

PPM programme & project management

People & Organisational Change Framework

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Acronyms and Abbreviations

AC	Actual Cost
ACWP	Actual Cost of Work Performed
AD	Activity Description
ADM	Arrow Diagramming Method
AF	Actual Finish date
AOA	Activity-on-Arrow
AON	Activity-on-Node
AS	Actual Start date
BAC	Budget at Completion
BCWP	Budgeted Cost of Work Performed
BCWS	Budgeted Cost of Work Scheduled
BOM	Bill of Materials
CA	Control Account
CAP	Control Account Plan
CCB	Change Control Board
CoQ	Cost of Quality
CPFF	Cost-Plus-Fixed-Fee
CPI	Cost Performance Index
CPIF	Cost-Plus-incentive-Fee
CPM	Critical Path Method
CSF	Critical Success Factor
CV	Cost Variance
DD	Data Date
dplg	Department of Provincial and Local Government
DPSA	Department of Public Service and Administration
DU	Duration
EAC	Estimate at Completion
EF	Early Finish date
ES	Early Start date
ETC	Estimate to Complete
EV	Earned Value
EVM	Earned Value Management
FF	Free Float or Finish-to-Finish
FFP	Firm Fixed-Price
FFS	Fees for Services
FPIF	Fixed-Price-incentive-Fee
FS	Finish-to-Start
FTE	Full Time Equivalent
GERT	Graphical Evaluation and Review Technique
HR	Human Resources
IFB	Invitation for Bid
ISO	International Organisation for Standardisation
IT	Information Technology
LF	Late Finish date
LOE	Level of Effort
LS	Late Start date
NT	National Treasury
OBS	Organisation(al) Breakdown Structure
PALAMA	Public Administration Leadership and Management Academy
PC	Percent Complete
PDLC	Product Development Life Cycle
PDM	Precedence Diagramming Method
PERT	Program Evaluation and Review Technique

PF	Planned Finish date
PM	Project Management or Project Manager
PMBOK	PMBOK® Project Management Body of Knowledge
PMI®	Project Management Institute
PMO	Programme / Project Management Office
PMP®	Project Management Professional
POC	People and Organisation Change
PPM	Programme and Project Management
PS	Planned Start date
PV	Planned Value
QA	Quality Assurance
QC	Quality Control
RAM	Responsibility Assignment Matrix
RASCI	Responsibility, Approves, Supports, Consulted, Informed
RBM	Results Based Management
RBS	Risk Breakdown Structure
RDU	Remaining Duration
RFEOI	Request for Expression of Interest
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quotation
RFR	Request for Resources
RFS	Request for Services
RFT	Request for Tender
RSA	Republic of South Africa
SF	Scheduled Finish date or Start-to-Finish
SMART	Specific, Measurable, Achievable, Relevant, Time bound
SME	Subject Matter Experts
SOW	Scope / Statement of Work
SPI	Schedule Performance Index
SS	Scheduled Start date or Start-to-Start
SV	Schedule Variance
T&M	Time and Materials
GTAC	Government Technical Advisory Centre
TC	Target Completion date
TF	Total Float or Target Finish date
TOR	Terms of Reference
TQM	Total Quality Management
TS	Target Start date
VE	Value Engineering
WBS	Work Breakdown Structure

1 Introduction

1.1. Scope and Purpose

Projects are a powerful vehicle for enabling transformational change in the Public Service. The development of internal strategic project management capacity supports achievement of government priorities, implementation of results-based plans, modernisation of government, and better knowledge transfer.

Over the past several years, there has been increased recognition by government that project management is a strategic business tool and enabler of change. This growing awareness coupled with the challenges to anticipate and respond to emerging issues in an increasingly complex environment has prompted greater focus on the development of internal project management capacity and skills within the Public Service.

The Technical Assistance Unit of National Treasury is helping to build capacity across government departments to create and sustain transformational change and achieve modernisation objectives by providing management frameworks, methodologies, tools, learning and consulting services. Enhancing capacity for project management, organisational measurement, continuous improvement, innovation and service excellence are critical to achieving the objectives.

The three guides¹ indicated below provide the framework and methodology adopted in creating a standardised approach to Project Management:

- **Project Management Framework**
- **People and Organisational Change Framework**
- **Project Management Methodology**

The People and Organisational Change Management Framework adapts general change management principles for projects. Projects implicitly create change as the result of developing a new product or service or product. This document provides concrete ways to manage the implications of change on people, processes and structures within the organisation that will result from project work.

The focus of this document is to present a common approach to people and organisational change management, which, when consistently applied with a project management methodology, can help get the right things done right the first time around. There are different change models – this document is not intended to capture all of the change models/methodologies that are available and in use but rather to define a standardised approach to organisational change management. Additional components that change champions should also address include things such as the cycle of human acceptance of change (denial, resistance, questioning and commitment) and the change impact model comparing the positive and negative value of changing versus the negative and positive impact of the status quo.

NOTE: For each major stage of the change process, additional technical expertise may be required and government policies, procedures and processes may need to be followed (e.g. HR policies). Project Managers are not expected to be experts of organisation design/development and change management; however, you need to be aware of the implications of your project and understand the importance of including relevant experts on your team. Contact your human resources branch

¹ Refer to the PPM website for the most up to date versions of these documents.

for assistance with strategic human resource issues and for assistance with the relevant human resource processes that need to be adhered to within your Department (including communications with bargaining agents).

1.2. Overview of the Framework

People and Organisation Change (POC) in the Public Service involves stakeholders understanding the pros and cons of change, the cost and benefits to them and the needs of the organisation in making the changes. Stakeholders include people working in and for the Public Service, (staff, project team members, partners, unions/associations, vendors etc.) and people outside the Public Service (clients, general public etc.) who are impacted by the change. POC also involves the analysis of how the existing organisation's structure, processes, policies and practices will change as a result of the new product or service being introduced, as well as an action plan to carry out required changes.

The Principles of People & Organisation Change provide the people and organisation change management foundation for the **Project Management Methodology**². The methodology includes key questions, actions, outputs with associated tools and templates to guide the actions, as well as checkpoints and decision points. The POC Chart (at the end of this document) connects the people and organisation change stages with those of the project management phases in the Project Management Methodology.

The generally recognised knowledge and processes related to the management of the internal project team (i.e. acquire project team, develop project team) are described in the Project Human Resource Management section of the Project Management Framework.

The Department of Public Service and Administration has A website with all policies, guidelines and best practices relating to employment, pay and benefits, collective agreements, learning and development and performance management. Refer to www.dpsa.gov.za for more information.

Since all projects are not the same in size and complexity, the POC Framework (and its tools and templates) should be considered scalable and dependent on the needs of the individual project.

NOTE: If the product or service being developed is being transferred to a new or existing organisation upon completion, then the structure, resources, processes, practices, standards and knowledge and information transfer needs must also be planned for. In cases where the product or service is being transferred to a new or existing organisation outside the Public Service, then a contract, such as a Service Level Agreement (SLA) is necessary.

1.3. The Project Management Model

The model for project management in the Public Service is composed of three main components:

- The nine *PMBOK® Guide* (published by the Project Management Institute®) project management knowledge areas form the core for this model. The generally recognised knowledge described in these areas is the basis for sound project management. These knowledge areas cover all the various aspects, processes, tools and outcomes of a project

² See website for the most up to date version of the Project Management Methodology (MET_1)

that need to be considered and incorporated into the project life cycle – this is the focus of the document, the **Project Management Framework**

- The middle ring represents the importance of understanding the people & organisation change management principles that need to be considered, and actions that need to be taken in order to manage the impact of the project on the people and organisations involved. Four phases of the Strategic Change Design model are illustrated in this ring. This is the focus of this document, **People & Organisation Change Framework**
- The outer ring illustrates the five phases of the customised **Project Management Methodology**. The methodology seamlessly incorporates the principles and practices of the two inner rings into a step-by-step methodology that is organised into the five phases.

The Project Management Framework and Methodology Model, illustrated in Figure 1 below, illustrates the components that need to be considered and recommends a phased methodology for conducting project work in the Public Service environment. This environment consists of a large number of stakeholders and partners, whose varying sets of values, principles and expectations need to be considered, especially when carrying out transformational change multi / inter departmental projects.

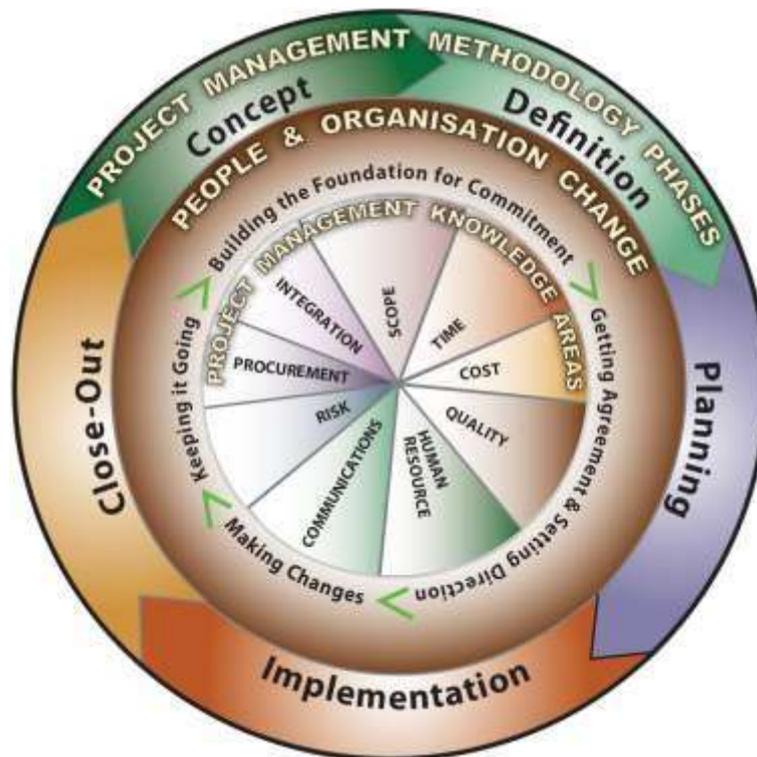


Figure 1: The Project Management Framework and Methodology Model

1.4. Government Technical Advisory Centre

National Treasury seeks to “promote economic development, good governance, social progress and rising living standards through accountable, economic, efficient, equitable and sustainable management of public finances”.

In light of this, the Government Technical Advisory Centre was established to provide project and programme management to improve the quality of spend in government. Government Technical Advisory Centre vision is a creative and innovative Centre of Excellence in technical assistance for development results in the public sector.

Its mission is to contribute to improving government's capability to deliver on the right things (quality of spend) to the South African people through supporting and facilitating the implementation of mission critical (high priority/high impact) programmes and projects.

GTAC offers technical assistance and management support services to government departments in the three spheres of government.

In respect of project management Government Technical Advisory Centre focuses on three key areas: people, processes, and tools & technology. Government Technical Advisory Centre provides numerous project management-related products, services and supports to government departments, including:

- Providing advice and guidance on the project management and people and organisation change management in government supporting the planning of projects; assisting in setting up of project management offices, and conducting or supporting project management health checks
- Developing and promoting project management training courses (in partnership with SAMDI)
- Expanding the government project management community of practice to network, share best practices and lessons learnt, and develop a project management culture in the
- Maintaining the project management website (<http://www.gtac.gov.za>), databases, communication vehicles, and supporting further use of technology for project work
- Providing corporate project management expertise (processes, templates and advisory services) to government departments.

1.5. Your Feedback

This document, along with its related companion guide and methodology, will be regularly updated, revised and improved to adapt to the changing environment, and to incorporate lessons learnt and best practices from successful projects.

We invite you to forward your comments and suggestions at any time to:

Government Technical Advisory Centre National Treasury,
Email: info@gtac.gov.za
Website: <http://www.gtac.gov.za>

2 People & Organisation Change (POC)

2.1. The Challenge of Change

Given the current pace of social and technological progress and advancement, few organisations can afford to become stagnant and ignore the need for change. Change is inevitable and the rate of change forces organisations to constantly re-evaluate strategy, re-think structure and improve processes. Organisations must be more effective in the achievement of goals and objectives and more efficient in the delivery of products and services in order to satisfy the ever-changing needs and requirements of their clients.

The private and public sectors alike are responding to these challenges through the implementation of large change initiatives. The change initiatives in the public sector are characterised by the need to carry out projects with multiple partners, with input from various stakeholders and under greater scrutiny and transparency. Organisation-wide projects in the government environment have surfaced the need to define a structured, useful and reusable approach to delivering results. An approach to managing projects that works for a wide variety of initiatives and undertakings, and is manifested through a common language, a common way of thinking, and a shared understanding that is based on generally recognised knowledge and practices.

2.2. What is People & Organisation Change?

Organisations are complex systems of people, processes, technologies, materials, procedures and structures. Changes to any aspect of the system will impact other aspects. Change management is a set of principles, methods and tools, which focus on the inclusion and assessment of people's ideas about readiness and resistance to change. Managing change requires attention to individuals, groups and the organisation as a whole and the interactions amongst these groupings. (To learn about organisational planning, staff acquisition and team development process, refer to the Project Human Resource Management section of the Project Management Framework.)

Project work demands an integrated approach to managing work cycles, deliverables, organisational change and the people that do the work. Some of the main challenges to effectively managing projects are:

- Seeking to understand and respond to the true nature of the fears, needs, loyalties, motivators and commitments of the individuals being asked to participate in the project delivery on behalf of the organisation
- Discovering and responding to how the new product or service affects the users/clients inside and outside of the organisation
- Understanding the implications for existing processes, procedures and policies and adapting or creating new processes, procedures and policies
- Understanding and responding to how the new product or service affects the new or existing organisation or partners

The key to successful achievement of any transformation change project is the management of the blend of consideration for the needs of the product or service being developed, the people, and the organisations involved and affected. Proper scoping, definition and planning for the project needs the participation of those involved and affected. Regular consultation, participation and communications promote trust, and allow the building of relationships necessary for project success.

Change management relating to people should not be confused with the term Project Change Control that relates to the formal process through which changes to the project are approved and introduced. (For more information on Project Change Control, please see the Project Integration Management section in the Project Management Framework.)

2.3. Principles of People & Organisation Change (POC)

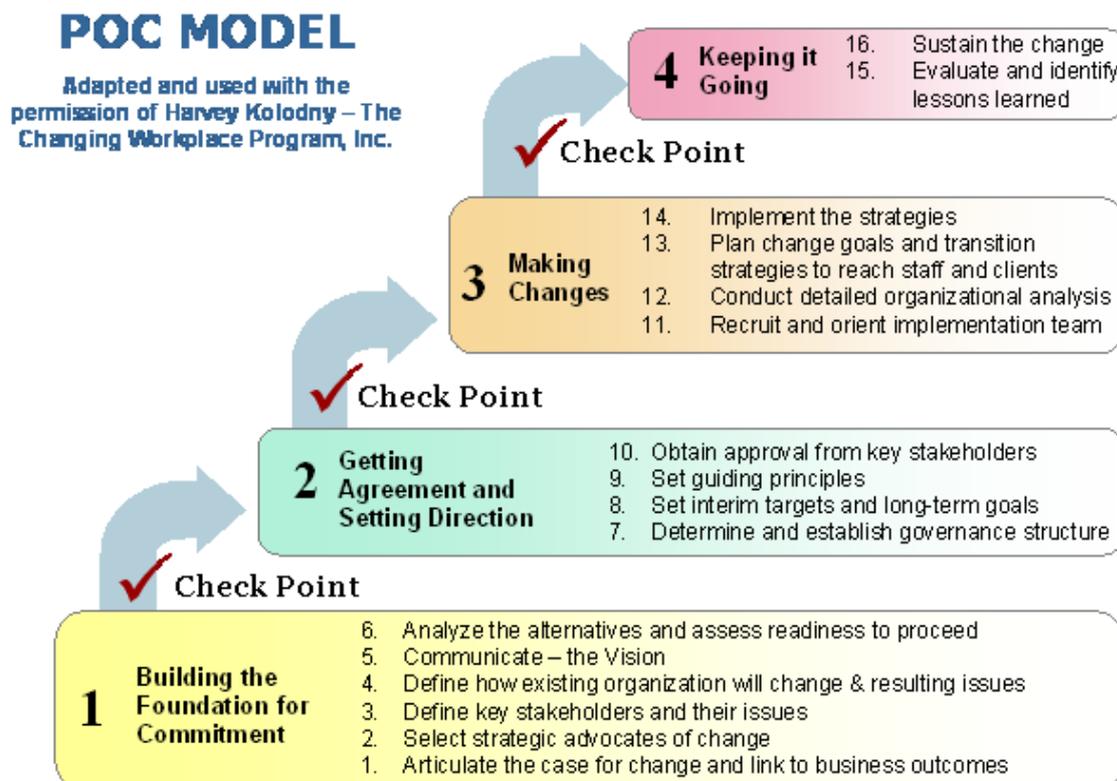
The following principles need consideration during a change project:

- POC is a legitimate activity requiring skill, time, effort and resources
- POC is a key element in the management of projects no matter how large or small
- Human issues are considered valid project risks
- Projects are not fully independent – attention must be paid to the links to other projects, programmes/initiatives and stakeholders
- A person's position in the organisation directly influences their view of change. Consequently, change involves a complex mix of different priorities, different knowledge sets and different driving forces
- Everyone adapts to change at differing times and with a personal set of results
- People are motivated when they understand the personal impact of change
- When people are able to exercise some degree of direct or indirect control over what happens during the implementation of a change, they are less resistant. Some control reduces stress and in turn helps to reduce resistance
- An attempt at cultural change can heighten resistance and raise unrealistic expectations
- Building relationships and communicating effectively takes active participation; the benefits include mutual trust and respect. When people share their expertise and communicate clearly, everyone's ability to perform their work confidently increases
- Organisations are comprised of people, processes and structures and understanding the interactions between them is essential for changing any one element

Effective change strategies address three factors – content, people and process

Content	The type or nature of the change including structure, strategy, business process, culture, product or service
People	The emotional reactions, degree of involvement, acceptance, commitment, and cultural dynamics impacting the change
Process	The way in which a change is planned, designed and implemented

3 POC Model



The above diagram provides a more detailed break-out of the four stages from the middle ring of the PPM Model (see page 8).

The POC Model has four basic building blocks with detailed steps to follow when undertaking major change and have built-in checkpoints to consider if the organisation and its relevant stakeholders are ready to proceed. Throughout this document, these building blocks are referred to as People & Organisation Change (POC) stages:

Stage One: Building the foundation for commitment

Stage Two: Getting agreement and setting direction

Stage Three: Making changes

Stage Four: Keeping it going

These stages are not linear; there is looping back as part of the process of moving forward. In the early stages it requires time to build commitment.

Since every project is unique, not every step is equally important and will differ in time dedicated to it. Project success is greatly dependent on the attitudes of the project stakeholders and the project team that ultimately implement the process making it a reality.

The **Integrated People & Organisation Change Chart** (Section 4) is a summary of actions, questions, outputs and tools outlined in the stages. As the model has been specifically tailored to be a part of the overall Project Management Methodology, the Chart also shows the step within the Methodology that the action would take place. The Chart demonstrates how the people and organisation change stages are connected with the project management phases. Some of the POC

steps are not unique and are shared with project management (for example, formulating and communicating the vision).

3.1. POC Stage One: Building the Foundation for Commitment

3.1.1 Overview

To build the foundation for commitment to organisational change, legitimacy within the project is required by sharing information, starting with full and open communication amongst the key stakeholders, as well as the need for independent work is respected. There is ample opportunity for the stakeholders to build trust by exploring the alternatives for the organisation change during the project Concept Phase (phase 1) of the Project Management Methodology. Assessing readiness is the critical step where leaders must identify a change agent and /or champion(s) for the change process. This change stage results in improved relationships between key stakeholders, allowing for the formation of a stronger foundation.



3.1.2 Actions and Key Questions

1. *Articulate the case for change and the direct link to the business outcomes*

Recognising the need to change based on immediate threats and new vision. It may be based on economics, social trends, political, legal or technological changes, quality/safety issues or environmental factors.

Key Questions for Building Commitment

- What must change?
- Why are we making this change?
- What are the reasons, factors, pressures driving the changes?
- Why is this change important for the organisation, for employees and for the champion/leader of the change?
- Why is this urgent?
- How does this align with our strategic business outcomes?

2. *Select the strategic advocates of change*

Approaching and involving the people that are part of, or affected by the change, such as, staff, bargaining agents, clients, community or other levels of government. Not all people will have equal participation and it is important to appreciate differences. The opening communication approach will set the tone for all future communications.

Key Questions for Building Commitment

- Who needs to offer the strategic leadership to this initiative?
- Where are we vulnerable in making this change work?
- What will be the key success factors?

3. *Define the key stakeholders and their issues*

Assessing „what’s in it for me” with key stakeholders. People must understand their individual and collective change objectives, which may include: a higher performing organisation; increased responsibility; greater opportunities for participation, ownership and decision making at work, etc.

Key Questions for Building Commitment

- Who are the key stakeholders involved in and affected by the change?
- Have you made a general assessment of the early and mid-level adopters and resisters to focus your efforts? (More detailed assessment in Step 8)

4. Define how the existing organisation will change and the resulting issues

Assessing how the existing organisation's structure, processes, policies and practices will change, as well as the needs and issues involved. Assess where the new product or service will be transferred once the project is complete. Assess if a new organisation will be developed, or is the product or service being transferred to an existing organisation. What structure, knowledge and information transfer needs, resources, process and standards need to be set?

Key Questions for Building Commitment

- What existing organisation structures will change?
- What policies, processes, systems, practices and standards will change?
- Does the new product or service change business requirements?
- Is the business being transferred to a new organisation?
- How and what knowledge and information is required by the organisation? How will it be documented and transferred?
- Is legislation required? Regulations? Standards?
- What are the implications for people? What HR and labour relations issues must be addressed?
- What are the resource needs of the new or existing organisation?

5. Communicate the emerging ideas – the Vision

One of the most important elements in successful implementation and sustainability of change initiatives is making a compelling case for change. Heightening awareness by sharing information and viewpoints among key stakeholders early on to ensure common understanding for the need to change and consensus to the change. Knowledge sharing, communications and facilitation are vital to the integrity of the process and any privacy matters must be respected.

Key Questions for Building Commitment

- What are the high-level vision, goals and objectives of this change for the organisation?
- Who will be the main recipients of the change?
- Do the people involved understand and identify with the high-level vision, goals and objectives? What is the strategy for engaging with them to build support?
- Who will communicate the message about the changes?
- What will be the feedback mechanism that allows staff to voice any concerns as well as allows for monitoring of how well messages are being received?

6. Analyse the alternatives, recommend the best option and assess the readiness to proceed

Examining organisational choices is fundamental in better appreciating the alternatives and what is at stake for everyone as they begin the change process. The organisation needs to define how it will approach the project (including a description of the change implementation approach) in order to accomplish its vision.

Assessing the readiness of the organisation to get on board and adopt change is an important step as it will assist in determining where efforts should be focused. It is also necessary for stakeholders to evaluate their commitment to deal with the uncertainty of change. Stakeholders must consider what the available resources, risks, barriers, opportunities and training requirements are, and identify where to begin.

Key Questions for Building Commitment

- Have all of the options been analysed and the most suitable option recommended?
- Are the strategic advocates committed?
- Are resources available?
- What are the high-level risks and opportunities?

3.1.3. POC Stage One Checkpoint

POC Stage One, *Building the Foundation for Commitment*, is highly dynamic. As people's knowledge and understanding of the change increases, there is a back and forth throughout the actions described above.



When determining that POC Stage One is complete, it is time to ask:

- Is there clear understanding of the implications of the change and related issues?
- Is there strong incentive for the need for change?

At this decision point, stakeholders must jointly agree to proceed, as well as understand that the parties may agree to proceed on the basis of agreement to disagree on certain issues.

The new relationship between the stakeholders will foster a shared examination of the alternatives available to the organisation. By having carried out a joint assessment of readiness, the organisation will have built a foundation for commitment that will make it easier to enter the next major stage in the change process.

3.2. POC Stage Two: Getting Agreement and Setting Direction

3.2.1 Overview

To obtain agreement and set directions, the key stakeholders mutually commit by working together with joint responsibilities. This furthers trust and facilitates the move from abstract to a concrete vision. A clear statement of how the organisation will approach the project in order for it to accomplish its mission is completed during the project Definition Phase (phase 2) in the Project Management Methodology. Specific needs are assessed and external networks studied as part of the organisational change process. All stakeholders provide support, direction and resources to bring the concept of the project to life.



3.2.2 Actions and Key Questions

7. *Determine and establish governance structure*

- Get sanction and joint commitment from key stakeholders, both for the process and to engage in next steps
- Review secondary stakeholder needs

If the time and effort during this critical step is not sufficient, there is high risk of withdrawal of support or surprises are more likely at a later date.

In most cases a Steering Committee or Executive Committee will be established as the final approval body for a large transformation change initiative. The Core Project Team may include an Executive Sponsor, Project Sponsor, Client, an overall Project Manager, Project Team Leads (Lead for Change Management, IT, etc.), Project Team Members and the Project Support Office staff. The Project Sponsor may also act as the Change Champion. The **Project Management Methodology** integrates both change and project management disciplines and can be applied to transformational change projects. Depending on the size of the project, the overall project may be considered a programme. Refer to the **Guide to Project Sponsorship**³ for project governance examples, and specifics on roles and responsibilities of all team members.

In some cases a separate organisational unit may be necessary to manage the change distinct from the demands of the project. A separate structure would require careful planning with both teams together to assure identification of who does what and when activities need to be completed to not disrupt or stop the planned flow of activities. Any separate unit should report explicitly back into the overall project governance structure so that there is a direct line of communications and timely status reporting and decision-making. In this case, it is also imperative that both teams meet regularly to report status and resolve issues.

³³

Refer to the PPM website for the most recent version of the Guide to Project Sponsorship (GUI_2)

Key Questions for Building Commitment

- Will a Steering Committee be necessary?
- Is the Project Sponsor also the Change Champion?
- Will one project manager be responsible for both the change management and project management components? If so, will a Change Management Lead report to the project manager?
- What skills will the project manager need?
- How will the integration and communication needs between the change initiative and the project and the ongoing organisation be assured?
- How will the project organisation be structured?
- What other expertise is needed on the team and where can those resources be found?

8. *Set interim targets and long-term goals*

Assessing specific needs by all the stakeholders is needed to set realistic and achievable targets. This analysis will identify the gap between where the organisation is and where it wants to be, and then determining the specific steps required to achieve success.

Benchmarking against other comparable organisations is a helpful way to set realistic and achievable goals. Setting interim targets (quick wins) is a great way to reinforce the change efforts and reward people for their efforts.

Key Questions for Building Commitment

- What are the short term and long term goals to be achieved?
- What quick wins can be developed for the key recipients of the change?
- Who and how will the people be involved?
- What other organisations can be used for comparison purposes?
- Has a firm assessment been undertaken of early adopters and mid level adopters?

9. *Setting guiding principles*

Developing a vision statement will establish the strategy for how the organisation approaches and conducts its operations.

A clear and strong vision statement represents a commitment to an alternative and desirable way of organising the workplace.

Key Question for Building Commitment

- What core values or principles will guide your change process? Consider defining the level of participation; open communication; decision-making methods; etc.

10. *Obtain approval from key stakeholders*

Getting endorsement by key stakeholders is a “reality check” of the intent and direction of the changes against the vision and philosophy. All key stakeholders must understand and provide the necessary supports in terms of resources and ongoing participation.

Key Questions for Building Commitment

- Do key stakeholders endorse the change direction and proposed outcomes?
- Does the intent and direction of the changes match the vision and guiding principles?

3.2.3 POC Stage Two Checkpoint

Completion of POC Stage Two, *Getting Agreement and Setting Direction*, ensures a framework will be in place to guide the detailed changes. A vision of what the future organisation will be like will have to be developed. Specific needs are identified. The endorsement of the key stakeholders reinforces the existence of a high commitment.



To determine that POC Stage Two is complete, it is time to ask:

- Is there a desire to continue?
- Has a specific vision with interim and long-term targets been established?
- Are sufficient resources in place?
- Are clear commitments stated?

3.3. POC Stage Three: Planning/Making Changes

3.3.1 Overview

Details of the organisation's change design, and implementing that change with the people involved, is now the focus. Many organisations jump to this stage and typically fail without the solid foundation of trust and commitment from the key stakeholders, and the understanding of the future. Since learning takes place during any change initiative, people are continuously adapting to their new situation. Therefore, at this stage where the details of change are being implemented, it is critical to adjust and revisit plans that may be improved as change and learning takes place.



Links with
Definition, Planning
& Implementation
Phases

3.3.2 Actions and Key Questions

11. *Recruit and orient the project implementation team*

Having people dedicated to making the change happen is important. Depending on the size of your organisation and the scope of the initiative, the team may include different roles and the size of the team may vary. Human resource and communications experts should be included in either the project team or the change management team (depending on your governance structure – see Step 7).

Key Questions for Building Commitment

- How will you include on your team the special expertise required to deal with the implications of the project for the people and the organisation?
- Will you offer coaching for the change sponsor given the importance of their role?
- Will you offer specific training (e.g. change management or communications)?

12. *Conduct detailed organisational analysis*

Understanding the implications of the project (and its deliverables) is critical for developing strategies to manage the resulting change.

Key Questions for Building Commitment

- What new roles and responsibilities are required of staff?
- What is the level of receptivity and acceptance of clients?
- What will be the potential impact on people, positions, and power relationships?
- What is the impact of the deliverables on existing processes, policies and structures?
- What are the risks and opportunities for staff? For clients?
- Are there opportunities for efficiencies or improvements?

13. *Plan the change goals and transition strategies to reach staff and clients*

Changes can include changes to structure, systems, processes, technology, work practices, jobs, roles, mindset, relationships and culture. It is important to remember that it will be staff who will implement and sustain any changes. A critical component is to ensure that the new system (*the how*) and the outcome-based changes (*the what*) carefully consider and clearly integrate with the human elements (*the who*). A key principle to keep in mind is that “form follows function”.

Refer to the Project Planning Process outlined in the [Guide to Project Planning](#)³ for more information.

Key Questions for Building Commitment

- What specific strategies will be created to manage transition of staff? Of clients? E.g. cross training, changed roles for supervisors, secondments, temporary staff etc.
- Will the strategies be phased or piloted?
- What strategies will there be to manage resistance at all levels during the transition?
- Include people who will operate within the “new” organisation and check back to decisions and plans made in previous stages to ensure learning and adjustments are real time
- Which project management plans require POC content? (scope, time, cost, quality, human resource, procurement, risk, communications)

14. *Implement the strategies*

Implementation covers a wide range of activities. This may include physical and organisation restructuring, building a new organisation, legislation and regulations, the development of policies, procedures and processes, installation and set-up of new equipment, training, etc. (activities identified as part of Step 4) Implementation activities are sometimes tedious and the momentum of earlier analysis and design efforts are difficult to maintain. It is important for “micro-implementations” to occur throughout the change process to provide a sense of purpose and to validate the direction.

Part of implementing the strategies is determining if the people and organisational change goals are being met. It is imperative to monitor resistance and have a strategy for addressing and managing the resistance.

Key Question for Building Commitment

- What will be the vehicles for regular two-way communication, problem solving and strategy adjustment with staff and clients?
- How will this process be managed?

3.3.3 POC Stage Three Checkpoint

Completion of POC Stage Three, *Planning/Making Changes* ends with implementation. However, since sustaining the results of the implementation depends on ongoing organisational analysis and design/redesign, the change process will continue through Stage Four.



To determine that POC Third Stage is complete, it is time to ask:

- Are the change goals being met?
- Are there any new developments or discoveries that affect the change plans?
- Have the changes to the people and organisation resulting from the project’s deliverables been considered and managed?

³ Refer to the PPM website for the most recent version of the Guide to Project Planning (GUI_4)

3.4 POC Stage Four: Keeping It Going

3.4.1 Overview

Sustaining the people change is difficult at the best of times. Equally, the organisation's adjustments in work processes may shift to different people and new reporting relationships may be established. The integration of work methods may come into play. When a project closes, there are many people's expectations that need attention. One reality may include a permanent business change and that may involve some employee transitions. Others may include new skill requirements for staff using new technologies and working in a new organisation structure. Considering organisational excellence principles and practices will assist the organisation to transition into continuous improvement.



**Links with
Close-Out
Phase**

3.4.2 Actions and Key Questions

15. *Evaluate and identify lessons learnt*

Evaluate the progress of the changes and check if they align with the original short and long term objectives. Collect stakeholder feedback on the effectiveness of the changes.

Key Questions for Building Commitment

- Are the change outcomes aligned to the original vision and intent?
- What formal and informal evaluation processes will be used which focus on staff and the implications of change for them? • How will the gaps identified be managed?

16. *Sustain the change*

Continuous improvement is the necessary action to sustain the change and keep the reality of the new work organisation aligned with people's new expectations. There is a need for continuous monitoring and adjustments. It's also important to recognise and celebrate the accomplishments by stakeholders.

Key Questions for Building Commitment

- What formal and informal mechanisms will reinforce and support the change?
- What evaluation method will be used to see if the change met the overall project objectives/return on investment?
- How do you plan to celebrate the change?
- Has an organisational excellence programme been developed to allow the organisation to continuously improve?

3.4.3 POC Stage Four Checkpoint

POC Stage Four, *Keeping It Going*, is an ongoing process to imbed the change and continuously improve. Therefore, POC Stage Four is never really complete. It can be as challenging as the other phases to sustain and build on changes.



Checkpoint

4. Integrated People & Organisation Change Charts

The following charts demonstrate how the people and organisation change stages are connected with the project management phases. The Chart also shows POC Actions and Tools that are similar in both People and Organisation Change Management, and Project Management. **These steps are built into the Programme/Project Management Methodology and are not meant to be used independently.**

4.1 POC Stage One Chart			
<i>Building the Foundation for Commitment - connects with the Project Management Concept Phase</i>			
POC Action	PM Section	Outcome	Tools and Templates
1. Articulate the case for change and the direct link to the business outcomes	1.1.2: Identify Need, Problem or Opportunity	People and Organisation Needs & Requirements Statement	Environmental Scan Situational Assessment Need, Problem or Opportunity Statement Includes: <ul style="list-style-type: none"> - Gap Analysis - Root-Cause Analysis (Fishbone Diagram)
2. Select the strategic advocates of change	1.2.1: Identify Project Sponsor, Executive Sponsor and Change Champion	A small group that has a strategic overview of the organisation and the needed change Project Sponsor and/or Change Champion(s) Identified	Role of the Project Sponsor
3. Define the key stakeholders & their issues	1.2.2: Identify Partners & Key Stakeholders	List of stakeholders involved in and affected by the change Preliminary list of stakeholders supportive of the change General assessment of stakeholder interests and needs	Preliminary Stakeholder Analysis
4.2 POC Stage One Chart			

<i>Building the Foundation for Commitment - connects with the Project Management Concept Phase</i>			
POC Action	PM Section	Outcome	Tools and Templates
4. Define how the existing organisation will change, and the resulting issues		List of what will change in the existing organisation and potential impacts List of what requirements the new organisation will have and potential impacts. Identify all people involved or affected	Use People and Organisation Change Plan to generate ideas. People and Organisation Plan is completed at Step 13. Human Objective & Risk Assessment Tool POC Risk Assessment
5. Communicate the emerging ideas – The Vision	1.3.1: Formulate a Vision for the Initiative 1.3.2: Identify Goals & Objectives to be Achieved	High-level vision statement with outcomes and outputs for both the organisation and the people impacted	Vision Statement Outcomes, Outputs, Performance Indicators
6. Analyse the alternatives, recommend the best option and assess readiness to proceed	1.4.1: Develop Options & Analyse Alternatives; 1.5.2: Build the Foundation for Commitment	Recommended option chosen High-level agreement statement Confirmation of Change Readiness	Cost & Benefit Analysis Options Analysis Checklist Options Analysis Change Readiness Questionnaire
<p>Checkpoint/Decision Point</p> <ul style="list-style-type: none"> ▪ Is there clear understanding of the implications of the change and related issues? ▪ Is there strong incentive for the need for change? <p>Stakeholders must jointly agree to proceed, as well as understand that the parties may agree to proceed on the basis of agreement to disagreement on certain issues.</p> <p>Refer to Concept Phase Checkpoint 1.</p>			

4.3 POC Stage Two Chart:

Getting Agreement and Setting Direction - connects with Project Management Definition Phase

POC Action	PM Section	Outcome	Tools and Templates
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<p>7. Determine and establish governance structure</p>	<p>2.2.1: Determine Project Governance Structure 2.1.1: Recruit & Hire Project Manager 2.2.2: Identify Core Project Team Requirements 2.2.3: Determine Project Organisation Structure</p>	<p>Determine and establish the governance structure Select the Project Manager Identify core team requirements and determine the project organisation structure</p>	<p>Project Governance Structure Human Resource Management Plan for the core project team Project Organisation Structure</p>
<p>8. Set Interim and Long-Term Goals</p>	<p>2.4.1: Determine the Scope of the Project 2.5.1: Conduct Stakeholder Interests & Needs Assessment</p>	<p>Clear change goals for recipients and high-level risks identified. Stakeholders" interests and needs determined. Change management scope defined.</p>	<p>Stakeholder Interests & Needs Assessment Scope Statement for POC</p>
<p>9. Set Guiding Principles</p>	<p>2.5.2: Set Guiding Principles</p>	<p>Statement of principles</p>	<p>Project Charter (include people and organisation change impacts)</p>
<p>10. Obtain Approval from Key Stakeholders</p>	<p>2.5.3: Obtain Commitment From Partners & Key Stakeholders</p>	<p>Stakeholder Agreement</p>	<p>Steps to Building Commitment to Change</p>

Checkpoint/Decision Point:

- Is there a desire to continue?
- Has a specific vision with interim and long-term targets been established?
- Are sufficient resources in place?
- Are clear commitments stated?

Refer to [Definition Phase Checkpoint 2.](#)

4.4 POC Stage Three Chart

Making Planning/Changes - connects with Definition, Planning and Implementation Phases

POC Action	PM Section	Outcome	Tools and Templates
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<p>11. Recruit and Orient the Project Implementation Team</p>	<p>2.3.3: Recruit & Hire Core Project Team Members 2.3.4: Define Core Project Team Roles and Responsibilities 2.3.5 Initiate the Team Building Process</p>	<p>Team Agreement <i>(experts to deal with people and organisation change issues should be included in the development of the Team Agreement)</i></p>	<p>Core Project Team Roles & Responsibilities Matrix Team Agreement Establish Ground Rules Operating Effectiveness of Teams Audit: Elements of Team Work</p>
<p>12. Conduct detailed organisational analysis</p>	<p>3.1.1: Confirm Project Scope</p>	<p>People Risk & Opportunity Summary Confirm Project Scope The impacts that are identified as part of this step will form the basis for the strategies/plan developed in the next step.</p>	<p>Review the Situational Assessment and update it as appropriate Confirm Scope Statement for POC</p>
<p>13. Plan the change goals and transition strategies to reach staff and clients</p>	<p>3.1.2: Create a Work Breakdown Structure (WBS) 3.1.3: Define Required Activities 3.4.3: Define the Knowledge Management & Transfer Plan 3.5.2: Develop Strategies for Managing People & Organisation Change & Transition 3.7.1: Create the Integrated Project Plan</p>	<p>Work breakdown components of the project Action Plan to manage the transition and Mitigation Strategy to manage risks</p>	<p>Work Breakdown Structure List of Project Deliverables Action Items List Knowledge Management & Transfer Plan People & Organisation Change Plan Stakeholder Management Plan Integrated Project Plan for POC which includes a Project Communications Management Plan</p>

4.3 POC Stage Three Chart

Making Planning/Changes - connects with Definition, Planning and Implementation Phases

<p>14. Implement the Strategies</p>	<p>4.2.3: Implement the People & manage Organisation Issues</p> <p>Strategies Process</p> <p>4.2.4: Communicate, Communicate</p> <p>4.3.7: Communicate Status & Progress</p> <p>4.4.1: Manage Issues</p> <p>4.4.2: Manage Scope and Change Requests</p> <p>4.4.3: Manage Project Risks Managing Resistance Checklist</p> <p>4.6.3: Manage Project Stakeholders Change Resistance Scale</p> <p>4.7.1: Verify Evaluate the Change Plan Correctness of Project Deliverables</p>	<p>Execute the action plan People & Status Change Organisation</p> <p>Transition</p> <p>Monitoring and controlling Communicate, Project Management Form Regular staff, client and stakeholder meetings Request Form Routine status reports</p> <p>Issue, risk and change Project management</p> <p>Ongoing Project Risk List & Project with all</p> <p>POC Quick Wins</p>	<p>to Monthly Project Updates Change and Project Management</p> <p>Issues</p> <p>Project Change</p> <p>Project Risk Management Form communications</p> <p>stakeholders Matrix</p> <p>Building Consensus</p>
<p>Checkpoint/Decision Point:</p> <ul style="list-style-type: none"> ▪ Are the change goals being met? ▪ Are there new developments or discoveries that affect the change plans? ▪ Have the changes to the people and organisation resulting from the project's deliverables been considered and managed? <p>Completion of POC Stage Three, <i>Planning/Making Changes</i> ends with implementation. However, since sustaining the results of the implementation depends on ongoing organisational analysis and design/redesign, the change process will continue through Stage Four.</p> <p>Learn more about all the associated checkpoints in the Project Management Methodology at: Definition Phase Checkpoint 2; Planning Phase Checkpoint 3; and Implementation Phase Checkpoint 4.</p>			

4.5 POC Stage Four Chart			
<i>Keeping It Going - connects with Project Management Close-Out Phase</i>			
POC Action	PM Section	Outcome	Tools and Templates
15. Evaluate and Identify Lessons Learnt	5.2.1: Document Lessons Learnt	Evaluation/ Lessons Learnt Report	POC Sample Evaluative Questions
	5.6.1: Evaluate Change Outcomes	Individual Performance Reviews	Post Change: Employee Questionnaire
16. Sustain the change	5.4.2: Conduct Team Close-Out	Transition to Existing/New Operations. Team and	Celebratory Ideas for Project Teams
	5.5.3: Carry-Out Knowledge Transfer & Transfer to Operations	close-out celebrations. New policies and procedures supporting the change	Organisational Excellence Framework
	5.6.2: Sustain the Change	Individual and Team Recognition Celebration of achievements	
Checkpoint/Decision Point:			
POC Stage Four, <i>Keeping It Going</i> , is an ongoing process that continues regardless of the status of the project products or services. Therefore, POC Stage Four is never really complete. It can be as challenging as the other phases to sustain and build on changes.			

5. Appendix A: Documents and Templates

The table below indicates all documents that form part of the PPM Toolkit.

For the latest versions and to download templates, please refer to <http://www.gtac.gov.za>

Toolkit Section	Ref #	Document Name	
1		Framework and Methodology and Guides	
	SUM	Project Management Summary Guide	✓
	FWK1 *	Project Management Framework	✓
	FWK2 *	People and Organisational Change Framework	✓
	MET1 *	Project Management Methodology	✓

1	GUI1	Guide to Project Start Up	
	GUI2	Guide to Project Sponsorship	✓
	GUI3	Guide to Charter Writing	
	GUI4	Guide to Project Planning	
	GUI5	Guide to Smaller Projects	
	GUI6	Health Check Guide	
	GUI7	Programme / Project Management Office Set Up Guide	
2			
	CON1	Environmental Scan	✓
	CON2	Situational Assessment	✓
	CON3	Needs Statement	✓
	CON4	Commitment to Change	✓
	CON5	Stakeholder Analysis	✓
	CON6	Vision Statement	✓
	CON7	Impact, Outcomes, Outputs, Indicators	✓
	CON8	Alignment to Strategy	
	CON9	Options Analysis	✓
	CON9a	Option Analysis Checklist	✓
	CON10	Clients and End-User Requirements	
	CON10a	Business Case	
	CON11	Change Readiness Questionnaire	✓
	CON12	Concept Phase Checklist	
	CON13	Lessons Learnt Gathering Form	
	CON14a	Lessons Learnt Log	
	CON14b		
3		Definition Phase	
	DEF1a	Governance Structure	✓
	DEF1b	Organisational Structure	✓
	DEF2	Terms of Reference	
	DEF3	Core Team Member Requirements	✓
	DEF4	Human Resource Management Plan – Core Team	✓
	DEF5	Project Team Member Evaluation	
	DEF6	Project Team Directory	
	DEF7	Roles and Responsibilities Matrix	✓
	DEF8	Team Agreement	✓
	DEF8a	Establishing Ground Rules	✓
	DEF8b	Operating Effectiveness of Team	✓

DEF8c	Elements of Team Work Audit	✓
DEF9	Scope Statement	✓
DEF10	Stakeholder Interests Needs Assessment	✓
DEF11	Project Charter	✓
DEF12	Definition Phase Checklist	
DEF13a	Lessons Learnt Gathering Form	
DEF13b	Lessons Learnt Log	
4	Planning Phase	
PLA1	Scope Management Plan	
PLA2	Work Breakdown Structure	
PLA3	Project Deliverables Chart	✓
PLA4	Project Budget	
	Project Schedule	
PLA5	Human Resource Management Plan - Implementation Team	
PLA6	Performance Development Plan (Short)	
PLA6a	Performance Development Plan (Comprehensive)	
PLA6b	Communications Management Plan	
PLA7	Communications Worksheet	✓
PLA7a	Performance Reporting Chart	
	Quality Management Strategy	
PLA7b	Quality Assurance & Control Chart	
PLA8a	Risk Management Plan	
PLA8b	Risk List & Risk Matrix	
PLA9a	Stakeholder Management Plan	
PLA9b	People and Organisation Change Plan	
PLA10	Building Consensus	✓
	Change Resistance Scale	
PLA11	Evaluate the Change Plan	
PLA11a	Project Plan	
PLA11b	Lessons Learnt Gathering Form	
PLA11c	Lessons Learnt Log	
PLA12		
PLA13a		
PLA13b		
5	Implementation Phase	
IMP1	Meeting Agenda	
IMP2	Meeting Minutes	
IMP3	Action Items List	
IMP4	Weekly Status Report	✓
	Monthly Status Report	✓
IMP5	Risk Management Form	
IMP6		

	IMP7	Issues Management Process	✓
	IMP7a	Issues Management Form	
	IMP7b	Issues Log	
	IMP8	Change Control Process	✓
Toolkit Section	Ref #	Document Name	
	IMP8a	Change Request Form	
	IMP8b	Change Control Log	
	IMP9	Deliverables Acceptance Sheet	
	IMP10	Start-Up Checklist	
	IMP11a	Lessons Learnt Gathering Form	
	IMP11b	Lessons Learnt Log	
6	Close Out Phase		
	CLO1	Sponsor Sign-Off Form	
	CLO2	Customer Sign-Off Form	
	CLO3	Lessons Learnt Report	
	CLO3a	Lessons Learnt Log	
	CLO3b	Lessons Learnt Gathering Form	
	CLO3c	Facilitating Lessons Learned Sessions	
	CLO4	Project Close-Out Report	
	CLO5	Close-Out Phase Checklist	
7	Smaller Projects		
	SML1	Business Case for Smaller Projects	
	SML2	Project Charter for Smaller Projects	
	SML3	Project Plan for Smaller Projects	
	SML4	Change Request for Smaller Projects	
	SML5	Status Report for Smaller Projects	
	SML6	Lessons Learnt for Smaller Projects	