiveness.

- **Communication Management Plan Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. The Communication Management Plan identifies project communication needs and expectations based on Stakeholder requirements. It describes how information will be communicated, when and where each communication will be made, and who is responsible for providing each type of communication.

- **Executive Interview Guide Template** – The Executive Interview Guide is used to assess executive leaders involved in the change initiative. It helps the OCM Practitioner to foster initial relationship building with executive leaders, instigate thought among executive leaders about what is required for a successful change initiative, identify the political "lay of the land", which helps the project team navigate potential political issues and boundary struggles, and build a picture of the executive leaders' strengths, questions, and possible problems related to the change initiative.

- **Leadership Support Action Log Template** – The Leadership Support Action Log is used to record all identified leadership and coaching actions.

- **Stakeholder Communication Questionnaire Template** – The Stakeholder Communication Questionnaire is used to assess what Stakeholder groups are feeling about the change initiative, what they need and want to know, and how they prefer to receive information. The questionnaire assists the OCM Practitioner in determining communication messages, delivery channels, and preferred senders for different Stakeholder groups. It is designed to help identify key communication events, target audiences, and preferred communication methods and messages.

- **Stakeholder Enrollment Action Log Template** – The Stakeholder Enrollment Action Log allows the OCM Practitioner to track the actions in the Stakeholder Enrollment Knowledge Area.

- **Stakeholder Management Plan Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. The Stakeholder Management Plan describes the processes, procedures, tools, and techniques to effectively engage Stakeholders in project decisions based on Stakeholder needs, interests, and requirements.

- **Stakeholder Register Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. The Stakeholder Register identifies the individuals and organizations that will impact the project or will be impacted by the project in some way. The term Stakeholder is a very broad term that includes not only the actual project team members but can also include any individuals affected by the changes brought about by the project's outcome.

- **Team Dynamics Action Log Template** – The Team Dynamics Action Log allows the OCM Practitioner to track the actions in the Team Dynamics knowledge area.

- **Team Effectiveness Survey Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. The Team Effectiveness Survey is used by project teams to assess the effectiveness of how the project team works together. Assessing the effectiveness of the team is a way to identify potential issues that may negatively impact team effectiveness and ultimately the success of the project.

- **Team Guidelines Survey Template** – The Team Guidelines Survey serves as a tool, used by the project team, to assess their progress toward enacting the team's defines behavior guidelines. The Team Guidelines Survey assists the OCM Practitioner, Project Manager, and project team in identifying guidelines to improve on throughout the project lifecycle.

- **Training Action Log Template** – The Training Action Log allows the OCM Practitioner to track the actions in the Training Knowledge Area.

- **Training Plan Template** – The Training Plan serves as a guide for the OCM Practitioner in assessing, planning, developing, delivering, and evaluating end-user training. This document guides the entire training effort, from planning and development to delivery and execution.

- **OCM Executing Process Phase Checklist Template** – The checklist identifies the key OCM activities that are to be completed during the Executing Process Phase.

2.5 Closing Process Phase

The following CA-OCM templates accompany the Closing Process Phase:

- **Communication Action Log Template** – The Communication Action Log allows the OCM Practitioner and other key individuals to monitor the dissemination of communications and other communication actions.

- **Lessons Learned Template (CA-PMF)** – This CA-PMF template is available at: http://capmf.cio.ca.gov/Templates.html. Lessons learned is a form of continuous improvement in which we learn from both the successes and mistakes of prior endeavors. In order for an organization to improve future performance, it is necessary to formally identify, acknowledge, analyze, and document the lessons learned. Collecting lessons learned over time adds to the organization's body of knowledge related to project management and provides a rich source of information for current and future work. The objective of documenting lessons learned is to identify both the positive and negative lessons learned from the project, as well as to recommend corrective actions based on negative lessons learned observations.

- **Training Action Log Template** – The OCM Practitioner should capture all training efforts in the Training Action Log. This working document provides a record of training assessment, development, and delivery activities throughout all process phases.

- **Training Effectiveness Survey Template** – The Training Effectiveness Survey provides an opportunity for course participants to evaluate their training experiences in areas such as usefulness and relevance. The template contains a series of statements which the training participant can use to rate his/her experience.

- **OCM Closing Process Phase Checklist Template** – The checklist identifies the key OCM activities that are to be completed during the Closing Process Phase.

Concept

Organizational Change Management (OCM) activities within the Concept Process Phase focus on establishing a foundation for the OCM effort by identifying and confirming the impact of the change. Key elements of the Concept Process Phase are to understand the underlying change issues and environmental constraints, and to identify the Project Sponsor.

In this chapter...

Approach
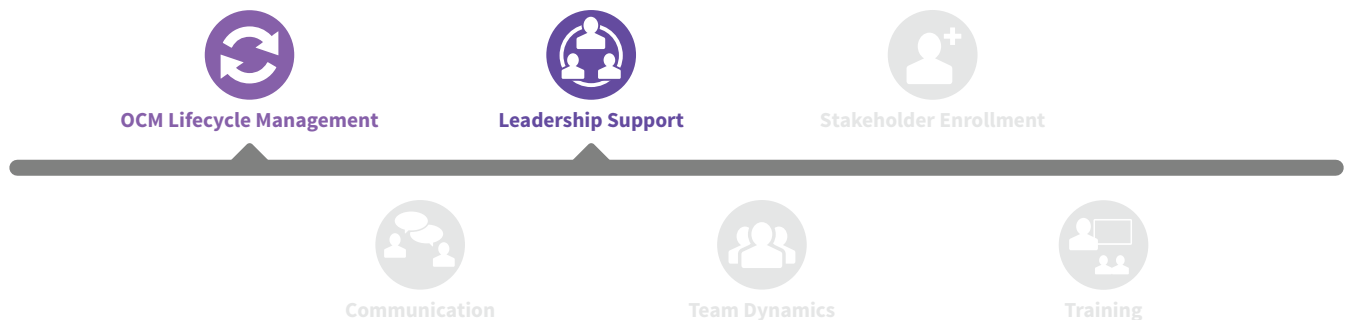
Figure 1-1

The Concept Process Phase is the first phase of the California Project Management Framework (CA-PMF) Project Management Lifecycle (PMLC). This process phase begins defining the proposed project to gain support for its formal launch and initiation. As shown in Figure 1-1, activities from two OCM knowledge areas occur within this process phase. Activities within these knowledge areas focus on:

- Assessing high-level environmental readiness

- Prioritizing OCM efforts for future process phases

- Identifying the Project Sponsor

1.1 Introduction

The Concept Process Phase involves defining the business drivers, problems, and opportunities for a proposed project. Most implementation projects, including information technology (IT) projects, produce change - not only in processes and systems, but also in organizations and people. In order to effectively manage change associated with implementation projects, the unique culture, environment, and history of an organization need to be considered. Understanding the importance of "people-related" elements in driving change is the first step towards successfully managing organizational change. The two knowledge areas that are active during this process phase, OCM Lifecycle Management and Leadership Support, set the foundation for the future OCM effort.

OCM Lifecycle Management

In order to identify people-related priorities and define the overall OCM approach, the readiness of the organization, its leaders, its employees, and its supporting infrastructure will need to be assessed. The Environmental Readiness Assessment template utilized in this process phase provides information to help identify the OCM approach and priorities early in the project.

Leadership Support

Identifying the correct Project Sponsor is important in this initial process phase. Having strong project sponsorship throughout the project is critical to a project's success, as the Project Sponsor is responsible for many important tasks, including:

- Deciding whether or not a project should be undertaken

- Providing funding, resources, and support for the project

- Suspending or canceling the project

- Ensuring the design of the system or other project solution meets business goals

- Actively leading project teams to address risks and resolve project issues

- Acting as the senior spokesperson to communicate the project vision and project status to the project team and other Stakeholders.

Once all OCM-related Concept Process Phase activities have been completed, the OCM Practitioner will complete the OCM Concept Process Phase Checklist. Figure 1-2 shows the inputs, activities, and outputs of the two knowledge areas that occur and the overall goal of this process phase.

	Inputs	Activities	Outputs
OCM Lifecycle Management	• Business Need • Organization Chart • Documentation of Current and Prior Change Initiatives	• Define the Magnitude of the Change	• Completed Environmental Readiness Assessment • Completed Change Magnitude Assessment
Leadership Support	• Business Need • Organization Chart	• Identify the Project Sponsor	• Completed Project Sponsorship Assessment • Identified Project Sponsor

Concept Process Phase Goal: **Determine the Basis for the OCM Effort**

Figure 1-2

1.2 Recommended Practices

The following recommended practices will help ensure that OCM is institutionalized and has the appropriate support in the organization.

Begin OCM Efforts Early

According to industry best practices, beginning OCM efforts early in a project's lifecycle is critical to the project's success. Early OCM activities will enable smoother transitions as well as earlier leadership, employee, and Stakeholder buy-in to the change. In addition, acceptance of change is a process that individuals move through at different paces. Starting OCM efforts early allows more time for Stakeholders to become aware of the change and embrace change efforts.

The Right Project Sponsor is Critical to Project Success

A Project Sponsor is important to have in place at the start of a project. For a project to be successful, it should have an executive who can champion the project and push for project investment, executive support, and, ultimately, approval to proceed. Too often the Project Sponsor becomes less involved once the project has been approved; however, it is critical to keep the Project Sponsor actively engaged throughout the entire OCM lifecycle, as his/her involvement helps drive the project. It is also beneficial if the Project Sponsor has strong support from other managers as they help to reinforce the project and are able to communicate more easily with necessary staff at all levels who may be involved within the effort.

Recommended Practices

Review recommended practices at the start of the process phase.

Knowledge Areas

2.1 OCM Lifecycle Management

	Concept	Initiating	Planning	Executing	Closing
OCM Lifecycle Management	Understand the Magnitude of Change	Schedule Initiating Activities	Schedule Planning Activities	Schedule Executing Activities	Close OCM Effort

Ensure the Performance of the OCM Effort
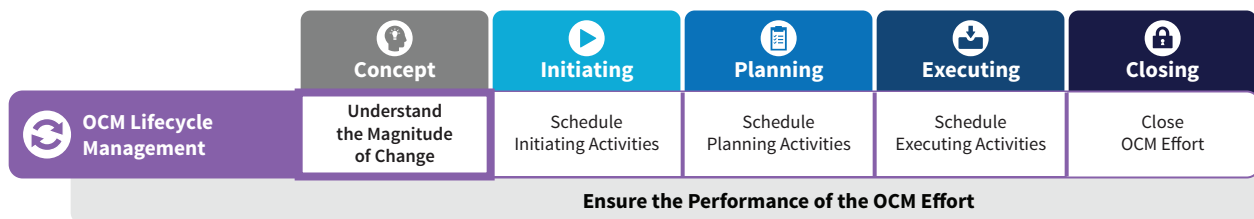
Figure 2-1

The goal of OCM Lifecycle Management is to ensure the performance of the OCM effort, as shown in Figure 2-1. The OCM Practitioner begins OCM Lifecycle Management efforts in the Concept Process Phase by defining the magnitude of the proposed change. This activity will serve as a foundational component and help to guide activity planning, defining OCM priorities and focus areas, and managing all OCM efforts.

During the Concept Process Phase, OCM Lifecycle Management focuses on defining the magnitude of the change initiative and identifying people-related priorities. Activities in this phase guide the direction of the change effort and help the OCM Practitioner tailor people-related activities and tasks to the specific needs of the organization and its people.

Figure 2-2 summarizes the inputs, roles, skills, activities, tools, and outputs for OCM Lifecycle Management within the Concept Process Phase.

OCM Lifecycle Management

Inputs
- Business Need
- Organization Chart
- Documentation of Current and Prior Change Initiatives

Roles
- OCM Practitioner
- Project Sponsor
- Stakeholders

Skills
- Interviewing
- Facilitation
- Analysis

Outputs
- Completed Environmental Readiness Assessment
- Completed Change Magnitude Assessment

Activities
- Define the Magnitude of the Change

Tools
- Environmental Readiness Assessment Template
- Change Magnitude Assessment Template

Figure 2-2

2.1.1 Inputs

In order to complete the Concept Process Phase OCM Lifecycle Management activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Business Need: The business need serves as the justification for the project and guides its direction. The OCM Practitioner should have a clear understanding of the business need or problem in order to begin planning for the change.

Organization Chart: The organization chart provides an accurate representation of the organization, its groups, and its people. It demonstrates the organization's structure and potential impacts of the change.

Documentation of Current and Prior Change Initiatives: Potential documentation includes: OCM methodologies, lessons learned, OCM strategies and plans, training strategies and plans, communication strategies and plans, readiness assessments, etc. A history of change initiatives with OCM efforts, whether successful or not, may influence the success of the proposed project.

2.1.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Lifecycle Management activities during the Concept Process Phase.

Roles

For a complete list of all CA-OCM roles, see the OCM Role Definitions in the Glossary.

Role	Responsibilities
OCM Practitioner*	• Collaborate with the Project Sponsor and other Stakeholders to discuss activity inputs • Gather and review activity input documents • Conduct the Environmental Readiness Assessment • Identify change magnitude • Complete Change Magnitude Assessment • Analyze completed Environmental Readiness Assessment
Project Sponsor	• Collaborate with the OCM Practitioner to provide inputs for Environmental Readiness Assessment
Stakeholders	• Collaborate with the OCM Practitioner to provide inputs for Environmental Readiness Assessment

*Depending on factors such as project complexity or resource constraints, the OCM Practitioner may be a role informally assigned to one or more resources with other responsibilities, or a project may formally commit a resource that is focused on OCM. The OCM Practitioner is the role of the person completing the activities outlined in the CA-OCM and may evolve or transition to a different resource as the project is planned, formalized, and completed.

2.1.3 Activities

OCM Lifecycle Management contains one activity in the Concept Process Phase. This activity serves to determine the relative size of change and the organization's level of readiness. These two factors contribute to defining the magnitude of the change.

Define the Magnitude of the Change

Defining the magnitude of the change helps provide a level of understanding for determining the OCM focus and level of effort. The OCM Practitioner will need to complete three key tasks:

1. Define the relative size of the change

2. Determine the organization's level of readiness

3. Identify the magnitude of change

These tasks will guide the direction of subsequent activities within OCM Lifecycle Management and all other OCM knowledge areas. These tasks are important to successfully planning and executing the OCM effort.

Define the Relative Size of the Change

It is important to understand the potential impact the conceived project will have on an organization or multiple organizations. To understand the relative size of the change, the OCM Practitioner should have a general understanding of the size of the impact that the project will have on the organization(s). The OCM Practitioner will use their organizational knowledge and judgment and make an assessment of the size of change based on the following questions:

Question	Size of Change
1. Is it likely that the change initiative impacts multiple organizations (i.e., multiple departments, agencies, or commissions)?	If yes, the change is considered large due to the coordination and complexities of multiple impacted organizations. If no, proceed to question 2.

> **Skills**
>
> Use the following skills to complete the activity:
> • Interviewing
> • Facilitation
> • Analysis

Question	Size of Change
2. Is it likely that the change initiative impacts multiple divisions or programs within an organization? (Divisions or programs are the macro organizational units of a department/ agency/commission).	If yes, the change is considered large due to the coordination and complexities of multiple impacted divisions and/or programs. If no, proceed to question 3.
3. Is it likely that the change initiative is isolated to one division or program?	If yes, determine the change by dividing the number of employees affected by the total number of employees in the division or program. If the change affects 0-50% of employees, the change is small. If the number is 51-100%, the change is large.

Once the size of the change has been determined, the OCM Practitioner should document this in the Change Magnitude Assessment.

Determine the Organization's Level of Readiness

The OCM Practitioner will also need to recognize the organization's overall environmental readiness level. The Environmental Readiness Assessment is a tool used by the OCM Practitioner to analyze the organization's readiness for change and identify the areas of greatest concern for the change effort, also known as the OCM priority areas. This assessment is separated into four environmental areas:

1. Organizational Readiness

2. Leadership Readiness

3. Employee Readiness

4. Supporting Infrastructure Readiness

Tools

A template is available:
Environmental Readiness Assessment

Each area contains different statements that the OCM Practitioner will assess on a scale from 1 - "strongly disagree" to 5 - "strongly agree." The statements cover a wide range of topics including: employee and leadership engagement, IT support, and overall risk tolerance. Analyzing the environment in this way enables the OCM Practitioner to determine the OCM priority areas going forward, such as those areas that the OCM Practitioner scored the lowest.

The Environmental Readiness Assessment is intended to be completed and reviewed by the OCM Practitioner, with input from the Project Sponsor and other Stakeholders as needed. The OCM Practitioner should supplement feedback from the Project Sponsor and other Stakeholders with knowledge of the business need, organization chart, and documentation of current and prior change initiatives in order to provide the most accurate picture of environmental readiness. The following are sample statements from the Environmental Readiness Assessment:

- The project is a top priority for the organization

- Leadership is timely and effective in decision making

- Employees are highly engaged and motivated

- This project will have access to the talent/resources necessary

The assessment should be completed thoughtfully in order to provide the information necessary to plan and tailor downstream OCM efforts. Once completed, the OCM Practitioner identifies the organization's overall level of readiness, based on the following scoring guide:

Score	Level of Readiness
85 – 140	High
28 – 84	Low

The OCM Practitioner will record the OCM priority areas and the overall level of readiness in the Change Magnitude Assessment.

Inputs

The following are inputs to the activity:
- Business need
- Organization chart
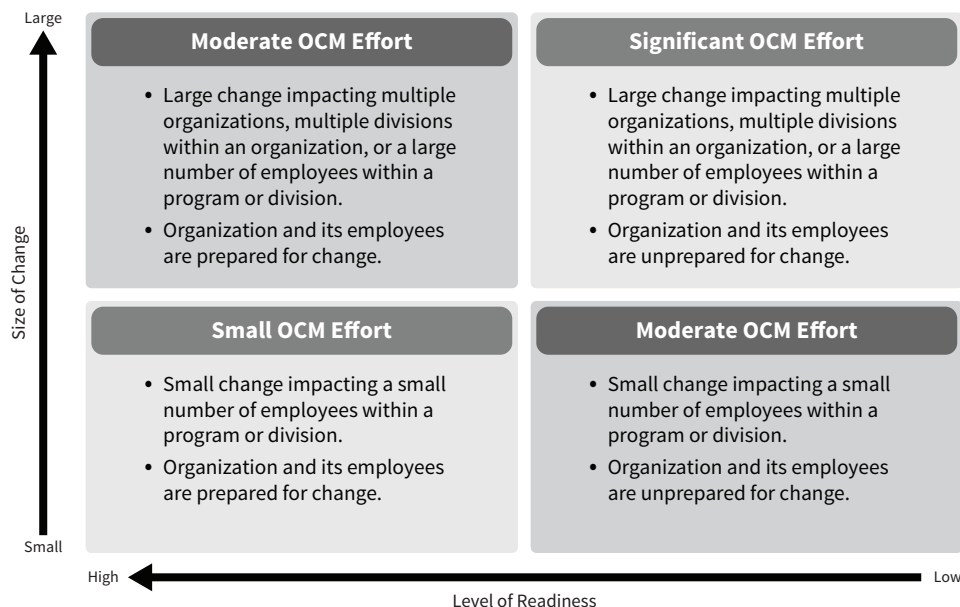- Documentation of current & prior change initiatives

Outputs

The following is an output of the activity:
- Completed Environmental Readiness Assessment

Identify the Magnitude of Change

Once the OCM Practitioner has identified the relative size of the change and the overall environmental readiness level, he/she completes the Change Magnitude Assessment by plotting the results to determine the overall change magnitude. This assessment will be an input for future planning activities to scope the OCM level of effort required for the project.

Figure 2-3 demonstrates how the size of change and level of readiness relate. An initiative with a small relative size of change and a high level of readiness (readiness score of 86-140) will require less OCM effort than a change in an organization with a large relative size of change and a low level of readiness (readiness score of 28-85).

While the Change Magnitude Assessment provides a general idea of the OCM efforts needed, it is important to note that all organizations and change initiatives are different. This assessment should be used in conjunction with the OCM Practitioner's knowledge of OCM and information about the change and the organization.

Tools

A template is available:
Change Magnitude Assessment

Outputs

The following is an output of the activity:
• Completed Change Magnitude Assessment

Size of Change (Large → Small)

Level of Readiness (High → Low)

Moderate OCM Effort	Significant OCM Effort
• Large change impacting multiple organizations, multiple divisions within an organization, or a large number of employees within a program or division. • Organization and its employees are prepared for change.	• Large change impacting multiple organizations, multiple divisions within an organization, or a large number of employees within a program or division. • Organization and its employees are unprepared for change.
Small OCM Effort	**Moderate OCM Effort**
• Small change impacting a small number of employees within a program or division. • Organization and its employees are prepared for change.	• Small change impacting a small number of employees within a program or division. • Organization and its employees are unprepared for change.

Figure 2-3

2.1.4 Tools

The tools that the OCM Practitioner will use within OCM Lifecycle Management during the Concept Process Phase include the following:
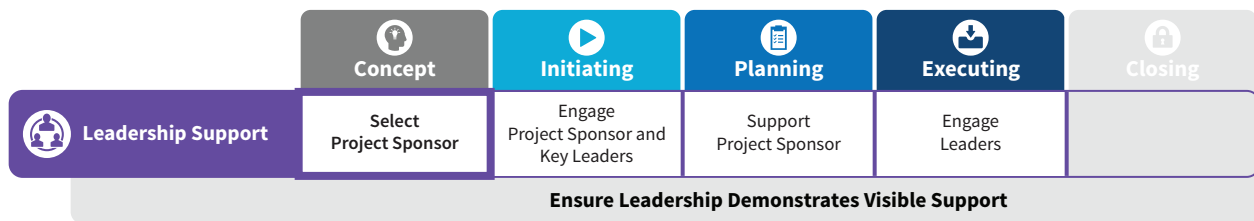
- Environmental Readiness Assessment Template

- Change Magnitude Assessment Template

2.1.5 Outputs

OCM Lifecycle Management produces the following outputs during the Concept Process Phase:

- Completed Environmental Readiness Assessment

- Completed Change Magnitude Assessment

2.2 Leadership Support

	Concept	Initiating	Planning	Executing	Closing
Leadership Support	Select Project Sponsor	Engage Project Sponsor and Key Leaders	Support Project Sponsor	Engage Leaders	

Ensure Leadership Demonstrates Visible Support

Figure 2-4

Leadership Support ensures that the leadership at all levels of the organization demonstrate visible project support. This begins in the Concept Process Phase with identifying and/or selecting a Project Sponsor. As the project progresses and the Project Sponsor becomes engaged, leaders at all organizational levels are brought on board to provide visible support for the change. These leaders will be key in modeling support for the change and communicating the importance of the effort to employees and Stakeholders. The process phase goal and overall project goals related to Leadership Support are shown in Figure 2-4.

Figure 2-5 summarizes the inputs, roles, skills, activities, tools, and outputs for Leadership Support in the Concept Process Phase.

Leadership Support

Inputs	Roles	Skills	Outputs
• Business Need • Organization Chart	• OCM Practitioner • Executive Leadership	• Interviewing • Facilitation • Analysis	• Completed Project Sponsorship Assessment • Identified Project Sponsor

	Activities	Tools	
	• Identify the Project Sponsor	• Project Sponsorship Assessment	

Figure 2-5

2.2.1 Inputs

In order to complete the Concept Process Phase Leadership Support activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Business Need: The business need serves as the justification for the project and guides its direction. The OCM Practitioner should have a clear understanding of the business need or problem in order to begin planning for the change.

Organization Chart: The organization chart provides an accurate representation of the organization, its groups, and its people. It demonstrates the organization's structure and a leader's potential impact and reach.

2.2.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Leadership Support activities during the Concept Process Phase.

Role	Responsibilities
OCM Practitioner	• Conduct Project Sponsorship Assessment
Executive Leadership	• Provides input for Project Sponsorship Assessment and makes the final determination for the Project Sponsor role

Roles

For a complete list of all CA-OCM roles, see the OCM Role Definitions in the Glossary.

2.2.3 Activities

The primary activity of Leadership Support during the Concept Process Phase is to identify the Project Sponsor. This is completed by using the Project Sponsorship Assessment. This assessment is designed to be an informal working document that identifies and evaluates potential Project Sponsor candidates.

It is important to note that an organization may have already selected a Project Sponsor for the effort. In this case, it is not necessary to complete the Project Sponsorship Assessment to select a Project Sponsor. However, the activity listed below remains beneficial in a situation where a new Project Sponsor needs to be chosen, either for subsequent phases, due to staff turnover, or other factors. The OCM Practitioner may need to revisit this activity in future process phases as the need arises.

Tools

A template is available: Project Sponsorship Assessment

Identify the Project Sponsor

The Project Sponsor plays an important role throughout the project lifecycle and choosing the right one can greatly increase the likelihood of success. The Project Sponsor needs to have many capabilities, including the abilities to influence outcomes, secure resources and funding, make influential decisions, and take ownership in the project. The Project Sponsor advocates for the project by continually communicating commitment to it. Ultimately, the Project Sponsor is responsible for the realization of the project's benefits.

Skills

Use the following skills to complete the activity:
• Interviewing
• Facilitation
• Analysis

Assess Project Sponsor Candidates

To identify Project Sponsor candidates, the OCM Practitioner should review the Organization Chart and business need, and complete the Project Sponsorship Assessment. This assessment helps to answer questions regarding Project Sponsor candidates' interests, influence, expectations, and availability. The assessment should be completed thoughtfully in order to provide the information necessary for selecting a Project Sponsor. The OCM Practitioner will need to work with the appropriate executive leadership of the organization to complete this activity.

Select Project Sponsor

Once the Project Sponsorship Assessment is complete, the OCM Practitioner will analyze the results by evaluating all Project Sponsor candidates against the eight criteria identified in the assessment. The OCM Practitioner should determine who best meets the criteria using careful and thoughtful evaluation. One candidate may not be the best Project Sponsor due to limited availability. Another candidate may not be suited due to a lack of influence. The OCM Practitioner should use his/her knowledge of the organization, the environment, and the Project Sponsor candidates to identify and influence the selection of the Project Sponsor moving forward. Once the OCM Practitioner identifies a suitable Project Sponsor candidate, he/she should work with the appropriate executive leadership of the organization make a final determination for the role.

2.2.4 Tools

The tool that the OCM Practitioner will use within Leadership Support during the Concept Process Phase includes the following:

- Project Sponsorship Assessment Template

2.2.5 Outputs

Leadership Support produces the following outputs during the Concept Process Phase:

- Completed Project Sponsorship Assessment

- Identified Project Sponsor

Inputs

The following are inputs to the activity:
- Organization Chart
- Business Need

Outputs

The following is an output of the activity:
- Completed Project Sponsorship Assessment

Outputs

The following is an output to the activity:
- Identified Project Sponsor

Process Phase Checklist

3.1 Complete the Checklist

Once all of the OCM activities within the Concept Process Phase are accomplished, the process phase checklist should be completed. The checklist provides a list of questions built around why, how, what, who, where, and when, which can help verify if everything required for completing the process phase is in place.

The process phase checklist helps to identify and document repeatable steps, from project to project, to ensure that the correct activities are completed at the right time, every time. Process phase checklists assist the OCM Practitioner in quickly and confidently identifying incomplete areas within this process phase. The checklist provides a clear milestone that the Concept Process Phase is complete, including:

- Completed Environmental Readiness Assessment
- Completed Change Magnitude Assessment
- Completed Project Sponsorship Assessment
- Identified Project Sponsor
- Completed OCM Concept Process Phase Checklist

Tools

A template is available:
OCM Concept Process Phase Checklist

Outputs

Complete the OCM Concept Process Phase Checklist to validate that all process phase activities are complete.

Initiating

Organizational Change Management (OCM) activities during the Initiating Process Phase begin focusing on people-related efforts and creating the OCM vision for the remainder of the project.

In this chapter...

Approach
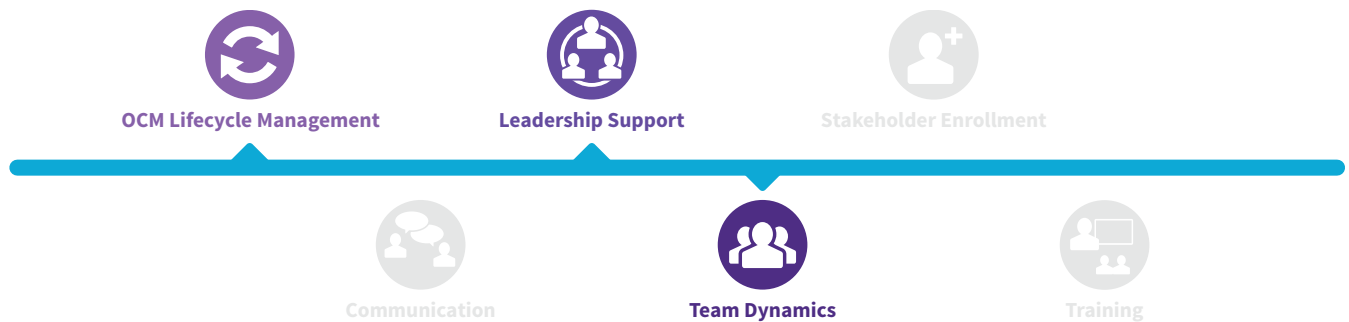
Figure 1-1

The Initiating Process Phase is the second phase of the California Project Management Framework (CA-PMF) Project Management Lifecycle (PMLC). In this process phase, OCM is formally initiated and the OCM Practitioner begins to apply tools and techniques to the project. OCM efforts focus on addressing the OCM priorities identified in the Concept Process Phase, engaging the Project Sponsor and executives, and setting the foundation for a collaborative work environment for the project team.

1.1 Introduction

The Initiating Process Phase signals the start of business analysis and building a compelling business case with the Problem Statement developed in the Concept Process Phase. It is also the time to integrate OCM efforts into the overall change initiative. It is important to begin OCM activities early in the project lifecycle to engage leaders and plan for activities that inform and engage Stakeholders. OCM efforts completed in this process phase will prepare the organization and its people for the change initiative. Three knowledge areas are active during the Initiating Process Phase: OCM Lifecycle Management, Leadership Support, and Team Dynamics.

OCM Lifecycle Management

In the Concept Process Phase, the OCM Practitioner began to identify the organization's readiness for change and the areas needing OCM focus. This work continues in the Initiating Process Phase to address the change magnitude and priorities.

Leadership Support

As the Initiating Process Phase occurs relatively early in the PMLC, Leadership Support activities continue to focus on the Project Sponsor and executive leaders who need to provide support and approval for the project to proceed. The OCM Practitioner will focus efforts on informing and engaging the Project Sponsor in the change initiative during this process phase. The OCM Practitioner will work with the Project Sponsor to detail an approach to address the needs of other key executive leaders.

Team Dynamics

The Initiating Process Phase signals the need to define the work environment for the project team. During this process phase, the OCM Practitioner identifies the team's behavior guidelines in preparation for establishing the formal project team.

Once the required activities in all active knowledge areas are completed, the OCM Practitioner will complete the OCM Initiating Process Phase Checklist, as described in section 3 of this chapter. Figure 1-2 illustrates the overarching goals, as well as inputs, activities, and outputs of the three knowledge areas that occur in this process phase.

Concept **Initiating** Planning Executing Closing

	Inputs	Activities	Outputs
OCM Lifecycle Management	• Business Need • Environmental Readiness Assessment • Change Magnitude Assessment	• Develop the OCM Schedule	• Completed OCM Schedule • Completed Change Magnitude Assessment
Leadership Support	• Project Sponsorship Assessment • OCM Schedule • RACI Matrix	• Develop Sponsorship Action Register • Identify and Assess Leaders as Change Supporters	• Completed Sponsorship Action Register • Completed Leadership Support Assessment • Identified Key Executives • Completed Leadership Support Action Log
Team Dynamics	• OCM Schedule	• Define Project Team Guidelines	• Defined Project Team Guidelines

Initiating Process Phase Goal: **Integrate OCM Activities into the Project**

Figure 1-2

1.2 Recommended Practices

The following recommended practices will help ensure that appropriate OCM activities are taking place in the Initiating Process Phase.

Focus OCM Efforts on Activities and Actions

OCM is a vital component of project success; however, it is important to note that completing project documents such as assessments, strategies, and plans will not guarantee the success of an OCM effort. Creating a persuasive strategic vision and set of initiatives linked to that vision are key to developing and maintaining an effective collation of support. Once support is enlisted, the OCM Practitioner should lead and monitor OCM activities and tasks as prescribed in the project documentation.

Develop Active and Sustained Executive Support for Project Success

Executive leadership that is developed early and maintained throughout the project lifecycle will help a project gain the momentum it needs for approval, as well as for future process phases. Engaged executives also provide visible support, which demonstrates their commitment to the project and encourages employees and Stakeholders to accept the change.

Keep Lessons Learned in Mind Throughout the Project

Early in the OCM effort, it is important to take the time to seek out lessons learned that have been developed by other projects or different parts of the organization. By reviewing and implementing these lessons learned, it reduces the chance of repeating the mistakes others have experienced and build upon their successes.

On an ongoing basis, project team members should be encouraged to informally document their own lessons learned as they are executing the project. Lessons learned sessions are normally conducted at the end of the project or with the completion of a phase or milestone; in some cases, a lot of time may have passed from when an event occurred to when a lessons learned session takes place. Individually documenting the lessons learned ahead of time will ensure that project team members are able to remember all the successes and challenges that have happened.
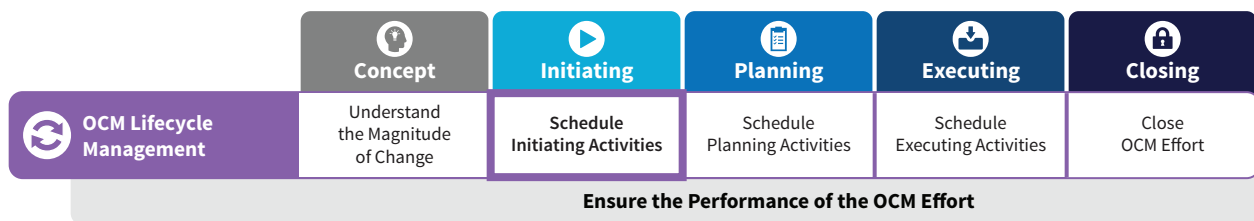
> **Recommended Practices**
>
> Review recommended practices at the start of the process phase.

> **For More Info...**
>
> For more information on Lessons Learned see the Closing Process Phase of the CA-PMF.

Knowledge Areas

OCM Lifecycle Management ⟳

2.1 OCM Lifecycle Management

OCM Lifecycle Management	Concept	Initiating	Planning	Executing	Closing
	Understand the Magnitude of Change	Schedule Initiating Activities	Schedule Planning Activities	Schedule Executing Activities	Close OCM Effort

Ensure the Performance of the OCM Effort

Figure 2-1

The progression of OCM Lifecycle Management objectives throughout the PMLC is demonstrated in Figure 2-1. In the Concept Process Phase, a Change Magnitude Assessment and Environmental Readiness Assessment was completed to assess the change and the organization it impacts. In the Initiating Process Phase, the OCM Practitioner will utilize these assessment results to plan for OCM activities to address any barrier to changes identified in the assessments.

In the Initiating Process Phase, the OCM Practitioner will utilize the Change Magnitude Assessment and Environmental Readiness Assessment results to plan for OCM activities to address any identified deficiencies. Figure 2-2 summarizes the inputs, roles, skills, activities, tools, and outputs for OCM Lifecycle Management within the Initiating Process Phase.

OCM Lifecycle Management

Inputs

- Business Need
- Environmental Readiness Assessment
- Change Magnitude Assessment

Roles

- OCM Practitioner
- Project Sponsor
- Project Manager

Skills

- Project Management
- Strategic Thinking
- Teamwork
- Problem Solving

Outputs

- Completed OCM Schedule
- Completed Change Magnitude Assessment

Activities

- Develop the OCM Schedule

Tools

- OCM Schedule Template
- Change Magnitude Assessment Template

Figure 2-2

2.1.1 Inputs

In order to complete the Initiating Process Phase OCM Lifecycle Management activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Business Need: The business need drives the direction of the change initiative and defines how the organization, its groups, and its people will be affected.

Environmental Readiness Assessment: The completed Environmental Readiness Assessment, completed by the OCM Practitioner in the Concept Process Phase, provides guidance for the OCM Practitioner to identify the OCM priority areas with the highest need. The four areas are: Organizational Readiness, Leadership Readiness, Employee Readiness, and Supporting Infrastructure Readiness.

Change Magnitude Assessment: The OCM Practitioner will use the Change Magnitude Assessment to gain an understanding of the organization and change and to tailor OCM efforts to the specific needs of the organization.

2.1.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Lifecycle Management activities during the Initiating Process Phase.

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
OCM Practitioner	• Analyze completed Environmental Readiness Assessment • Collaborate with the Project Sponsor to obtain inputs for addressing the OCM priorities • Identify activities to address OCM priorities and develop the OCM Schedule
Project Sponsor	• Collaborate with the OCM Practitioner to provide inputs for addressing the OCM priorities • Provide guidance on workability of proposed activities • Sign off on OCM efforts • Assists with communicating the OCM effort to project Stakeholders
Project Manager	• Oversee and provide project management of the OCM work effort
Stakeholders	• Collaborate with the OCM Practitioner to provide inputs for addressing the OCM priorities and develop the OCM Schedule

2.1.3 Activities

OCM Lifecycle Management in the Initiating Process Phase focuses on the OCM efforts required to address the OCM priorities identified in the Concept Process Phase. The OCM Lifecycle Management activity and associated tasks in Initiating serve to develop an OCM Schedule tailored to the specific needs identified in the Concept Process Phase.

Develop the OCM Schedule

The OCM Practitioner identifies and prepares for OCM activities to be conducted during the Planning Process Phase by developing the OCM Schedule. The OCM Practitioner should work with the Project Manager and leverage existing project schedules as necessary. Then the OCM Practitioner can determine a course of action to address the OCM priorities by completing three separate tasks:

- Identify activities to address OCM priorities

- Determine and schedule OCM activities

- Determine how to monitor OCM activities

Identify Activities to Address OCM Priorities

The first step in developing the OCM Schedule is to determine the activities that will best address the OCM priorities for the project. Based on the results of the Change Magnitude Assessment and Environmental Readiness Assessment, both completed in the Concept Process Phase, the OCM Practitioner identified the environmental areas that are deficient or are risks for the organization, also called the OCM priority areas. The OCM Practitioner then determines which activities will best address their organization's specific priorities. Examples of underlying issues and mitigation strategies are listed on the next page; however, this is not a comprehensive list.

The OCM Practitioner should use his/her knowledge, experience, and judgment in regards to the organization, business need, and potential change to determine other mitigating activities that may be successful in the organization at this time. The activities identified may be implemented in this process phase and continue into the Planning Process Phase. In addition to activities identified and scheduled now, the OCM Practitioner will continue to introduce new activities in future process phases as the need arises. The OCM Practitioner may consider the

Skills

Use the following skills to complete the activity:
- Project Management
- Strategic Thinking
- Teamwork
- Problem Solving

Inputs

The following are inputs to the activity:
- Environmental Readiness Assessment
- Change Magnitude Assessment
- Business Need

following questions when determining the type and frequency of activities in the Concept Process Phase:

- What is the relative size of population that the change impacts?

- What population will be addressed by activities in specific priority areas (leaders, all affected staff, project team, etc.)?

- Are there any scheduling constraints (time, geographic location, etc.)?

- Which resource is best suited for conducting activities (OCM Practitioner, Project Sponsor, etc.)?

The OCM Practitioner must utilize strategic thinking and problem solving skills to work through all of the identified priority areas.

Environmental Area of Focus	Underlying Issue	Sample OCM Mitigation Activities
Organizational Readiness	The project is not a top priority for the organization	The OCM Practitioner may work with the Project Sponsor to develop facilitated sessions with key Stakeholders to: • Discuss the business need and project priorities • Develop a common understanding of the need for change • Gain commitment to the project and project outcomes
Organizational Readiness	Lessons learned from similar projects have not been incorporated into the organization's processes	The OCM Practitioner may gather and review lessons learned from previous changes and provide suggestions for incorporation

Environmental Area of Focus	Underlying Issue	Sample OCM Mitigation Activities
Leadership Readiness	The project is not a top priority for leadership	The OCM Practitioner may work with the Project Sponsor to develop facilitated sessions with key executive leaders to: • Discuss business need and project priorities • Develop a common understanding of the need for change • Gain commitment to the project and project outcomes
Leadership Readiness	Leadership does not provide strong communication and clear direction	The OCM Practitioner may utilize coaching sessions with identified leaders to stress the importance of open communication and provide tools and techniques to facilitate communication and trust building
Employee Readiness	Employees are not collaborative	The OCM Practitioner may design input sessions to facilitate the exchange of ideas and highlight collaboration tools and techniques
Employee Readiness	Employees are fatigued from other change initiatives	The OCM Practitioner may organize an all-staff meeting where key executives build excitement for the change

Environmental Area of Focus	Underlying Issue	Sample OCM Mitigation Activities
Supporting Infrastructure Readiness	Employees do not have access to the necessary training and skill development	The OCM Practitioner should ensure that the training needs are clearly identified and documented for the project team during the Planning Process Phase
Supporting Infrastructure Readiness	The organization does not effectively align people, processes, and strategies to deliver timely and measurable results	The OCM Practitioner should work with the Project Manager and the project team to ensure that the business case is clearly and visibly aligned with people, processes, and strategies as they relate to the change initiative

After the mitigating strategies to address the OCM priority areas are identified, the OCM Practitioner should return to the Change Magnitude Assessment to complete the remaining sections if not done already. The OCM Practitioner identified the relative size of the change and the organization's overall level of readiness in the Concept Process Phase. After reviewing specific priority areas and determining a course of action for addressing these areas, the OCM Practitioner should record the specific areas and mitigating activities on the Change Magnitude Assessment. This working document provides a high level overview that the OCM Practitioner can refer to when discussing the direction of the OCM effort with the Project Sponsor, Project Manager, or other individuals.

Schedule OCM Activities

The OCM Practitioner should continue to work with the Project Manager as necessary to develop the schedule of OCM activities needed for implementation. The schedule of activities may span between the Initiating and Planning Process Phases, but should be developed and acted on early and frequently enough to

Tools

A template is available:
Change Magnitude Assessment

Outputs

The following is an output of the activity:
• Completed Change Magnitude Assessment

address the needs of the organization. The OCM Practitioner should consider the following when developing the schedule:

- Availability of resources to execute the activities

- Availability of the target individuals to participate (e.g., Project Sponsor, executives)

- Frequency of activities based on the degree of deficiency within each priority area

The OCM Practitioner will use the identified activities, resources, and timing to create the OCM Schedule that is incorporated into the overall project schedule, if one exists. This schedule is meant to be a living document that assists the OCM Practitioner in organizing resources, completing the identified activities, and monitoring the progress of the OCM effort. The OCM Practitioner should maintain the schedule in conjunction with the Project Manager and review and revise it on a regular basis throughout all remaining process phases. The OCM effort will expand to include activities in all knowledge areas within Planning and Executing, which the OCM Practitioner will need to identify and address within the OCM Schedule.

Determine How to Monitor and Control Activities

The OCM Practitioner will need to determine the best way to assess and track progress and issues as the OCM effort moves forward in conjunction with project management activities. The OCM Practitioner should not only monitor the progress to completion, but also control the activities by measuring their effectiveness. Measuring the effectiveness of OCM activities is conducted by observing the overall environment and gathering feedback from the project team, leaders, and Stakeholders. Potential effectiveness measuring strategies may include:

- **Feedback Surveys:** Surveys help to gather and sort feedback from large pools of respondents. Surveys can be distributed electronically or in hard copy form, and may be given multiple times throughout the project lifecycle in order to gauge the effectiveness of ongoing activities and support.

- **Informal Feedback and Observation:** The OCM Practitioner can rate effectiveness through informal conversations and observations as he/she works within the organization. How are Stakeholders reacting to activities? Is the general atmosphere a positive one? What questions and concerns is the OCM Practitioner hearing?

Tools

A template is available:
OCM Schedule

Outputs

The following is an output to the activity:
- Completed OCM Schedule

- **Feedback Drop Box:** This tool allows Stakeholders to leave feedback when desired. The box can be virtual or tangible and can be used to collect information on Stakeholder questions, thoughts, concerns, and feelings.

The OCM Practitioner will also need to determine the best way to communicate activity and task progress, feedback, and modifications to the Project Manager, project team, and any other resources that own the action.

2.1.4 Tools

The tools that the OCM Practitioner will use within OCM Lifecycle Management during the Initiating Process Phase include the following:

- OCM Schedule Template
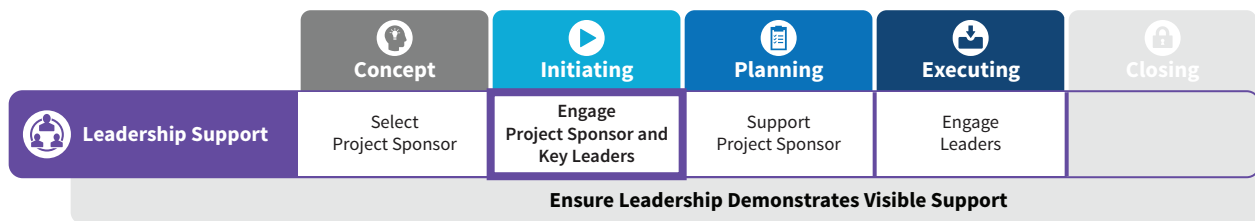- Change Magnitude Assessment Template

2.1.5 Outputs

OCM Lifecycle Management produces the following outputs during the Initiating Process Phase:

- Completed OCM Schedule
- Completed Change Magnitude Assessment

2.2 Leadership Support

Figure 2-3

Leadership Support began in the Concept Process Phase with the identification or selection of a Project Sponsor. In order to maintain an influential Project Sponsor, the OCM Practitioner engages him/her during the Initiating Process Phase to obtain commitment to this critical project role, as shown in Figure 2-3. In addition, the OCM Practititoner identifies and engages other relevant executive leaders during this process phase to ensure that they provide support for the change initiative. Overall, Leadership Support serves to continually broaden the group of supportive leaders.

Figure 2-4 shows the inputs, roles, skills, activities, tools, and outputs of the Leadership Support Knowledge Area within the Initiating Process Phase.

Leadership Support

Inputs
- Project Sponsorship Assessment
- OCM Schedule
- RACI Matrix

Roles
- OCM Practitioner
- Project Sponsor
- Executive Leadership

Skills
- Coaching
- Facilitation
- Analysis

Outputs
- Completed Sponsorship Action Register
- Completed Leadership Support Assessment
- Identified Key Executives
- Completed Leadership Support Action Log

Activities
- Develop the Sponsorship Action Register
- Identify and Assess Leaders as Change Supporters

Tools
- Sponsorship Action Register Template
- Leadership Support Assessment Template
- Leadership Support Action Log Template

Figure 2-4

2.2.1 Inputs

In order to complete the Initiating Process Phase Leadership Support activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Project Sponsorship Assessment: This assessment, completed by the OCM Practitioner in the Concept Process Phase, provides guidance in identifying a Sponsor's level of availability, interest, and knowledge of the change initiative.

OCM Schedule: The OCM Schedule is created in the OCM Lifecycle Management Knowledge Area within this process phase. It identifies the schedule of OCM activities, which will be helpful in defining the Sponsor's role.

RACI Matrix: The RACI Matrix, developed as part of the CA-PMF, provides roles and responsibilities of the Project Sponsor and other key executive leaders. RACI is an acronym derived from four key responsibilities: Responsible, Accountable, Consulted, and Informed.

2.2.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Leadership Support activities during the Initiating Process Phase.

Role	Responsibilities
OCM Practitioner	• Develop the Sponsorship Action Register • Review and revise the Sponsorship Action Register with the Project Sponsor • Identify and evaluate other key executives • Coach key executives as needed
Project Sponsor	• Provide input and commitment to the Sponsorship Action Register • Provide project support and facilitate necessary approvals
Executive Leadership	• Provide project support and necessary approvals

> 👥 **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.2.3 Activities

Strong project leadership is critical during every process phase. In the Initiating Process Phase, the Leadership Support Knowledge Area encourages strong project leadership by developing a Sponsorship Action Register to engage the Project Sponsor. In addition, the OCM Practitioner identifies and encourages other key executives as change supporters.

> ➡ **Inputs**
>
> The following is an input to the activity:
> • Project Sponsorship Assessment

Develop the Sponsorship Action Register

An effective Project Sponsor can help legitimize a change initiative by saying, "This is what we are going to do," essentially stopping the debate on "why" and "what," and shifting the focus of discussion to "how," and "when." The Project Sponsor typically leads the change in this manner but does not manage the day-to-day change activities as the project progresses through the project lifecycle. To support the Project Sponsor in fulfilling his or her role, the Sponsorship Action Register will be created to document Sponsor responsibilities, time commitments, and schedule. The OCM Practitioner should consider the following questions when developing the Sponsorship Action Register:

- What priority areas and activities will benefit from the Project Sponsor's involvement?

- What time constraints or competing priorities does the Project Sponsor have?

- What is the Project Sponsor's estimated time commitment for the change initiative?

The Sponsorship Action Register contains a list of the Sponsor's required actions, the frequency of these actions, and the detailed responsibilities of the Sponsor. For example, the OCM Practitioner may coordinate with the Project Manager and Project Sponsor to identify the need for the Sponsor's attendance at a bi-weekly project status meeting. The OCM Practitioner would record this commitment on the Sponsorship Action Register.

Skills

Use the following skill to complete the activity:
- Facilitation
- Analysis

Tools

A template is available:
Sponsorship Action Register

Note that the following tables provides examples and may not represent all actions of a Project Sponsor in this role.

Planning Activity 1 - Deliver Planning Process Phase Communication

Task	Date	Planned Duration	Time Commitment	Dependency	Comment
Disseminate communications to Executive Leadership	5/27/2017 to 6/2/2017	7 days	1 hour	All impacted executive leaders have been identified	Communication messages developed by the OCM Practitioner

Planning Activity 2 - Build Leadership Support for the Change

Task	Date	Planned Duration	Time Commitment	Dependency	Comment
Attend facilitated session with identified leaders to discuss the business need and alternative solutions, and impress the benefits of the chosen initiative	8/2/2017 to 8/16/2017	14 days	3 hours	All impacted executive leaders have been identified	Work in conjunction with the OCM Practitioner

The Project Sponsor will use the Sponsorship Action Register to track activities and record progress and completion of the Sponsor's actions. As such, the OCM Practitioner and Project Sponsor should review and update the Sponsorship Action Register regularly in order to maintain its usefulness and integrity.

Outputs

The following is an output of the activity:
• Completed Sponsorship Action Register

Identify and Assess Leaders as Change Supporters

A Project Sponsor's support and engagement is a significant part of demonstrating an organization's commitment to change, and identifying and involving additional key executives at this early stage will increase the likelihood of project success. Key executives may include a department's director, deputy directors, chief administrative officer, chief financial officer, chief information officer, and/or program leads. This is the time to identify, assess, and communicate with key leaders who will play a role in helping the project progress forward.

Identify and Assess Leaders

The OCM Practitioner should review the project RACI Matrix to verify that all executives with influencing authority over the project have been identified. If the OCM Practitioner determines that the list in the RACI Matrix is not complete, the OCM Practitioner should assist the Project Manager in adding those individuals who have been omitted.

Not all identified leaders will be supporters of the change initiative. As further detailed below, the OCM Practitioner should assess where executives identified in the RACI matrix fall on the scale of change support, as demonstrated by the Leadership Support Matrix shown in Figure 2-5.

Skills

Use the following skills to complete the activity:
• Coaching
• Facilitation
• Analysis

Inputs

The following is an input to the activity:
• RACI Matrix

High Influence ↑	
High risk, high priority	**Low risk, high priority**
High risk, low priority	**Low risk, low priority**
Low Influence	

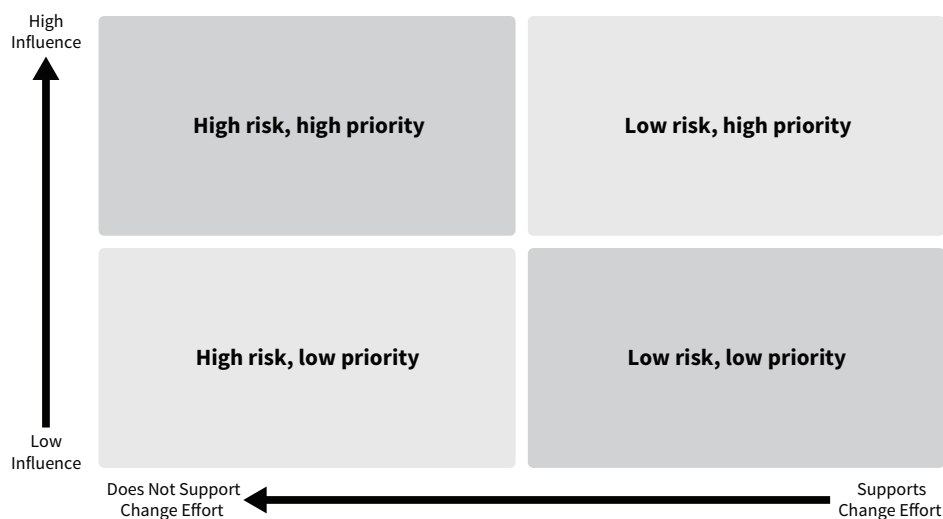Does Not Support Change Effort ← Supports Change Effort

Figure 2-5

Executives at the far left of the horizontal axis are unlikely to push for project approval or may create barriers to change. Executives may display resistant behaviors, often stemming from not understanding the need for change, or supporting other organizational competing priorities. On the other hand, executives at the far right of the horizontal axis believe in the change initiative and the reasons behind it. They will make the change a priority and may visibly show their support and acceptance of the change initiative.

In addition to level of change support, the OCM Practitioner should also assess an executive's influence to the change initiative, as shown by the vertical axis. Executives who are supportive of the change with a low level of influence are a low priority for the OCM Practitioner to coach and engage. Executives with high influence who do not support the change are the highest risk, and should be a high priority to address. Assessing leaders in this manner will allow the OCM Practitioner to focus time and efforts on the highest risk and priority executives.

Conduct a Leadership Support Assessment

While the goal is to have all key executives act as supporters of change, it is more realistic to say that leaders may fall anywhere on the support scale. In order to prioritize efforts, the OCM Practitioner, working with the Project Sponsor as needed, should conduct Leadership Support Assessments. This will serve as an internal assessment performed by the OCM Practitioner and project team to evaluate leaders in two key areas or leadership categories described above – their level of support and level of influence on the change initiative.

A leader's level of support refers to their desire, or lack of desire, to support a change initiative. Executives, as with all Stakeholders, have different reasons and behaviors used to resist change. The OCM Practitioner must identify drivers for resistance in order to address it and gain executive support for the change initiative. Common examples of resistance drivers for executives include lack of understanding of the change or competing priorities.

The second category assessed is a leader's influence. Ideally, the OCM Practitioner, working with the Project Sponsor as needed, should focus efforts on the leaders with the greatest ability to influence change, either based on their title within the organization or the relationships that they have with decision makers.

> **● Tools**
>
> A template is available:
> Leadership Support Assessment

When the OCM Practitioner assesses both level of support and level of influence, he/she can identify an overall priority level for addressing the specific needs of the leader through planned OCM activities. The Leadership Support Assessment provides relative priority rankings for all leaders assessed and provides guidance for the OCM Practitioner to focus the OCM efforts.

For example, an executive who has a low level of support (scored as 1), and a high level of importance (scored as 1), will have a high overall priority for the project. In contrast, a leader who has a low level of resistance (scored as 5), and a low level of importance (scored as 5), will have a low overall priority for the project. This evaluation will assists the OCM Practitioner in identifying and prioritizing executives whose engagement and support are necessary for ongoing project success. It is important to note that this assessment is meant to be an informal working document for the OCM Practitioner and the information provided on it should be guarded and shared sparingly.

Build Leadership Support for the Change

Once the OCM Practitioner has identified and prioritized executives according to their support and influence on the change initiative, the OCM Practitioner should seek to identify why some leaders are more willing to show active support for the change initiative. Leaders who are not supportive of a change effort may be counter to the effort for several reasons, including:

- The change is not a priority for the leader

- The leader does not have time to commit to the change

- The leader feels an alternate solution would better suit the organization

- The leader does not understand the change

Once the OCM Practitioner understands the reasons for an executive's lack of support for the change, the OCM Practitioner can define actions to address the opposition using coaching, targeted communications, facilitated sessions, or one-on-one conversations that center on the executive, their role in the change initiative, and the reason(s) for resistance. The table on the next page provides sample reasons for resistance and mitigating activities. It is important to note that this is not an exhaustive list and the OCM Practitioner should use his/her knowledge of the organization, the project, and the leaders to tailor mitigating activities accordingly.

> 📥 **Outputs**
>
> The following are outputs of the activity:
> - Completed Leadership Support Assessment
> - Identified Key Executives

Reasons for Lack of Support	Mitigating Activities
The change is not a priority for the leader	The OCM Practitioner may schedule one-on-one conversations between the identified leader and the Project Sponsor to: • Impress the need for change • Identify competing priorities • Discuss the priority of the effort in relation to competing priorities
The leader does not have time to commit to the change	The OCM Practitioner may schedule one-on-one conversations between the identified leader and the Project Sponsor to: • Impress the need for change • Identify competing priorities • Determine a schedule of project involvement that addressed competing priorities
The leader feels an alternate solution would better suit the organization	The OCM Practitioner may schedule a facilitated session with the Project Sponsor and executive leaders to discuss the business need and alternate solutions, and to impress the benefits of the chosen initiative
The leader does not understand the change	The OCM Practitioner may develop targeted communications that detail the business need, change magnitude, benefits expected, and the project schedule

These targeted communications will allow executives to gain a better understanding of the change and voice their concerns and questions. The OCM Practitioner may also work with the Project Sponsor to participate in these efforts as necessary.

To help the OCM Practitioner monitor the activities conducted with the Project Sponsor and executives, he/she should develop and maintain a Leadership Support Action Log. This living document allows the OCM Practitioner to keep track of the actions taken with each executive, as well as the responsible resource, the timing, and the frequency of such actions. The Leadership Support Action Log also allows for an easy transition of responsibility if there is a change in role .

2.2.4 Tools

The tools that the OCM Practitioner will use within Leadership Support during the Initiating Process Phase include the following:

- Project Sponsorship Action Register Template

- Leadership Support Assessment Template

- Leadership Support Action Log Template

2.2.5 Outputs

Leadership Support produces the following outputs during the Initiating Process Phase:

- Completed Sponsorship Action Register

- Completed Leadership Support Assessment

- Identified Key Executives
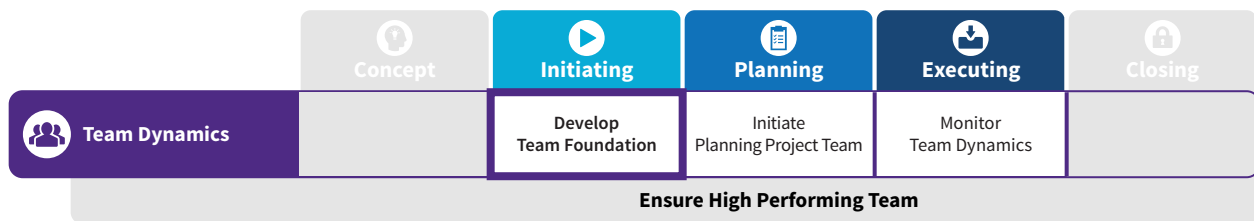
- Completed Leadership Support Action Log

Tools

A template is available: Leadership Support Action Log

Outputs

The following is an output of the activity:
- Completed Leadership Support Action Log

2.3 Team Dynamics

Figure 2-6

Team Dynamics efforts address the project team's working environment, behaviors, and operating style to facilitate a cohesive, high-performing team. In the Initiating Process Phase, the OCM Practitioner aids the Project Manager in establishing project team guidelines to lay the foundation for a clear direction and positive working environment. A well planned and clearly articulated set of guidelines support productive teamwork, and the OCM Practitioner should work with the project team to ensure these guidelines are a clear part of everyday work, not just words written and forgotten. The entire team must embrace the guidelines in order to strengthen teamwork and improve the likelihood of project success. As noted in Figure 2-6, in subsequent process phases, Team Dynamics focuses on building and monitoring the team atmosphere.

Figure 2-7 demonstrates the inputs, roles, skills, activities, tools, and outputs for Team Dynamics in the Initiating Process Phase.

Team Dynamics

Inputs	Roles	Skills	Outputs
• OCM Schedule	• OCM Practitioner • Project Sponsor • Project Manager	• Project Management • Communication	• Defined Project Team Guidelines

Activities	Tools
• Define Project Team Guidelines	• Project Team Guidelines Template

Figure 2-7

2.3.1 Inputs

In order to complete the Initiating Process Phase Team Dynamics activities, the OCM Practitioner will need a thorough understanding of the following input:

OCM Schedule: This Schedule, defined and created earlier in the Initiating Process Phase, provides insight into the OCM activities and timing.

2.3.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Team Dynamics activities during the Initiating Process Phase.

Role	Responsibilities
OCM Practitioner	Define team guidelines
Project Sponsor	Collaborate with the OCM Practitioner to define team guidelines
Project Manager	Collaborate with the OCM Practitioner to define team guidelines

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.3.3 Activities

Team Dynamics activities of the Initiating Process Phase assist the OCM Practitioner and Project Manager in building a foundation for a positive and collaborative work environment. The activity during this process phase is to define the project team guidelines.

Define the Project Team Guidelines

As organizations and projects vary in size, type, and complexity, so do the expected behaviors of their project teams. A set of guidelines should define how team members interact with each other, communicate, and behave in the work environment. Working with the Project Manager within the scope of the OCM Schedule, the OCM Practitioner should assist with defining a set of guidelines that best fit the needs of the project team. These guidelines may include:

- Show respect to all project team members
- Support and promote teamwork within the team and with outside resources
- Consider the needs and impacts of your own work on others
- Celebrate each other's success

Skills

Use the following skills to complete the activity:
- Project Management
- Communication

Inputs

The following is an input to the activity:
- OCM Schedule

- Demonstrate an ability to problem-solve

- Seek and receive feedback for improvement

- Share knowledge and information

The team's guidelines will be unique to the specific team, team members, and working environment. Once the OCM Practitioner and Project Manager decide on the most suitable guidelines, the OCM Practitioner can utilize the Project Team Guidelines Template to record and display the behaviors in a visible location for the project team to review and implement. This early foundational work will establish a positive and collaborative working environment for project team members throughout future process phases.

2.3.4 Tools

The tool that the OCM Practitioner will use within Team Dynamics during the Initiating Process Phase includes the following:

- Project Team Guidelines Template

2.3.5 Outputs

Team Dynamics produces the following output during the Initiating Process Phase:

- Defined Project Team Guidelines

Tools

A template is available:
Project Team Guidelines

Outputs

The following is an output to the activity:
- Defined Project Team Guidelines

Process Phase Checklist

3.1 Complete the Checklist

Once all of the OCM activities within the Initiating Process Phase are done, the process phase checklist should be completed. Why a checklist? Checklists are comprised of a list of questions built around why, how, what, who, where, and when. These questions can help verify whether everything required for executing the project is in place. Many of these tasks are repeatable from project to project and checklists help document these steps in order to ensure that the correct things are done at the right time, every time.

A checklist can assist the OCM Practitioner with quickly and confidently identifying areas of concern within the Initiating Process Phase. In this case, completion of the checklist provides a clear milestone that Initiating is complete, including:

- Completed OCM Schedule

- Completed Change Magnitude Assessment

- Completed Sponsorship Action Register

- Completed Leadership Support Assessment

- Identified Key Executives

- Completed Leadership Support Action Log

- Defined Project Team Guidelines

- Completed OCM Initiating Process Phase Checklist

📋 Tools

A template is available:
OCM Initiating Process Phase Checklist

📤 Outputs

Complete the OCM Initiating Process Phase Checklist to validate that all process phase activities are complete.

Planning

In the Planning Process Phase, organizational change management (OCM) activities help support the people-related aspects of the project and set the groundwork for the Executing Process Phase.

In this chapter...

1
Approach

2
Knowledge Areas

3
Process Phase Checklist

Approach

OCM Lifecycle Management — Leadership Support — Stakeholder Enrollment — Communication — Team Dynamics — Training
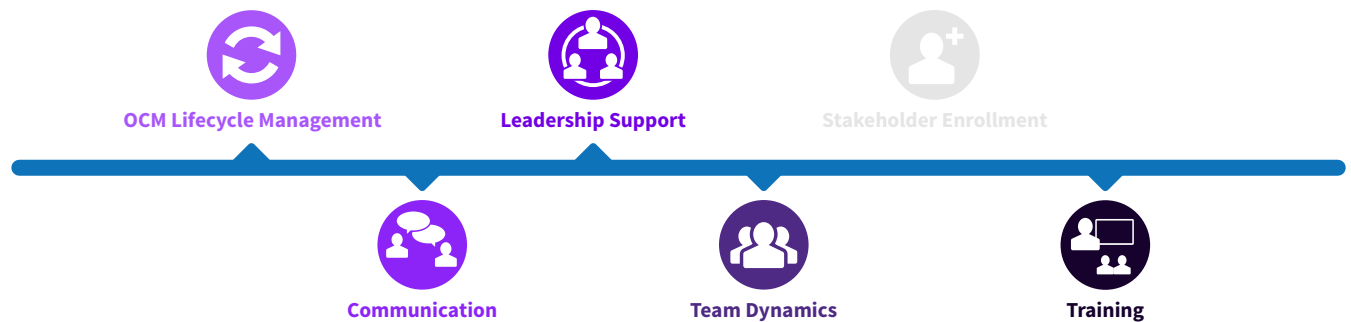
Figure 1-1

The Planning Process Phase is the third phase in the California Project Management Framework (CA-PMF) Project Management Lifecycle (PMLC). In this process phase, the OCM Practitioner conducts activities to address the people-related priorities identified in the Concept and Initiating Process Phases, and strategizes and plans for the implementation of the full scale OCM effort in the Executing Process Phase. Five of the six OCM knowledge areas occur within this process phase:

- OCM Lifecycle Management
- Leadership Support
- Communication
- Team Dynamics
- Training

1.1 Introduction

In the Planning Process Phase, the project team defines functional and solution requirements, identifies solution alternatives and approaches, and, as applicable, procures the necessary services and products. The next step of the Planning Process Phase includes the selection of the technology solution and the project team's preparation for the Executing Process Phase. The OCM efforts focus on preparing leaders, Stakeholders which includes employees, as they become involved in the project. The OCM-related objectives of this process phase are to:

- Schedule OCM planning activities
- Initiate project communications
- Engage executive leaders
- Establish a strong team foundation
- Identify the training method and approach

OCM Lifecycle Management

OCM Lifecycle Management during this process phase focuses on conducting the OCM activities identified in the OCM Schedule, completed during the Initiating Process Phase. These activities, which may be supplemented or modified throughout Planning, address the people-related needs pertinent to the project at this time. In addition, OCM Lifecycle Management activities plan and prepare for the OCM effort required in the Executing Process Phase.

Communication

In this process phase communication is important to engage subject matter experts and Stakeholders in the planning efforts. The OCM Practitioner assists the Project Manager in defining the necessary communication needs in the project Communication Management Plan while the project team executes relevant high level communications that inform leaders, employees and Stakeholders of the project status.

Leadership Support

Leadership Support activities allow the Project Sponsor to continue to become involved in project activities. The OCM Practitioner supports the Project Sponsor in implementing his or her actions as they relate to gaining organizational support for the project to move forward. In addition, the OCM Practitioner continues to involve and build relationships with other executive leaders to gain support for the change initiative.

Team Dynamics

The project team often grows to support the increase of planning activities during this process phase. As the team expands, the OCM Practitioner supports the Project Manager in introducing and gaining project team support for team behavior guidelines.

Training

Training is a necessary component of IT implementations as end users need to gain new knowledge, skills, and abilities to work in the future state. An end user can be defined as any individual that will use the new system, whether internal or external to the organization. In order to plan and execute a beneficial training program, the OCM Practitioner begins to consider the necessary end user training efforts by identifying potential training methods and approaches.

Once all OCM-related Planning Process Phase activities have been completed, the OCM Practitioner will complete the OCM Planning Process Phase Checklist. Figure 1-2 shows the goals, inputs, activities, and outputs of the five knowledge areas that are active during the Planning Process Phase.
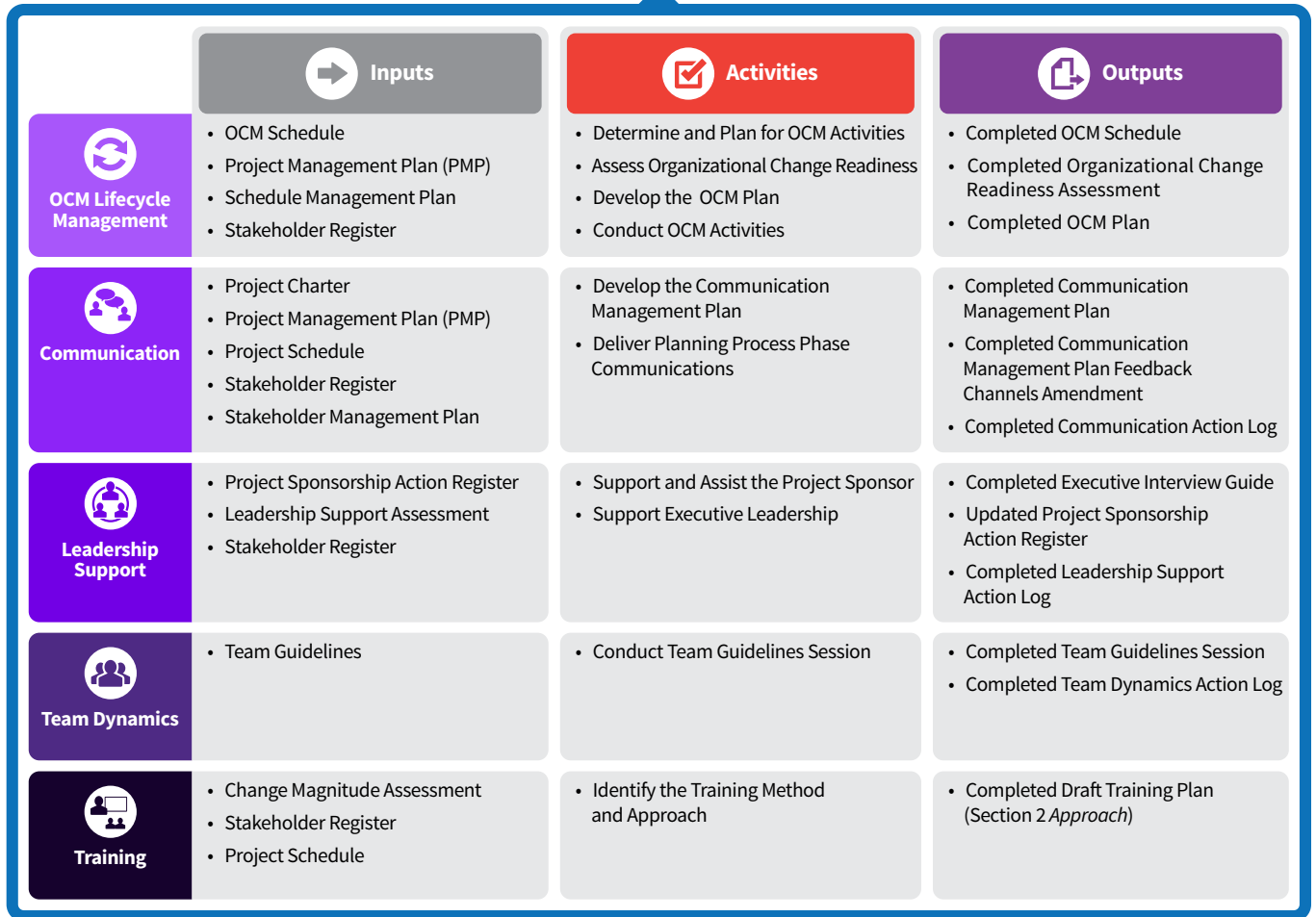
Concept   Initiating   **Planning**   Executing   Closing

	Inputs	Activities	Outputs
OCM Lifecycle Management	• OCM Schedule • Project Management Plan (PMP) • Schedule Management Plan • Stakeholder Register	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Develop the OCM Plan • Conduct OCM Activities	• Completed OCM Schedule • Completed Organizational Change Readiness Assessment • Completed OCM Plan
Communication	• Project Charter • Project Management Plan (PMP) • Project Schedule • Stakeholder Register • Stakeholder Management Plan	• Develop the Communication Management Plan • Deliver Planning Process Phase Communications	• Completed Communication Management Plan • Completed Communication Management Plan Feedback Channels Amendment • Completed Communication Action Log
Leadership Support	• Project Sponsorship Action Register • Leadership Support Assessment • Stakeholder Register	• Support and Assist the Project Sponsor • Support Executive Leadership	• Completed Executive Interview Guide • Updated Project Sponsorship Action Register • Completed Leadership Support Action Log
Team Dynamics	• Team Guidelines	• Conduct Team Guidelines Session	• Completed Team Guidelines Session • Completed Team Dynamics Action Log
Training	• Change Magnitude Assessment • Stakeholder Register • Project Schedule	• Identify the Training Method and Approach	• Completed Draft Training Plan (Section 2 *Approach*)

Planning Process Phase Goal: **Integrate OCM Activities into Project**

Figure 1-2

1.2 Recommended Practices

The following recommended practices will help the OCM Practitioner conduct OCM activities during the Planning Process Phase.

Utilize Practices to Foster Two-Way Communication

In planning and delivering communications, it is important to blend traditional forms of communication with approaches to persuade employees and Stakeholders of the urgent need to change. Organizations often rely on traditional forms of communication to inform, such as emails, newsletters, and memos, which seek to disseminate information across the organization in an efficient manner; however, to be persuasive, organizations need to involve Stakeholders in an interactive, respectful, honest, and consistent communication process that continues throughout the project. Two-way communication methods, such as surveys, one-on-one conversations, and facilitated sessions, can encourage honesty and candor.

First Build a Communication Strategy, then Focus on Tactics

An effective communication strategy encompasses a variety of tactics aimed at communicating pertinent messages in a timely manner to the correct audiences. However, communication is too often reactive rather than strategic and planned. For example, launching a newsletter is a communication tactic, but is not (by itself) a coherent strategy. An effective communication strategy includes several elements essential for strategic communications: it identifies audience information needs, pursues an audience-appropriate strategy for each Stakeholder group, and provides a plan for communication deployment. For larger efforts the strategy may benefit from rallying key change Stakeholders throughout the organization.

Align Executive Leaders to the Project Goals and Objectives

As organizations undertake transformational technology projects, there is a critical need to align a coalition of executives to the vision, purpose, and goals of the proposed changes. The CA-OCM refers to this concept as executive alignment. It is a key ingredient to project success. Executives need to share and agree upon the vision and priorities, and, ultimately, support the proposed changes. The visible actions and attitudes of executives also guide how employees and Stakeholders perceive the project.

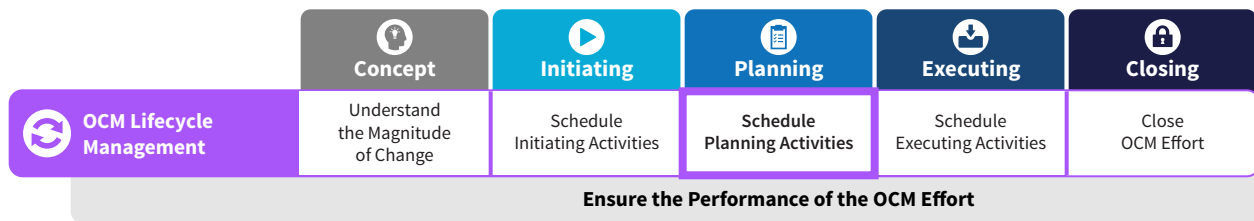## Establish Personal Accountability for the Project Team

Individual team members should commit to project goals and schedules. Each team member should work to complete their commitments as scheduled. Holding everyone accountable for completing their commitments on time helps to strengthen the project team and maintain a positive and collaborative work environment. It is important to develop these commitments and project foundation as each new team member joins the project team.

Don't Underestimate the Training Effort Needed

End user training is a key step in ensuring a successful IT implementation. It is all too easy to misjudge and minimize the need for an end user training effort in order to save time and resources; however, a thoughtful, well planned training effort will provide ample opportunities for end users to obtain the knowledge, skills, and abilities needed to successfully use and adopt the new system. The OCM Practitioner should begin the training effort with a careful consideration of the methods and approaches to complete all projected training activities.

2.1 OCM Lifecycle Management

	Concept	Initiating	Planning	Executing	Closing
OCM Lifecycle Management	Understand the Magnitude of Change	Schedule Initiating Activities	Schedule Planning Activities	Schedule Executing Activities	Close OCM Effort

Ensure the Performance of the OCM Effort

Figure 2-1

As the project enters the Planning Process Phase, the goal of OCM Lifecycle Management is to schedule planning activities, as shown in Figure 2-1. The OCM Practitioner continues to implement, assess, and adjust activities identified in the Initiating Process Phase to progress the OCM effort and facilitate organizational change. In addition, the OCM Practitioner begins detailing the Executing Process Phase activities by developing the OCM Plan. Figure 2-2 summarizes the inputs, roles, skills, activities, tools, and outputs for OCM Lifecycle Management within the Planning Process Phase.

OCM Lifecycle Management

Inputs
- OCM Schedule
- Project Management Plan (PMP)
- Schedule Management Plan
- Stakeholder Register

Roles
- OCM Practitioner
- Project Manager
- Project Sponsor

Skills
- Project Management
- Analysis
- Communication
- Collaboration

Outputs
- Completed OCM Schedule
- Completed Organizational Change Readiness Assessment
- Completed OCM Plan

Activities
- Determine and Plan for OCM Activities
- Assess Organizational Change Readiness
- Develop the OCM Plan
- Conduct OCM Activities

Tools
- OCM Schedule Template
- Organizational Change Readiness Assessment Template
- OCM Plan Template

Figure 2-2

2.1.1 Inputs

In order to complete the Planning Process Phase OCM Lifecycle Management activities, the OCM Practitioner will need a thorough understanding of the following inputs:

OCM Schedule: The OCM Schedule, developed in the Initiating Process Phase, identifies the OCM activities to be conducted. This provides insight into managing the activities, resources, and schedules that occur for the project.

Project Management Plan (PMP): The Project Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, provides information regarding the management of the project scope, resources, and work plan. The OCM approach and schedule should align with the relevant project information contained in the PMP.

Schedule Management Plan: The Schedule Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, describes the criteria and the activities for developing, monitoring, and controlling the schedule. The OCM Schedule will follow the criteria set forth in the Schedule Management Plan.

Stakeholder Register: The Stakeholder Register, developed in the Initiating Process Phase as prescribed by the CA-PMF, identifies the organizations, groups, and individuals with an interest in the project.

2.1.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Lifecycle Management activities during the Planning Process Phase.

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
OCM Practitioner	• Conduct OCM activities prescribed in the OCM Schedule • Define OCM-related project requirements • Conduct the Organizational Change Readiness Assessments • Develop the OCM Plan
Project Manager	• Collaborate with OCM Practitioner to schedule OCM activities • Provide input into OCM-related project requirements development • Provides input into the OCM Plan
Project Sponsor	• Collaborate with OCM Practitioner to conduct OCM activities, as needed • Provide guidance and input into OCM-related project requirements development • Provides input into the OCM Plan

2.1.3 Activities

OCM Lifecycle Management serves to organize and manage the overall OCM effort throughout the PMLC. As the project enters the Planning Process Phase, the OCM Practitioner manages the OCM effort with three activities:

- Determine and plan for OCM activities

- Develop the OCM Plan

- Conduct OCM activities

Determine and Plan for OCM Activities

The Planning Process Phase focuses on building support for the change initiative. Similar to the prior process phase, OCM activities within the Planning Process Phase must be identified, resourced, and scheduled. As these items are addressed, they are added to the OCM Schedule that was established during the Initiating Process Phase. To update the OCM Schedule with Planning Process Phase activities, the OCM Practitioner should complete the following:

- Review the entirety of this chapter to identify the various activities and outputs that must be developed within each knowledge area in the Planning Process Phase.

- Based on the project and organizational characteristics, identify the tasks necessary to complete the identified activities. Consider any constraints that will dictate the timing, frequency and order the activities need to be completed.

- Estimate the duration and effort to complete each task. Consider the scope and complexity of the project when estimating.

- Work with the Project Manager to identify available resources to complete the tasks. The availability of resources to support the effort may require re-work of the schedule.

The OCM Practitioner should work with the Project Manager and leverage the project organization chart, Stakeholder Register, Project Management Plan (PMP), and Schedule Management Plan to identify and allocate these resources in the OCM Schedule. Once the schedule has been developed, the OCM Practitioner will work with the Project Manager to integrate the tasks into the greater project schedule to monitor and control.

Skills

Use the following skills to complete the activity:
- Project Management
- Analysis

Inputs

The following are inputs to the activity:
- OCM Schedule
- Stakeholder Register
- Project Management Plan
- Schedule Management Plan

Tools

A template is available:
OCM Schedule

Outputs

The following is an output of the activity:
- Completed OCM Schedule

Assess Organizational Change Readiness

In the Concept Process Phase, the OCM Practitioner completed an Environmental Readiness Assessment to gauge the organization at a high level on the readiness in four environmental areas: organizational readiness, leadership readiness, employee readiness, and supporting infrastructure readiness. During the Initiating Process Phase, a Change Magnitude Assessment was conducted to support OCM efforts. In the Planning Process Phase, the OCM Practitioner must conduct additional assessments based on each of the knowledge areas in order to consider the needs of the Stakeholders. An Organizational Change Readiness Assessment helps the OCM Practitioner assess the organization's readiness and need for focused OCM efforts in all knowledge areas. This assessment, completed by representative populations at all organizational levels (e.g., executives, managers, staff), allows the OCM Practitioner to tailor the OCM Plan and OCM activities to the specific needs at each level.

The OCM Practitioner should work with the Project Sponsor and Project Manager to determine an appropriate sample size and method for identifying participants to complete the Organizational Change Readiness Assessment. Some projects may find it easiest to determine a relative sample size and randomly select participants from each organizational level. Also to be considered is the method for survey distribution. The OCM Practitioner may choose to send the Organizational Change Readiness Assessment electronically, or bring survey participants together in small focus groups to introduce the change and conduct the survey. Regardless of the sample size and method of assessment, the OCM Practitioner should ensure all organizational levels are represented.

The Organizational Change Readiness Assessment contains multiple statements regarding each knowledge area for the participant to rate on a scale from 1 to 5, with 1 indicating strongly disagree and 5 indicating strongly agree. Sample statements are listed below.

- Feedback processes are continually being used to determine how effectively change is being adopted.

- The organization uses multiple communication methods to keep Stakeholders informed.

- The Project Sponsor and executive leadership build awareness for the need for change and why the change is happening.

- Stakeholders feel heard and understood when expressing concerns or asking questions regarding the project.

Skills

Use the following skills to complete the activity:
- Project Management
- Analysis
- Collaboration

Tools

A template is available:
Organizational Change Readiness Assessment

The assessment is used to gauge the thoughts, feelings, and readiness of each organizational level in each knowledge area. The numerical score provided for each statement provides insight into where OCM efforts should be targeted. The OCM Practitioner will average the scores for all statements within each knowledge area section to provide an idea of the overall level of effort a group needs in a particular knowledge area.

As a general rule, knowledge areas with an average score of three or less indicate that the organization is not fully prepared in that knowledge area and the OCM Practitioner should focus OCM efforts in that area. For example, if the OCM Practitioner identifies that the average score for the Communication Knowledge Area is 2 for staff-level representatives, the OCM Practitioner can plan and execute OCM activities directed at the staff level to improve communications.

The OCM Practitioner may also identify specific aspects of communication that should be addressed by reviewing the scores for each statement related to the Communication Knowledge Area. For example, in reviewing assessments completed by staff-level representatives, if the OCM Practitioner identifies an average score of 1 for statements regarding feedback, the Practitioner can review and tailor the feedback process to capture and respond to staff level feedback.

In reviewing the results of the Organizational Change Readiness Assessment, the OCM Practitioner may determine the need to address certain knowledge area efforts to specific groups or to the organization as a whole. For example, the OCM Practitioner may identify Stakeholder Enrollment as an area needing focus for the entire organization; however, the assessment results may lead the OCM Practitioner to direct Leadership Support activities primarily to the staff level of the organization.

The OCM Practitioner should utilize the results of the Organizational Change Readiness Assessment as an input to the overarching OCM Plan and Schedule. Within the OCM Plan, the assessment results help to define and focus the knowledge area activities that are detailed.

Develop the OCM Plan

The OCM Practitioner develops the OCM Plan to document an approach for managing the change, integrating activities from all knowledge areas, and discussing how activities translate into actions for the Executing Process Phase. This plan draws upon the Organizational Change Readiness Assessment results, industry research, and the experiences of the OCM Practitioner to provide an understanding of the change in the organization when the people-related

Outputs

The following is an output of the activity:
- Completed Organizational Change Readiness Assessment

efforts shift to focus on the larger affected population. The OCM Practitioner should carefully read each of the knowledge area sections within the Executing Process Phase Chapter to identify and understand the activities to include in the OCM Plan.

The OCM Plan documents the following elements:

- **Scope of the OCM Effort:** The OCM scope refers to the extent to which knowledge area activities are implemented for different Stakeholder groups. The OCM Practitioner should consider the results of the Organizational Change Readiness Assessment, industry research, lessons learned from previous change initiatives, and the Practitioner's own experiences and organizational knowledge.

- **Management of the OCM Effort:** The OCM Practitioner should also consider the details surrounding how the OCM effort will be managed. Who will implement specific activities? How will progress and effectiveness of activities be monitored? How will the reporting process function? Management of the OCM effort should align with the management strategies set forth in the Project Management Plan (PMP) and all subordinate plans.

- **Roles and Responsibilities Associated with the OCM Effort:** In many projects, the OCM Practitioner role may be split between multiple resources. There may be separate sub-teams for different knowledge areas or a few resources managing activities in multiple knowledge areas. Regardless, it is important to identify the roles and responsibilities of the OCM Practitioner(s), Project Manager, Project Sponsor, project team, and any other identified resources specific to the OCM effort. The OCM Practitioner should collaborate with the Project Manager and Project Sponsor to clearly define all OCM-specific roles and responsibilities.

- **OCM Activities:** The OCM Practitioner identifies OCM activities appropriate for his/her organization and change effort based on the Organizational Change Readiness Assessment results, industry best practices, lessons learned from previous change efforts, and the Practitioner's own OCM experience and organizational knowledge. OCM activities should focus on high priority knowledge areas and Stakeholder groups, and remain in alignment with the OCM scope. It is important to note that while the OCM Practitioner may identify specific activities when initially developing the OCM Plan, these may be modified, eliminated, or added to throughout the Executing and Closing Process Phases depending on the changing needs of the organization and the effectiveness of certain activities.

- **Key Milestones:** The OCM Plan should summarize the key milestones in OCM Schedule, which has been updated in this process phase.

Once the OCM Plan is completed, it can be leveraged during the Planning Process Phase to scope and appropriately resource the OCM effort to determine the project requirements. The OCM Practitioner will later use the OCM Plan to guide the activities, tools, and schedule for all OCM efforts throughout the Executing and Closing Process Phases. The OCM Plan serves as a subordinate plan to the Project Management Plan.

Conduct OCM Activities

In the Initiating Process Phase, the OCM Practitioner reviewed the results of the Environmental Readiness Assessment and Change Magnitude Assessment in order to identify necessary OCM activities, OCM related risks and issues, and create the OCM Schedule. In the Planning Process Phase, the OCM Practitioner may find it necessary to continue with the activities that were started in the Initiating Process Phase to fully address the OCM priority areas.

For example, the activities prescribed in the OCM Schedule during Initiating may focus on providing coaching to key executives in order to get them more involved with the project and comfortable in their roles. In this case, the OCM Practitioner will continue to schedule coaching sessions, if needed, with identified leaders throughout the Planning Process Phase. In addition to the coaching sessions identified in Initiating, the OCM Practitioner may also schedule executive leadership discussions as prescribed in the Leadership Support Knowledge Area in this chapter. By modifying, augmenting, and following the OCM Schedule, the OCM Practitioner can manage and adjust the OCM planning effort through the remainder of the Planning Process Phase.

2.1.4 Tools

The tool that the OCM Practitioner will use within the OCM Lifecycle Management Knowledge Area during the Planning Process Phase includes the following:

- OCM Schedule Template

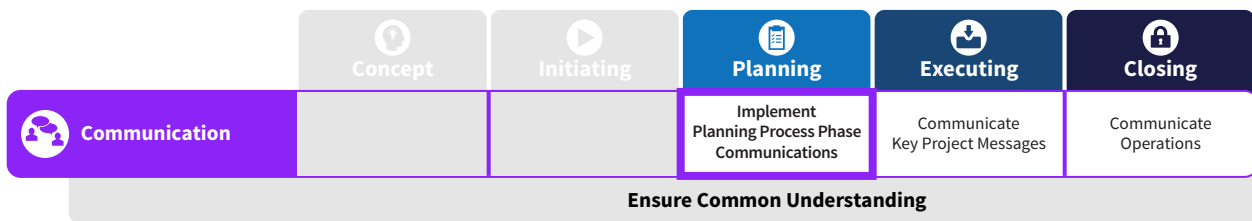- Organizational Change Readiness Assessment Template

- OCM Plan Template

2.1.5 Outputs

OCM Lifecycle Management produces the following output during the Planning Process Phase:

- Completed OCM Schedule

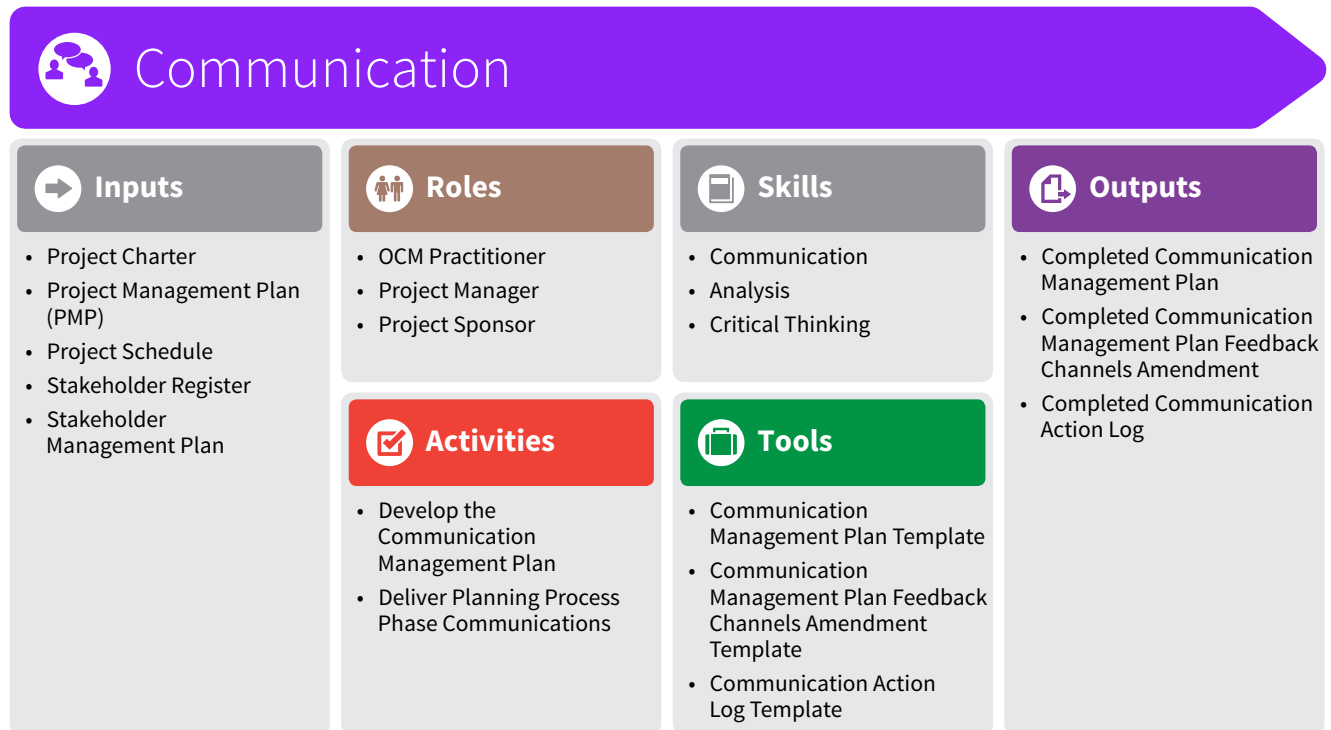- Completed Organizational Change Readiness Assessment

- Completed OCM Plan

2.2 Communication

	Concept	Initiating	Planning	Executing	Closing
Communication			Implement Planning Process Phase Communications	Communicate Key Project Messages	Communicate Operations

Ensure Common Understanding

Figure 2-3

Technology implementation projects often result in questions and concerns from those employees and Stakeholders that are directly or indirectly affected by the implementation. Employees and Stakeholders alike will be curious and, at times, uncertain about the upcoming changes. Communication is necessary to educate Stakeholders about the business case, the benefits of the project, the ultimate impact on the business environment, and the people involved.

Figure 2-3 demonstrates the goals of the Communication Knowledge Area. Communication activities begin in the Planning Process Phase to communicate the business need, key milestones, and details on the transition to Executing. It also is important to begin setting the stage for employees to be involved in the project, as some will participate in designing the future business processes and identifying functional requirements. Figure 2-4 provides the inputs, roles, skills, activities, tools, and outputs of the Communication Knowledge Area within the Planning Process Phase.

Communication

Inputs	Roles	Skills	Outputs
• Project Charter • Project Management Plan (PMP) • Project Schedule • Stakeholder Register • Stakeholder Management Plan	• OCM Practitioner • Project Manager • Project Sponsor	• Communication • Analysis • Critical Thinking	• Completed Communication Management Plan • Completed Communication Management Plan Feedback Channels Amendment • Completed Communication Action Log

	Activities	Tools	
	• Develop the Communication Management Plan • Deliver Planning Process Phase Communications	• Communication Management Plan Template • Communication Management Plan Feedback Channels Amendment Template • Communication Action Log Template	

Figure 2-4

2.2.1 Inputs

In order to complete the Planning Process Phase Communication activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Project Charter: The Project Charter, completed in the Initiating Process Phase as prescribed by the CA-PMF, provides information regarding the scope and objectives of the project.

Project Management Plan (PMP): The PMP, completed in the Planning Process Phase as prescribed by the CA-PMF, provides information regarding the management of project scope, resources, and work plan.

Project Schedule: The Project Schedule describes what work needs to be performed, which resources of the organization will perform the work, and the time frames in which that work needs to be performed.

Stakeholder Register: The Stakeholder Register, completed in the Initiating Process Phase as prescribed in the CA-PMF, lists project Stakeholders who influence the project or are affected by its outcome. The Stakeholder Register identifies the Stakeholders critical to the project that should be included in project activities in addition to all Stakeholders that are part of the effort.

Stakeholder Management Plan: The Stakeholder Management Plan, completed in the Planning Process Phase as prescribed in the CA-PMF, describes the methods, content, direction, and frequency of communication required by each of the Stakeholders.

2.2.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Communication Management activities during the Planning Process Phase.

Role	Responsibilities
OCM Practitioner	• Assist with development of the Communication Management Plan • Prepare high level communication messages and timing
Project Manager	• Develop Communication Management Plan • Solicit input from OCM Practitioner for communications • Deliver communications
Project Sponsor	• Provide input into Communication Management Plan • Deliver communications

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.2.3 Activities

Communication messages during the Planning Process Phase center around the business need, project vision, and other high level information that will prepare Stakeholders and employees to understand and embrace the changes that are coming. To execute Planning Process Phase communications, the OCM

Practitioner works with the Project Manager, Project Sponsor, and members of the project team to develop a Communication Management Plan and deliver communications. Effective communication management supports:

- Meeting Stakeholder information needs

- Tracking and reporting project performance

- Formally documenting project results

- Garnering enthusiasm and support for the project

- Sharing information and providing feedback channels

Develop Communication Management Plan

Communication is a vital part of any change initiative. Employees and Stakeholders rely on communication messages to understand the change and set their expectations of the project and project outcomes. As such, a strong Communication Management Plan at this stage will begin the process of enrolling Employees and Stakeholders in the project initiative. The Communication Management Plan should support and align with the information documented in the Project Charter, Project Management Plan, Stakeholder Register, and Stakeholder Management Plan.

The OCM Practitioner works with the Project Manager to develop the Communication Management Plan, as prescribed in the CA-PMF. Depending on the size and scope of the effort, one project Communication Management Plan can be used, or a separate plan can be created solely for OCM. In either case, it is important to include the Communication Management Plan Feedback Channels Amendment template in the development of a Communication Management Plan. In addition to the guidance provided in the CA-PMF, and Project Management Plan (PMP), the OCM Practitioner should consider including the following concepts into the Communication Management Plan to address OCM objectives:

- **Messages about the "why" of the project:** Oftentimes, Communication Plans focus on reporting project status, progress, and milestones. These concrete details provide good information for involved Stakeholders, such as the project team and Executive Steering Committee; however, these plans can fail to address the "why" of the project. One cannot always

Skills

Use the following skill to complete the activity:
- Communication

Inputs

The following are inputs to the activity:
- Project Charter
- Project Management Plan (PMP)
- Stakeholder Register
- Stakeholder Management Plan

Tools

A template is available: Communication Management Plan

assume that because an individual is involved with a change initiative, he/she understands the bigger picture. This missing component often leaves Stakeholders with questions, including:

- Why is the initiative a priority?

- What is the future vision for the organization, and how does the change fit with the vision?

- What are the objectives of the project?

- Why is the organization implementing the change now?

Therefore, the OCM Practitioner should consider addressing the "why" questions of vision, mission, and objectives as communication items within Section 4.2 *Identify Stakeholder Communication Requirements,* within the Communication Management Plan.

- **Feedback opportunities:** It is important for the OCM Practitioner to remember that communication is a two way process and that audiences will have questions, need clarification, and want to provide input. By identifying feedback channels within the Communication Management Plan, the OCM Practitioner can assure that Stakeholders will feel heard and valued. Feedback opportunities should be addressed as specific communication items, with defined collection channels and processes for feedback collection, analysis, and dissemination. Feedback processes should be documented using the Communication Management Plan Feedback Channels Amendment. This amendment serves as an addition to the Communication Management Plan and assists the OCM Practitioner in identifying communication feedback channels, through with employees, leaders, and Stakeholders may provide opinions, ask questions, and identify communication related concerns to the project.

- **Broader audiences:** In this early process phase, it is all too easy for a Communication Management Plan to focus solely on disseminating project status information to the project team. However, the OCM Practitioner and Project Manager should discuss the benefits and risks of disseminating certain messages to a broader audience, following the guidance set forth in the Stakeholder Register and the *Stakeholder Information Distribution Matrix* within the Stakeholder Management Plan. While this is not the time to provide detailed project status reports to the entire population that will be affected by the change, it may be beneficial to start making these audiences aware of what may be coming down the pipeline, based on the

Tools

A template is available:
Communication Management Plan Feedback Channels Amendment

Outputs

The following are outputs of the activity:
- Completed Communication Management Plan Feedback Channels Amendment
- Completed Communication Management Plan

Project Schedule. High level messages about the organization's vision, project objectives, and a change initiative "mission statement" will help to begin the process of enrolling Stakeholders in preparation for the changes coming their way. The OCM Practitioner should document the inclusion of broader audiences in the Communication Management Plan, sections 4.1 *Identify Stakeholder Communication Requirements* and 4.4 *Define Communications Register.*

Deliver Planning Process Phase Communications

Once the Communication Management Plan is developed, communication messages will be disseminated based on the information set forth in the plan. Though the OCM Practitioner plays an important role in supporting and monitoring communication efforts, the OCM Practitioner does not communicate the messages; this should be the responsibility of the Project Manager and/or the Project Sponsor. One responsibility the OCM Practitioner may take on during the communication process is the collection, analysis, and reporting of communication feedback. This task may directly relate to OCM efforts in other knowledge areas.

For example, an OCM Practitioner may utilize informal conversations and observations to discover from project team members that employees participating in sessions to gather functional requirements appear disengaged or do not demonstrate support of the project objectives. After researching, the OCM Practitioner discovers that the Project Sponsor has not communicated the business case for the change to these project team members. The OCM Practitioner will work with the Project Manager and Project Sponsor to analyze the information and determine appropriate delivery channel, timing, and message content in order to effectively communicate these drivers for change. The OCM Practitioner may also engage in Leadership Support activities to assist the Project Sponsor in building and demonstrating support for the change.

The OCM Practitioner works with the Project Manager and team members to develop and disseminate the right messages, to the right individuals, at the right time, by the right delivery channels. In order to record communication activities, the OCM Practitioner may utilize the Communication Action Log. This living document serves to track all communication activities.

Skills

Use the following skill to complete the activity:
• Communication

Tools

A template is available: Communication Action Log

Outputs

The following is an output of the activity:
• Completed Communication Action Log

2.2.4 Tools

The Communication tools that the OCM Practitioner will use during the Planning Process Phase include the following:
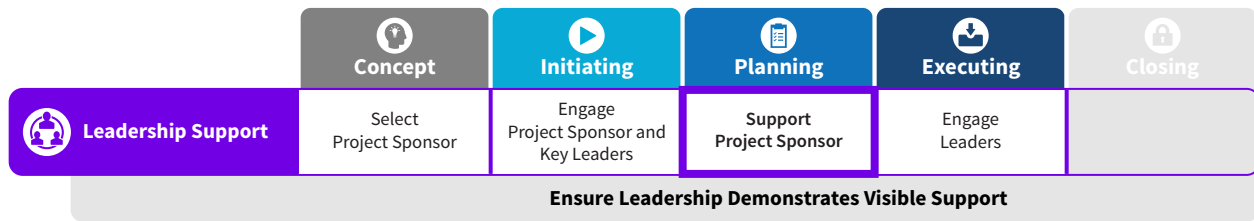
- Communication Management Plan Template

- Communication Management Plan Feedback Channels Amendment Template

- Communication Action Log Template

2.2.5 Outputs

Communication produces the following outputs during the Planning Process Phase:

- Completed Communication Management Plan

- Completed Communication Management Plan Feedback Channels Amendment

- Completed Communication Action Log

2.3 Leadership Support

Concept	Initiating	Planning	Executing	Closing
Leadership Support	Select Project Sponsor	Engage Project Sponsor and Key Leaders	**Support Project Sponsor**	Engage Leaders	

Ensure Leadership Demonstrates Visible Support

Figure 2-5

During the Planning Process Phase, Leadership Support activities focus on keeping the Project Sponsor and executive leaders who influence the project approval process engaged. As the project moves forward, the OCM Practitoner broadens the Leadership Support effort to engage leaders at all levels. Figure 2-5 summarizes the overall objectives of Leadership Support in all process phases.

Figure 2-6 provides the inputs, roles, skills, activities, tools, and outputs of the Leadership Support Knowledge Area within the Planning Process Phase.

Leadership Support

Inputs	Roles	Skills	Outputs
• Project Sponsorship Action Register • Leadership Support Assessment • Stakeholder Register	• OCM Practitioner • Project Manager • Project Sponsor • Executive Leadership	• Interviewing • Coaching • Communication	• Completed Executive Interview Guide • Updated Sponsorship Action Register • Completed Leadership Support Action Log

Activities	Tools
• Support and Assist the Project Sponsor • Support Executive Leadership	• Executive Interview Guide Template • Sponsorship Action Register Template • Leadership Support Action Log Template

Figure 2-6

2.3.1 Inputs

In order to complete the Planning Process Phase Leadership Support activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Project Sponsorship Action Register: The Project Sponsorship Action Register, completed in the Initiating Process Phase, is an informal working document that details the Project Sponsor's roles, responsibilities, actions, and time commitments to the project.

Leadership Support Assessment: The Leadership Support Assessment guides the OCM Practitioner in identifying opportunities to further engage executives.

Stakeholder Register: The Stakeholder Register, completed in the Initiating Process Phase, as prescribed by the CA-PMF, identifies the individuals with a role in the project. This document will provide input for the planning of Leadership Support activities.

2.3.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Leadership Support activities during the Planning Process Phase.

Role	Responsibilities
OCM Practitioner	• Meet with Project Sponsor regularly to discuss project progress and Stakeholder resistance • Conduct leadership coaching activities with key executives
Project Manager	• Participate in leadership coaching activities
Project Sponsor	• Enact Project Sponsorship Plan • Meet with OCM Practitioner as needed to discuss project progress and Stakeholder resistance
Key Executive Leaders	• Participate in leadership coaching activities

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.3.3 Activities

Leadership Support activities provide support for leaders to keep them engaged during the Planning Process Phase. The OCM Practitioner will focus efforts on two Leadership Support activities to accomplish this:

- Support and Assist the Project Sponsor
- Support Executive Leadership

Support and Assist the Project Sponsor

The Project Sponsor should be actively involved and engaged in project activities. The Project Sponsor not only provides critical feedback and guidance to the Project Team, but also keeps other key executives informed. In the Initiating Process Phase, the OCM Practitioner assisted the Project Sponsor in creating a Project Sponsorship Action Register, which the OCM Practitioner

Skills

Use the following skills to complete the activity:
• Coaching
• Communication

Inputs

The following is an input to the activity:
• Project Sponsorship Action Register

and Project Sponsor should continue to follow and maintain. In addition, the OCM Practitioner will provide additional guidance and support to the Project Sponsor on the use of OCM tools and techniques. The OCM Practitioner will aid the Project Sponsor in his/her role by:

- **Monitoring the people-related factors of the project.** The OCM Practitioner provides an excellent feedback channel between the Project Sponsor, the project team, and other involved individuals. By monitoring progress and feedback regarding the OCM effort, the OCM Practitioner, working with the Project Manager as needed, can report on critical OCM issues, gain approval for course corrections, and request the Project Sponsor's assistance.

- **Recommending OCM actions for the Project Sponsor to implement.** The OCM Practitioner is in a unique position to not only monitor OCM efforts, but to guide the Project Sponsor in taking an active role in the people-related elements of the project. The OCM Practitioner, working with the Project Manager as needed, may identify specific actions for the Project Sponsor to take based on the monitoring efforts discussed above. Such actions may include: participation in meetings, one-on-one conversations with project staff, and dissemination of project communications to executive leadership. The actions recommended by the OCM Practitioner will vary from project to project and organization to organization. The OCM Practitioner should maintain and update the Project Sponsorship Action Register with additional actions, as needed.

- **Providing coaching and guidance to the Project Sponsor.** Occasionally, the OCM Practitioner may observe a need to strengthen the Project Sponsor's effectiveness as a visible leader of the project. The OCM Practitioner should take a proactive role in assessing the Project Sponsor's progress and effectiveness, and identify potential leadership concerns to address. The OCM Practitioner should monitor the Project Sponsor's role as he/she completes the recommended activities during this process phase.

Support Executive Leadership

In the Initiating Process Phase, the OCM Practitioner identified, assessed, and addressed all executive leaders who are involved in the project, as identified in the Stakeholder Register. The OCM Practitioner utilized the Leadership Support Assessment to rank leaders on their relative OCM priority, based on their level of influence and level of project support. In this process phase, the OCM Practitioner should continue to build leadership support by meeting with

Outputs

The following is an output of the activity:
- Updated Project Sponsorship Action Register

Skills

Use the following skills to complete the activity:
- Coaching
- Communication
- Interviewing

Inputs

The following are inputs to the activity:
- Stakeholder Register
- Leadership Support Assessment

all executive leaders to further understand their engagement in and support of the project, as well as identify any potential barriers to support the change. These interviews serve many purposes, including:

- Fostering in-depth connections between the OCM Practitioner and executives

- Encouraging thought among executives about what is required for a successful change initiative, and what their role should be

- Building the OCM Practitioner's understanding of the organizational "lay of the land", so the Practitioner can help the project team navigate the political issues and struggles that are inevitably a part of change.

The OCM Practitioner can utilize the Executive Interview Guide to facilitate discussions. The Executive Interview Guide addresses general background information about the executive, prior experience with change, the organization's vision and strategy, and political environment and team dynamics. It is meant to be an informal working document, which the OCM Practitioner may use to guide Leadership Support activities. The Executive Interview Guide includes questions such as:

- What do you see as the main strengths and concern of the organization/ organizational unit/etc.? How will this be affected by the pending change?

- Have you ever been through a similar change initiative? If so, what was it like? What did you conclude about what conditions produce the best results? If not, what expectations do you have about what it will be like?

- How well-developed is the organization's vision/strategy, in your opinion? What is missing from the vision/strategy?

- How widely supported is this change initiative within the executive group? Are there any questions that divide the group? What causes these divisions or differences in perspective?

Once the OCM Practitioner has conducted these interviews, he/she should compile the data to identify the main strengths (as a foundation for a successful change initiative), main questions (or things to be looked into), and possible concerns (or things that could impede success). The Practitioner should assess on an individual level as well as for the executive leadership group as a whole. In this manner, the OCM Practitioner may build on identified strengths, research questions, and identify actions to address possible problems. The OCM Practitioner may need to engage the Project Sponsor to help address

Tools

A template is available:
Executive Interview Guide

Outputs

The following is an output of the activity:
- Completed Executive Interview Guides

concerns by having him/her meet personally with executives or have a broader discussion with the executive group.

The OCM Practitioner may utilize the Leadership Support Action Log to record and track all Leadership Support activities. This working document, initially develop in the Concept Process Phase, allows the OCM Practitioner to track all Leadership Support actions throughout the PMLC. It should be reviewed and modified regularly.

2.3.4 Tools

The tools that the OCM Practitioner will use within Leadership Support during the Planning Process Phase include the following:

- Executive Interview Guide Template

- Project Sponsorship Action Register Template

- Leadership Support Action Log Template

2.3.5 Outputs

Leadership Support produces the following outputs during the Planning Process Phase:

- Completed Executive Interview Guide

- Updated Project Sponsorship Action Register

- Completed Leadership Support Action Log

> **Tools**
>
> A template is available:
> Leadership Support Action Log

> **Outputs**
>
> The following is an output of the activity:
> • Completed Leadership Support Action Log

2.4 Team Dynamics

	Concept	Initiating	Planning	Executing	Closing
Team Dynamics		Develop Team Foundation	**Initiate Planning Project Team**	Monitor Team Dynamics	

Ensure High Performing Team
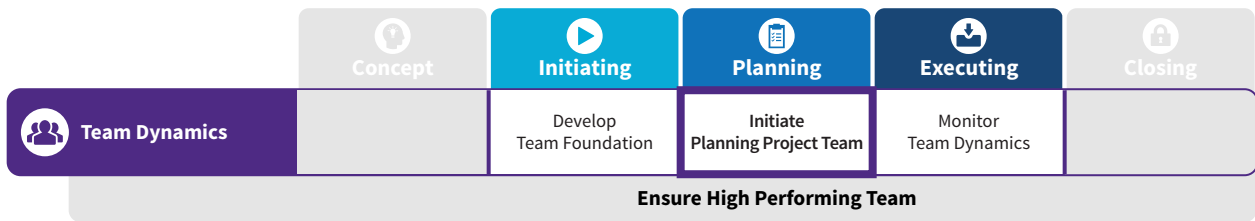
Figure 2-7

Team Dynamics activities began in the Initiating Process Phase as the OCM Practitioner begins to define behavior guidelines that are foundational to the project team. In the Planning Process Phase, the project team continues to grow and expand, which can often put a strain on the working environment and team culture. As such, the OCM Practitoner works in this process phase to build upon the team's behavior guidelines and ingrain them into the team's operating culture. This effort continues in the Executing Process Phase as the OCM Practitioner monitors team dynamics. Figure 2-7 demonstrates the goals of Team Dynamics throughout the PMLC.

Team Dynamics activities in the Planning Process Phase serve todevelop a strong working team as new project team members are identified and involved in team activities. Figure 2-8 demonstrates the inputs, roles, skills, activities, tools, and outputs for Team Dynamics in the Planning Process Phase.
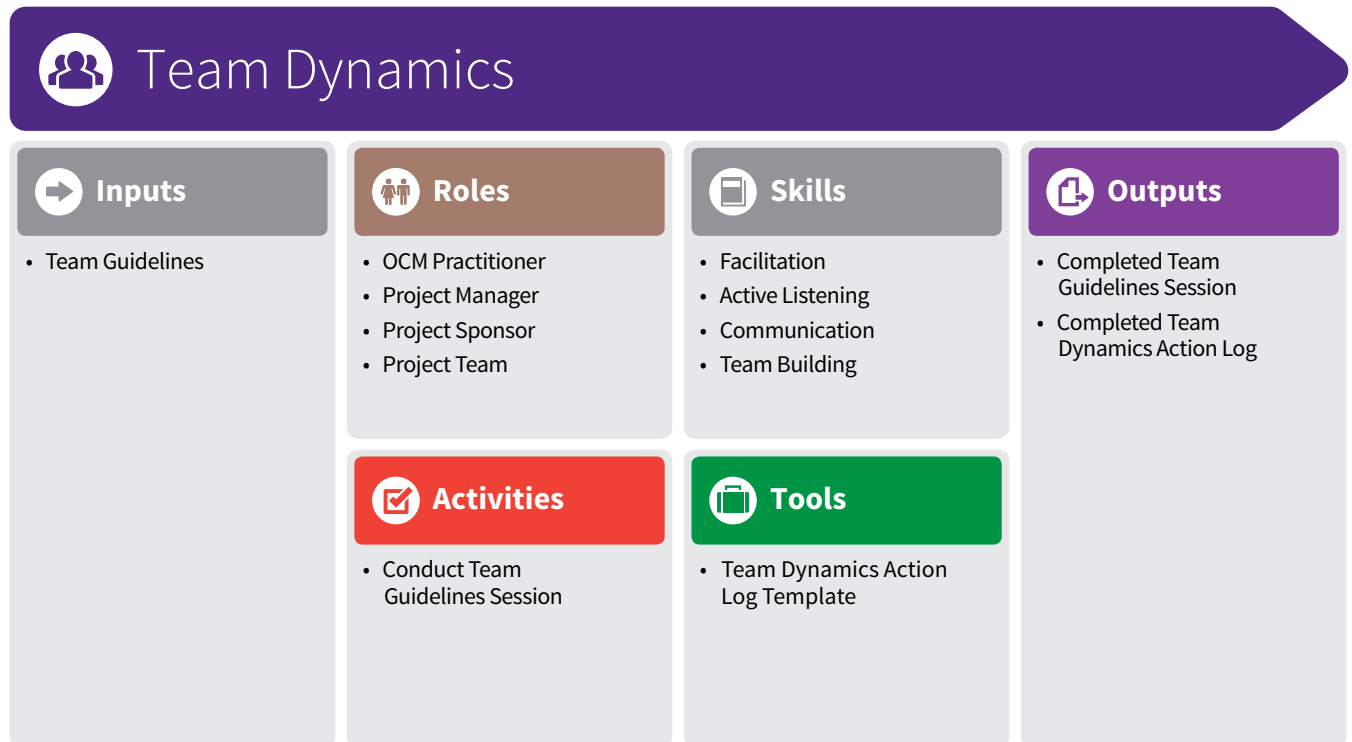
Team Dynamics

Inputs	Roles	Skills	Outputs
• Team Guidelines	• OCM Practitioner • Project Manager • Project Sponsor • Project Team	• Facilitation • Active Listening • Communication • Team Building	• Completed Team Guidelines Session • Completed Team Dynamics Action Log
	Activities	**Tools**	
	• Conduct Team Guidelines Session	• Team Dynamics Action Log Template	

Figure 2-8

2.4.1   Inputs

In order to complete the Planning Process Phase Team Dynamics activities, the OCM Practitioner will need a thorough understanding of the following input:

Team Guidelines: The team guidelines, developed by the OCM Practitioner in the Initiating Process Phase, list the behaviors and guidelines expected of the project team.

2.4.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Team Dynamics activities during the Planning Process Phase.

Role	Responsibilities
OCM Practitioner	• Collaborate with the Project Manager to prepare for and conduct the Team Guidelines Session
Project Manager	• Collaborate with the OCM Practitioner to prepare for and conduct the Team Guidelines Session
Project Sponsor	• Support Project Manager and OCM Practitioner to address team guidelines issues
Project Team	• Participate in Team Guidelines Session

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.4.3 Activities

During the Planning Process Phase, the project team begins to formalize and expand. It is imperative that the project team work together to increase productivity and create a positive working environment. To support this, the OCM Practitioner and Project Manager will conduct a team meeting to review the team guidelines in addition to using the Team Dynamics Action Log Template to capture and organize tasks, resources, and timeframes for Team Dynamics efforts.

Conduct Team Guidelines Session

Project teams often consist of individuals from different backgrounds and diverse working environments. As such, it is important to introduce the project team's behavior guidelines from the team's initiation. The first step toward a shared understanding of team guidelines is to hold a team meeting to introduce guidelines and show the Project Manager's commitment to a positive working environment. The OCM Practitioner may help to develop and conduct a Team Guidelines Session; however, this activity requires the support and leadership

Skills

Use the following skills to complete the activity:
• Facilitation
• Active Listening
• Communication
• Team Building

Inputs

The following is an input to the activity:
• Team Guidelines

of the Project Manager. As the team leader, the Project Manager is best suited to introduce and reinforce guidelines. This initial session serves to:

- Introduce team guidelines

- Reinforce the value of these behaviors from the Project Manager's perspective

- Grant permission to hold other team members, including the Project Manager, accountable, as unexpected behaviors do occur

While this session may seem trivial, it is imperative that the Project Manager shows a genuine commitment to the team guidelines. A project team is more likely to adopt guidelines if the team leader leads by example and takes a sincere interest in team dynamics. In the Executing Process Phase, the OCM Practitioner and Project Manager will continue encouraging team members to recognize and adopt the team guidelines using surveys and follow up sessions; however, if the Planning Process Phase is lengthy, the OCM Practitioner and Project Manager may find it beneficial to begin Team Dynamics activities outlined in the Executing Process Phase earlier than prescribed.

The OCM Practitioner may utilize the Team Dynamics Action Log to record and track all Team Dynamics activities. This working document allows the OCM Practitioner to track all Team Dynamics actions, such as the Team Guidelines session, throughout the PMLC. It should be reviewed and modified regularly.

2.4.4 Tools

The tool that the OCM Practitioner will use within Team Dynamics during the Planning Process Phase includes the following:

- Team Dynamics Action Log Template

2.4.5 Outputs

Team Dynamics produces the following outputs during the Planning Process Phase:

- Completed Team Guidelines Session

- Completed Team Dynamics Action Log

Outputs

The following is an output of the activity:
- Completed Team Guidelines Session

Tools

A template is available:
Team Dynamics Action Log

Outputs

The following is an output of the activity:
- Completed Team Dynamics Action Log

2.5 Training
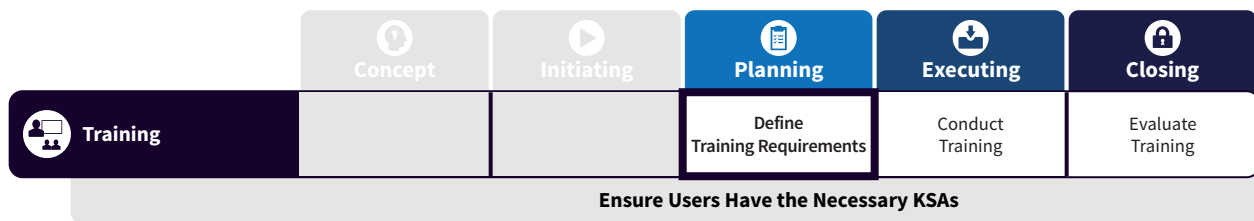
Figure 2-9

The goals of the Training Knowledge Area as the project moves through the PMLC are shown in Figure 2-9, with the overall goal of ensuring all users have the necessary knowledge, skills and abilities (KSAs) to utilize the project solution. In the context of the CA-OCM and IT project implementations, end user training refers to the training effort needed for all users of a new system. These individuals can be leaders, employees, and/or external Stakeholders and each group may require a substantial training effort to function with the new system. As such, the OCM Practitioner considers the method and approach anticipated to be necessary for the end user training effort that occurs in the Executing Process Phase. Planning for end user training is critical to ensure the adequate training level of effort has been estimated and enacted.

Figure 2-10 summarizes the inputs, roles, skills, activities, tools, and outputs for Training within the Planning Process Phase.
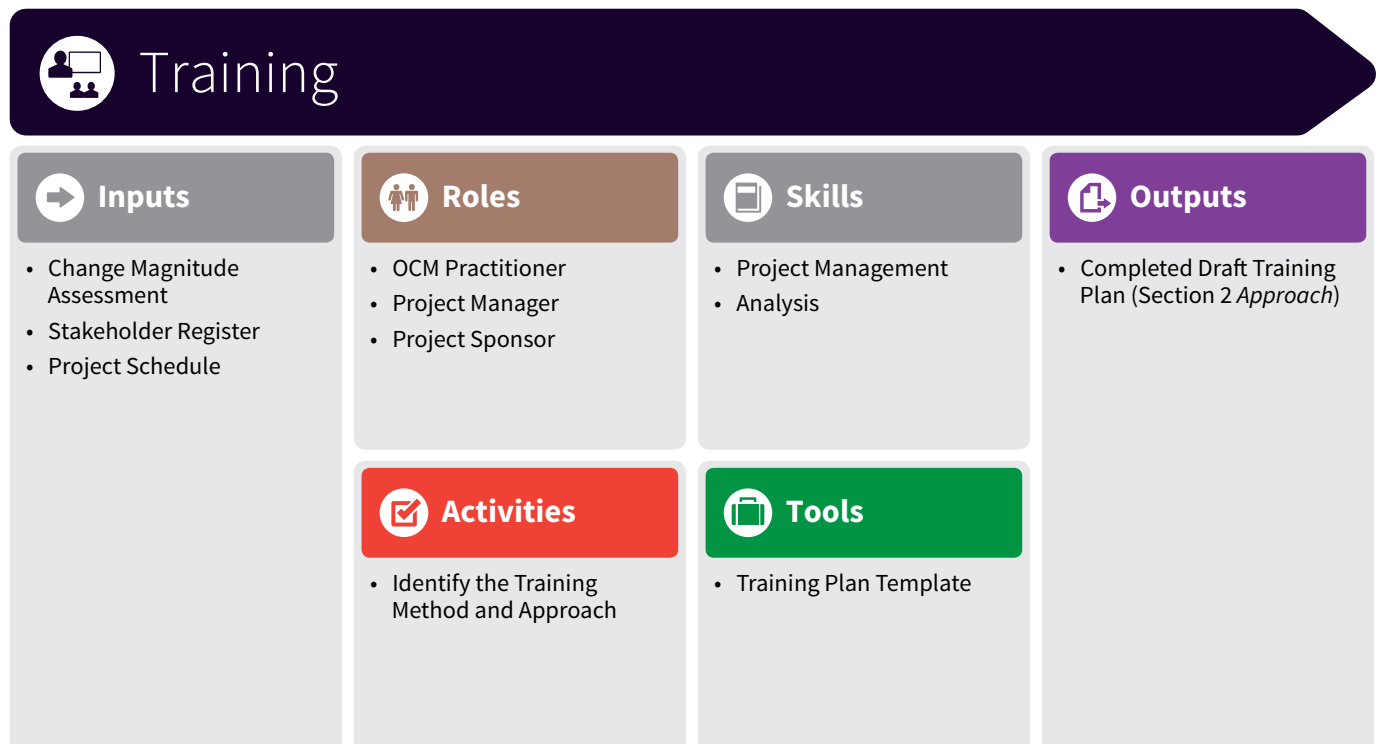
Training

Inputs	Roles	Skills	Outputs
• Change Magnitude Assessment • Stakeholder Register • Project Schedule	• OCM Practitioner • Project Manager • Project Sponsor	• Project Management • Analysis	• Completed Draft Training Plan (Section 2 *Approach*)

Activities	Tools
• Identify the Training Method and Approach	• Training Plan Template

Figure 2-10

2.5.1 Inputs

In order to complete the Planning Process Phase Training activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Change Magnitude Assessment: This assessment provides insight into the relative size of the change, level of readiness for change, and OCM priority areas.

Stakeholder Register: The Stakeholder Register, completed in the Initiating Process Phase, as prescribed by the CA-PMF, identifies the individuals with a role in the project. This will provide input for the planning of Training activities.

Project Schedule: The Project Schedule describes what work needs to be performed, which resources of the organization will perform the work, and the time frames in which that work needs to be performed.

2.5.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Training activities during the Planning Process Phase.

Role	Responsibilities
OCM Practitioner	• Identify the Training method and approach
Project Manager	• Provide input into the Training method and approach
Project Sponsor	• Provide input into the Training method and approach

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.5.3 Activities

End user training is a critical part of a successful IT implementation project. The OCM Practitioner should put sufficient thought and planning into the possible training methods and approaches.

Identify Training Method and Approach

The purpose of end user training is to provide ample opportunity for end users to gain the knowledge, skills, and abilities (KSAs) they need in order to use the new system. Depending on the scope and complexity of the change initiative, the project may at this point in the Planning Process Phase dedicate a resource to develop and manage the training effort. This role, the Training Lead, will complete the Training Knowledge Area activities with the support of the OCM Practitioner. Some projects with more simple training efforts or constrained resources may choose to leverage the OCM Practitioner to determine the training method(s) for training delivery.

Skills

Use the following skills to complete the activity:
• Project Management
• Analysis

Regardless of the assigned resource, it is important to define the training method the project will utilize in order to appropriately plan for the Executing Process Phase. Depending on the characteristics of the project, the following two methods may be used alone or in combination to provide the necessary training:

- **Train-the-Trainer Training:** In this method, training is provided to a designated group of instructors with the intention of preparing them to conduct end user training. A main benefit is to train large numbers of instructors to reach large populations. The train-the-trainer method is useful for situations where there are large end user populations that need training.

- **Direct End User Training:** This method employs the OCM Practitioner and/or a designated training team to conduct end user training. As opposed to the train-the-trainer approach, the project team is responsible for the delivery of training to the end users, instead of using external resources who have been selected and trained to do so. This method is useful for projects with smaller training needs.

To support the training methods above, there are several commonly used training approaches that provide users with different training experiences. A training program may utilize one approach, or a combination of several. Example training approaches are included in the table below.

Training Approach	Definition	Recommended Uses/ Benefits
On-the-Job Training	Users are trained to perform job functions in a one-on-one setting	• Useful for new or less experienced employees who will benefit from hands-on training • Allows for employees with specialized skills to transfer skills to less experienced employees

Training Approach	Definition	Recommended Uses/ Benefits
Instructor-Led Training	Groups of users are trained by an instructor using lecture and/or lab methods	• Useful in educating larger groups at one time in one location • Instructor provides in person help and support
Web-based Training	Users utilize pre-developed electronic resources to learn new material. Web-based training courses may include opportunities for users to test their knowledge and practice new skills in a test environment	• Available on demand • Allows users to participate at their own pace • Eliminates the need for a centralized physical training location
Guidebooks/ User Manuals	Documents available to users on an as-needed basis that provide written and graphical information	• Available on-demand • May provide support to other training approaches • Useful for experienced users without the need for large training efforts

A training resource to use in addition to those identified above are Super Users. Super Users are individuals selected from within the organization affected by the change (e.g., department, division, or unit) who have the demonstrated technical proficiency to use the system, and the enthusiasm and temperament to support and encourage others to adopt the change. They support the end users' use of the new system and are more accessible than a help desk to make the change easier. A Super User is generally not a formal position, but rather a responsibility that an individual will have in addition to his/her duties. Because training is a critical component to the successful adoption and utilization of the new system, thoroughly planning the training program should not be overlooked in this process phase.

The OCM Practitioner should collaborate with the Project Manager to provide input into the selection of the most suitable methods and approaches for the specific project. The OCM Practitioner should utilize his/her knowledge of the organization's needs and review project documents such as the Change Magnitude Assessment, Stakeholder Register, and Project Schedule in order to determine the training delivery method(s) that will best fit the expected training efforts. Once the OCM Practitioner has identified the method and approach to training, the results should be documented by drafting the Training Plan, Section 2, *Approach*. The remainder of the Training Plan will be completed in the Executing Process Phase.

2.5.4 Tools

The tool that the OCM Practitioner will use within Training during the Planning Process Phase includes the following:

- Training Plan Template

2.5.5 Outputs

Training produces the following output during the Planning Process Phase:

- Completed Draft Training Plan (Section 2, *Approach)*

Inputs

The following are inputs to the activity:
- Change Magnitude Assessment
- Stakeholder Register
- Project Schedule

Tools

A template is available:
Training Plan

Outputs

The following is an output to the activity:
- Completed Draft Training Plan (Section 2, *Approach)*

Process Phase Checklist

3.1 Complete the Checklist

Once all of the OCM activities within the Planning Process Phase are done, the process phase checklist should be completed. Why a checklist? Checklists are comprised of a list of questions built around why, how, what, who, where, and when. These questions can help verify whether everything required for executing the project is in place. Many of these tasks are repeatable from project to project and checklists help document these repeatable steps in order to ensure that the correct things are done at the right time, every time.

A checklist can assist the OCM Practitioner with quickly and confidently identifying areas of concern within the Planning Process Phase. In this case, completion of the checklist provides a clear milestone that Planning is complete, including:

- Completed OCM Schedule
- Completed Organizational Change Readiness Assessment
- Completed OCM Plan
- Completed Communication Management Plan
- Completed Communication Management Plan Feedback Channels Amendment
- Completed Communication Action Log
- Completed Executive Interview Guides
- Updated Project Sponsorship Action Register
- Completed Leadership Support Action Log
- Completed Team Guidelines Session
- Completed Team Dynamics Action Log
- Completed Draft Training Plan (Section 2, *Approach)*
- Completed OCM Planning Process Phase Checklist

Tools

A template is available:
OCM Planning Process Phase Checklist

Outputs

Complete the OCM Planning Process Phase Checklist to validate that all process phase activities are complete.

Executing

Executing is the time when OCM activities and actions are most critical, as the solution is implemented and changes begin to impact the larger Stakeholder population.

In this chapter...

1

Approach

2

Knowledge Areas

3

Process Phase Checklist

Approach
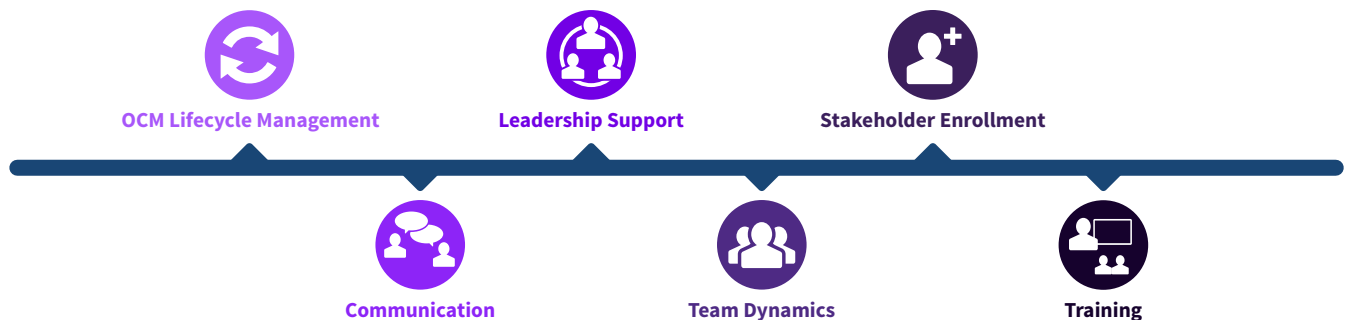
Figure 1-1

The Executing Process Phase is a critical process phase during OCM as business and technology changes are being implemented. It is in this process phase that the change is implemented and OCM activities are in full motion. OCM efforts in Executing include all knowledge areas, as shown in Figure 1-1. During this process phase the OCM Practitioner and team work in close collaboration with the Project Manager and other team members to execute OCM efforts.

1.1 Introduction

The Executing Process Phase involves many important OCM activities that are necessary to support the solution implementation. It is important to clearly understand organizational characteristics and key project milestones in order to align project communications and obtain Stakeholder support, including affected employees. To lead employees through the change, training is developed and delivered. Leaders, managers, and supervisors demonstrate visible support and deliver communications that reinforce the change initiative.

In addition to supporting the project implementation and aligning Stakeholders external to the project team, OCM activities also focus on building the project team itself as it peaks in its size and composition mix. The project team may have resources assigned with various focuses and skills, including Business Process Reengineering (BPR), OCM, system development, conversion, and training. OCM becomes a critical enabler to help foster positive team dynamics and create a collaborative and high-performing team.

OCM Lifecycle Management

OCM Lifecycle Management activities includes an update to the OCM Schedule and conducting another assessment of organizational change readiness. These are used to update the OCM Plan developed during the Planning Process Phase to account for any changes that have occurred for the organization and project. This provides a strong foundation during this process phase, when the change initiative and related OCM efforts affect larger groups of leaders, employees, and Stakeholders. This large scale effort makes implementing targeted and effective OCM activities much more critical.

Communication

Communication activities expand to include larger audiences and provide more detailed content. The OCM Practitioner utilizes the Communication Management Plan to strategize, develop, and deliver the right content, from the right sender, at the right time, to the right audience, by the right delivery channel.

Leadership Support

Leadership Support activities continue to identify, assess, and support leaders in impacted areas. As the project moves closer to implementation, the OCM Practitioner focuses efforts on supervisors, managers, and executives, as all levels of leadership need to be enrolled in the change and provide support that is visible to employees. Leadership Support in this process phase serves to assess leaders, define necessary leadership actions, and execute the activities prescribed.

Team Dynamics

The Executing Process Phase is the time when the Project Team expands and develops. Therefore, it is necessary to ensure the team is operating in a positive, collaborative environment. In this process phase, the OCM Practitioner performs Team Dynamics activities to support team development and team building, as necessary.

Stakeholder Enrollment

In this process phase, the OCM Practitioner builds on the Stakeholder Management activities prescribed in the CA-PMF to support the enrollment effort. The OCM Practitioner assists in defining participation needs, identifying and engaging resources to serve as Stakeholder Group Representatives and Super Users, and coaching supervisors and managers on resistance management.

Training

Training marks one of the last steps of implementing the change. The Training resources working with the OCM Practitioner works to develop and deliver end user training. This includes developing a Training Plan, developing training curriculum and materials, and delivering training to end users. Training activities provide end users with the knowledge, skills, and abilities to work in the new environment.

Once all OCM-related Executing Process Phase activities have been completed, the OCM Practitioner will complete the OCM Executing Process Phase Checklist. Figure 1-2 shows the goals, inputs, activities, and outputs of the six knowledge areas that are active during the Executing Process Phase.

Concept | Initiating | Planning | **Executing** | Closing

	Inputs	Activities	Outputs
OCM Lifecycle Management	• OCM Schedule • Project Management Plan (PMP) • Schedule Management Plan • Stakeholder Register	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Update the OCM Plan • Execute and Monitor the Effectiveness of OCM Activities	• Completed Organizational Change Readiness Assessment • Updated OCM Plan • Completed OCM Schedule
Communication	• Communication Management Plan • Stakeholder Register • Stakeholder Management Plan • Communication Action Log	• Assess Stakeholder Communication Needs • Update the Communication Management Plan • Deliver Project Communications	• Updated Communication Management Plan • Completed Stakeholder Communication Questionnaires • Completed Communication Feedback Surveys • Completed Communication Action Log
Leadership Support	• Stakeholder Register • Stakeholder Management Plan • Leadership Support Action Log	• Support Managers and Supervisors	• Completed Manager and Supervisor Interviews • Completed Leadership Support Action Log
Team Dynamics	• Team Guidelines • Team Dynamics Action Log	• Conduct Team Guidelines and Team Effectiveness Surveys and Follow Up Sessions	• Completed Team Guidelines Surveys, Team Effectiveness Surveys, and Follow Up Sessions • Completed Team Dynamics Action Log
Stakeholder Enrollment	• Stakeholder Register • Stakeholder Management Plan	• Update the Stakeholder Management Plan • Identify and Engage Stakeholder Group Representatives • Identify and Engage OCM Super Users • Provide Guidance for Identifying and Mitigating Resistance	• Updated Stakeholder Management Plan • Updated Stakeholder Register • Completed Stakeholder Enrollment Action Log
Training	• Training Method and Approach • Project Schedule	• Plan for Training • Develop Training • Conduct Training	• Completed Training Plan • Training Curriculum • Training Materials • Completed Training Action Log

Executing Process Phase Goal: **Execute OCM Efforts**

Figure 1-2

1.2 Recommended Practices

The following recommended practices will help the OCM Practitioner conduct OCM activities during the Executing Process Phase.

Garner Management and Supervisor Support Throughout Implementation

Managers, supervisors, and team leads are critical in their ability to influence their direct employees to successfully adopt the changes being implemented. They help communicate awareness about the change and are first in line to mitigate employee resistance. It is important to recognize the unique needs of these Stakeholders and define activities directly tailored to these leaders.

Provide Opportunities for People to Feel Heard

Whenever and wherever possible, the OCM Practitioner should provide impacted Stakeholders the opportunity for face-to-face and two-way dialogue to ask questions and express concerns. Dialogue allows the OCM Practitioner to listen actively and respond non-defensively to demonstrated concerns. Often times, the simple opportunity to be heard, and to state one's case, can build trust and reduce tension and resistance. This is also an opportunity to identify gaps in strategy or implementation that the team should resolve.

Be Repetitive and Consistent with Communications

To be heard and understood accurately, communication messages must be sent and re-emphasized through repetition and multiple avenues of communication. Because Stakeholders are in constant communication with each other, it is critical that messages are accurate and consistent.

Recognize the Need for Celebrating Project Team Successes

Implementations with long delays and difficult workloads can be hard on team members and the organization. The OCM Practitioner should remain active in the project team by guiding evaluations and corrections based on the team behavior guidelines. Also pursue quick wins and include celebrating these successes along the way. This will help to energize the OCM team and the organization in the change effort. As the effort garners success use the momentum to push forward and further the vision for change.

Recognize that Resistance is a Natural Part of the Change Process

The OCM Practitioner must understand and accept that any change may encounter resistance. OCM efforts can help minimize resistance and/or address resistance by prescribing activities geared towards obtaining support from all levels of the organization. All change initiatives need to include and appropriately plan for resistance mitigating activities. It is the responsibility of the Sponsor and the OCM team to identify and remove barriers to change.

Set Specific Training Goals

With the complexity of developing, delivering, and evaluating end-user training, it is easy for the OCM Practitioner to identify unattainable training goals with learning objectives that are either too vague or too complex. The focus should be on the needs of the learners, the culture of the organization, and the nature of the change in order to set realistic training goals.

Knowledge Areas

2.1 OCM Lifecycle Management
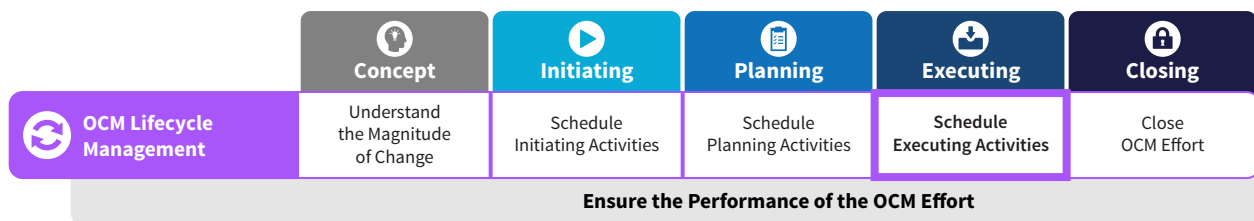
Figure 2-1

In the Executing Process Phase, OCM activities expand to address the needs of all Stakeholders and employees affected by the implementation. The OCM Lifecycle Management Knowledge Area includes a planning phase to assess the OCM needs of the larger group and plan accordingly. This knowledge area also encompasses management of all OCM activities included in the larger OCM effort during this process phase. Figure 2-1 summarizes the objective of OCM Lifecycle Management in Executing and all other process phases.

Figure 2-2 shows the inputs, roles, skills, activities, tools, and outputs of OCM Lifecycle Management during the Executing Process Phase.

OCM Lifecycle Management

Inputs

- OCM Schedule
- Project Management Plan (PMP)
- Schedule Management Plan
- Stakeholder Register

Roles

- OCM Practitioner
- Project Manager
- Project Sponsor

Skills

- Analysis
- Project Management
- Collaboration

Outputs

- Completed Organizational Change Readiness Assessment
- Updated OCM Plan
- Completed OCM Schedule

Activities

- Determine and Plan for OCM Activities
- Assess Organizational Change Readiness
- Update the OCM Plan
- Execute and Monitor the Effectiveness of OCM Activities

Tools

- Organizational Change Readiness Assessment Template
- OCM Plan Template
- OCM Schedule Template

Figure 2-2

2.1.1 Inputs

In order to complete the Executing Process Phase OCM Lifecycle Management activities, the OCM Practitioner will need a thorough understanding of the following inputs:

OCM Schedule: The OCM Schedule, updated in the Planning Process Phase, identifies the OCM activities to be conducted. This provides insight into managing the activities, resources, and schedules that occur for the project.

Project Management Plan (PMP): The Project Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, provides information regarding the management of the project scope, resources, and work plan. The OCM Plan and OCM Schedule should align with the relevant project information contained in the PMP.

Schedule Management Plan: The Schedule Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, describes the criteria and the activities for developing, monitoring, and controlling the schedule. The OCM Schedule will follow the criteria set forth in the Schedule Management Plan.

Stakeholder Register: The Stakeholder Register, developed in the Initiating Process Phase as prescribed by the CA-PMF, identifies the organizations, groups, and individuals with a stake in the project.

2.1.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Lifecycle Management activities during the Executing Process Phase.

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
OCM Practitioner	• Conduct the Organizational Change Readiness Assessment • Update the OCM Plan • Coordinate the implementation of OCM activities • Monitor the effectiveness of OCM activities
Project Manager	• Provide input into the OCM Plan • Oversees and participates in the execution of OCM activities
Project Sponsor	• Provides leadership and support of OCM activities

2.1.3 Activities

The OCM Practitioner must plan, coordinate, and execute OCM efforts in all six OCM knowledge areas. This effort requires careful organization and planning. As such, the OCM Lifecycle Management Knowledge Area has four activities in the Executing Process Phase:

- Determine and plan for OCM activities

- Assess organizational change readiness

- Update the OCM Plan

- Execute and monitor the effectiveness of OCM activities

Determine and Plan for OCM Activities

The Executing Process Phase focuses on supporting the implementation and acceptance of the technology solution. Similar to prior process phases, OCM activities that occur within the current process phase must be identified, resourced, and scheduled, if they are not already in the schedule. As these items are added to the OCM Schedule. To update the OCM Schedule with Executing Process Phase activities, the OCM Practitioner should complete the following:

- Review the entirety of this chapter to identify the various activities and outputs that must be developed within each knowledge area in the Executing Process Phase.

- Based on project and organizational characteristics, identify the tasks necessary to complete the identified activities and include any specific details as needed. Consider any constraints that will dictate the timing, frequency, and order the activities need to be completed.

- Estimate the duration and effort to complete each task. Consider the scope and complexity of the project to come up with appropriate numbers.

- Work with the Project Manager to identify available resources to complete the tasks. The availability of resources to support the effort may require re-work of the schedule.

Skills

Use the following skills to complete the activity:
- Project Management
- Analysis
- Collaboration

Tools

A template is available:
OCM Schedule

The OCM Practitioner should work with the Project Manager and leverage the project organization chart and Stakeholder Register to identify and allocate these resources in the OCM Schedule. Once the schedule has been developed, the OCM Practitioner will work with the Project Manager to integrate the tasks into the greater project schedule, following the guidance set forth in the Schedule Management Plan, to monitor and control.

Assess Organizational Change Readiness

In the Planning Process Phase, the OCM Practitioner conducted the Organizational Readiness Assessment with a sample size of participants from each organizational area. In the Executing Process Phase, the change initiative expands to include the entire affected population and the OCM Practitioner should conduct an additional assessment at this time to gauge whether any changes to organizational readiness have occurred since previous assessment was completed. At this time, the OCM Practitioner should seek to increase the number of participants and may even consider surveying the entire affected population for additional input. The output of the Organizational Change Readiness Assessment should be evaluated as it was done in the Planning Process Phase and results compared to identify any variations. Any change in organizational readiness should be considered when updating the OCM Plan.

Update the OCM Plan

The OCM Practitioner initially developed the OCM Plan during the Planning Process Phase. Since a significant time may have elapsed, or project and organizational characteristics may have changed, the OCM Plan should be reviewed and updated as necessary. Factors to consider for this update include:

- The results from the Organizational Change Readiness Assessment completed in the Executing Process Phase.

- Additional details identified regarding the solution or the implementation approach, e.g., the number and frequency of releases or integration of an OCM methodology from a system integrator.

- Changes to organizational or project leadership.

- Emerging technologies and tools to help with OCM activities.

Outputs

The following is an output of the activity:
- Completed OCM Schedule

Skills

Use the following skills to complete the activity:
- Project Management
- Analysis
- Collaboration

Tools

A template is available:
Organizational Change Readiness Assessment

Outputs

The following is an output of the activity:
- Completed Organizational Change Readiness Assessment

Tools

A template is available:
OCM Plan

Outputs

The following is an output of the activity:
- Updated OCM Plan

Execute and Monitor the Effectiveness of OCM Activities

The Executing Process Phase encompasses a significant investment of time and resources for the OCM effort. Taking steps to ensure OCM activities are executed and the effectiveness of these activities is measured is a vital component of effective OCM Lifecycle Management.

The OCM Practitioner should follow the guidance set forth in the OCM Plan and OCM Schedule to execute OCM activities during the Executing Process Phase. This includes activities in all knowledge areas. However, the OCM Practitioner must also monitor the effectiveness of OCM activities and adjust accordingly. For example, the OCM Practitioner may receive feedback that certain Stakeholder groups are confused regarding the purpose of the implementation, indicating the need for refocused communication activities. In this case, the OCM Practitioner should revisit the Communication Management Plan and Stakeholder Management Plan to ensure messages about the "whys" of the project are getting to the correct audiences. For more on monitoring strategies, refer to the OCM Lifecycle Management section of the Initiating Process Phase chapter.

2.1.4 Tools

The tools that the OCM Practitioner will use within OCM Lifecycle Management during the Executing Process Phase include the following:

- Organizational Change Readiness Assessment Template

- OCM Plan Template

- OCM Schedule Template

2.1.5 Outputs

OCM Lifecycle Management produces the following outputs during the Executing Process Phase:

- Completed Organizational Change Readiness Assessment

- Updated OCM Plan

- Completed OCM Schedule

2.2 Communication

Communication		Concept	Initiating	Planning	Executing	Closing
				Implement Planning Process Phase Communications	**Communicate Key Project Messages**	Communicate Operations

Ensure Common Understanding
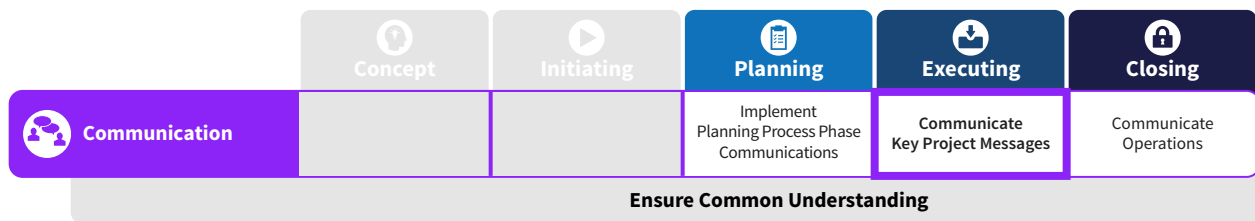
Figure 2-3

Communication throughout the project lifecycle works to inform and engage those involved with and affected by the change initiative. Communication efforts become even more vital during the Executing Process Phase when more detailed messages need to reach broader audiences in preparation for implementation. Figure 2-3 shows the progression of Communication Knowledge Area objectives throughout the PMLC.

Communication focuses on providing relevant project information to affected Stakeholders. During this process phase, the OCM Practitioner reviews and revises the Communication Management Plan based on updated Stakeholder communication needs and feedback on the communication process.

Figure 2-4 demonstrates the inputs, roles, skills, activities, tools, and outputs of the Communication Knowledge Area during the Executing Process Phase.

Communication

→ **Inputs**	👫 **Roles**	🗔 **Skills**	🗔 **Outputs**
• Communication Management Plan • Stakeholder Register • Stakeholder Management Plan • Communication Action Log	• OCM Practitioner • Project Manager • Project Sponsor • Project Team	• Communication • Analysis	• Updated Communication Management Plan • Completed Stakeholder Communication Questionnaires • Completed Communication Feedback Surveys • Completed Communication Action Log
	☑ **Activities**	🗔 **Tools**	
	• Assess Stakeholder Communication Needs • Update the Communication Management Plan • Deliver Project Communications	• Communication Management Plan Template • Stakeholder Communication Questionnaire Template • Communication Feedback Survey Template	
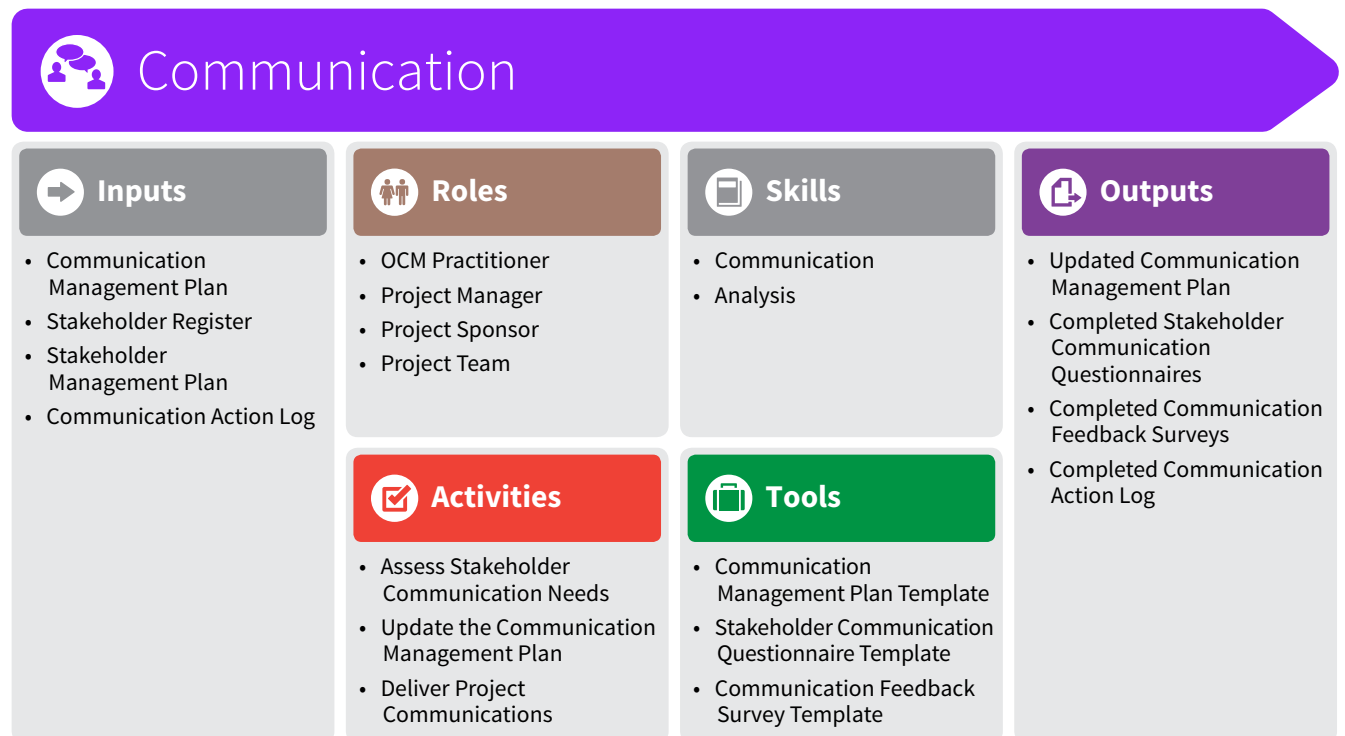
Figure 2-4

2.2.1 Inputs

In order to complete the Executing Process Phase Communication activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Communication Management Plan: The Communication Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, identifies project communication needs and expectations based on Stakeholder requirements. It describes how information will be communicated, when and where each communication will be made, and who is responsible for providing each type of communication.

Stakeholder Register: The Stakeholder Register, developed in the Initiating Process Phase as prescribed by the CA-PMF, identifies the organizations, groups, and individuals with a role in the project.

Stakeholder Management Plan: The Stakeholder Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, describes the processes, procedures, tools, and techniques to effectively engage Stakeholders in project decisions based on Stakeholder needs, interests, and requirements.

Communication Action Log: The Communication Action log, initially developed by the OCM Practitioner in the Planning Process Phase, records all Communication activities and tasks. It should be updated regularly and utilized throughout the entire PMLC.

2.2.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Communication activities during the Executing Process Phase.

Role	Responsibilities
OCM Practitioner	• Define communication needs and requirements • Update the Communication Management Plan with input from the Project Manager • Assist the Project Manager in assuring all communications are sent, received, and understood based on Stakeholder needs and requirements • Ensure all information is distributed using the appropriate methods that reach Stakeholders most effectively
Project Manager	• Provide overall direction for communication activities • Ensure all communications are sent, received, and understood • Ensure integrity of the communication process • Review progress reports from project leads • Provide updates to the Project Sponsor

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
Project Sponsor	• Communicate project status with executives, Stakeholders outside of the sponsoring organization, and others as needed • Provide feedback to the Project Manager relative to business issues • Communicate vision and direction to project team members
Project Team	• Participate in assessing Stakeholder communication needs and requirements • Participate in dissemination of project information • Communicate progress and issues to the OCM Practitioner and the Project Manager

2.2.3 Activities

Informing all affected Stakeholders about the change initiative is critical in obtaining project understanding and buy-in. Communication messages need to answer the who, what, when, where, why, and how of the change initiative and be tailored to Stakeholder groups. The OCM Practitioner will need to complete three main activities:

- Assess Stakeholder communication needs

- Update the Communication Management Plan

- Deliver project communications

Assess Stakeholder Communication Needs

Stakeholders and Stakeholder groups require different communication messages, senders, and delivery channels depending on their needs and requirements. In the Initiating Process Phase, the Project Manager identified Stakeholders and Stakeholder groups using the Stakeholder Register. This work was continued in the Planning Process Phase with the development of the Stakeholder Management Plan, which captures the processes for Stakeholder identification, analysis, and management. These tasks are important to Communication activities as they help identify Stakeholder groups and specific communication distribution details. This effort should continue in the Executing Process Phase as Stakeholders become more involved and the communication process becomes more robust.

A self-assessment of communication needs at this point will allow the OCM Practitioner and Project Manager to update the Stakeholder Register, Stakeholder Management Plan, and Communication Management Plan as needed. The OCM Practitioner should utilize the Stakeholder Communication Questionnaire in order to gain an understanding of Stakeholders' communication needs, including:

- The Stakeholder's current knowledge of the project
- Preferred and non-preferred methods of communication
- Preferred frequency of communications

This questionnaire should be completed by a representative sample of Stakeholders and include Stakeholders at all organizational levels (executives, management, and staff) and from all affected organizational units. By assessing a diverse sample, the OCM Practitioner and Project Manager will be able to review results and tailor communication messages, delivery channels, and timing to specific audiences. For example, if questionnaire results indicate that Stakeholders would like to know more about training opportunities, the OCM Practitioner can prepare messages to educate the appropriate audiences on available training courses and how to sign up. If questionnaire results indicate that a certain communication vehicle is ineffective, the OCM Practitioner can alter delivery methods to suit the needs of the audience.

For more information regarding updates to the Stakeholder Register and Stakeholder Management Plan, see the Stakeholder Enrollment section of this chapter.

Skills

Use the following skill to complete the activity:
- Analysis

Inputs

The following are inputs to the activity:
- Stakeholder Register
- Stakeholder Management Plan
- Communication Management Plan

Tools

A template is available:
Stakeholder Communication Questionnaire

Outputs

The following is an output of the activity:
- Stakeholder Communication Questionnaires

Update the Communication Management Plan

The Communication Management Plan, developed in the Planning Process Phase, establishes the foundation for project communications. In the Executing Process Phase, the OCM Practitioner may find it necessary to revisit the Communication Management Plan based on:

- An assessment of Stakeholder communication needs

- Updates to the Stakeholder Register and Stakeholder Management Plan

- Alignment with the system implementation lifecycle

The OCM Practitioner should work with the Project Manager and project team to review and update the Communication Management Plan as needed. This may require minor additions to a few sections or major revisions. At a minimum, the OCM Practitioner should review and consider revising the following sections of the Communication Management Plan:

- **Section 4.1, Identify Stakeholder Communication Requirements:** The OCM Practitioner should revise the Stakeholder Group and Communication Item columns of this section based on feedback received through the Stakeholder Communication Questionnaire and other feedback channels.

- **Section 4.3, Define Distribution Channels:** Distribution channels should be redefined based on identified communication items and the needs of different Stakeholder groups. The OCM Practitioner may consider adding a dimension to this table by identifying the distribution channels for different audiences.

- **Section 4.4, Define Communication Register:** The OCM Practitioner should review the communication items, target audiences, and frequency to make adjustments based on Stakeholder feedback and the project timeline. Oftentimes, as an implementation moves closer to go-live, the frequency of communications increases in order to keep target audiences informed about milestones and progress.

- **Feedback Channels Amendment:** The Feedback Channels Amendment should be revised based on the Stakeholder Communication Questionnaire results and the quantity and quality of feedback received through identified feedback channels. The OCM Practitioner may see the need to add, remove, or modify feedback opportunities.

Tools

A template is available:
Communication Management Plan

The OCM Practitioner should review the above sections, keeping in mind the results of the Stakeholder Communication Questionnaire, Stakeholder Management process updates, and the system development lifecycle.

In addition to updating the Communication Management Plan at the onset of the Executing Process Phase, the OCM Practitioner should treat the Communication Management Plan as a living document, and therefore, revisit its contents periodically through the project. One tool that may be used in assessing the effectiveness of the Communication Management Plan and project communications is the Communication Feedback Survey. This tool is composed of three sections, including an assessment of communication vehicles (or tools), project communication progress, and additional communication feedback. The Communication Feedback Survey utilizes rating scales and open-ended questions to capture all Stakeholder feedback. The OCM Practitioner conducts this survey in a similar manner to the Stakeholder Communication Assessment, by identifying a representative sample of diverse Stakeholders and analyzing their feedback.

By assessing the Communication Feedback Survey, the OCM Practitioner will be able to adjust the communication process to best meet the needs of Stakeholders. For example, the survey allows Stakeholders to judge the timeliness, effectiveness, length, and relevance of all communication vehicles. If the OCM Practitioner recognizes that a certain communication vehicle, such as a newsletter, is not effective or relevant to multiple Stakeholder groups, the OCM Practitioner may revamp the newsletter or switch to a different communication vehicle. All communication changes should be discussed with the Project Manager and should align with the information provided in the Communication Management Plan.

Deliver Project Communications

Once the Communication Management Plan has been reviewed and updated, communication messages will be disseminated and collected based on the information set forth in this plan. The OCM Practitioner often does not communicate the messages; however, the OCM Practitioner plays an important role in supporting and monitoring communication efforts. One responsibility the OCM Practitioner may take on during the communication process is the collection, analysis, and reporting of communication feedback outside of formal questionnaires and surveys. For more on the feedback process, review the OCM Lifecycle Management section of the Planning Process Phase chapter.

Outputs

The following is an output of the activity:
• Updated Communication Management Plan

Tools

A template is available:
Communication Feedback Survey

Outputs

The following is an output of the activity:
• Completed Communication Feedback Surveys

Skills

Use the following skill to complete the activity:
• Communication

A template is available:
[Communication Action Log](#)

The following is an output of the activity:
• Completed Communication Action Log

In addition, the OCM Practitioner works with the Project Manager and project team to develop and disseminate the right messages, to the right individuals, at the right time, by the right delivery channels. In order to record Communication Knowledge Area actions, such as communication dissemination and feedback collection, the OCM Practitioner may utilize the Communication Action Log. This living document, initially developed in the Planning Process Phase, serves to track all communication actions.

2.2.4 Tools

The tools that the OCM Practitioner will use within the Communication Knowledge Area during the Executing Process Phase include the following:

- Communication Management Plan Template
- Stakeholder Communication Questionnaire Template
- Communication Feedback Survey Template
- Communication Action Log Template

2.2.5 Outputs

The Communication Knowledge Area produces the following outputs during the Executing Process Phase:

- Updated Communication Management Plan
- Completed Stakeholder Communication Questionnaires
- Completed Communication Feedback Surveys
- Completed Communication Action Log

2.3 Leadership Support
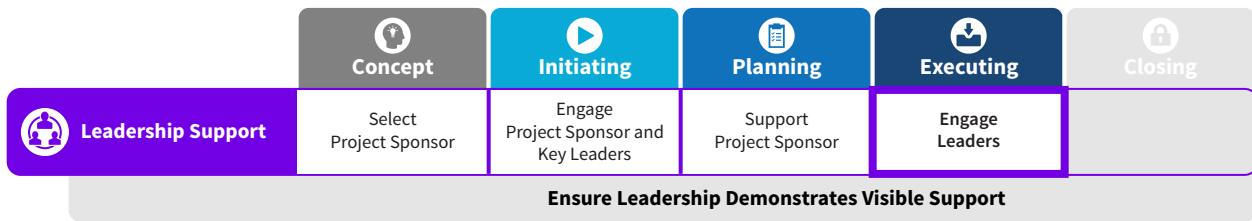
Figure 2-5

Leadership Support activities begin in the Concept Process Phase when a Project Sponsor is identified and engaged. As the project moves through the PMLC, Leadership Support activities cascade down to mid-management and supervisors. Figure 2-5 demonstrates the objectives of Leadership Support throughout the project lifecycle.

Leaders are instrumental in obtaining buy-in from Stakeholders. It is imperative to engage leaders at all levels in the change initiative and have them model and support the changes necessary. Mid-level managers and supervisors are especially important in this process phase as they are the individuals interacting with employees most frequently. The activities within Leadership Support during this process phase serve to identify, assess, and coach mid-level managers and supervisors.

Figure 2-6 shows the inputs, roles, skills, activities, tools, and outputs of Leadership Support within the Executing Process Phase.

Leadership Support

Inputs	Roles	Skills	Outputs
• Stakeholder Register • Stakeholder Management Plan • Leadership Support Action Log	• OCM Practitioner • Project Manager • Project Sponsor • Mid-level Managers and Supervisors	• Coaching • Interviewing	• Completed Manager and Supervisor Interviews • Completed Leadership Support Action Log

Activities	Tools
• Support Managers and Supervisors	• Executive Interview Guide Template • Leadership Support Action Log Template

Figure 2-6

2.3.1 Inputs

In order to complete the Executing Process Phase Leadership Support activities within Executing, the OCM Practitioner will need a thorough understanding of the following inputs:

Stakeholder Register: The Stakeholder Register, developed in the Initiating Process Phase as prescribed by the CA-PMF, identifies the organizations, groups, and individuals with a role in the project.

Stakeholder Management Plan: The Stakeholder Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, describes the processes, procedures, tools, and techniques to effectively engage Stakeholders in project decisions based on Stakeholder needs, interests, and requirements.

Leadership Support Action Log: The Leadership Support Action log, initially developed by the OCM Practitioner in the Initiating Process Phase, records all Leadership Support activities and tasks. It should be updated regularly and utilized throughout the entire PMLC.

2.3.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Leadership Support activities during the Executing Process Phase.

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
OCM Practitioner	• Meet with mid-level managers and supervisors to identify strengths, questions, and possible concerns • Identify additional actions to enroll managers and supervisors in the change initiative • Coordinate with the Project Manager and Project Sponsor to identify additional actions for enrolling mid-level managers and supervisors if needed • Maintain Leadership Support Action Log
Project Manager	• Coordinate with the OCM Practitioner and Project Sponsor to identify additional actions for enrolling mid-level managers and supervisors if needed
Project Sponsor	• Coordinate with the OCM Practitioner and Project Manager to identify additional actions for enrolling mid-level managers and supervisors if needed
Mid-level Managers and Supervisors	• Participate in meetings with the OCM Practitioner to identify strengths, questions, and possible concerns

2.3.3 Activities

As the project continues through the PMLC, it becomes necessary/important for the project to involve leadership at throughout all levels of the organization. In addition to continuing previous process phase activities to support the Project Sponsor and executive leaders as needed, the OCM Practitioner should focus on supporting mid-level management and supervisors during the Executing Process Phase.

Support Managers and Supervisors

In the Planning Process Phase, the OCM Practitioner worked to build leadership support for the change initiative by meeting with all executive leaders to understand their engagement in and support of the project. The OCM Practitioner should continue these efforts in the Executing Process Phase with a focus on mid-level managers and supervisors, identified in the Stakeholder Register and Stakeholder Management Plan. These leaders often serve as the bridge between employees and executive leadership. Managers and supervisors can communicate directly with employees, gauge their support, and identify and mitigate resistance. As such, it is important for the OCM Practitioner to meet with managers and supervisors, individually or in small focus groups, to:

- Foster in-depth connections between the OCM Practitioner and the managers and supervisors.

- Encourage thought among managers and supervisors about what is required for a successful change initiative, and what their role should be.

- Build the OCM Practitioner's understanding of the organizational change at the manager/supervisor level to help the project team navigate the political issues and struggles that are inevitable parts of change.

The OCM Practitioner can utilize the Executive Interview Guide, also used in the Planning Process Phase, when meeting with executive leaders. The OCM Practitioner can repurpose this tool to guide discussions with managers and supervisors. The Executive Interview Guide addresses general background information about the manager/supervisor, prior experience with change, the organization's vision and strategy, and political environment and team dynamics. It is meant to be an informal working document, which the OCM Practitioner should keep confidential due to the sensitive nature of some of the information collected.

Skills

Use the following skills to complete the activity:
- Coaching
- Interviewing

Inputs

The following are inputs to the activity:
- Stakeholder Register
- Stakeholder Management Plan

Tools

A template is available:
Executive Interview Guide

Outputs

The following is an output of the activity:
- Completed Manager and Supervisor Interviews

Once the OCM Practitioner has conducted these interviews or focus groups, the data should be compiled to identify the main strengths (as a foundation for a successful change initiative), main questions (or things to be looked into), and possible concerns (or things that could impede success). The OCM Practitioner should assess these aspects on an individual level as well as for the manager/supervisor group as a whole. In this manner, the OCM Practitioner may build on identified strengths, research questions, and identify actions to address possible problems. One such mitigating action includes requesting the assistance of the Project Sponsor or other executive leaders to address concerns by meeting personally with managers and supervisors or having a broader discussion with the manager/supervisor group.

The OCM Practitioner should utilize the Leadership Support Action Log to record all Leadership Support actions. This working document, initially developed in the Initiating Process Phase, serves to track all Leadership Support activities and tasks.

2.3.4 Tools

The tools that the OCM Practitioner will use within the Leadership Support Knowledge Area during the Executing Process Phase include the following:

- Executive Interview Guide Template

- Leadership Support Action Log Template

2.3.5 Outputs

The Leadership Support Knowledge Area produces the following outputs during the Executing Process Phase:

- Completed Manager and Supervisor Interviews

- Completed Leadership Support Action Log

Inputs

The following is an input to the activity:
- Leadership Support Action Log

Tools

A template is available:
Leadership Support Action Log

Outputs

The following is an output of the activity:
- Completed Leadership Support Action Log
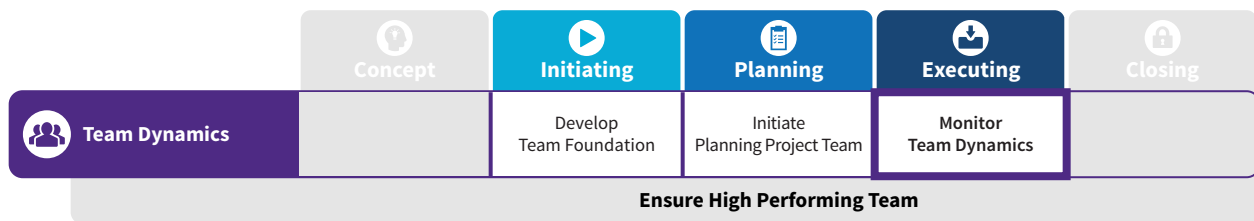
2.4 Team Dynamics

Figure 2-7

In the Executing Process Phase, the OCM Practitioner focuses on monitoring team dynamics while the project team expands to include additional resources, as shown in Figure 2-7. It is important to introduce, review, and discuss team behavior guidelines as new team members are added to maintain a cohesive team and positive working environment. Team Dynamics activities, including surveys and sessions, build on the initial team behavior guidelines session conducted in the Planning Process Phase to keep the behavior guidelines at the forefront of the team's consciousness. This cycle of assessment and discussion creates and maintains a constructive environment.

Figure 2-8 shows the inputs, roles, skills, activities, tools, and outputs of the Team Dynamics Knowledge Area during the Executing Process Phase.

👥 Team Dynamics

➡ Inputs

- Team Guidelines
- Team Dynamics Action Log

👫 Roles

- OCM Practitioner
- Project Manager
- Project Team

🗔 Skills

- Facilitation
- Active Listening
- Communication
- Team Building

📑 Outputs

- Completed Team Guidelines Surveys, Team Effectiveness Surveys, and Follow Up Sessions
- Completed Team Dynamics Action Log

☑ Activities

- Conduct Team Guidelines and Team Effectiveness Surveys and Follow Up Sessions

🧰 Tools

- Team Guidelines Survey Template
- Team Effectiveness Survey Template
- Team Dynamics Action Log Template

Figure 2-8

2.4.1 Inputs

In order to complete the Executing Process Phase Team Dynamics activities, the OCM Practitioner will need a thorough knowledge of the following inputs:

Team Guidelines: The Team Guidelines, developed in the Initiating Process Phase by the OCM Practitioner and Project Manager, define the behaviors expected of all project team members. These guidelines form the foundation for all team interactions, both within the team and with outside resources.

Team Dynamics Action Log: The Team Dynamics Action Log, created in the Planning Process Phase by the OCM Practitioner, provides an account of all Team Dynamics activities, responsible resources, and timelines that have occurred in Initiating and Planning. This informal working document keeps an ongoing record of all knowledge area activities and should be updated throughout the Executing Process Phase as needed.

2.4.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Team Dynamics activities during the Executing Process Phase.

Role	Responsibilities
OCM Practitioner	• Conduct Team Guidelines and Team Effectiveness Surveys • Analyze Team Guidelines and Team Effectiveness Survey results • In collaboration with the Project Manager, conduct Team Guidelines sessions • Monitor team dynamics • Adhere to Team Guidelines • Maintain Team Dynamics Action Log
Project Manager	• In collaboration with the OCM Practitioner, conduct Team Guidelines sessions • Monitor team dynamics • Adhere to Team Guidelines
Project Team	• Complete Team Guidelines Survey • Participate in Team Guidelines sessions • Monitor team dynamics • Adhere to Team Guidelines

👫 **Roles**

For a complete list of all CA-OCM roles, see the OCM Role Definitions in the Glossary.

2.4.3 Activities

Team Dynamics serves to create and maintain a positive working environment for the project team throughout the Executing Process Phase. As such, the Team Dynamics Knowledge Area builds on the foundation established in the earlier process phases by conducting Team Guidelines and Team Effectiveness Surveys and follow-up sessions.

Conduct Team Guidelines and Team Effectiveness Surveys and Follow-up Sessions

In the Planning Process Phase, the Project Manager introduced and reinforced the need for team guidelines. During the Executing Process Phase, the OCM Practitioner will continue to work with the Project Manager to assess the project team's adoption of all guidelines. The OCM Practitioner may utilize the Team Guidelines Survey, which asks team members' opinions on how the entire team is performing the guidelines. The survey consists of a statement for each team guideline that project team members can rank on a scale from 1 (strongly disagree) to 5 (strongly agree).

The OCM Practitioner should have all team members complete the survey in order to gather as much data as possible. An additional resource the OCM Practitioner may leverage is the Team Effectiveness Survey. This tool allows project team members to rate the effectiveness of the project team in eight categories: goals, participation, feelings, problem solving, leadership, decision making, trust, and creativity and growth. Both the Team Guidelines Survey and the Team Effectiveness Survey will provide input into addressing any team dynamics concerns. While the Team Guidelines Survey and Team Effectiveness Survey were developed as two separate templates, the OCM Practitioner may find it beneficial, in practice, to combine the surveys in order to gain a complete picture without overloading the project team with surveys.

Once the OCM Practitioner compiles the data from the surveys, he/she should assess the results, looking for team guidelines or categories that scored the lowest and thus need the highest amount of effort to correct. The OCM Practitioner should share the overall results with the Project Manager and project team in order to facilitate a follow-up session to discuss team guidelines and next steps. The OCM Practitioner, Project Manager, and project team should consider the following questions during the follow up sessions:

- How do the team guidelines impact the team's effectiveness?

- If a team guideline is performed well, what does it look like?

- Which guidelines need improvement?

- What are the consequences for not performing a team guideline well?

- What steps can the team take to improve a specific team guideline?

Skills

Use the following skills to complete the activity:
- Facilitation
- Active Listening
- Communication
- Team Building

Inputs

The following is an input to the activity:
- Team Guidelines

Tools

Templates are available:
Team Guidelines Survey & Team Effectiveness Survey

Outputs

The following are outputs of the activity:
- Completed Team Guidelines Surveys
- Team Effectiveness Surveys
- Follow Up Sessions

- How will team members communicate to each other if a guideline is not being practiced?

- Why should team members make an effort to change their behavior?

- How will the team know when they are successfully practicing a guideline?

The OCM Practitioner and Project Manager may utilize the Team Guidelines Survey, Team Effectiveness Survey, and subsequent follow up sessions multiple times throughout the Executing Process Phase as checkpoints and course corrections. These assessments provide a useful tool for new and existing team members to review the team guidelines and to identify any areas that may need improvement.

Throughout the Executing Process Phase, the OCM Practitioner should utilize the Team Dynamics Action Log, initially developed during the Planning Process Phase, to record and track all Team Dynamics activities. The log, initially created in the Initiating Process Phase, provides a record of all Team Dynamics activities for the Project Manager to review. It also allows for a smooth transition of responsibilities if there is a change in resource filling the OCM Practitioner or Project Manager role.

2.4.4 Tools

The tools that the OCM Practitioner will use within Team Dynamics during the Executing Process Phase include the following:

- Team Guidelines Survey Template

- Team Effectiveness Survey Template

- Team Dynamics Action Log Template

2.4.5 Outputs

Team Dynamics produces the following outputs during the Executing Process Phase:

- Completed Team Guidelines Surveys, Team Effectiveness Surveys, and follow up sessions

- Completed Team Dynamics Action Log

→ Inputs

The following is an input to the activity:
- Team Dynamics Action Log

Tools

A template is available:
Team Dynamics Action Log

Outputs

The following is an output of the activity:
- Completed Team Dynamics Action Log

2.5 Stakeholder Enrollment

Stakeholder Enrollment	Concept	Initiating	Planning	Executing	Closing
				Enroll Stakeholders	

Ensure Stakeholder Buy-in
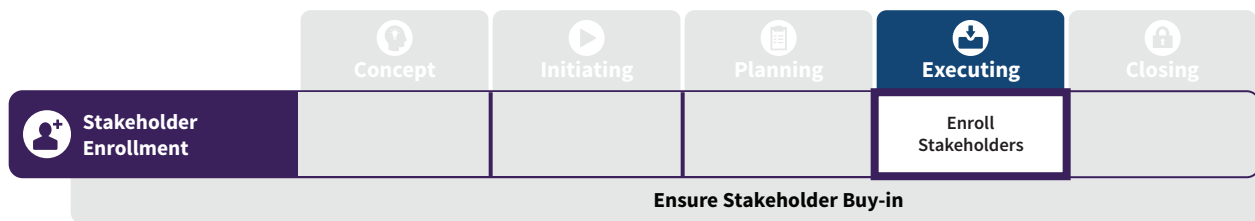
Figure 2-9

Stakeholder Enrollment is a concept that builds on Stakeholder identification, analysis, and management activities that are prescribed by the CA-PMF. Efforts in this knowledge area serve to connect the OCM Practitioner with Stakeholders at all levels to ensure they are informed and accepting of the change initiative. As shown in Figure 2-9, the goal of Stakeholder Enrollment is to obtain buy in for the change initiative from those who influence the change or those who are impacted by the change. The Stakeholder enrollment effort includes updating the Stakeholder Management Plan, identifying and engaging Stakeholder resources to act as liaisons and role models, and identifying and mitigating resistance.

Figure 2-10 shows the inputs, roles, skills, activities, tools, and outputs of the Stakeholder Enrollment Knowledge Area during the Executing Process Phase.

Stakeholder Enrollment

Inputs	Roles	Skills	Outputs
• Stakeholder Register • Stakeholder Management Plan	• OCM Practitioner • Project Manager • Project Sponsor • Stakeholder Group Representatives • OCM Super Users	• Analysis • Communication	• Updated Stakeholder Management Plan • Updated Stakeholder Register • Completed Stakeholder Enrollment Action Log

Activities	Tools
• Update the Stakeholder Management Plan • Identify and Engage Stakeholder Group Representatives • Identify and Engage Super Users • Provide Guidance for Identifying and Mitigating Resistance	• Stakeholder Management Plan Template • Stakeholder Register Template • Stakeholder Enrollment Action Log Template

Figure 2-10

2.5.1 Inputs

In order to complete the Executing Process Phase Stakeholder Enrollment activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Stakeholder Register: The Stakeholder Register, developed in the Initiating Process Phase as prescribed by the CA-PMF, identifies the organizations, groups, and individuals with a role in the project.

Stakeholder Management Plan: The Stakeholder Management Plan, developed in the Planning Process Phase as prescribed by the CA-PMF, describes the processes, procedures, tools, and techniques to effectively engage Stakeholders in project decisions based on Stakeholder needs, interests, and requirements.

2.5.2 Roles

The following table lists the roles and their associated responsibilities of those involved in Stakeholder Enrollment activities during the Executing Process Phase.

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

Role	Responsibilities
OCM Practitioner	• Update the Stakeholder Management Plan • Identify Stakeholder Group Representative and OCM Super User resource needs • Identify resources to act as Stakeholder Group Representatives and Super Users • Coordinate Stakeholder Group Representative and OCM Super User activities and tasks • Maintain Stakeholder Enrollment Action Log
Project Manager	• Provide input into Stakeholder resource needs and resource identification as needed
Project Sponsor	• Provide input into Stakeholder resource needs and resource identification as needed
Stakeholder Group Representatives	• Act as liaisons between the OCM Practitioner, project team and their represented Stakeholder population • Gather information about Stakeholder priorities, needs, and requirements • Communicate project information to Stakeholders • Identify signs of resistance
OCM Super Users	• Act as role models for the change

2.5.3   Activities

Stakeholder Enrollment is critical for implementation success, and the goal of this knowledge area is to ensure that Stakeholders at every level, including employees, are ready, willing, and able to make the changes defined by the project. The Project Manager and project team began the process of identifying, assessing, and managing Stakeholders in the Initiating and Planning Process Phases; however, it is important for the OCM Practitioner to build on and broaden these efforts in the Executing Process Phase in order to engage Stakeholders and manage Stakeholder resistance. As such, the OCM Practitioner should complete the following four activities and related tasks in this process phase:

- Update the Stakeholder Management Plan

- Identify and Engage Stakeholder Group Representatives

- Identify and Engage OCM Super Users

- Provide Guidance for Identifying and Mitigating Resistance

Update the Stakeholder Management Plan

The Stakeholder Management Plan, completed in the Planning Process Phase as prescribed by the CA-PMF, describes Stakeholder identification, analysis, and management strategies. This plan should be reviewed and updated at the onset of the Executing Process Phase, as well as on a regular basis throughout the implementation, to ensure that appropriate OCM considerations are made. In updating the Stakeholder Management Plan , the OCM Practitioner should review and as needed modify the following sections:

- **Section 3.1, Stakeholder Identification:** This section details the process for identifying all project Stakeholders. The Project Manager begins the identification process in the Initiating Process Phase in order to complete the Stakeholder Register. In the Executing Process Phase, the OCM Practitioner should review the Stakeholder identification process and consider revising the Stakeholder Register to identify smaller, more focused groups of Stakeholders who influence or are impacted by the project. The OCM Practitioner may consider a break down by organizational level, organizational unit, job role, or any other criteria that categorizes Stakeholders.

Tools

A template is available:
Stakeholder Management Plan

Skills

Use the following skill to complete the activity:
• Analysis

Inputs

The following is an input to the activity:
• Stakeholder Management Plan

- **Section 3.2, Stakeholder Analysis:** This section details the process for assessing a Stakeholder's level of project influence and level of project impact in order to tailor communications and interactions to that specific Stakeholder. The OCM Practitioner should consider reviewing this process depending on the modifications to Section 3.1 Stakeholder Identification above.

- **Section 3.3, Stakeholder Management Strategies:** This section explains the development of Stakeholder management strategies for communicating and interacting with Stakeholders. The OCM Practitioner should review and if needed modify this section based on three factors:

  ◦ *Updates made to Sections 3.1 and 3.2 above.* The OCM Practitioner will need to update the Stakeholder Information Distribution Matrix to reflect newly identified Stakeholders, their interests, and their desired messages. Refer to the Communication Knowledge Area section of this chapter for more information on identifying communication needs and gathering feedback.

  ◦ *Identification of Stakeholder Group Representatives.* These resources, discussed in more detail in the following activities, may act as "communication channels" by communicating and interacting with the larger population of Stakeholders. Stakeholder Group Representatives serve as liaisons between the OCM Practitioner, project team, and their represented Stakeholder population. Stakeholder Group Representatives gather information and feedback from their representative Stakeholder group, communicate project information to the Stakeholder group, and identify signs of resistance to the change.

  ◦ *Identification of Super Users.* These resources, discussed in more detail in the following activities, act as role models for the change initiative, in addition to supporting use of the new system. They lead the change effort by modeling willing participation, active engagement, and positive attitudes toward the change.

Inputs

The following is an input to the activity:
• Stakeholder Register

Outputs

The following are outputs of the activity:
• Updated Stakeholder Register
• Updated Stakeholder Management Plan

Identify and Engage Stakeholder Group Representative

While the Stakeholder Register and Stakeholder Management Plan provide a foundation for Stakeholder Enrollment, it is important to build on this foundation in order to gain the support of Stakeholders. Part of this enrollment process includes utilizing Stakeholder Group Representatives to act as liaisons between the OCM Practitioner, project team, and their represented Stakeholder population. These representatives help to engage Stakeholders by:

- **Gathering information about the group's priorities, needs, and requirements.** Representatives of a Stakeholder group are positioned to have the most accurate information about the group as a whole. These resources can provide information from firsthand experience which will be beneficial in planning and tailoring OCM activities for the specific group.

- **Communicating project information to their Stakeholder group.** Stakeholder Group Representatives often play a key role in communicating project information to the rest of their group. Messages from a person within the Stakeholder group are generally well received because the representative understands the group's needs and relates with how the initiative impacts the group, both of which lead to a sense of trust in the message.

- **Identifying signs of resistance and resistance drivers within the group.** A Stakeholder Group Representative is well positioned to monitor the group for signs of resistance and facilitate mitigating efforts.

To identify Stakeholder Group Representatives, the OCM Practitioner begins by reviewing the updated Stakeholder Register to identify Stakeholder groups. Next, the OCM Practitioner collaborates with the Project Manager and project team to determine the number of resources needed, with larger, more diverse groups being represented with more representatives. Finally, the OCM Practitioner collaborates with mid-level management and supervisors to identify suitable resources to fill this role. These resources should be comfortable with the change and should possess several skills, including communication, active listening, and collaboration.

Once the Stakeholder Group Representatives are identified, the OCM Practitioner meets with them to define their role, set behavior guidelines, and identify responsibilities. The OCM Practitioner should use his/her knowledge of the organization, Stakeholder groups, and the change initiative, as well as input from

> **Skills**
>
> Use the following skills to complete the activity:
> - Analysis
> - Communication

the Project Manager to define specific roles and responsibilities of the Stakeholder Group Representatives. The OCM Practitioner should document Stakeholder Group Representative resource names and types of engagement within Section 3: *Register* of the project's Stakeholder Register. For more information on building group dynamics, review the Team Dynamics sections of the Initiating, Planning, and Executing Process Phase chapters. While the Team Dynamics Knowledge Area focuses on the project team, many of the activities and tools are useful when working with teams of Stakeholder Group Representatives.

Identify and Engage Super Users

Another helpful role for Stakeholder Enrollment is that of the Super Users. Though more generally used as first-level support for end users, Super Users can also serve as role models for the larger population of Stakeholders. This role provides a positive example for Stakeholders to follow and replicate. Super Users need to demonstrate certain behaviors in order to be effective as role models. The following list are potential criteria for selecting Super Users:

- Show enthusiastic support for the project

- Project poise and confidence

- Show willingness to help others

- Demonstrate the ability to grasp the context of their own roles on the total project

- Participate in the project throughout its lifecycle, including in design

- Participate in testing

- Articulate information effectively

- Build positive relationships

To identify Super Users, the OCM Practitioner begins by reviewing the updated Stakeholder Register to identify Stakeholder groups that would benefit from Super Users. Next, the OCM Practitioner collaborates with the Project Manager and project team to determine the number of resources needed, with larger, more diverse groups needing a larger number of Super Users. Finally, the OCM Practitioner collaborates with mid-level management and supervisors to identify suitable resources to fill this role. These resources should be identified based on the criteria listed above.

> **Skills**
>
> Use the following skills to complete the activity:
> - Analysis
> - Communication

Once the Super Users are identified, the OCM Practitioner meets with them to define their role, set behavior guidelines, and identify responsibilities. The OCM Practitioner should use his/her knowledge of the organization, Stakeholder groups, and the change initiative, as well as input from the Project Manager, to define specific roles and responsibilities of the Super Users. The OCM Practitioner should document Super User names and types of engagement within Section 3: *Register* of the project's Stakeholder Register. For more information on building group dynamics, review the Team Dynamics sections of the Initiating, Planning, and Executing Process Phase chapters. While the Team Dynamics Knowledge Area focuses on the project team, many of the activities and tools are useful when working with teams of Super Users.

Provide Guidance for Identifying and Mitigating Resistance

While it is recognized that resistance is a normal reaction to change, the OCM Practitioner should be aware of the possibility of resistance and prepare managers and supervisors with mitigating strategies to deal with resistance. Stakeholder resistance can manifest in many ways. Employees may vocally take a stand against the change. They may continually question the effort and its benefits. They may refuse to take part in activities related to the change. They may approach management and executives with their concerns. No matter what form resistance takes, the OCM Practitioner should meet with managers and supervisors to discuss the following topics:

- **Signs of resistance.** Resistance takes many forms, as identified above. Managers and supervisors should monitor for resistance using informal observations and conversations, as well as employee feedback.

- **Possible reasons behind resistance.** Employees resist change for many reasons. See the table on the following page for examples of resistance drivers.

- **Mitigating strategies.** Strategies for mitigating resistance are not one-size-fits-all. How a manager or supervisor mitigates resistance is dependent on the employee, the type of resistance shown, and the resistance drivers. For example, a supervisor may notice an employee refusing to participate in project activities and training efforts. The supervisor, after meeting with the employee, understands that this resistance is due to conflicting priorities and a lack of time the employee

> **Skills**
>
> Use the following skills to complete the activity:
> - Analysis
> - Communication

has to participate in change activities. As such, the supervisor should take action to emphasize the need for the change and to help the employee prioritize efforts. Other sample mitigating actions, based on an associated resistance driver, are listed in the table below.

Resistance Drivers	Possible Mitigating Actions
Lack of understanding of the change	The manager/supervisor may communicate to the OCM Practitioner the need for targeted communication messages that highlight project information such as the business need, solution, and timeline/milestones.
Change initiative fatigue	The manager/supervisor may meet with the employee to listen to his/her concerns and emphasize the need for this particular change initiative.
Uncertainty about changing job roles and responsibilities	The supervisor/manager may communicate with the OCM Practitioner to identify targeted communication and training activities that will better inform and prepare the employee for implementation.
Uncertainty about gaining needed knowledge, skills, and abilities	The supervisor/manager, with the assistance of the OCM Practitioner and training lead, may meet with the employee to discuss training options to gain the needed knowledge, skills, and abilities.
Mistrust in leadership	The supervisor/manager may ask the OCM Practitioner to facilitate interactions between employees and leaders to build a culture of trust.
Conflicting priorities	The supervisor/manager may meet with the employee to emphasize the need for the change and to help the employee prioritize efforts.

The OCM Practitioner should take the time to prepare and coach managers and supervisors on resistance management. In addition, the OCM Practitioner should communicate that, while many instances of resistance may be mitigated successfully, some may not. The OCM Practitioner should work with managers and supervisors to identify actions to take when resistance cannot be successfully mitigated and include Human Resources as necessary.

The OCM Practitioner should utilize the Stakeholder Enrollment Action Log to record all Stakeholder Enrollment actions, including meeting with managers and supervisors. This working document serves to track all Stakeholder Enrollment activities and tasks throughout the PMLC.

2.5.4 Tools

The tools that the OCM Practitioner will use within Stakeholder Enrollment during the Executing Process Phase include the following:

- Stakeholder Management Plan Template

- Stakeholder Register Template

- Stakeholder Enrollment Action Log Template

2.5.5 Outputs

Stakeholder Enrollment produces the following outputs during the Executing Process Phase:

- Updated Stakeholder Management Plan

- Updated Stakeholder Register

- Completed Stakeholder Enrollment Action Log

Tools

A template is available:
Stakeholder Enrollment Action Log

Outputs

The following is an output of the activity:
- Completed Stakeholder Enrollment Action Log

2.6 Training

Training	Concept	Initiating	Planning	Executing	Closing
			Define Training Requirements	Conduct Training	Evaluate Training

Ensure Users Have the Necessary KSAs
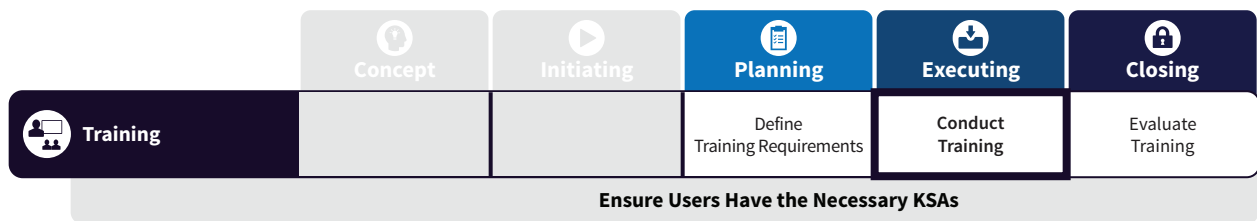
Figure 2-11

The purpose of training is to provide end users with the knowledge, skills, and abilities (KSAs) they need to transition and be successful in a new environment. Training activities began in the Planning Process Phase with a high-level training method and approach, documented in an initial draft of the Training Plan, Section 2: *Approach.* In the Executing Process Phase, end user training is planned, developed, and delivered. Figure 2-11 provides the goals of the Training Knowledge Area throughout the PMLC.

Figure 2-12 shows the inputs, roles, skills, activities, tools, and outputs of Training in the Executing Process Phase.

Training

Inputs	Roles	Skills	Outputs
• Training Method and Approach • Project Schedule	• Training Lead • OCM Practitioner • Project Manager • Project Sponsor • SMEs	• Facilitation • Planning • Analysis • Project Management	• Completed Training Plan • Training Curriculum • Training Materials • Completed Training Action Log

Activities	Tools
• Plan for Training • Develop Training • Conduct Training	• Training Plan Template • Training Action Log Template

Figure 2-12

2.6.1 Inputs

To complete the Training activities within the Executing Process Phase, the training resources and the OCM Practitioner will need a thorough understanding of the following inputs.

Training Method and Approach: During the Planning Process Phase, the OCM Practitioner worked with the Project Manager, the project team, and any other training resources, in order to identify the anticipated training method and approach in Section 2: *Approach* of the draft Training Plan. The training method and approach define the overall approach to training delivery and the methods used to implement that approach. For example, an organization may utilize the Train-the-Trainer approach and the instructor-led training method to complete end user training.

Project Schedule: The project schedule, included in the PMP, provides insight into overall project activities and timing.

2.6.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Training activities during the Executing Process Phase.

Role	Responsibilities
Training Lead*	• Assess training needs • Develop Training Plan • Develop Training curriculum • Develop Training materials • Conduct end-user training
OCM Practitioner	• Support the Training Lead in executing all training knowledge area activities
Project Manager	• Assist the OCM Practitioner in identifying training needs
Project Sponsor	• Assist the OCM Practitioner in identifying training needs
SMEs	• Assist in development of course materials

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

*A project's execution of training needs to be sized to meet the needs of the users of the systems. Training efforts can range from simple courses to complex curriculums that are tailored to specific system roles. As such, the training responsibilities may be covered by the same resource serving as the OCM Practitioner, or the project may designate a Training Lead or other training resources as needed as a dedicated resource. This section will prescribe the activities for the Training Lead, though it may be the OCM Practitioner, or another training resource performing the work.

2.6.3 Activities

End user training is an integral part of success of an implementation because it allows the users to be better prepared to adopt the new system. In order to maximize the efficiency and effectiveness of the training effort, this knowledge area has three activities in this process phase:

- Plan for training

- Develop training

- Conduct training

Plan for Training

In order to guide the training effort, the Training Lead should develop a robust Training Plan. The plan was initially started in the Planning Process Phase with the completion of the draft Training Plan, Section 2: *Approach.* In the Executing Process Phase, the plan should be completed to elaborate with the details to plan, develop, deliver, and evaluate end user training. The Training Plan serves as a guide for the Training Lead in completing the end-user training effort.

Identify Training Needs

The Training Lead should first assess the organization's training needs in order to tailor the Training Plan accordingly. This encompasses understanding and defining the purpose, scope, and desired outcomes of the training effort.

The Training Lead identifies an organization's training needs by answering the following questions:

- Who are the end users?

- What are the roles end users will have in the new system?

- What knowledge, skills, and abilities (KSAs) will each role need to possess to function with the new system?

The Training Lead answers the above questions, with the help of the project team, in order to identify the needs that will guide the direction, scope, and desired outcomes of the training effort.

Skills

Use the following skills to complete the activity:
- Project Management
- Planning
- Analysis

Inputs

The following is an input to the activity:
- Training Method and Approach

Complete the Training Plan

The Training Lead uses the training needs as inputs for completing the Training Plan. This plan provides strategies for planning, developing, delivering, and evaluating the training. The Training Plan consists of several sections, all adaptable for specific projects.

- **Introduction and Approach:** These sections highlight the purpose and objectives of the Training Plan, the methodology behind the plan, and the intended use.

- **Roles and Responsibilities:** The Roles and Responsibilities section describes, in detail, the roles, resources, and responsibilities specific to the training effort. The size of the training team will vary depending on the size and complexity of the change and supporting training need. The roles may be filled by teams of individuals when the training program encompasses large, complex needs.

- **Training Activities:** Training activities are divided into planning, developing, delivering, and evaluating. Each subsection details the proposed schedule, needs, and strategies for each phase of the training effort.

Other Planning Tasks

In addition to a detailed Training Plan, the training effort requires additional planning and preparation. This effort includes:

- **Identifying Subject Matter Experts (SMEs) to assist in development.** SMEs provide critical business and/or system knowledge, which enriches the training with real-world situations and examples. Additionally, SMEs can serve as trainers or coaches that support the training effort.

- **Evaluate if a Learning Management System (LMS) is needed to support the training effort.** The LMS is a training repository that can have one or multiple of the following key features: storing materials, warehousing computer-based training courses, and/or managing training support elements (such as enrollment, attendance, evaluations). The Training Lead should determine if an LMS is required based on the size, scope, and number of training participants.

- **Identifying and preparing trainers.** Training resources need to be identified early on to ensure they are prepared, to provide them with the training materials, and to communicate the training schedule.

Tools

A template is available:
Training Plan

Outputs

The following is an output of the activity:
- Completed Training Plan

- **Identifying and evaluating training facilities.** The training environment plays an important role in training delivery. Facilities must be conducive to an educational environment, with appropriate technical infrastructure and comfortable conditions. The Training Lead should consider cost, geography, and available amenities.

- **Determining training delivery schedule.** Training should be conducted "just in time." Just in time is a training industry best practice that positions the training that people receive as close to go-live as possible. This increases training retention. The OCM Practitioner should utilize the Project Schedule to determine the most suitable training timeline.

- **Managing learner registration and attendance.** If the Training Lead determines an LMS is not required for the training effort, he/she should identify a mechanism for tracking registration and attendance.

Develop Training

The goal of end user training is to develop and deliver a training program that meets the organization's training needs. The Training Lead will utilize the Training Plan to guide training development activities, including developing the training curriculum, creating training materials, and completing quality assurance and pilot testing processes.

Develop Training Curriculum

Training curriculum serves as a high level overview of the planned training. It provides a road map for the material development process and the delivery effort. Training curriculum identifies:

- **Course map:** The course map defines what courses will be offered. It often categorizes courses based on content and participant needs.

- **Course objectives:** Course objectives define what participants will be able to do at the end of the course. Objectives should be specific and measurable, taking into account the KSA needs of course participants.

Inputs

The following is an input to the activity:
- Project Schedule

Skills

Use the following skills to complete the activity:
- Project Management
- Planning
- Analysis

- **Delivery method:** There are many delivery methods to choose from, including instructor-led training, web-based live or recorded training, and eLearning self-studies. For more information on delivery methods, review the Training section of the Planning Process Phase chapter. The Training Lead should consider the course objectives, number of participants, and current KSAs of the training participants in determining the most suitable delivery method for each course.

- **Training support materials:** Support materials may include, but are not limited to, slide decks, web-based live or recorded presentations, videos, handouts, job aids, and learner manuals. Training materials should be sufficient to support the course objectives.

The Training Lead should plan and establish a solid curriculum that addresses training needs, adheres to the strategies set forth in the Training Plan, and provides users with the knowledge, skills, and abilities that they will need in the future state. After the curriculum is developed and approved based on the process set forth in the Training Plan, the Training Lead begins developing training materials.

> **Outputs**
>
> The following is an output of the activity:
> - Training Curriculum

Develop Training Materials

The Training Lead, with support from SMEs and the project team, should develop training materials based on the strategies identified in the Training Plan. The table below provides example materials commonly used in training.

Example Training Materials	
• Student Workbook	• Instructor Guides
• Practice Exercises	• Quick Help Guides
• Hand Outs	• Videos
• Slide Deck	• eLearning Courses

The Training Lead should leverage future business models, human interactions with the solution, use case scenarios, and testing environment of the solution in order to incorporate training and exercises that mimic real business situations. When developing training materials, the Training Lead should include:

- **Real world situations:** Participants need to practice KSAs using conditions that are similar to those they will encounter with the new system. Real world situations provide a transfer of knowledge that will help participants to retain KSAs through go-live.

- **Connections to participants' prior knowledge:** Participants will be more apt to connect with training and retain content if it is built on a familiar foundation. Whenever possible, the Training Lead should make connections to participants' prior knowledge.

- **Opportunities for practice and repetition:** Participants need multiple opportunities for hands on practice in order to increase participation and boost retention rates. Such opportunities may include exercises, simulations, and problem solving.

In addition, the Training Lead should consider the following best practice methods when developing training materials:

- **Keep training materials selective.** Oftentimes, developers and instructors alike try to provide too much information in too limited a time span. Participants need time and practice to learn. As such, the OCM Practitioner should focus efforts on the most important concepts, allowing ample opportunities for activities and experiences that reinforce these concepts.

- **Balance training to focus on affective, behavioral, and cognitive learning.** Sometimes, training focuses on just one area; however, balanced training will allow participants to foster appropriate attitudes, develop and practice skills, and understand the concepts behind the objectives.

- **Ensure developers and instructors have opportunities for continuing education.** Developers and instructors need to stay informed on the training industry as it continues to change and evolve. This commitment to learning will allow developers and instructors to incorporate industry best practices and ideas in order to create a dynamic, up to date training experience for all participants.

Implement Quality Assurance and Testing Measures

It is important that the training materials are relevant, accurate, and well presented in order to increase training effectiveness and peak participant interest. As such, all materials should go through a rigorous quality assurance and testing process. The Training Lead should develop the quality assurance and testing procedures based on the following criteria:

- **Reviews should be done by resources separate from the training development team.** A fresh set of resources with a thorough understanding of the content and course objectives will provide insight into the effectiveness of certain training materials.

- **Conduct mock training exercises.** These exercises can identify gaps between training material content and the current version of the system. Mock training can be conducted with a sample population of end users to ensure training materials align with the system.

- **Use training materials to educate User Acceptance Testers (UATs).** Training materials will provide valuable information to train this first pilot group of users. In addition, the Training Lead can gain input on the effectiveness and usability of the training materials.

Conduct Training

Once the training has been planned and developed, the Training Lead will coordinate training delivery, ensuring it aligns with the Project Schedule. When conducting training, regardless of the delivery channel, it is important to consider general principles for educating adults. Malcolm Knowles, an educator, developed an industry-leading Adult Learning Methodology, which provides guidance in educating adults. He identified four leading guidelines.

1. Explain the reasons why specific topics are being taught.

2. Instruction should be focused on tasks, instead of memorization.

3. The backgrounds of learners should be considered and applied in training opportunities.

Outputs

The following is an output of the activity:
- Training Materials

Inputs

The following is an input to the activity:
- Project Schedule

Skills

Use the following skill to complete the activity:
- Facilitation

Tools

A template is available:
Training Action Log

Outputs

The following is an output of the activity:
• Completed Training Action Log

4. Adults are self-directed, with a desire to learn and discover on their own; however, they still require the ability to seek guidance and help when mistakes are made.

In order to record all Training Knowledge Area actions, the Training may utilize the Training Action Log. This living document serves to track all actions associated with the end user training effort .

2.6.4 Tools

The tools that the OCM Practitioner will use within Training during the Executing Process Phase includes the following:

- Training Plan Template

- Training Action Log Template

2.6.5 Outputs

Training produces the following outputs during the Executing Process Phase:

- Completed Training Plan

- Training Curriculum

- Training Materials

- Completed Training Action Log

Process Phase Checklist

3.1 Complete the Checklist

The Executing Process Phase Checklist identifies the activities that should be completed during Executing, in order to consider this process phase complete. This includes activities from all six knowledge areas:

1. OCM Lifecycle Management

2. Communication

3. Leadership Support

4. Team Dynamics

5. Stakeholder Enrollment

6. Training

By using the Executing Process Phase Checklist template for this task it helps to ensure that the Executing activities and milestone are completed, including:

- Completed Organizational Change Readiness Assessments

- Updated OCM Plan

- Completed OCM Schedule

- Updated Communication Management Plan

- Completed Stakeholder Communication Questionnaires

- Completed Communication Feedback Surveys

- Completed Communication Action Log

- Completed Manager and Supervisor Interviews

- Completed Leadership Support Action Log

- Completed Team Guidelines Surveys, Team Effectiveness Surveys, and Follow Up Sessions

Tools

A template is available:
OCM Executing Process Phase Checklist

- Completed Team Dynamics Action Log

- Updated Stakeholder Management Plan

- Identified and Engaged Stakeholder Group Representatives

- Identified and Engaged OCM Super Users

- Completed Stakeholder Enrollment Action Log

- Completed Training Plan

- Training Curriculum

- Training Materials

- Completed Training Action Log

- Completed OCM Executing Process Phase Checklist

Outputs

Complete the OCM Executing Process Phase Checklist to validate that all process phase activities are complete.

Closing

The Closing Process Phase focuses on transitioning the organizational change management (OCM) effort to the organization's operational environment. Training gaps are identified and addressed after the deployment of the solution.

In this chapter...

1

Approach

2

Knowledge
Areas

3

Process Phase
Checklist

Approach
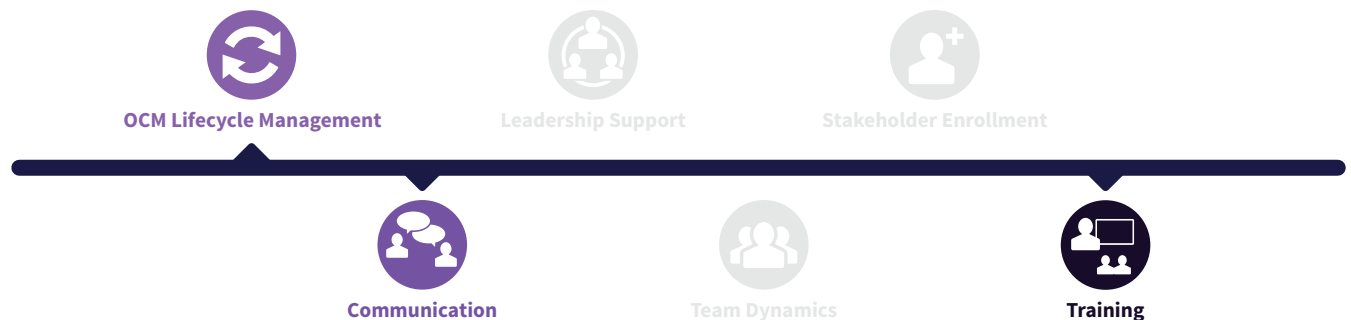
Figure 1-1

Three knowledge areas are active in the Closing Process Phase of the Project Management Lifecycle (PMLC), as shown in Figure 1-1. The OCM Practitioner will focus on transitioning the OCM effort to the organization's operational environment and evaluating any additional training needs of end users and Stakeholders.

1.1 Introduction

During the Closing Process Phase, the OCM Practitioner will formally closeout the OCM effort alongside the project team. This includes the transition of ongoing communications to the end-users and Stakeholders to the organization's operational group and collecting lessons learned to be used for future projects. At this time the valuation of end user and Stakeholder post-implementation training needs will be analyzed to gauge training effectiveness.

OCM Lifecycle Management

The OCM Practitioner works closely with the Project Manager throughout the Closing Process Phase to ensure that final OCM documentation, closeout approvals, resource allocation, and other transition tasks occur in an orderly and timely fashion. This includes the documentation of lessons learned and support for the completion of the Post-Implementation Evaluation Report (PIER).

Communication

The OCM Practitioner transitions the project communication activities to the organization's operational support group. OCM related communications continue to be important after the solution deployment as they provide messages regarding any process or solution refinements, as well as ongoing training and support opportunities.

Training

After the solution is deployed, the OCM Practitioner working with training resources, depending on the effort, evaluates the training program to determine if there is a need for any additional training or on-the-job support. Refresher courses for end users may be delivered to further enhance the knowledge, skills, and abilities of end users and Stakeholders.

Once all OCM-related Closing Process Phase activities have been completed, the OCM Practitioner will complete the OCM Closing Process Phase Checklist. Figure 1-2 shows the goals, inputs, activities, and outputs of the six knowledge areas that are active during the Closing Process Phase.

	Concept	Initiating	Planning	Executing	**Closing**

	Inputs	**Activities**	**Outputs**
OCM Lifecycle Management	• Knowledge Area Action Logs • OCM Deliverables • OCM Working Documents	• Close Out the OCM Effort	• Archived OCM Artifacts • Completed Lessons Learned
Communication	• Communication Management Plan • Project Schedule	• Communicate Details on Operational Support	• Completed Communication Action Log • Implemented Deployment Communication Mechanisms
Training	• Training Plan • Training Curriculum • Training Materials	• Evaluate Training • Coordinate Development and Delivery of Ongoing Training	• Completed Training Effectiveness Surveys • Completed Training Action Log

Closing Process Phase Goal: **Close out OCM Effort**

Figure 1-2

1.2 Recommended Practices

The following recommended practices will assist the OCM Practitioner in working to close the project. This includes the transition from implementation to operational support, and any additional training support that may be necessary. These recommended practices apply to all OCM knowledge areas.

Recommended Practices

Review recommended practices at the start of the process phase.

Recognize Post Deployment has Ongoing OCM Needs

At the conclusion of the Executing Process Phase, the new processes and technology solutions have been deployed; however, the Closing Process Phase has ongoing OCM-related needs. It is important to recognize these end user and Stakeholder communication and training needs, as these needs do not end at go-live. Stakeholders will need communications to understand how the changes implemented are driving organizational success and how the project will move into the maintenance and operations environment. In addition, there may still be a need for ongoing training efforts, such as refresh and new hire training. The OCM Practitioner may need to continue communication and training activities post-deployment as needed.

Take Lessons Learned Seriously

There can be a tendency for project team members to feel that they are just going through the motions in providing lessons learned feedback in order to "check the box". Instead, the OCM Practitioner should promote OCM lessons learned sessions or surveys as valuable opportunities to capture what went well and what could have been done more effectively. The OCM Practitioner should stress to the project team that thorough and honest lessons learned feedback provides learning and growth opportunities for the organization, the OCM Practitioner, and the project team.

Communications are Equally Important after Implementation

When end users and Stakeholders begin using the new solution, there needs to be a clear channel of communication and method to obtain pertinent information after the implementation. There are often new releases that address process and/or system changes which need to be effectively communicated on a timely basis.

End Users and Stakeholders Need Access to Additional Training

While training is provided before implementation, end users and Stakeholders often find that they need additional training or refresher training after working in the future state. Additional questions and training needs may arise once end users and Stakeholders apply the new processes and system in their day-to-day job functions as opposed to a training environment. The OCM Practitioner working with training resources may need to work together to determine and address any additional training needs.

Knowledge Areas

OCM Lifecycle Management

2.1 OCM Lifecycle Management

	Concept	Initiating	Planning	Executing	Closing
OCM Lifecycle Management	Understand the Magnitude of Change	Schedule Initiating Activities	Schedule Planning Activities	Schedule Executing Activities	**Close OCM Effort**

Ensure the Performance of the OCM Effort
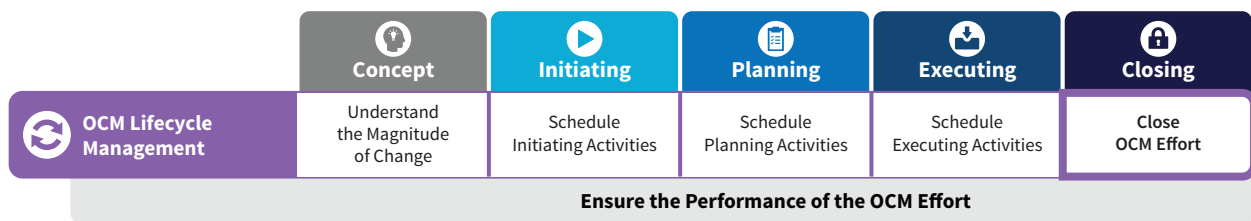
Figure 2-1

The objective of OCM Lifecycle Management is to ensure the performance of the OCM effort is effective and complete, as shown in Figure 2-1. In the Closing Process Phase, this translates into closing or transitioning the OCM activities in an orderly fashion. The OCM Practitioner works on OCM-related closeout tasks, as well as completing lessons learned, communicating project transitions, and planning for additional training opportunities.

A summary of the inputs, roles, skills, activities, tools, and outputs of the knowledge area is presented in Figure 2-2.

OCM Lifecycle Management

Inputs

- Knowledge Area Action Logs
- OCM Deliverables
- OCM Working Documents

Roles

- OCM Practitioner
- Project Manager
- Project Sponsor
- Project Team

Skills

- Project Management
- Analysis

Outputs

- Archived OCM Artifacts
- Completed Lessons Learned

Activities

- Close Out the OCM Project

Tools

- Lessons Learned Template

Figure 2-2

2.1.1 Inputs

In order to complete the Closing Process Phase OCM Lifecycle Management activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Knowledge Area Action Logs: Action logs, developed and maintained by the OCM Practitioner throughout the PMLC, provide insight into the people-related activities and tasks completed in each knowledge area and process phase and can aid in the development of lessons learned.

OCM Deliverables: OCM deliverables are formal products required to be produced in accordance with the terms of requirements or contract. OCM deliverables may include, but are not limited to: the OCM Plan, Project Communication Management Plan, Stakeholder Management Plan, and Training Plan.

OCM Working Documents: OCM working documents are informal assessments, plans, and materials that the Practitioner utilizes for completing OCM activities and tasks throughout the PMLC. These may include, but are not limited to, the Environmental Readiness Assessment, Organizational Change Readiness Assessment, Stakeholder Communication Questionnaire, and Training Effectiveness Survey.

2.1.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Lifecycle Management activities during the Closing Process Phase.

Role	Responsibilities
OCM Practitioner	• Review all OCM deliverables and documentation • Confirm acceptance of the OCM deliverables • Resolve or transfer ownership of the OCM open issues to the appropriate resources or area of responsibility • Identify and document OCM lessons learned
Project Manager	• Ensure all OCM closing tasks and milestones are completed • Participate in identifying OCM lessons learned
Project Sponsor	• Provide sign-off on final OCM products • Approve transfer of any open issues • Provide support to OCM closing activities • Participate in identifying OCM lessons learned
Project Team	• Participate in identifying OCM lessons learned

Roles

For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.1.3 Activities

In order to close or transition the OCM efforts of the project, the OCM Practitioner should work with the project team to identify necessary close out and transition tasks and complete them based on the project's needs.

Close Out the OCM Project

In order to close-out the OCM effort, the OCM Practitioner should work with the project team to identify these tasks and perform them as required. This activity consist of the following tasks:

- Archive OCM Artifacts

- Conduct Lessons Learned

- Support Completion of the Post-Implementation Evaluation Report

Archive OCM Artifacts

Artifacts from this OCM project are a crucial source of information for improving future OCM efforts. All records, both electronic and hard copy, should be stored according to applicable project document management rules and guidelines. The project archive should contain a document that includes a description of all files being stored, the storage location, and a point of contact for further information. Typically, at a minimum, archived OCM artifacts include:

- Change Magnitude Assessment

- OCM Plan

- Knowledge Area Action Logs

- Communication Management Plan

- Stakeholder Management Plan

- Training Plan

- Lessons Learned

> **📄 Skills**
>
> Use the following skills to complete the activity:
> • Project Management
> • Analysis

> **📤 Outputs**
>
> The following is an output of the activity:
> • Archived OCM Artifacts

Conduct Lessons Learned

During the Closing Process Phase, the OCM Practitioner should conduct lessons learned session(s) with project team members who participated in OCM activities. The objective of conducting lessons learned is to identify both the positive and negative lessons learned from the OCM effort, as well as recommended corrective actions for negatively-based observations that should be considered for future projects.

To conduct lessons learned, the OCM Practitioner should facilitate sessions to identify and analyze each major negative and positive event that impacted the OCM workstream. As items are identified and discussed, the OCM Practitioner documents them in the lessons learned template included in the CA-PMF. The template helps the project team document each lesson learned. This includes identifying the PMLC stage in which the event occurred, the initiator of the lesson learned and his or her role, and the recommendation to avoid the problem or take advantage of the opportunity. The OCM Practitioner also documents a description of the lesson learned and any recommendation for future OCM projects.

The completed lessons learned documentation represents knowledge and experience gained during the project and should be archived and made available for future consideration. For more information on conducting lessons learned, see the Closing Chapter of the CA-PMF.

Support Completion of the Post-Implementation Evaluation Report

The California Department of Technology (CDT) requires projects to complete and submit a Post Implementation Evaluation Report (PIER) following project completion. The OCM Practitioner may be asked to complete portions of the PIER that pertain to the OCM effort. For more information on the PIER, see Section 50 of the Statewide Information Management Manual (SIMM) which contains "Instructions for Completing the Post Implementation Evaluation Report (PIER)." These instructions describe when a PIER is required, its contents, and procedures for submission and approval.

Tools

A template is available:
Lessons Learned

Outputs

The following is an output of the activity:
• Completed Lessons Learned

Web Link/ Info

See the Lessons Learned section in the Closing Process Phase chapter of the CA-PMF.

Web Link/ Info

See the Statewide Information Management Manual (SIMM) - Section 50 for more information on the PIER.

2.1.4 Tools

The tool that the OCM Practitioner will use within OCM Lifecycle Management during the Closing Process Phase includes the following:

- Lessons Learned Template

2.1.5 Outputs

OCM Lifecycle Management produces the following outputs during the Closing Process Phase:

- Archived OCM Artifacts

- Completed Lessons Learned

2.2 Communication

	Concept	Initiating	Planning	Executing	Closing
Communication			Implement Planning Process Phase Communications	Communicate Key Project Messages	**Communicate Operations**
			Ensure Common Understanding		
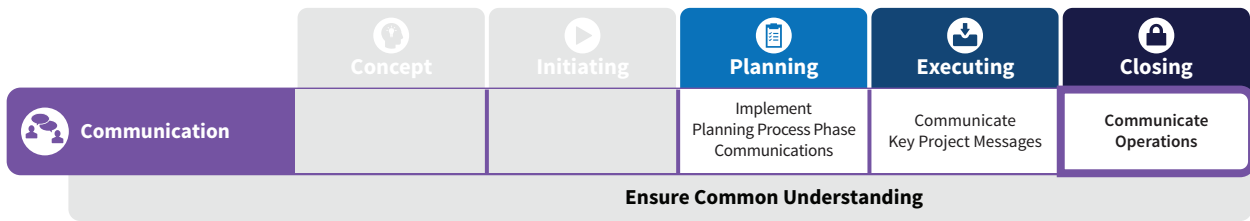
Figure 2-3

Communication activities in this process phase focus on informing end users and Stakeholders regarding post-deployment support and changes to the system or processes. Communication messages serve to inform involved parties about the close out and transition of the OCM-related project efforts to the operational support organization. Figure 2-3 shows the Communication Knowledge Area goal in the Closing Process Phase.

Communication is imperative in educating key Stakeholders, project team members, and other resources about the process of closing out the project and transferring the responsibilities to the support organization. A lack of communication at this stage may lead to confusion in responsibilities, inability to obtain ongoing maintenance from the support organization, incomplete actions, or unresolved issues.

Figure 2-4 provides the inputs, roles, skills, activities, tools, and outputs of Communication in the Closing Process Phase.
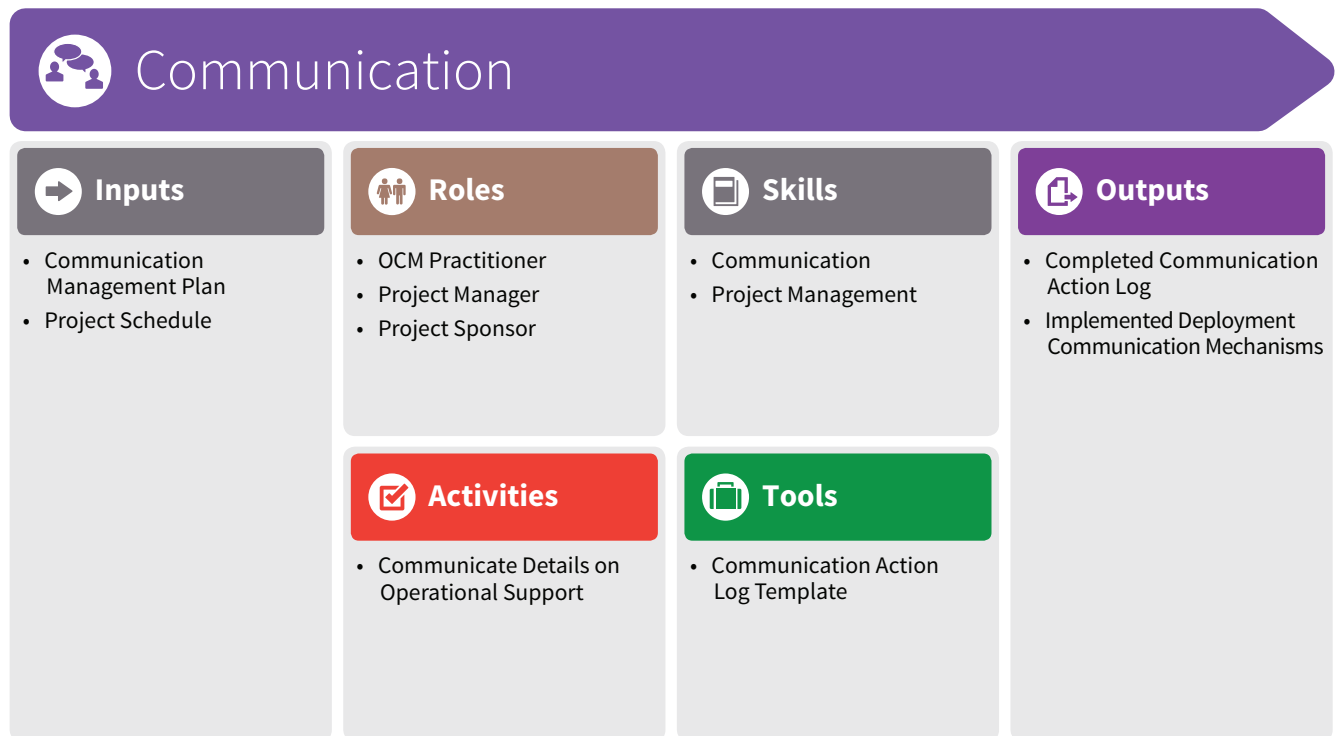
Communication

Inputs	Roles	Skills	Outputs
• Communication Management Plan • Project Schedule	• OCM Practitioner • Project Manager • Project Sponsor	• Communication • Project Management	• Completed Communication Action Log • Implemented Deployment Communication Mechanisms
	Activities • Communicate Details on Operational Support	**Tools** • Communication Action Log Template	

Figure 2-4

2.2.1 Inputs

In order to complete the Closing Process Phase Communication activities, the OCM Practitioner will need a thorough understanding of the following inputs:

Communication Management Plan: The Communication Management Plan, developed in the Planning Process Phase, as prescribed by the CA-PMF, defines the project's communication requirements and the approach for how information will be distributed. The plan documents methods for communication and the management of that communication throughout the project lifecycle.

Project Schedule: The Project Schedule provides an overall view of linked activities with planned dates, durations, milestones, and resources.

2.2.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Communication activities during the Closing Process Phase.

Role	Responsibilities
OCM Practitioner	• Determine communication needs and requirements for closing and transitioning activities • Assist the Project Manager in assuring all communications are sent, received, and understood
Project Manager	• Provide input into communication needs and requirements for closing and transitioning activities • Assure all communications are sent, received, and understood • Provide updates to the Project Sponsor
Project Sponsor	• Communicate closing and transitioning messages

Roles

For a complete list of all CA-OCM roles, see the OCM Role Definitions in the Glossary.

2.2.3   Activities

The focus of the Communication Knowledge Area is to communicate the closing and transferring of project responsibilities and activities to the operational support group within the organization. Communication activities help to inform end users and Stakeholders about any post implementation support and upcoming changes to the system and/or processes.

Communicate Details on Operational Support

The OCM Practitioner coordinates with the Project Manager to gather information, develop messages, and deliver communications about transition-related activities based on the guidance set forth in the Communication Management Plan. Such activities may include:

Skills

Use the following skills to complete the activity:
• Communication
• Project Management

Inputs

The following is an input to the activity:
• Communication Management Plan

Project Team Role/Responsibility Changes: As the project team is dispersed, the team, executive leadership, and other identified individuals need to be aware of who will be responsible for communications and OCM-related issues post deployment. It is not uncommon that different resources become involved in the operations support of the new processes and systems; therefore, it is important to plan and manage the transition of communications to clearly identified resources.

Timeline: End users and Stakeholders need to be aware of transition and closeout activities. The OCM Practitioner should review the Project Schedule and collaborate with the Project Manager to communicate projected start and end dates for key Closing Process Phase activities.

The OCM Practitioner may utilize the Communication Action Log started in the Planning Process Phase to track all Closing Process Phase communications. This working document allows the OCM Practitioner, Project Manager, Project Sponsor, and other key individuals to monitor the dissemination of communications throughout the Closing Process Phase.

Communication Mechanisms: Working with the Project Manager and team, the OCM Practitioner helps identify OCM communication mechanisms, whether existing or new, for ongoing communications post deployment. Existing mechanisms may include any of the communication or feedback channels identified in earlier process phases. For more information on communication and feedback mechanisms, review the Communication Knowledge Area sections of the Planning and Executing Process Phase chapters. New mechanisms may include:

- *Help Hotline:* A centralized call center number that is communicated and available to obtain support. There may need to be a mechanism to distinguish between end users and external Stakeholders given different needs for support hours and types of help.

- *Alerts:* System-generated alerts to provide key system or other solution information can be extremely timely and helpful in communicating pertinent information such as critical changes, downtime, or other updates.

- *Frequently Asked Questions (FAQs):* Often intranets or extranets can provide self-help information for the new processes and systems through the use of FAQs. Before deployment, an initial list should be developed by the operational support team and be available and published to help with anticipated questions. These FAQs evolve based on help commonly sought by users that can be addressed in FAQs.

Inputs

The following is an input to the activity:
• Project Schedule

Tools

A template is available:
Communication Action Log

In order to record Communication Knowledge Area actions, the OCM Practitioner may utilize the Communication Action Log. This living document, initially developed in the Planning Process Phase, serves to track all communication actions.

2.2.4 Tools

The tool that the OCM Practitioner will use within Communication during the Closing Process Phase includes the following:

- Communication Action Log Template

2.2.5 Outputs

Communication produces the following outputs during the Closing Process Phase:

- Completed Communication Action Log

- Implemented Deployment Communication Mechanisms

Outputs

The following is an output of the activity:
- Completed Communication Action Log

2.3 Training

	Concept	Initiating	**Planning**	**Executing**	**Closing**
Training			Define Training Requirements	Conduct Training	**Evaluate Training**

Ensure Users Have the Necessary KSAs
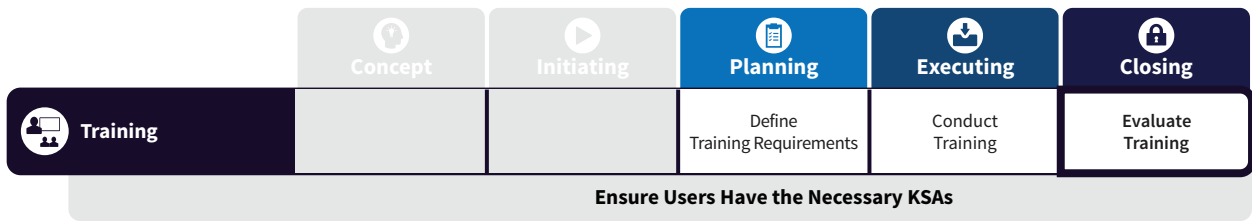
Figure 2-5

Training serves to educate end users and Stakeholders on the new solution prior to implementation. In the Closing Process Phase, training resources working with the OCM Practitioner evaluate the effectiveness of end user training in order to identify and address any additional training needs, as shown in Figure 2-5. The Training Knowledge Area remains critical for project success, as it influences the ability for end users and Stakeholders to master changes brought about by the technology implementation and successfully transition to the future state.

Figure 2-6 demonstrates the inputs, roles, skills, activities, tools, and outputs of the Training Knowledge Area through Closing.

Training

Inputs	Roles	Skills	Outputs
• Training Plan • Training Curriculum • Training Materials	• Training Lead, Instructors, Facilitators, and Coaches • OCM Practitioner • Project Manager	• Analysis • Coaching • Project Management	• Completed Training Effectiveness Surveys • Completed Training Action Log

Activities	Tools
• Evaluate Training • Coordinate Development and Delivery of Ongoing Training	• Training Effectiveness Survey Template • Training Action Log Template

Figure 2-6

2.3.1 Inputs

In order to complete the Closing Process Phase Training activities, the training resources and the OCM Practitioner will need a thorough understanding of the following inputs:

Training Plan: The Training Plan, developed in the Executing Process Phase, sets the stage for the training development, delivery, and evaluation processes.

Training Curriculum: The training curriculum, developed in the Executing Process Phase, provides a high level overview of the training program, including courses, course descriptions and objectives, delivery channels, and intended audiences. The training curriculum is based on the requirements set forth in the Training Plan and serves as a valuable input to material development, training delivery, and training evaluation.

Training Materials: Training materials, developed in the Executing Process Phase, serve to supplement the delivery of the training program. Materials may include slide decks, instructor guides, eLearning courses, quizzes and tests, handouts, etc.

2.3.2 Roles

The following table lists the roles and their associated responsibilities of those involved in OCM Training activities during the Closing Process Phase.

Role	Responsibilities
Training Lead, Instructors, Facilitators, and Coaches	• Compile and assess results of Training Effectiveness feedback • Develop refresh training curriculum and materials • Coordinate delivery of refresh training • Provide feedback on effectiveness of training program
OCM Practitioner	• Support the Training Lead in training knowledge area activities
Project Manager	• Assist in coordinating the delivery of refresh training

> **Roles**
>
> For a complete list of all CA-OCM roles, see the **OCM Role Definitions** in the Glossary.

2.3.3 Activities

It is important for training resources such as the Training Lead, Instructors, Facilitators and Coaches, who may work with the OCM Practitioner, to evaluate the effectiveness of the end user training program. To evaluate the training, the following questions should be asked:

- Did end users gain the knowledge, skills, and abilities set forth in the training objectives?

- Are they able to use the new system and any new processes?

- Are there any gaps that need to be addressed?

Two Training activities occur during this process phase:

- Evaluate training

- Coordinate development and delivery of ongoing training

Evaluate Training

Regardless of the effort put into assessing training needs, developing training materials, and delivering a training program, there may be ongoing end user training needs post implementation. Utilizing surveys, feedback from those involved, and system data will allow the Training Lead and associated resources working with the OCM Practitioner to collect training metrics and identify any gaps or opportunists for additional training.

Evaluating the training program is key in determining the effectiveness of the Training Plan, curriculum, and materials, and identifying opportunities to provide additional training, as needed. The Methods of Evaluation model of training evaluation, developed by Donald Kirkpatrick , consists of four levels of evaluation as shown in the table below.

📒 **Skills**

Use the following skills to complete the activity:
- Analysis
- Project Management

➡ **Inputs**

The following are inputs to the activity:
- Training Plan
- Training Curriculum
- Training Materials

Evaluation Category	Description
Reaction	This category measures participants' reactions to the training: • Did participants feel the training program was useful in their jobs? • Were they satisfied with the instructor/room/schedule? • Was the material presented relevant and efficiently presented? Reaction training feedback obtained at the conclusion of the training sessions helps to refine the training program, content, and/or materials.

Evaluation Category	Description
Knowledge	This category measures the extent to which learning objectives have been met. • Did the participants gain the necessary knowledge, skills, and abilities? • Can they demonstrate these knowledge, skills, and abilities? Knowledge can be measured using several methods, including practical or written tests, completing simulations, or demonstrating skills in a test or actual environment.
Transfer of Learning	This category measures a participant's ability to demonstrate new knowledge, skills, and abilities in the real world future state. • Can participants perform their new job roles with minimal support? • What potential gaps can be identified? Gaps in transfer of learning should be identified by observing end users performing tasks in the new system and by reviewing metrics related to an end user's performance.
Impact/ Results	This category measures the impact that training has had on the implementation and organization. Impact/results can be assessed through calculation of a return on investment.

While each of these areas are helpful in the evaluation, the training resources and OCM Practitioner should focus on the Knowledge and Transfer of Learning evaluation categories described in the Methods of Evaluation table above. It is important to understand if the training program achieved the identified objectives and, if so, if end users are able to transfer the new knowledge, skills, and abilities into their new working environment.

A variety of tools and methods should be employed at the conclusion of each training session and/or after implementation to identify gaps in the Knowledge Evaluation and Transfer of Learning categories. The following methods are ways that this can be accomplished:

- **Training Effectiveness Survey:** The Training Effectiveness Survey provides an opportunity for course participants to evaluate their training experiences in areas such as usefulness and relevance. The template contains a series of statements which the training participant can use to rate his/her experience of the training.

  This survey is generally used to collect feedback on individual courses and can be given in hard copy form or electronically to collect and evaluate data from the Training Effectiveness Survey to identify patterns and gaps, generate metrics, and plan the need for future training opportunities.

- **Feedback from Training Instructors/Facilitators/Coaches:** Training instructors, facilitators, and coaches provide unique insight into the results and effectiveness of the training program. These individuals are intimately familiar with the objectives, content, and participants and can, therefore, identify topics of concern and areas which participants could benefit from additional training. They also are an excellent resource to identify strategies to address any identified training gaps and needs. This feedback can be collected through informal one-on-one communications, or collected from a group through a facilitated session.

- **End User Performance of New System:** How end users use the new solution is a good indicator of gaps in the Transfer of Learning category. Users who are not able to perform their new job functions or who struggle with navigating and using the new system can be identified when collecting performance data. Potential data points may include: number of help desk calls, time to complete a certain task, and the lack of end users using the new system. It is important to collect and monitor this data in order to identify where training needs may still exist.

  Using the above methods, the training resources working with the OCM Practitioner can identify gaps that affect the new system performance. By doing this it can be determined on how to address these gaps with refresher training opportunities.

Tools

A template is available:
Training Effectiveness Survey

Outputs

The following is an output of the activity:
- Completed Training Effectiveness Surveys

Coordinate Development and Delivery of Ongoing Training

The ongoing training process should follow the guidelines set forth in the Training Plan. This effort includes both refresh training, which addresses training gaps, and new hire training, which provides training opportunities to new employees. The training resources working with the OCM Practitioner needs to determine the level of effort, responsibility, and timeline for:

- Training material updates

- Quality assurance (e.g., training material and training effectiveness)

- Material storage

- Training delivery and management

The Training Plan should be used to identify and determine the best course for delivering ongoing training. For more information on planning, developing, and delivering training, review the Training section within the Executing Process Phase chapter. Also consider:

- **How many end users will need access to refresh or new hire training?** If there is small number of end users expected to need refresh or new hire training, the OCM Practitioner may include a more informal process using one-on-one coaching delivery method. If refresh and new hire training needs are extensive, the OCM Practitioner may consider eLearning methods where content is available on demand in addition to the ongoing delivery of the training program documented in the Training Plan.

- **What topics/areas should be included in refresh and new hire training?** Training content will play a part in determining the extent of the ongoing training effort and delivery methods used. Multiple, complex topics may be best addressed in an instructor-led training effort, including classroom sessions or virtual classroom learning opportunities. Simple topics may be addressed with published help guides, job aids, or other tutorials. For refresh training, the OCM Practitioner should utilize the gaps in knowledge identified in training evaluation to determine the topics/areas of training.

The training resources, working with the OCM Practitioner, should continue to capture all training efforts during the Closing Process Phase in the Training Action Log that was started in the Executing Process Phase.

Skills

Use the following skills to complete the activity:
- Analysis
- Project Management
- Coaching

Tools

A template is available:
Training Action Log

This working document provides a record of training assessment, development, and delivery activities throughout all relevant process phases.

2.3.4 Tools

The tools that the OCM Practitioner will be used within the Training Knowledge Area during the Closing Process Phase include the following:

- Training Effectiveness Survey Template

- Training Action Log Template

2.3.5 Outputs

Training produces the following outputs during the Closing Process Phase:

- Completed Training Effectiveness Surveys

- Completed Training Action Log

> **Outputs**
>
> The following is an output of the activity:
> - Completed Training Action Log

Process Phase Checklist

3.1 Complete the Checklist

The OCM Closing Process Phase Checklist identifies the OCM activities that are completed during the Closing Process Phase.

Once all of the OCM activities within the Closing Process Phase are complete, the process phase checklist should be completed. Why a checklist? The checklist can help the OCM Practitioner quickly and confidently identify areas of concern prior to the completion of the Project Management Lifecycle. In this case, completion of the checklist provides a clear milestone that the necessary steps to officially close the project are complete.

Using the OCM Closing Process Phase Checklist ensures completion of the Closing Process Phase OCM activities are completed, including:

- Archived OCM Artifacts

- Completed Lessons Learned

- Completed Communication Action Log

- Implemented Deployment Communication Mechanisms

- Completed Training Effectiveness Surveys

- Completed Training Action Log

- Completed OCM Closing Process Phase Checklist

Tools

A template is available:
OCM Closing Process Phase Checklist

Outputs

Complete the OCM Closing Process Phase Checklist to validate that all process phase activities are complete.

Additional Resources

This chapter provides materials that are helpful for further understanding of Organizational Change Management (OCM) and the coordination and planning of OCM with project management and business process reengineering (BPR). Also included are a glossary of OCM role definitions and terms.

In this chapter...

1

Approach

2

Framework
Resources

3

Glossary

Approach

The objective of this chapter is to provide OCM Practitioners with supplementary resources that are useful for understanding, coordinating, and planning an OCM effort. Additionally, the chapter provides material helpful to understanding the relationship between the California Project Management Framework (CA-PMF), California Organizational Change Management Framework (CA-OCM), and California Business Process Reengineering Framework (CA-BPR) over the Project Management Lifecycle (PMLC).

1.1 Introduction

The CA-OCM is a practical guide to help the OCM Practitioner and project team successfully manage an OCM effort. This chapter introduces useful resources that give the OCM Practitioner additional information about elements of the CA-OCM and how it ties to other related State of California frameworks, such as the CA-PMF. This chapter also includes references to OCM-related resources that the OCM Practitioner or those involved in an OCM effort can use to further their knowledge.

The OCM Practitioner can refer to or use these resources at any point throughout the project; however, these may be particularly useful during project planning to help provide context for the activities. The multiple illustrations presented provide context around and promote coordination with project management and BPR.

1.2 CA-OCM Quick Reference

This section features graphics related to each of the knowledge area goals and the key elements from each process phase. While the knowledge area goals and key elements are presented in CA-OCM chapters for each process phase, they are presented here in a consolidated view across all process phases. This includes the following key elements:

- Recommended practices

- Skills

- Roles

- Activities

- Tools

- Outputs

1.2.1 Key Elements by Process Phase

Each chapter of the CA-OCM contains graphics that summarize the following elements broken out by process phase:

- Recommended practices to consider;

- A list of skills utilized by the OCM Practitioner;

- Key roles that are active during the process phase;

- Activities that the OCM Practitioner should undertake;

- Tools that are available to assist the OCM Practitioner to perform the activities; and

- The outputs of those activities.

This section features graphics that represent each element across all process phases.

Recommended Practices by Process Phase

Each process phase of the CA-OCM includes recommended practices that are helpful to use which are based on lessons learned and best practices. Figure 1-1 shows each process phase's key recommended practices.

Recommended Practices

Concept	• Begin OCM Efforts Early	• The Right Project Sponsor is Critical to Project Success
Initiating	• Focus OCM Efforts on Activities and Actions • Develop Active and Sustained Executive Support for Project Success	• Keep Lessons Learned in Mind Throughout the Project
Planning	• Utilize Practices to Foster Two-Way Communication • First Build a Communication Strategy, then Focus on Tactics • Align Executive Leaders to Project Goals and Objectives	• Establish Personal Accountability for the Project Team • Don't Underestimate the Training Effort Needed
Executing	• Garner Management and Supervisor Support throughout Implementation • Provide Opportunities for People to Feel Heard • Be Repetitive and Consistent with Communications	• Recognize the Need for Celebrating Project Team Successes • Recognize that Resistance is a Natural Part of the Change Process • Set realistic training goals
Closing	• Recognize Post-Deployment has Ongoing OCM Needs • Take Lessons Learned Seriously	• Communications are Equally as Important after Implementation • End Users and Stakeholders Need Access to Additional Training

Figure 1-4

Skills by Process Phase

The CA-OCM identifies the skills needed by the OCM Practitioner to perform the activities in each process phase. Figure 1-2 provides a complete list of all skills by process phase.

Skills

Concept	• Interviewing • Facilitation	• Analysis
Initiating	• Project Management • Strategic Thinking • Teamwork • Problem Solving	• Coaching • Facilitating • Analysis • Communication
Planning	• Project Management • Analysis • Communication • Interviewing • Collaboration	• Coaching • Facilitation • Active Listening • Team Building • Critical Thinking
Executing	• Analysis • Project Management • Collaboration • Communication • Coaching	• Interviewing • Facilitation • Active Listening • Team Building • Planning
Closing	• Project Management • Analysis	• Communication • Coaching

Figure 1-2

Roles by Process Phase

The CA-OCM lists the roles and associated responsibilities for those who are involved in the OCM effort. Figure 1-3 shows each key role within each process phase.

Roles

Concept	• OCM Practitioner • Project Sponsor	• Stakeholders • Executive Leadership
Initiating	• OCM Practitioner • Project Sponsor	• Project Manager • Executive Leadership
Planning	• OCM Practitioner • Project Manager • Project Sponsor	• Executive Leadership • Project Team
Executing	• OCM Practitioner • Project Manager • Project Sponsor • Project Team	• Mid-level Managers and Supervisors • Stakeholder Group Representatives • OCM Super Users
Closing	• OCM Practitioner • Project Manager • Project Sponsor	• Project Team • Training Instructors, Facilitators, Coaches

Figure 1-3

Activities by Process Phase

An important component of the CA-OCM are the activities that the OCM Practitioner performs. Other key elements, such as roles, tools, and outputs, revolve around and are specific to these activities. While each chapter provides a knowledge area perspective of these activities, Figure 1-4 shows an overall view of all activities by process phase.

Activities

Concept	• Define the Magnitude of the Change	• Identify the Project Sponsor
Initiating	• Develop the OCM Schedule • Identify and Assess Leaders as Change Supporters	• Develop the Sponsorship Action Register • Define Project Team Guidelines
Planning	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Develop the OCM Plan • Conduct OCM Activities • Develop the Communication Management Plan	• Deliver Planning Process Phase Communications • Support and Assist the Project Sponsor • Support Executive Leadership • Conduct Team Guidelines Session • Identify the Training Method and Approach
Executing	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Update the OCM Plan • Execute and Monitor the Effectiveness of OCM Activities • Assess Stakeholder Communication Needs • Update the Communication Management Plan • Deliver Project Communications • Support Managers and Supervisors • Conduct Team Guidelines and Team Effectiveness Surveys and Follow Up Sessions	• Update the Stakeholder Management Plan • Identify and Engage Stakeholder Group Representatives • Identify and Engage OCM Super Users • Provide Guidance for Identifying and Mitigating Resistance • Plan for Training • Develop Training • Conduct Training
Closing	• Close Out the OCM Project • Communicate Details on Operational Support	• Evaluate Training • Coordinate Development and Delivery of Ongoing Training

Figure 1-4

Tools by Process Phase

The CA-OCM includes tools provided to help the OCM Practitioner perform the activities and document outputs. Figure 1-5 provides an overall list of each tool that is used within each process phase.

Tools

Concept
- Change Magnitude Assessment Template
- Project Sponsorship Assessment Template
- Environmental Readiness Assessment Template
- OCM Concept Process Phase Checklist Template

Initiating
- OCM Schedule Template
- Change Magnitude Assessment Template
- Sponsorship Action Register Template
- Leadership Support Assessment Template
- Leadership Support Action Log Template
- Project Team Guidelines Template
- OCM Initiating Process Phase Checklist Template

Planning
- OCM Schedule Template
- Communication Management Plan Template
- Communication Management Plan Feedback Channels Amendment Template
- Communication Action Log Template
- Executive Interview Guide Template
- OMC Plan Template
- Organizational Change Readiness Assessment
- Sponsorship Action Register Template
- Leadership Support Action Log Template
- Team Dynamics Action Log Template
- Training Plan Template
- OCM Planning Process Phase Checklist Template

Executing
- Organizational Change Readiness Assessment Template
- OCM Plan Template
- OCM Schedule Template
- Communication Management Plan Template
- Stakeholder Communication Questionnaire Template
- Communication Feedback Survey Template
- Communication Action Log Template
- Executive Interview Guide Template
- Leadership Support Action Log Template
- Team Guidelines Survey Template
- Team Effectiveness Survey Template
- Team Dynamics Action Log Template
- Stakeholder Management Plan Template
- Stakeholder Register Template
- Stakeholder Enrollment Action Log Template
- Training Plan Template
- Training Action Log Template
- OCM Executing Process Phase Checklist Template

Closing
- Lessons Learned Template
- Communication Action Log Template
- Training Effectiveness Survey Template
- Training Action Log Template
- OCM Closing Process Phase Checklist Template

Figure 1-5

Outputs by Process Phase

Once a tool has been completed or updated to help perform a specific activity, the tool will become an output. These outputs may also potentially become inputs for use in another process phase or knowledge area. The CA-OCM lists each of the outputs by knowledge area and process phase. Figure 1-6 provides an overall view of outputs by process phase.

Outputs

Concept
- Completed Environmental Readiness Assessment
- Completed Project Sponsorship Assessment
- Completed Change Magnitude Assessment
- Identified Project Sponsor
- Completed OCM Concept Process Phase Checklist

Initiating
- Completed OCM Schedule
- Completed Change Magnitude Assessment
- Completed Sponsorship Action Register
- Completed Leadership Support Assessment
- Identified Key Executives
- Completed Leadership Support Action Log
- Defined Project Team Guidelines
- Completed OCM Initiating Process Phase Checklist

Planning
- Completed OCM Schedule
- Completed Organizational Change Readiness Assessment
- Completed OCM Plan
- Completed Communication Management Plan
- Completed Communication Management Plan Feedback Channels Amendment
- Completed Communication Action Log
- Completed Executive Interview Guides
- Updated Sponsorship Action Register
- Completed Leadership Support Action Log
- Completed Team Guidelines Session
- Completed Team Dynamics Action Log
- Completed Draft Training Plan (Section 2: Approach)
- Completed OCM Planning Process Phase Checklist

Executing
- Completed Organizational Change Readiness Assessment
- Updated OCM Plan
- Completed OCM Schedule
- Updated Communication Management Plan
- Completed Stakeholder Communication Questionnaires
- Completed Communication Feedback Surveys
- Completed Communication Action Log
- Completed Manager and Supervisor Interviews
- Completed Leadership Support Action Log
- Completed Team Dynamics Action Log
- Completed Team Guidelines Surveys, Team Effectiveness Surveys, and Follow Up Sessions
- Updated Stakeholder Management Plan
- Updated Stakeholder Register
- Completed Stakeholder Enrollment Action Log
- Completed Training Plan
- Training Curriculum
- Training Materials
- Completed Training Action Log
- Completed OCM Executing Process Phase Checklist

Closing
- Archived OCM Artifacts
- Completed Lessons Learned
- Completed Communication Action Log
- Implemented Deployment Communication Mechanisms
- Completed Training Effectiveness Surveys
- Completed Training Action Log
- Completed OCM Closing Process Phase Checklist

Figure 1-6

Framework Resources

2.1 Introduction

This section provides the OCM Practitioner with a side-by-side view of project management processes from the CA-PMF and BPR activities from the CA-BPR that typically occur during the same process phase. Additional OCM resources, including the Prosci® ADKAR® model, are provided for the reader to further explore OCM concepts.

2.2 CA-OCM Activities in Relation to the CA-PMF and the CA-BPR

As detailed in the CA-OCM process phase chapters, OCM is not performed in isolation, but rather depends heavily on strong coordination with other project workstreams. Two important workstreams are project management, as described in the CA-PMF, and BPR, as described in the CA-BPR.

Figure 2-1 provides an at-a-glance view of each high-level activity (or process, as is the case with the CA-PMF) by process phase for each workstream and relates the activities of the CA-OCM with activities of the CA-BPR and processes of the CA-PMF.

CA-PMF Processes	CA-OCM Activities	CA-BPR Activities
Concept		
• Identify the Project Sponsor(s) and Stakeholders • Conduct a Readiness Assessment • Project Approval Process • Concept Process Phase Review	• Define the Magnitude of the Change • Identify Project Sponsor • Concept Process Phase Review	• Determine if BPR is the Right Approach • Define Vision and Align with Mission • Identify Current End-to-End Business Processes • Concept Process Phase Review
Initiating		
• Establish Project Staffing • Create a Project Library • Review Current Documentation • Conduct Stakeholder Analysis • Perform Charter Analysis • Monitoring and Controlling • Project Approval Process • Initiating Process Phase Review	• Develop the OCM Schedule • Develop the Sponsorship Action Register • Identify and Assess Leaders as Change Supporters • Initiating Process Phase Review	• Determine and Plan for BPR Activities • Identify Customer Needs • Identify Business Process Issues • Identify Leading Practices and Benchmarks • Identify, Validate, and Prioritize Opportunities • Document the Current State Assessment • Document Current State Business Processes • Determine the Performance Baseline • Initiating Process Phase Review
Planning		
• Prepare for Planning Process Phase Activities • Develop Planning Process Phase Artifacts • Approve and Baseline Planning Process Phase Artifacts • Optimize Planning Process Phase Artifacts • Project Approval Process • Conduct Procurements • Planning Process Phase Review	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Update the OCM Plan • Conduct OCM Activities • Develop the Communication Management Plan • Deliver Planning Process Phase Communications • Support and Assist the Project Sponsor • Support Executive Leadership • Conduct Team Guidelines Session • Identify the Training Method and Approach • Planning Process Phase Review	• Determine and Plan for BPR Activities • Project Support Activities • Design Future State Business Processes • Identify and Document Performance Targets • Planning Process Phase Review
Executing		
• Assemble the Resources • Prepare for the Executing of Process Phase Activities • Direct and Manage Project Work • Monitoring and Controlling Project Work • Develop Project Status Reports • Executing Process Phase Review	• Determine and Plan for OCM Activities • Assess Organizational Change Readiness • Update the OCM Plan • Execute and Monitor the Effectiveness of OCM Activities • Assess Stakeholder Communication Needs • Update the Communication Management Plan • Deliver Project Communications • Support Managers and Supervisors • Conduct Team Guidelines and Team Effectiveness Surveys and Follow Up Sessions • Update the Stakeholder Management Plan • Identify and Engage Stakeholder Group Representatives • Identify and Engage Super Users • Provide Guidance for Identifying and Mitigating Resistance • Plan for Training • Develop Training • Conduct Training • Executing Process Phase Review	• Determine and Plan for BPR Activities • Project Support Activities • Design Detailed Future State Business Processes • Determine Data Sources and Reporting Solutions • Executing Process Phase Review
Closing		
• Prepare for Project Closure • Closeout Project Artifacts • Conduct Lessons Learned • Celebrate Success • Administrative Closeout • Closing Process Phase Review	• Close Out the OCM Project • Communicate Details on Operational Support • Evaluate Training • Coordinate Development and Delivery of Ongoing Training Closing Process Phase Review	• Close Out the BPR Project • Create the BPR Improvement Plan • Create and Populate the BPR Performance Report • Closing Process Phase Review

Figure 2-1

2.3 OCM Resources

OCM is a growing practice and has received increased attention as a critical factor to project success, because it increases the rate of adoption and utilization. A number of OCM resources exist that discuss the many facets of managing change. Many of these resources have common threads, such as managing resistance and garnering stakeholder enrollment, and they may provide different perspectives for the OCM Practitioner to create a nuanced approach on their project. The following sources provide additional reference material and illustrate various approaches that may be helpful.

2.3.1 Resources

The Prosci® ADKAR® Model – ADKAR® is a widely-recognized change management model that focuses on elements that affect change at the individual-level. These elements, which make up the ADKAR® acronym include:

- Awareness (of the need for change)
- Desire (to support the change)
- Knowledge (of how to change)
- Ability (to demonstrate new skills and behaviors)
- Reinforcement (to make the change stick)

When applied to organizational change, this model allows leaders and change management teams to focus their activities on what will drive individual change and therefore achieve organizational results. The Prosci® ADKAR® Model provides clear goals and outcomes for change management activities. It also provides a simple, easy-to-use framework for everyone in the organization to think about change. Employees, managers and senior leaders alike can all use ADKAR® to describe and discuss change together. For more information on ADKAR® and Prosci, visit: www.prosci.com.

Change Management Institute (CMI) – The CMI is a global, independent, and not-for-profit organization set up to promote and develop the profession of change management internationally. For more information on the CMI, visit: www.change-management-institute.com.

Glossary

This glossary offers brief, general descriptions of major OCM roles and terms, many of which are used or referenced in the CA-OCM. This glossary is not intended as a comprehensive or definitive compilation of terminology used in the profession of OCM.

The descriptions are drawn from information within the CA-OCM itself, as well as from highly regarded sources such as the California Project Management Framework (CA-PMF), the Project Management Institute (PMI), and the Association of Project Management (APM).

Understanding OCM roles and terms is vital for OCM success. While these lists do not cover all roles and terms, they include common and important ones that the OCM Practitioner should know and understand.

3.1 OCM Role Definitions

There are many different roles, people, groups, and organizations involved in various elements of an OCM effort. The following is a list of the different types of roles that may be involved and their respective definitions or responsibilities.

BPR Practitioner – The BPR Practitioner is responsible for performing BPR activities during a BPR effort. The BPR Practitioner may lead and manage a team of BPR resources including members of the BPR Design Team, Stakeholders, and other BPR Practitioners. The BPR Practitioner executes activities during all phases of the PMLC, ensuring activities and resulting work products are in line with project goals and objectives. The BPR Practitioner coordinates closely with the Project Manager on schedule, resources, work plan, and monitoring and controlling activities throughout the project. The BPR Practitioner also works closely with the OCM Practitioner to provide process-related training and communication support to ensure buy-in and adoption of new processes.

End User – The end user is the person or organization that will use the project's end product. End users can be state or local employees, or members of the public. There may be several categories of end users, such as the public via a website, customer service call center employees, and financial staff. Each category may have specific project-related needs and expectations.

Executive Leaders – Executive leaders manage or direct employees and oversee core business activities such as strategic decision making, public representation, accounting for the organization's overall performance, and other activities critical to the organization's purpose. These leaders often have authority over project approval, progress, and implementation success.

Human Resources – Human Resources manage the human capital of the business. Human Resources is usually charged with recruiting, hiring, employee retention, and managing benefits.

Implementation Manager – The Implementation Manager leads the project implementation effort. This includes monitoring the installation of hardware required for the project, data conversion, and organizational change management for users and others in the sponsoring organization who require orientation for new capabilities or business processes. The Implementation Manager leads the effort to plan implementation of the project's new functionality, and he or she coordinates with the Business Lead and Technical Lead to ensure a smooth implementation. The Implementation Manager owns implementation risks and issues. The role also has responsibility for creating readiness metrics that allow the Project Manager and Project Sponsor to have a clear picture of readiness to implement the new system.

Key Executive Leaders – See Executive Leaders.

Key Stakeholders – See Stakeholders.

OCM Practitioner – The OCM Practitioner is responsible for performing OCM activities during an OCM effort. The OCM Practitioner may lead and manage a team of OCM resources including members of the OCM Team, Stakeholders, and other OCM Practitioners. The OCM Practitioner executes activities during all phases of the PMLC, ensuring activities and resulting work products are in line with project goals and objectives. The OCM Practitioner coordinates closely with the Project Manager on schedule, resources, work plan, and monitoring and controlling activities throughout the project. The OCM Practitioner also works closely with the BPR Practitioner to provide support for people-related Business Process Reengineering (BPR) activities.

The OCM Practitioner leads the planning, development, and executing of project activities related to preparing the sponsoring organization and other Stakeholders for changes brought about by a new product or system. This may include communication and training on the new system, Stakeholder outreach, and other activities required to successfully implement the project's solution.

Project Manager – The Project Manager is responsible and accountable for successfully executing a project. He or she receives authority from the sponsoring organization to execute the project. This authority is documented in the signed Project Charter. The Project Manager is responsible for organizing and leading the project team that delivers the project goals and accomplishes all of the project deliverables. The Project Manager leads the project team through the Concept, Initiating, Planning, Executing, and Closing Process Phases, all while instituting monitoring and controlling activities to ensure timely project progress. The Project Manager guides project teams to successful completion of each project phase's milestones and deliverables, thereby meeting the goals of the organization. The Project Manager must effectively balance and influence the competing project constraints of scope, quality, schedule, budget, resources, and risks. The Manager provides the communication link between the Project Sponsor and project team. He or she also establishes effective communication between the project team and business representatives participating in the project.

Project Sponsor – This is a critical project role with the authority to decide whether or not a project should be undertaken, as well as the authority to provide funding, resources, support for the project and to cancel the project if necessary. The Project Sponsor ensures the needs of the business area are clearly communicated in a timely manner. With review and approval of project documents and careful progress reviews, the Project Sponsor ensures the design of the system meets all business goals. The Project Sponsor is also responsible for ensuring that adequate financial and business process resources are made available in a timely manner to address business needs. The Project Sponsor is expected to actively lead project teams to address risks and resolve project issues throughout the project lifecycle. He or she may act as senior spokesperson for the project, communicating strategic vision and project status for the project both internally to the project team and externally to other Stakeholders.

Project Team – A project team is a team whose members usually belong to different groups or functions, and are assigned to activities for the same project. A team can be divided into sub-teams according to need. Usually project teams are only used for a defined period of time.

Stakeholder – A Stakeholder is an individual or organization that can influence a project, or can be affected by a project, in some way. "Stakeholder" is a very broad term that includes not only the actual project team members but also any individuals affected by changes brought about by the product.

Stakeholders typically include all of the separate units within the sponsoring organization(s) that have a role to play in conducting or supporting the project, such as the budget shop, the IT division, and the Human Resources unit. Stakeholders also include interface partners and potential users of the project's product, whether they are part of the sponsoring organization or outside of it (including other branches of state government and federal and local government).

Stakeholders include control agencies that review project details, and those who have a role in reviewing and approving aspects of the business processes that may be modified during the course of the project (such as the State Controller approving payment processes). The Legislature is a Stakeholder that may be asked to approve project funding. Public sector project Stakeholders include taxpayers, who have a stake in the effective use of public funds and an ongoing interest in the state's ability to manage projects and tax dollars effectively. Project teams may benefit by categorizing Stakeholders in various ways, such as internal or external, a member of the project team, a person within the sponsoring organization, or members of the public. Project teams typically find it helpful to identify Stakeholders who have significant influence over the project or are significantly affected by it.

Stakeholder Group Representative(s) – Act as liaisons between the OCM Practitioner, project team and their represented Stakeholder population. They work to gather information about Stakeholder priorities, needs, and requirements, communicate project information to Stakeholders, and identify any signs of resistance.

Subject Matter Experts (SMEs) – Subject Matter Experts (SMEs) provide the project team with knowledge of the details of the business operation, financial controls, current database history and structure, and other aspects of the business processes related to the project. These experts often are not assigned full time, but they are brought in as needed during requirements definition, design sessions, validation of design, or at various stages of testing. In more iterative project development, SMEs may be closely engaged in the development process.

Super User(s) – Though more generally used as first-level support for end users, Super Users can also serve as role models for the larger population of Stakeholders. This role provides a positive example for Stakeholders to follow and replicate. Super Users need to demonstrate certain behaviors in order to be effective as role models.

3.2 OCM Terms

The following is a list of OCM terms that are widely used among OCM Practitioners.

Alternative – Different solutions and approaches that must be evaluated and potentially selected to attain the objectives of a project.

Alternatives Analysis – A process of breaking down a complex situation to generate different solutions and approaches in order to evaluate the impact of trade-offs.

Barriers to Change – Barriers to change are obstacles that may prevent an organization or its people from implementing a change. Such barriers may be caused by people, technology, infrastructure, and/or processes.

Business Driver – Business drivers are external and internal forces that create a need for business action or "drive" the organization's business, as well as the strategies that an organization defines in response to these forces.

Business Goal – The underlying basis for which a project is undertaken.

Business Problem – A perceived gap between the existing state and a desired state.

Business Process Reengineering (BPR) – The purpose of Business Process Re-engineering (BPR) is to help prepare users for the new or modified automated system that is being developed. The focus is on understanding and documenting current processes and business needs, and identifying where automation may help. Thereafter, the focus shifts to assisting users to modify or use new processes that incorporate the use of the automated system functionality. Training and measuring process effectiveness are important parts of the BPR effort. The goals of BPR are to streamline existing processes, ensure the correct processes are being automated, and ensure automation is addressing the process need. This does not mean the elimination of all manual processes. Some new processes may be a combination of manual and automated activities. In many cases, organizational change or re-design may be part of the effort, or it may be a simultaneous effort.

Buy-in – An attitude reflective of agreement with and commitment to the success of a project.

California Business Process Reengineering Framework (CA-BPR) – The California Business Process Reengineering Framework (CA-BPR) is intended as a practical guide to help the BPR Practitioner execute, monitor, and control the Business Process Reengineering (BPR) effort, activities, and tasks. The BPR Framework focuses on Information Technology (IT) projects in particular, but is designed for use by BPR Practitioners across multiple industries. The objective of the CA-BPR is to provide BPR Practitioners with useful and practical advice about what they need to do to make their BPR efforts successful.

California Project Management Framework (CA-PMF) – The California Project Management Framework (CA-PMF) is intended as a practical guide to help project teams manage projects of all sizes so that they achieve expected outcomes. The Framework focuses on Information Technology (IT) projects in particular, but is designed for use by project teams across multiple industries. The objective of the CA-PMF is to provide project teams with useful and practical advice about what they need to do to make their projects successful.

California Organizational Change Management Framework (CA-OCM) – The California Organizational Change Management Framework (CA-OCM) is intended as a practical guide to help OCM Practitioners successfully navigate and influence changes brought about by the new product or system. This may include training on the new system, training and implementation activities involving new business processes, Stakeholder outreach, and other activities required to successfully implement the project's solution.

Change Driver – Drivers of change are the factors and major trends driving the need to change. Change drivers align with the strategic focus and answer the questions 'Why change?' and 'Why change now?'

Change Enrollment – Change enrollment is the process of engaging Stakeholders in a change initiative. To achieve full enrollment, Stakeholders must move through the process of understanding, accepting, and embracing the change.

Change Initiative – A change initiative is the systematic process which assesses, plans, and implements an IT solution.

Change Magnitude – Qualitative or quantitative assessment of the magnitude of loss or gain that would be realized should a specific risk or opportunity event or series of interdependent events occur.

Change Management – Change management, or Organizational Change Management (OCM), is the process by which the people-related issues and priorities of a change initiative are identified, assessed, and addressed.

Closing Process Phase – In the Closing Process Phase, the OCM practitioner concludes the effort by measuring the effectiveness of activities and making final adjustments and course corrections as necessary. The OCM effort is accepted and transferred to the support organization. This process phase also provides the opportunity to assess the project, develop lessons learned, and recommended practices for future projects. The completion of all Closing Process Phase activities signifies the formal end of project work.

Communication Channels – Communication channels are different ways of disseminating and collecting information across an organization. A variety of communication channels should be utilized in order to increase the flow of information, and thus, garner increased change support.

Communication Knowledge Area – One of the CA-OCM's six knowledge areas, Communication creates awareness and understanding in order to obtain stakeholder buy-in and reduce employees' resistance to change. Communication is much more complex than sending an email or creating a newsletter. All communication elements should be carefully considered in order to inform and engage employees and Stakeholders.

Concept Process Phase – In the Concept Process Phase, the change initiative is outlined for key leaders and Stakeholders before the project is formally initiated. Long-term project success requires a common understanding of the change, combined with the ability to confront challenges during the course of a project. The OCM practitioner assists in developing the common understanding by helping define the change and communicate it to key leaders and Stakeholders.

Constraint – (1) A limiting factor that affects the executing of a project, program, portfolio or process. (2) Restriction that affects the scope of the project, usually involving availability; assignment; or use of project cost, schedule, or resources. (3) Any factor that affects when or how an activity can be scheduled. (4) Any factor that limits the project team's options and can lead to pressure and resulting frustrations among team members. [Source: PMI.]

Current State – Also known as "as-is." Current state is a model of the current structure and may include such elements as processes, data, applications, technology, etc. The current state is often used as a baseline for measuring the success of future changes or improvements.

Employee Readiness – The level of willingness and preparation of employees to adopt changes or undertake an effort.

Engagement – Active, open, dialog between a project team and Stakeholders involving communication of plans and status and elicitation of feedback.

Environmental Readiness Assessment – The Environmental Readiness Assessment evaluates the level of willingness and preparation of an organization to adopt changes or undertake an effort, based on an analysis of environmental factors.

Executing Process Phase – The Executing Process Phase, the OCM practitioner executes the activities and tasks identified in the previous process phases. The OCM practitioner utilizes strategic thinking, effective communication, people skills, and integration skills to enroll leadership support, engage Stakeholders, perform training and workforce transition activities, and continue communication and feedback activities regarding the initiative.

Feedback Channels or Mechanisms – Feedback channels/mechanism are different ways of collecting information, feedback, and questions from Stakeholders. A variety of feedback channels/mechanisms should be utilized in order to increase the flow of information, and thus, garner increased change support.

Functional Requirements – Characteristics of the deliverable, described in ordinary, non-technical language that is understandable to the customer.

Future State – Also known as "to-be." A model of the future structure (such as process, data, applications, technology).

Initiating Process Phase – In the Initiating Process Phase, the creation of a solid change foundation reduces project risk and increases the likelihood of overall success. The OCM Practitioner determines OCM priorities and potential issues based on the project's nature, size, scope, and complexities. In addition, the OCM Practitioner continues to communicate key messages in order to keep Stakeholders informed, mitigate risks, and gather feedback.

Inputs – Information and/or documents that feed into a process. Inputs may include outputs from other Frameworks, such as the CA-BPR and the CA-PMF, other process phases, or other knowledge areas.

Knowledge Area – Organized groupings of related OCM activities that share a common objective and purpose. Activities from multiple knowledge areas occur within a single process phase. OCM's six knowledge areas include OCM Lifecycle Management, Communication, Leadership Support, Team Dynamics, Stakeholder Enrollment, and Training.

Knowledge Transfer – Flow of knowledge, skills, information, and competencies from one person to another. Can happen through any number of methods, including coaching, mentoring, training courses and on-the-job experience. Knowledge Transfer is very important in many cases, including at the end of a project when a contractor or development staff hand off a new system to state employees who will operate and maintain the system on a day-to-day basis.

Leadership Engagement – Leadership engagement is the process of engaging leaders in a change initiative. To achieve full enrollment, leaders must move through the process of understanding, accepting, and embracing the change.

Leadership Readiness – Leadership readiness refers to a leader's level of engagement in the change initiative. Leaders with a high level of leadership readiness embrace the initiative and are prepared to move forward with all phases of the project. Leaders with a low level of leadership readiness may experience resistance and lack support for the change.

Leadership Support Knowledge Area – One of the CA-OCM's six knowledge areas, Leadership Support increases leadership involvement in and support for change initiatives. Leadership Support should be visible to employees since leaders are linked to the culture of the organization. Understanding leadership is imperative to understanding the organization's culture and providing a lever for changing the culture. Leaders shape and create the organization's attitude toward change and then reinforce it through their behavior and style. Employees look to their organization's leaders at all levels to accept and engage in the change effort. In terms of organizational change, providing leadership with information about their organization's culture and attitude toward change is a useful way for them to begin to be aware of their impact on the organization and the change effort.

Lessons Learned – The knowledge gained during a project, showing how project events were addressed or should be addressed in the future for the purpose of improving future performance. Documented experiences that can be used to improve the future management of projects. [Source: PMI and APM.]

Milestone – (1) Used to measure the progress of a project and signifies completion or start of a major deliverable or other significant metric such as cost incurred, hours used, payment made, and so on. (2) Identifiable point in a project or set of activities that represents a reporting requirement or completion of a large or important set of activities.

Mitigation – (1) Carefully organized steps taken to reduce or eliminate the probability of a risk occurring or the impact of a risk on a project. (2) Actions taken to eliminate or reduce risk by reducing the probability and or impact of occurrence.

Mitigation Strategy – Carefully organized steps taken to reduce or eliminate the probability of a risk occurring or the impact of a risk on a project.

Non-functional Requirements – Non-functional requirements define the operation of a system. They may include quality attributes, design and implementation constraints, and external interfaces that the system must have.

OCM Lifecycle Management Knowledge Area – One of the CA-OCM's six knowledge areas, OCM Lifecycle Management plans, defines, and manages the activities necessary to transition the organization and its people to a future state. The activities in this knowledge area govern the performance of all other knowledge area activities and guide management activities that are specific to OCM. OCM Lifecycle Management provides the tools necessary for the OCM Practitioner to manage the OCM effort throughout the project, as well as identify areas that can be customized within the OCM effort.

Organizational Change Management (OCM) – A structured approach to shifting or transitioning an organization from the current state to a desired future state. OCM is the application of a set of tools, processes, skills, and principles for managing the people side of change to achieve the desired organizational change. It is a process aimed at empowering employees to accept and embrace changes in their business environment. OCM is frequently required during a project and/or upon implementation of the project's product or other end result.

Output – The tangible or intangible product typically delivered by a project. [Source: APM.]

Planning Process Phase – The Planning Process Phase addresses the organization, preparation, definition, and refinement of how the project and related OCM efforts will be executed and monitored. The Planning Process Phase helps guide successful completion of essential OCM planning activities. The OCM Practitioner will define and refine the OCM and training objectives. They will develop knowledge area strategies, plans, activities, and tasks to attain those objectives, and establish methods for measuring their effectiveness for maximum success.

Preferred Senders – In communication, the message disseminators that are most suitable to communicate certain messages. Preferred senders vary due to audience groups, message content, timing, and delivery channel.

Process Phase – A collection of logically related project activities that culminates in the completion of one or more deliverables. (The California Project Management Framework (CA-PMF) describes each of the five process phases: Concept, Initiating, Planning, Executing, and Closing.) [Source: PMI.]

Project Approval Lifecycle (PAL) – California has adopted the PAL to improve the quality, value and likelihood of success for technology projects undertaken by the State of California. The PAL is intended to ensure projects are undertaken with clear business objectives, accurate costs and realistic schedules. The PAL includes various stages separated by gates that are specifically tailored for IT projects.

- **PAL Stage 1** – Business Analysis: Provides a basis for project management, program management, executive management, and state-level control agencies to understand and agree on business problems or opportunities, and the objectives to address them.

- **PAL Stage 2** – Alternatives Analysis: Provides a basis for how the proposal's business objectives will be achieved, the evaluation of multiple alternative solutions, determines which alternative will yield the highest probability of meeting the business objectives, and to develop an acquisition strategy/plan for procuring services.

- **PAL Stage 3** – Solution Development: Provides confirmation of the solution requirements needed to achieve the business objectives and development of the Request for Proposal (RFP) for the acquisition of services if needed.

- **PAL Stage 4** – Project Readiness Approval: A Solution Project Readiness and Approval Analysis that solicits bids from vendors as to how they propose to meet the business requirements of the chosen alternative approach, and where the final form of the project is approved to go forward.

Project Management Lifecycle (PMLC) – A series of process phases to provide better management and control over a project. During each phase process, activities and tools are used to fulfill project goals or objectives. The PMLC is designed to accommodate projects that vary in size and complexity.

Project Management Plan (PMP) – The document that describes how executing, monitoring, and controlling of the project will be conducted. [Source: PMI.]

Project Vision – A statement that captures the long-term picture of what the organization or project wants to become. A vision statement typically strives to be inspirational, memorable, and reflect the desires of those with vested interests.

Requirement – A requirement is defined as "a condition or capability that must be met or possessed by a system or system component to satisfy a contract, standard, specification, or other formally imposed documents" (IEEE 610-12-1990 [R2002]). Therefore, requirements identify, in objective terms, the criteria used to measure project success. Requirements should be captured and approved as early as possible in the project.

Resistance to Change – Resistance to change refers to an individual's natural inclination to resist changes of any kind. Resistance is often unique to each individual. Resistance may vary in timing and the way it manifests itself. However, resistance to change is normal, and it should be expected and planned for.

Risk – An uncertain event or condition that, if it occurs, has a positive or negative effect on one or more project objectives.

Risk Tolerance – The criteria against which Stakeholders evaluate a risk. Different risk tolerances may be defined for each risk, risk category, or combination of risks. Exceeding a risk threshold is a condition that triggers some action.

Root-Cause Analysis – Root-cause analysis is a process of identifying underlying causes of a problem through the use of specific analytical methods. Example methods include, 5-Whys Analysis, Barrier Analysis, Change Analysis, Casual Factor Tree Analysis, Failure Mode and Effects Analysis, Fish-Bone Diagram, Pareto Analysis, and Fault Tree Analysis.

Scope – The totality of the outputs, outcomes, and benefits and the work required to produce them. [Source: APM.]

System Development Lifecycle (SDLC) – This is a model used in project management that describes the stages (or phases) involved in an information system development. The purpose is to meet user requirements in support of business strategic goals and objectives. Also see SDLC Phase descriptions. [Source: PMI.]

Stakeholder Enrollment Knowledge Area – One of the CA-OCM's six knowledge areas, Stakeholder Enrollment engages Stakeholders in a change initiative and identifies and addresses employees' resistance to change. Stakeholders include persons or groups who are directly or indirectly affected by a project, as well as those who may have the ability to influence its outcome.

Stakeholder enrollment is the act of methodically introducing a change to Stakeholders and obtaining their engagement and buy in. Stakeholders form the foundation of a change, and their enrollment drives change progress. Oftentimes, Stakeholders provide a mirror into the attitude and culture of an organization. Enrollment activities will identify Stakeholders and guide the effort to involve them.

Team Building – Team building addresses intra- and intergroup competition, and rigidities and unresponsiveness within an organization. Team members are encouraged to address team dynamics problems by performing self-assessments, meeting regularly to discuss issues and celebrate successes, and holding each other accountable.

Team Dynamics Knowledge Area – One of the CA-OCM's six knowledge areas, Team Dynamics creates a cohesive project team and maintains effective team dynamics. The project team needs to work harmoniously to maximize productivity and minimize issues and risks related to challenging team dynamics. In addition, as proponents of the change within an organization, the project team should be sensitive to the organization and team culture. The overall project team may consist of individuals representing different organizations, such as state and contractor employees, as well as different disciplines, such as project management, OCM, BPR, and technical professionals.

Training Knowledge Area – One of the CA-OCM's six knowledge areas, Training provides end users with thoughtful, applicable training in preparation for their transition into the future state. A thoughtful training approach will prepare end users for their new roles by equipping them with the knowledge and skills necessary to succeed. Training is a key component to project implementations and should be tailored specifically to the needs of the organization and end users. Training can be customized in content, delivery channel, and timing, among other factors.