LAUNCHING SUCCESSFUL TRANSFORMATION
Dr. Linda Ackerman Anderson, Being First, Inc.

Brandman University
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Three Types of Change

**Developmental Change**

Improvement of what is; new state is a prescribed enhancement of the old state.

**Transitional Change**

Design and implementation of a desired new state that solves an old state problem; requires management of the transition process to dismantle the old state while putting in place the new state; managed timetable.

**Transformational Change**

Market requirements force fundamental changes in strategy, operations, and worldview: (1) New state is unknown - it emerges from visioning trial and error discovery, and learnings; (2) New state requires fundamental shift in mindset, organizing principles, behavior, and/or culture, as well as organizational changes, all designed to support new business directions. Critical mass of organization must operate from new mindset and behavior for transformation to succeed and new business model or direction to be sustained.

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Determining the Type of Your Change Effort

If you answer “yes” to two or more questions for any one type, then that is the primary type of change occurring in your change effort.

**Developmental Change Questions**

1. Does your change effort primarily require an improvement of your existing way of operating, rather than a radical change to it?  ____ Yes  ____ No
2. Will skill or knowledge training, performance improvement strategies, and communications suffice to carry out this change?  ____ Yes  ____ No
3. Does your current culture and mindset support the needs of this change?  ____ Yes  ____ No

**Transitional Change Questions**

1. Does your change effort require you to dismantle your existing way of operating and replace it with something known but different?  ____ Yes  ____ No
2. At the beginning of your change effort, were you able to design a definitive picture of the new state?  ____ Yes  ____ No
3. Is it realistic to expect this change to occur over a pre-determined timetable?  ____ Yes  ____ No

**Transformational Change Questions**

1. Does your organization need to begin its change process before the destination is fully known and defined?  ____ Yes  ____ No
2. Is the scope of this change so significant that it requires the organization’s culture and people’s behavior and mindsets to shift fundamentally in order to implement the changes successfully and achieve the new state?  ____ Yes  ____ No
3. Does the change require the organization’s structure, operations, products, services, or technology to change radically to meet the needs of customers and the marketplace?  ____ Yes  ____ No
Conclusions

1. Which of the three types of change is the primary type in your change effort?

2. List the factors in your change effort that make it this type:

3. Which of the other two types of change are also occurring within your change effort?

4. Considering content, people, process and the type of your change, what work are you currently focusing on?

5. What changes need to be made to your role?
Successfully Launching Transformation: Strategic Questions

Launch Strategy

- How will you ensure leadership understanding of everything your transformation needs to be successfully launched? (Review the list of elements.)
- How will you determine, with others, the best process to address the Launch Elements appropriate to your TCP?

Change Governance

- What level of understanding is there in your leadership team of the Change Leadership roles and teams required to lead an effective transformation? Are all roles necessary for your magnitude of change?
- How will you determine the right level of decision authority for the people filling your change roles?

Desired Outcomes

- How will you work with your change leaders to determine compelling outcomes for your TCP, beyond metrics?
- How will you test if your outcomes are truly motivating to your stakeholders and end-users?

Engagement Strategy

- What are your best opportunities to “light up” your stakeholders during the change process? What might you ask of them that they are excited to offer? How can you best demonstrate the value of their input to the success of your TCP?
- What do you do when the leaders think they already have the right solution and your stakeholders need something different to be successful?

Kick-Off Communications

- Is communications an event or a process? What are the most engaging vehicles for communicating the possibility of your TCP?
- How will you know you have successfully enrolled your stakeholders in committing to achieve your TCP outcomes? What indicators will you look for?
Launch Strategy Elements

Project Checklist

☐ Sponsor alignment/expectations/role in launch strategy development
  ☐ Who is your sponsor?
  ☐ What do they expect of you? Of this project?
  ☐ To what degree do they understand their role in visibly/continuously advocating for project outcomes?

☐ Launch Process Design: Who designs how to launch the project?

☐ Working Sessions to produce Launch deliverables (who participates, who facilitates, design, schedule)
  ☐ Case for Change and Desired Outcomes/Vision
  ☐ Change Strategy (see elements below)

☐ Change Governance
  ☐ Change Leadership Roles
    • Consultant interface/rhythm with project leaders
  ☐ Teams
  ☐ Structure
  ☐ Decision-making
  ☐ Roles and Team Launch Process/Alignment

☐ Project Briefing/Status of project (Where is it in the CLR?)

☐ Boundary Conditions: What is within scope and what is out-of-bounds? What parameters exist?

☐ Stakeholder Map: Who will be impacted by the change; who needs to be engaged in it in some way?

☐ Change Strategy Development:
  ☐ Values and Guiding Principles
  ☐ Governance (see above)
  ☐ Scope: WorkStreams and Sub-initiatives
  ☐ Multiple Project Integration Strategy and Structure
- Engagement Strategy
- Communications Strategy
- Resources/Budget
- Milestone Events
- Estimated Timeline

- Project Operations
  - Interface with Normal Business/Operations Governance
  - Meeting Rhythm and Management
  - Information Management
  - Temporary Infrastructures

- Conditions for Success: Who identifies them; who ensures they happen and sustain?
- Change Capacity Assurance: Who assesses what is needed and secures it?
- Kick-off Communications and Process
- Project Review Process and Tools: Who identifies them; who ensures they are used?
- Course Correction Process: Who designs it; who ensures it is implemented and used?
Change Leadership Roles: General Definitions and Deliverables

Introduction

Below is a brief definition of the seven primary change leadership roles, including the deliverables most often required by each role. Use this list to determine which change leader roles are needed in your change effort and to communicate their global responsibilities.

Sponsor

The individual with the highest line authority over the change effort, “the executive champion,” the person who has the primary influence over the desired outcomes for the change: inputs significantly to the change strategy; supports the efforts of the change process leader; is a member of the change leadership team; sets parameters; approves of the desired future state solution; ensures conditions for success are named and supported; keeps the transformation in alignment with the overall business; handles major communications; ensures major course corrections are surfaced and made; acknowledges benchmark successes during the change process; maintains ongoing link with major stakeholders; models the desired mindset and behavior required by the transformation.

Deliverables:

- Achievement of the organization’s business strategy through the creation and oversight of the change strategy, initiatives, and conditions required to produce business outcomes
- Mobilization and alignment of the entire organization undergoing the change
- Clear direction and path for the change
- Sustained well-being in the organization during and after the change
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Executive Team

The executive leadership team of the organization within which the change effort is occurring (may be the entire company or a segment): responsible for determining the desired outcomes of the transformation as required by the business strategy and supporting their achievement; runs the business and inputs to the change strategy; ensures the right fit and priority of the overall change effort within the other priorities underway in the organization.
Deliverables:

- Clear expectations for the changes required within the organization
- Effective operations of the business while the change is taking place
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Change Leadership Team

Leaders (cross-functional, initiative leaders, or key stakeholder representatives from the entire system being transformed) with delegated authority to create the change strategy and high-level process plan to execute it (this includes refining the desired outcomes, as necessary, prioritizing and integrating initiatives, and identifying milestone events): led by the change process leader; core team that oversees and course corrects the change strategy, initiatives, and change process as the overall effort unfolds. Depending on the scope of the change, this team may be the same as the executive team, in which case it would have responsibilities for the combined functions of both teams. If it is a separate team, then it runs the change effort while the executive team runs current operations, with some executives likely having dual membership. If large, this team may have a small subset that functions as a nimble “strategic navigation team.”

Deliverables:

- A change strategy and change process plan that will produce the desired outcomes of the change effort
- Continuous oversight and realignment of the change strategy, initiatives, and process to meet the emerging needs of the change effort during the continued successful operation of the business
- Successful integration and alignment of all change initiatives
- Adequate resources for the change effort
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Change Process Leader

A line manager or executive as high in the organization being changed as possible: has delegated authority from the sponsor to lead the change effort and produce its results; oversees the design and execution of the change strategy, initiatives, and each phase and activity of the overall change process; leads the change leadership team and project integration teams; responsible for clarifying the scope, desired outcomes, pace, conditions for success, constraints, infrastructure, and metrics; provides advocacy for and integration of change initiatives; obtains resources for the transformation; oversees communication, manages information, and ensures course correction; models mindset and behavior changes; provides feedback and coaching to all change leaders and stakeholders.
Deliverables:

- A change strategy and change process plan that will produce the desired outcomes of the change effort
- Creation of the conditions for success
- Continuous oversight and realignment of the change strategy, initiatives, and process to meet the emerging needs of the change effort during the continuing operation of the business
- Successful integration and alignment of all change initiatives
- Building a critical mass of support for the change through employee engagement
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Change Initiative Lead

A line or project manager who is in charge of an initiative within the overall change effort: may have their own sponsor, yet also reports in to the change process leader and change leadership team; responsible for setting their initiative up for success according to the overall transformation's outcomes, values, and guiding principles; ensures that the best solution is designed, and oversees planning and implementation so that results are achieved and people are engaged in positive ways; ensures timely course correction and coordination with interdependent initiatives; leads the change project team for this initiative; models the desired mindset, behaviors, and cultural norms.

Deliverables:

- A change strategy and change process plan that will produce the desired outcomes of this initiative
- Continuous oversight and realignment of the change strategy, project teams, and process to meet the needs of the overall change effort
- Successful integration and alignment of this initiative with all other change initiatives
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Change Project Team

Cross-functional representatives, sub-initiative leaders, and/or specially skilled individuals who help the change initiative lead in the day-to-day activities of carrying out a particular change effort; completes the work of various change activities for this change effort (e.g., design and impact analysis); pursues feedback and information for course correction and communicates with all stakeholders.
Deliverables:

- Fulfillment of the requirements of each major phase of the change process for an initiative
- Continuously gathers new information about the change that may influence how it rolls out
- Being a model of the mindset, behavior, and cultural changes required for a successful change

Change Consultant

Change process expert and coach: key support to the sponsor, the change process leader, and the change leadership team in building and carrying out the best overall change strategy and change process; acts as sounding board and third party; educates about transformation and strategies for how to proceed; helps plan change strategy, major events, communications, trainings, and meetings; assesses progress, problems, concerns, political, and cultural issues; helps facilitate change in mindset and behavior; facilitates course corrections to the change strategy and process; provides feedback and advocates for conditions for success; interfaces with other consultants working on the transformation. You may have a change consultant for each major sub-initiative to guide the process and participate in integrating all interdependent change initiatives.

Deliverables:

- Advice and support to produce the change strategy and change process that will deliver the results of the overall change effort and/or a sub-initiative
- Guidance to make change initiative integration successful
- Improved competency and knowledge transfer to the organization about effective change leadership
- Timely course corrections on any aspect affecting the success of the effort
- Being a model of the mindset, behavior, and cultural changes required for a successful change
Info Sheet: Desired Outcomes

People need to know where they are going in order to positively contribute to getting there. Desired outcomes provide necessary inspiration and clear direction to your change effort. You should have your initial desired outcomes identified by the time you complete your case for change so you can use them together to build understanding and commitment to your effort.

Desired outcomes can take a number of forms, ranging from a high-level vision statement that provides general direction to specific, measurable goals or objectives. Vision statements are compelling pictures of what will be happening in your organization (its people, customers and all stakeholders) when the transformation has produced its desired results. Vision statements are, by design, inspirational. They are meant to evoke people's passion and commitment, providing emotional fuel rather than clear or tangible direction.

Goals, on the other hand, provide more specific direction, and can therefore be more measurable and time bound. In transformation, both vision statements and goals are valuable. Use vision statements to inspire people and goals to direct their actions.

Early in your transformation, you may only have the capacity to develop very general desired outcomes. Setting specific goals can be a challenge at startup because you often need to begin the process of change before you know exactly where you are going. You may know the general compass heading, but not your exact destination. For example, you may realize that you need to transform your business or profit model, go global, or provide for much greater product customization to meet your clients' needs, but the exact form of any of these directions may not be known at the beginning of your journey. If this is the case, then your initial desired outcomes will simply provide initial direction to your employees. You can further define and quantify specific and tangible goals for your change effort as you proceed.

Do not worry if you can only provide high level, general statements of direction at this time. That is all that is needed at the beginning of your change.

Multiple levels of desired outcomes usually exist in a major transformation. For enterprise-wide initiatives, your desired outcomes should clarify what your organization will achieve when you have successfully fulfilled the over-arching purpose of the change, which will ultimately enable you to implement your business strategy and achieve its goals. Your desired outcomes for individual initiatives that are within the overall enterprise agenda should describe the results that will contribute to the larger outcome. Where possible, include the financial, technical, organizational, cultural, or personal outcomes.

Focus on Results

Whenever possible, your desired outcome statements should identify the results your changes shall produce, not the activities required to produce them. For example, you might identify the desired outcome, "We will have an effective Customer Relationship Management System as a result of this change." But that statement only specifies the "content" of your change, i.e., what system you want to install. It does not announce the specific results or benefits you want from the installation. Implementing your CRM system is not what is really
important. Getting the tangible business or human benefits (return on investment) from that implementation is the real value, and your desired outcome statement should reflect that fact.

So, at the beginning of a transformation, a more useful statement of desired outcomes might be, “We will have an effective Customer Relationship Management System that will reduce costs, increase revenues, increase customer satisfaction, and enable us to deliver customized solutions quickly.” Later in the change effort, as design requirements are specified, the desired outcome statement might evolve to: “We will have an effective Customer Relationship Management System that produces annual savings of one million dollars, increased customer satisfaction of 30%, increased sales of five million dollars, and enables us to deliver customized solutions to our clients within two weeks.” With either of these desired outcomes directing the effort, the transformation calls for an actual return on investment, as opposed to assuming the change is done once the CRM system is “in place.”

Tool: Determining Your Desired Outcomes for Change

Introduction

In Alice in Wonderland, the Cheshire cat told Alice, “If you don’t know where you are going, any road will get you there!” To succeed in change, people need to know where they are headed and what will be the result and benefits of their efforts. Without this clarity, they will feel lost and have no ability to discern whether their change activities are relevant and of value.

This tool is designed to help you determine your initial desired outcomes so you can more effectively communicate your case for change to your organization. Based on your particular change effort, you may need to tailor this tool in terms of how, when, and why you will use it. Who will create the vision for your change—your executives alone or in conjunction with greater employee engagement—will determine your use of this tool.

**Task I.F.3. “Identify Process for Creating Shared Vision,”** helps you determine how you will build your vision for your change. It directly addresses whether the executives will create the vision by themselves and then communicate it to employees, or whether the executives will engage employees in co-creating the vision with them. No matter how you end up creating the “official” vision for this change, the leaders need to clarify at this time the general direction and desired outcomes for the change in preparation for communicating the case for change. They might decide to use the work done here as the actual vision, or as input to a more participatory process of visioning later. Review **Task I.F.3** at this time to see how you might use this tool in your official visioning process later.

Before completing this tool, be sure to read the two Info Sheets: *Definitions of Success* and *Desired Outcomes*. Together, they will help you clarify the scope of outcomes you will determine in this task, and in particular, whether you will describe each desired outcome as a general vision statement or a specific and tangible goal.
Instructions

Step 1 Facilitate a discussion among your executives and change leaders to get them thinking about their definition of success and desired visioning process so you can determine how best to apply this tool.

Step 2 Given the above discussion, identify the best people to clarify the desired outcomes for your change effort at this time. They may be your executive team or change sponsor. However, also consider people who have diverse points of view about why the change is important to the future of the organization or people from various stakeholder groups affected by the change. You may want to review the Project Community Map you created in Task I.A.4 to identify your various stakeholder groups.

Step 3 Determine each participant's role in specifying your desired outcomes (i.e., decision-maker, active participant, provider of sounding board advice or secondary input, approver of the final product).

Step 4 Provide everyone with the information you have already gathered to shape this work, such as the outputs of other Change Tools already completed, including Determining the Accurate Scope of Your Change Effort (I.B.6) and Identifying Your Drivers of Change (I.B.2), your organization's business strategy and goals, or your change effort's charter or purpose. Ensure that all the participants understand the scope of the change and the organizational, technical, cultural, and personal requirements for it, as currently known. Have the participants read the two Info Sheets: Definitions of Success and Desired Outcomes.

Step 5 Have the participants consider and discuss the questions on Worksheet 1 to prompt their thinking about desired outcomes. Many of the questions are similar, but each will access people's thinking about vision and desired outcomes in different ways. Select only those that are valuable to your group. If this is, in fact, your change effort's visioning process, then facilitate the group to conclude their discussion with a refined vision statement for the change.

Step 6 On Worksheet 2, decide the Level of Success expected of your change effort and the areas in which you want to write desired outcomes.

Step 7 Based on the level of success you select, write clear desired outcomes for each area you have identified. Be sure to write the outcomes as “positive affirmations”—statements that inspire the greatest motivation for those reading them. To make your statements into positive affirmations: (1) write in simple subject–verb language (i.e., we achieve; our sales increase), (2) use action verbs (i.e., “achieve,” “produce,” “deliver,” “gain”), (3) use positive descriptors of exactly what you want to produce (as opposed to describing the negative attributes you do not want), (4) write in the present tense (as opposed to future tense) so the reader imagines
the future state is existing now, and (5) make your statements complete, but as short and concise as possible.

Step 8  Determine how your statements will be used and by whom. Discuss how they will be used to inspire a positive response to the change as you communicate your case for change and its needs and risks.

Step 9  Test your statements with various stakeholders to ensure that they are clear, compelling, and meaningful to each stakeholder group affected by the change. If feasible, you may want to alter your statements to speak to the special needs of your various target groups. Be sure to include the desired outcomes in your kickoff communications and in your early employee engagement activities.

Step 10 Get approval as needed for your outcome statements.

Step 11 Determine how you will continue to refine your desired outcomes as you proceed through your change effort, and who will be responsible for this continued effort. If you have clarified them at the vision level here, remember that you will likely come back to them in Phase III to refine them into tangible goals or design requirements for the change.

Step 12 Engage your change leadership or executive team to do this work, or identify the best people to: (1) assess your organization’s track record with employee engagement, (2) identify your change leaders’ underlying mindsets about participation, and (3) create your engagement strategy. Be sure to include any people in your organization who are knowledgeable about the different types and vehicles for engagement and how to use them effectively.
Worksheet 1

Input to Vision: Questions to Consider

1. When your change effort is complete, what will you be achieving that you cannot currently achieve? _____

2. How will your change effort contribute to or fulfill your business strategy? How will it help your organization to better meet the demands of its environment and customers? _____

3. What goals will you achieve as a result of this change, beyond profitability? _____

4. When complete, what is in place and successfully running as a result of this effort? What are people doing? How are they working and relating to each other differently? _____

5. How are each of the following improved by the change effort? _____
   - The organization’s operations and business processes: _____
   - Products and services: _____
   - Culture: _____
   - People’s behavior and working relationships: _____
   - People’s mindsets: _____
   - Performance: _____
   - Morale: _____
   - Quality: _____
   - Customer Service: _____
   - Innovation: _____
   - Profitability: _____
   - Other: _____

6. What about this effort makes people proud? What about it is emotionally and intellectually satisfying? _____
WORKSHEET 2

Clarifying Desired Outcomes

1. What is the Definition of Success for your change effort?

   ___ Level One: Determine the new state design.
   ___ Level Two: Implement the new state design.
   ___ Level Three: Achieve the desired business outcomes.
   ___ Level Four: Transform the culture.
   ___ Level Five: Increase the organization’s change capability.

2. List the aspects of your organization that your desired outcomes must address, such as business processes, structure, strategy, people, technology, finances, customer service, culture, innovation, etc.

3. For each aspect of your organization, write the affirmation that specifies your change effort’s desired outcome(s) for that topic. Keep in mind that you are writing the desired outcome either as a vision statement or a tangible goal, given the information currently available and your visioning process. Be sure that each statement aligns to the Level of Success you are pursuing.
Engagement Strategy

Purpose and Benefits

When change is forced on an organization, it generates resistance. Since people must ultimately choose to undertake the change, engagement strategy is your vehicle for involving people in creating their desired future. People need a way to influence their new reality, both the process of how it is created and the actual new state they are to implement. Engagement accomplishes this, giving people a focus for their energy and a way to make a positive contribution. The more and the earlier you engage the right stakeholders in the process, the more momentum you will generate for the change.

Roles

The Sponsor and the Change Leadership Team must agree to use and model true engagement in the way in which they will lead this change effort.

The Change Process Leader and typically the change consultant and your communications staff help to create the engagement strategy and specific actions for the entire life of the change. They are the ones to oversee the design, execution, and oversight of the actual engagement events during the entire life cycle of the change effort. They support the leaders to play their part in engagement activities.

Process of Doing the Work

1. The Sponsor and the Change Leadership Team meet to explore engagement strategies and vehicles. If any education about engagement is required, that takes place first.

2. The Sponsor and the Change Leadership Team agree to use engagement and explore tasks in their change plan, such as communications about the case for change that are prime applications for engagement.

3. The Change Process Leader and change consultant build out the engagement plan for the life of the change effort, to the degree that they can at this point. Integrate your change communications plan with the engagement plan.

4. Integrate all engagement actions into the change strategy and plan.

5. Oversee all engagement activities during the rollout of the plan. Ensure that the leaders are on board with each engagement event that they are a part of.
Content, Tools, CLRM Resources

- INFO SHEET: Stakeholder Engagement: Opportunities, Types, and Vehicles
- TOOL: Designing Your Engagement Strategy

Options for Tailoring

- Create a reasonable engagement plan and present it to the change leaders.
- Enroll the leaders in one engagement event at a time and not the entire plan at once.

Implications of Skipping

- The stakeholders of the change never really buy in to it and the change stalls.
- The stakeholders of the change feel “done to” by the leaders and resentment builds.

Consulting Issues

- How will you enroll the leaders in planning for true engagement, not just “one-way communications meetings” out to the stakeholders?
- How will you integrate your change communications plan with your engagement strategies?
Info Sheet: Opportunities, Types, and Vehicles

Creating an effective stakeholder engagement strategy is an extremely important aspect of your overall change strategy. The more engagement you have, the more commitment and positive contribution you will have, and, as engagement goes up, resistance goes down.

However, stakeholder engagement is not easy. It takes time and resources to coordinate involvement, and takes people away from their normal operational jobs. This Info Sheet will help you think through the key aspects of stakeholder engagement in preparation for designing your engagement strategy.

Engage in What?

The first question to answer is, “In what change tasks do you want your stakeholders to engage?” Often, change leaders put off much engagement until the change effort is in its implementation phases. Generally, this is a mistake. By then many stakeholders, especially employees, will have already formulated their positions regarding supporting or resisting the change.

You should begin thinking about engagement the moment you conceive your need to change. Stakeholder engagement can and should begin very early in the change process, as early as assisting the leaders in the task of assessing the drivers of the change to the task of building the case for change. Certainly, employees (including executives and managers) should be engaged in understanding the case for change, if not helping to create it. They should learn about (even help create) the vision of the change, as well as the desired outcomes for it. They can also be involved in assessing customer requirements, doing benchmarking, even designing the future state. All of this occurs long before implementation.

Early stakeholder engagement will cause your initial phases of change to be more complex, but you will have to deal with far fewer people problems during implementation if you engage people early.

The following table lists the change tasks in The Change Leader’s Roadmap with the most obvious opportunities for stakeholder engagement. You may engage stakeholder groups in other tasks, but these warrant serious consideration in any large change effort.

- Task I.B.2 Assess Drivers of Change
- Task I.B.5 Perform an Initial Impact Analysis
- Task I.C.1 Access Readiness and Capacity
- Task I.C.2 Build Readiness and Capacity
- Task I.D.2 Ensure Leaders Model Desired Mindset and Behavior
- Task I.D.3 Build Leader Commitment and Alignment
- Task I.D.4 Develop Leaders’ Change Knowledge and Skills
- Task I.D.6 Support Individual Executives and Change Leaders
- Task I.E.8 Clarify Engagement Strategy
- Task I.F.4  Design Information Generation and Management Strategies
- Task I.F.5  Initiate Your Course Correction Strategy and System
- Task I.F.6  Initiate Strategies for Supporting People through Emotional Reactions and Resistance
- Task I.F.7  Initiate Temporary Support Mechanisms
- Task I.F.9  Initiate Temporary Rewards
- Task II.A.1  Communicate Case for Change and Change Strategy
- Task II.A.3  Demonstrate that the Old Way of Operating is Gone
- Task II.B.1  Build Organization’s Change Knowledge and Skills
- Task II.B.2  Promote Required Mindset and Behavioral Change
- Task III.A.1  Assess Relevant Aspects of Your Organization
- Task III.A.2  Benchmark Other Organizations for Best Practices
- Task III.A.3  Clarify Customer Requirements
- Task IV.A.3  Pilot Test
- Task V.A.2  Identify and Group Impacts
- Task V.A.3  Assess Magnitude of Impacts and Prioritize
- Task VI.A.2  Identify Impact Solutions and Action Plans
- Task VI.A.3  Integrate Solutions and Action Plans and Compile Implementation Master Plan
- Task VI.A.4  Design Strategies to Sustain Energy for Change
- Task VI.B.2  Support People Through Implementation
- Task VI.B.3  Communicate Implementation Master Plan
- Task VII.A.1  Roll Out Implementation Master Plan
- Task VIII.A.1  Celebrate Achievement of Desired State
- Task VIII.B.1  Support Individuals and Teams to Integrate and Master New State
- Task VIII.B.2  Support Whole System to Integrate and Master New State
- Task IX.A.1  Build System to Refine and Continuously Improve New State
- Task IX.B.1  Learn from Your Change Process and Establish Best Practices
Stakeholder Engagement

Who to Engage?

Once you have identified the change tasks in which you want significant engagement, you then must answer the questions, “Which stakeholders to engage?” Clearly, employees or sub-sets of them (supervisors, managers, plant workers, etc.) will be the most often engaged stakeholders. However, you should scan your entire project community map to ascertain the best stakeholder to engage in each task. See the Tool: Identifying Your Project Community.

Engage in What Ways?

Once you have identified the change tasks and stakeholders, you must clarify what you want them to do in their engagement. The diagram, Types of Engagement, lists the various ways you might engage stakeholders in any change task. Do you want specific stakeholder groups to perform some rote actions, offer original thinking such as providing input or advice, make decisions, or create results they own? As you move down the types of engagement continuum toward creating results, the engagement provides greater influence, and therefore, generates more commitment. People are more committed to processes when they own the results and the actions to achieve them.

The diagram below breaks down the four classifications of engagement into eight different types of engagement. In any given change task, you might use different types of engagement for each stakeholder group you engage in any change task.

Types of Engagement

Engage How?

The following table, Vehicles for Employee Engagement, specifies the various methods of engagement, both technological and face-to-face, for engaging individuals, small groups, and large groups. Face-to-face engagement usually has more impact than do technological vehicles.

Often, you might decide it best to use multiple vehicles for any given change task and stakeholder group. For
example, you might begin your engagement regarding communicating your case for change and vision with supervisors using a large group, face-to-face vehicle. Then a week later, you might plan a work product to be produced in the supervisor’s work team, followed a week later with a response form to be filled out on your change effort’s intranet site by individual supervisors.

Be sure to use the vehicles for engagement that will deliver the results you need from each engagement. Do not expect technological engagements to deliver the same quality of human impact as face-to-face.

Many new vehicles for engaging large groups are being developed. These are often touted as change methodologies, but this is a misnomer; they are actually meeting methodologies. A great reference book that explains many of these methodologies is, *The Change Handbook*, Holman, P., Devane, T., and Cody, S., Berrett-Koehler, San Francisco, CA, 2007.

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<th>VEHICLES FOR STAKEHOLDER ENGAGEMENT</th>
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<td>• Task Forces</td>
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<tr>
<td>• Focus Groups</td>
</tr>
<tr>
<td>• Brown Bag Lunches</td>
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<tr>
<td>• Learning Maps</td>
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<tr>
<td>• Listening Circles</td>
</tr>
<tr>
<td>• World Cafe Groups</td>
</tr>
<tr>
<td>• System-Wide Networks (i.e.,</td>
</tr>
<tr>
<td>ambassadors, representatives,</td>
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<tr>
<td>advocates)</td>
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<tr>
<td>• World Cafe</td>
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<tr>
<td>• Conference Model</td>
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<tr>
<td>• Open Space</td>
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<tr>
<td>• Real-time Strategic Change</td>
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<tr>
<td>• Future Search</td>
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<tr>
<td>• Appreciative Inquiry</td>
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<tr>
<td>• All-Hands Meetings</td>
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<tr>
<td>• Learning Maps</td>
</tr>
<tr>
<td><strong>TECHNOLOGICAL</strong></td>
</tr>
<tr>
<td>• Video Conferencing</td>
</tr>
<tr>
<td>• Telephone Call</td>
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<tr>
<td>• Interactive Website</td>
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<tr>
<td>• Website</td>
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<tr>
<td>• Instant Messaging</td>
</tr>
<tr>
<td>• Email</td>
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<tr>
<td>• Response Form</td>
</tr>
<tr>
<td>• Newsletter; newspaper</td>
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<tr>
<td>• Written Memo</td>
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<tr>
<td>• Video Conferencing</td>
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<tr>
<td>• Telephone Conferencing</td>
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<tr>
<td>• Online, Real-time</td>
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<tr>
<td>Workgroups</td>
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<tr>
<td>• Blogs</td>
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<tr>
<td>• Video Conferencing</td>
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<td>• Telephone Conferencing</td>
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<tr>
<td>• Webinars</td>
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<td>• Surveys</td>
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<tr>
<td>• Blogs</td>
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Tool: Designing Your Engagement Strategy

Introduction

You most likely have experience using some form of employee engagement. Your experience may have been positive, and therefore, you are confident about using a high level of participation in this change effort. Or, you may have run into difficulty and are now concerned about how to engage employees and other stakeholders without triggering problems. No matter which experience you have had, it is important to take a moment and reflect on what you did in the past, how it went, and what conditions supported or prevented a positive outcome.

The purpose of this tool is to help you design your stakeholder engagement strategy. On Worksheet 1 of this tool, you will assess your track record with employee engagement. If you have recently conducted a change history audit or employee readiness and capacity assessment, review that data as input.

The underlying assumptions and beliefs your executives and change leaders hold about leadership, followership, and participation will have a direct influence on how much engagement is used in your organization, and what types and vehicles are employed. Worksheet 2 of this tool asks a series of questions about the individual and collective beliefs and assumptions of your change leaders. Helping them become aware of their assumptions will help them consciously choose your engagement strategy based on what is needed to succeed, rather than unconsciously allowing their past experiences to dictate it.

Worksheet 3 helps you prepare for your actual engagement strategy in this change effort. On Worksheet 4, you formalize your strategy. Remember to continue to review and course correct your strategy throughout your change effort to ensure that your current good ideas still fit the readiness level and needs of your organization as your change unfolds.

Before completing this tool, read the Info Sheet: Stakeholder Engagement: Opportunities, Types, and Vehicles.

Instructions

Step 1 Engage your change leadership or executive team to do this work, or identify the best people to: (1) assess your organization’s track record with employee engagement, (2) identify your change leaders’ underlying mindsets about participation, and (3) create your engagement strategy. Be sure to include any people in your organization who are knowledgeable about the different types and vehicles for engagement and how to use them effectively.

Step 2 Worksheet 1 focuses on your organization’s history with stakeholder engagement so that you can apply your learnings and success to this change effort. Doing this work collectively as a change leadership team will help build alignment among your change leaders for using engagement to your greatest advantage. As a group, complete the worksheet. First, list the change tasks in which you have historically engaged stakeholders, especially employees (see the Info Sheet: Stakeholder Engagement: Opportunities, Types, and Vehicles.) Then list the
stakeholders you engaged in these tasks. Next, list the types of engagement you employed, and the vehicles you used. Then, identify why the engagement succeeded or failed, and what you learned. Finally, capture any conclusions you draw for your current change effort.

**Step 3**  Worksheet 2 focuses on identifying the underlying assumptions and beliefs your change leaders have about stakeholder engagement. These assumptions may have played out in the experiences you identified on Worksheet 1. You may want to think about your answers first by yourself, before engaging your entire change leadership team in this discussion.

**Step 4**  Worksheet 3 asks you strategic questions to prepare you for creating your overall engagement strategy. Answer these questions with your change leadership team.

**Step 5**  Using your insights and guidance from Workheets 1, 2, and 3, use Worksheet 4 to create your actual engagement strategy for this change effort. After reviewing the Info Sheet: *Stakeholder Engagement: Opportunities, Types, and Vehicles*, fill in the matrix with your change leadership team. First identify the key change tasks in which you want to engage stakeholders. Then review your Project Community Map for which stakeholder groups you want engaged in each task. (You may have multiple groups.) Identify each group’s commitment level to the change (see the Tool: *Creating Your Critical Mass Strategy*.) Then for each Change Task, decide the Types and Vehicles of engagement you will use for each stakeholder group. Lastly, list any special needs or considerations for each group. Congratulations! You now have a well planned engagement strategy for your change effort!

**Step 6**  Identify how and when you will oversee and revisit the fit of your strategies as your change unfolds.

**Step 7**  If needed, obtain approval for your engagement strategy, and decide how to communicate it and to whom.

**Worksheets**
- Worksheet 1: Your Track Record with Stakeholder Engagement
- Worksheet 2: Identifying Underlying Assumptions and Beliefs about Stakeholder Engagement
- Worksheet 3: Preparing for Your Engagement Strategy
- Worksheet 4: Creating Your Engagement Strategy
<table>
<thead>
<tr>
<th>STUDY SHEET 1</th>
</tr>
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<tbody>
<tr>
<td><strong>Your Track Record with Stakeholder Engagement</strong></td>
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<td></td>
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<tr>
<td><strong>STAKEHOLDER GROUPS</strong></td>
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<tr>
<td><strong>CHANGE TASKS</strong></td>
</tr>
<tr>
<td><strong>VEHICLES OF ENGAGEMENT</strong></td>
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<tr>
<td><strong>TYPES OF ENGAGEMENT</strong></td>
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<tr>
<td><strong>WHY SUCCEEDED</strong></td>
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<td><strong>WHY FAILED</strong></td>
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<tr>
<td><strong>KEY LEARNING</strong></td>
</tr>
<tr>
<td><strong>CONCLUSIONS for your current change effort</strong></td>
</tr>
</tbody>
</table>

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WORKSHEET 2

Identifying Underlying Assumptions and Beliefs about Stakeholder Engagement

1. Ask each change leader to answer each question several times, and fill in each section with at least three different answers or, brainstorm the answers as a group, listing all answers given. Any type of answer is acceptable—doubts, fears, hopes. Then discuss as a group.
   - If we increase participation, then:
     - We will:
     - Employees will:
     - Other stakeholders will:
     - Our change effort will:
   - High engagement is good (because, if, when):
   - High engagement is bad (because, if, when):
   - Low engagement is good (because, if, when):
   - Low engagement is bad (because, if, when):

2. Based on your responses and discussion, list the key assumptions you hold as a group about stakeholder engagement. Consider beliefs or fears about giving people too much control, about needing to satisfy everyone’s needs, about looking like you don’t know what you are doing if you need to ask your employees for input, etc.

Positive Assumptions:

Negative Assumptions:
3. Determine as a group which of these assumptions are valid enough to influence your engagement strategy. List those here.

4. Review the values and guiding principles for this change that you created in Task I.E.2. Identify and resolve any conflicts between your preceding “valid assumptions about engagement” and your values and guiding principles. Add to, delete, or modify your values and guiding principles as needed. Conclude as a group, and list the values and guiding principles that will direct your engagement strategy.
WORKSHEET 3

Preparing for Your Engagement Strategy

1. What outcomes do you want to achieve from engaging stakeholders in this change effort? (For example, increased morale, better design solution, reduced resistance, etc.)

2. What factors must you take into account when selecting the ways in which you will engage your people? Consider their level of readiness and capacity to take on more work, time urgency, excitement, and confidence in having something of value to contribute, etc.

3. In which change tasks is a high level of employee engagement most essential?

4. Which stakeholder groups in your project community are most important to engage? Why?

5. What types or vehicles of engagement will you use most frequently? Why?
## Worksheet 4

### Creating Your Engagement Strategy

<table>
<thead>
<tr>
<th>CHANGE TASK</th>
<th>STAKEHOLDER GROUP(S)</th>
<th>COMMITMENT (H-M-L)</th>
<th>TYPE</th>
<th>VEHICLE</th>
<th>SPECIAL NEEDS, CONSIDERATIONS</th>
</tr>
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</table>
## Five Levels of Communication

<table>
<thead>
<tr>
<th>LEVEL &amp; OUTCOME</th>
<th>STYLE</th>
<th>MEDIA, VEHICLES</th>
<th>REACTION WHEN ACHIEVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Information-Sharing</td>
<td>Telling; one way</td>
<td>Lecture, presentation, memo, video</td>
<td>“Thank you for telling me this information”</td>
</tr>
<tr>
<td>2. Building Understanding</td>
<td>Dialogue; two-way; exploring and answering listener-generated questions</td>
<td>Small group meeting; breakouts to develop questions; facilitated Q &amp; A</td>
<td>“Having explored my concerns and tested this, now I understand the focus of the change and why it is needed.”</td>
</tr>
<tr>
<td>3. Identifying Implications</td>
<td>Introspection; discussing with co-workers what this means to you and the organization; multi-directional</td>
<td>Group interactive discussions ranging from multi-level, large or small group to individual team discussions; most relevant exploration done with work team and immediate supervisor</td>
<td>“I get it! This change means X for my department and Z for me and my job.”</td>
</tr>
<tr>
<td>4. Gaining Commitment</td>
<td>Sorting out inner feelings and choices; may require time and multiple returns to the discussion; both internal and external commitment focused</td>
<td>Alone time for personal introspection or “talk time” with trusted colleagues, opportunity to re-address issues with co-workers, direct supervisor and/or sponsor of the change</td>
<td>“I personally want this change to succeed, and I am willing to ensure that it does. I see that my boss and our organizational leaders feel the same way.”</td>
</tr>
<tr>
<td>5. Altering Behavior</td>
<td>Demonstrating new behavior; may require training, feedback mechanisms, and coaching over time to ensure that the behaviors stick</td>
<td>Training, coaching relationships; opportunities for practice and learning</td>
<td>“I am learning the new behaviors and skills required for this change to succeed, and I’m open to receiving your feedback and coaching to keep improving.”</td>
</tr>
</tbody>
</table>

Five Levels of Communication named by Arc International. Used and expanded with permission.
Case Example: An Effective Communication Kickoff Scenario

Every change effort’s first announcement will be unique. The scenario described below illustrates one set of possibilities for an initial kickoff process. As you read this scenario, imagine it playing out in your organization, and then decide what parts of it are pertinent to your change effort.

In this scenario, you hold a series of large group meetings (the kickoff), then a series of technology-enabled town meetings, followed by work team meetings and a mass communication.

Your sponsors, key change leaders, and select representatives of key management and employee groups lead your initial kickoff communication. These are large meetings (300-500 people). You have multiple presenters because having more than one person speaking enlivens the delivery, especially if they represent your various stakeholder groups. These leaders, including frontline employees who were on research teams, share your case for change and change strategy, and then field audience questions as a panel.

A week later, the leaders host a series of town meetings that cascade throughout your organization, and a live, interactive online conference, both of which are led by your executives, as well as the managers and employees who worked on your case for change. In these town meetings, the change sponsors openly discuss what was presented in their initial communication kickoff, reiterating the facts and their perceptions, hopes, and fears. The managers and employees also offer their perspectives, and the audience asks questions and voices concerns. The leaders of the meeting listen carefully to the audience’s questions and issues, reflecting back what they hear to ensure they understand and the audience feels heard. They respond to all of the issues as best they can. They share their intentions and plans, identify issues that do not yet have answers, and commit to bring the issues back to the change planning process for consideration. Through this interchange, the leaders also begin to gather impacts about the transformation that they may not have originally seen.

You then host facilitated breakout conversations about general reactions or key issues (or online chats), allowing for active involvements by all town meeting participants. You bring back major messages from the breakout groups to the large group (or main online conference) for presentation to and response by the leaders. The leaders may conclude each meeting (or the interactive conference) with a request for volunteers to staff an informal network of change advocates whom they will ask for input on the vision of the future or various other change topics. These advocates can also represent their functions’ interests in the change as the transformation is planned and implemented.

Over the next two weeks, managers facilitate discussions in their work teams about the transformation and its implications for the team and the individual members. The managers use a pre-developed meeting guide to facilitate the conversation. The teams are tasked with identifying likely barriers to the effort and conditions for success they believe are necessary for the transformation.

Your next mass communication vehicle provides a current status report of the transformation effort, highlighting actions taken and outcomes produced as a direct result of your employees’ previous input. You overtly feature stories about how various stakeholders have had insights or breakthroughs, or have mobilized action central to your transformation’s success.
What to Communicate and How to Position Your Change

The content of your initial round of communications is as critical as the process for delivering it. Often, the content is only delivered by the most senior leaders. An alternative as used in the above scenario, is to have select managers and employees—who are also change leaders—take an active role in this delivery as well. Their participation makes the context of the change more credible and demonstrates that change is already underway. Here is one scenario for what change leaders might deliver in an initial change communication.

Imagine your change leaders being genuine, energized, and inviting in their tone. They begin by explaining what has led to this transformation and what has been happening so far. They point out the historical achievements and events they are very proud of and describe how each has contributed to the success of the organization. The leaders are candid about where their own focus has been, sharing how their thinking has recently been impacted by new information and how they themselves have finally heard the wake-up call for this transformation. The sponsors, managers, and employees each speak for their part of the organization. They describe the case for change in powerful terms, including all seven drivers, speaking directly to the challenges the organization faces. (See Info Sheet: Seven Drivers of Change.)

The change leaders report how the effort will be led and staffed, especially if their approach will be radically different from the past. The sponsors introduce the change process leader and his or her role and authority. They communicate that everyone in a position to add value to this effort is considered a change leader, irrespective of his or her position or level in the organization. Every leadership contribution will be needed. The change leaders describe the key elements of the change strategy, featuring the strategic levers. They announce their bold actions (only if doing so will not steal any thunder when it actually takes place) and other relevant decisions about change infrastructure and conditions for success.

The change leaders feature and model the new norm of course correction, admitting that some of the organization’s historical change practices must be altered immediately based on new insights. They tell how this transformation fits into the big picture of other organizational events and lay out the required pace of activity and their rationale for it. They convey their genuine understanding of the additional burden this pace may place on the workforce and describe how they will provide adequate resources and support to enable people to create this transformation while maintaining their well-being and current performance. They inform employees of what operational activities they will stop, delay, or modify to free up capacity for the change.

The change leaders personalize the transformation by sharing what is needed from them as its strategic leaders and as representatives of each function and level of the organization. They describe how their mindsets and perceptions are changing to enable this effort and how mindset change is also needed throughout the organization. They share how people will be invited to participate, making a compelling case for everyone to pull together and make his or her best contribution. The change leaders tell how this effort will benefit various employee and management groups and speak truthfully about certain groups that will be adversely affected, but treated fairly and humanely.

If appropriate, the change leaders also model new language and behavior, perhaps by emphasizing that they do not have all of the answers about the future and, therefore, want everyone to stay alert for new information and learning, which is different from their normal way of doing things. They describe the transformation as a journey that everyone must undertake together. To demonstrate this, the leaders lay out the upcoming opportunities when people will be asked to provide their input, including the organization-
wide visioning process. They reiterate that the transformation is a courageous undertaking and that everyone’s full commitment is required for the organization’s collective success. They again honor where the organization has been and how this next chapter in its life is the most important and challenging yet. The change leaders conclude with their personal commitment to do whatever is necessary to create this new reality in a way that benefits the organization, its stockholders, and its people.