Salt Lake City

Innovation Team

Project Management Toolkit

Introduction

Project Management
The project management documents in this toolkit provide information on best practices of project management, as well as fillable templates to use throughout the five phases of your project (explained in the "Steps to Complete Your Project Plan," document 1), including project planning, project implementation, and after-action review. In addition to fillable templates, this toolkit contains several documents intended to provide guidance and information to fill out the templates. These guidance documents take you through the elements required to *adequately plan and implement* the project to achieve your goals and objectives effectively and efficiently. If you would like more information on how to use the templates or on project management in general, the Innovation Team encourages you to reach out, or consider resources such as "Project Management for the Unofficial Project Manager" by Kory Kogon, Suzette Blakemore, and James Wood.

There are 10 total project management documents in the toolkit, each numbered in the top left of the document for easy navigation

Change Management
The change management guidance in this toolkit explains the concept of change management and leads you through fillable templates to better prepare your team for changes that come with new programs and projects.

New projects almost always introduce a change of some sort, either internally (i.e., introducing new job functions), externally (i.e., asking the public to do something) or both. In either case, both the technical and people side of the change needs to be effectively managed for a project to be successful. The technical side ensures the project itself is developed, designed, and delivered effectively. The people side ensures change is embraced, adopted, and utilized by either the employee or public. Change management is a deliberate strategy that provides the structure, processes, and tools to make this happen and is critical to a project's success. The change management guide and worksheets included in this toolkit explains the concept of change management and leads you through fillable templates to better prepare your team for changes that come with new programs and projects

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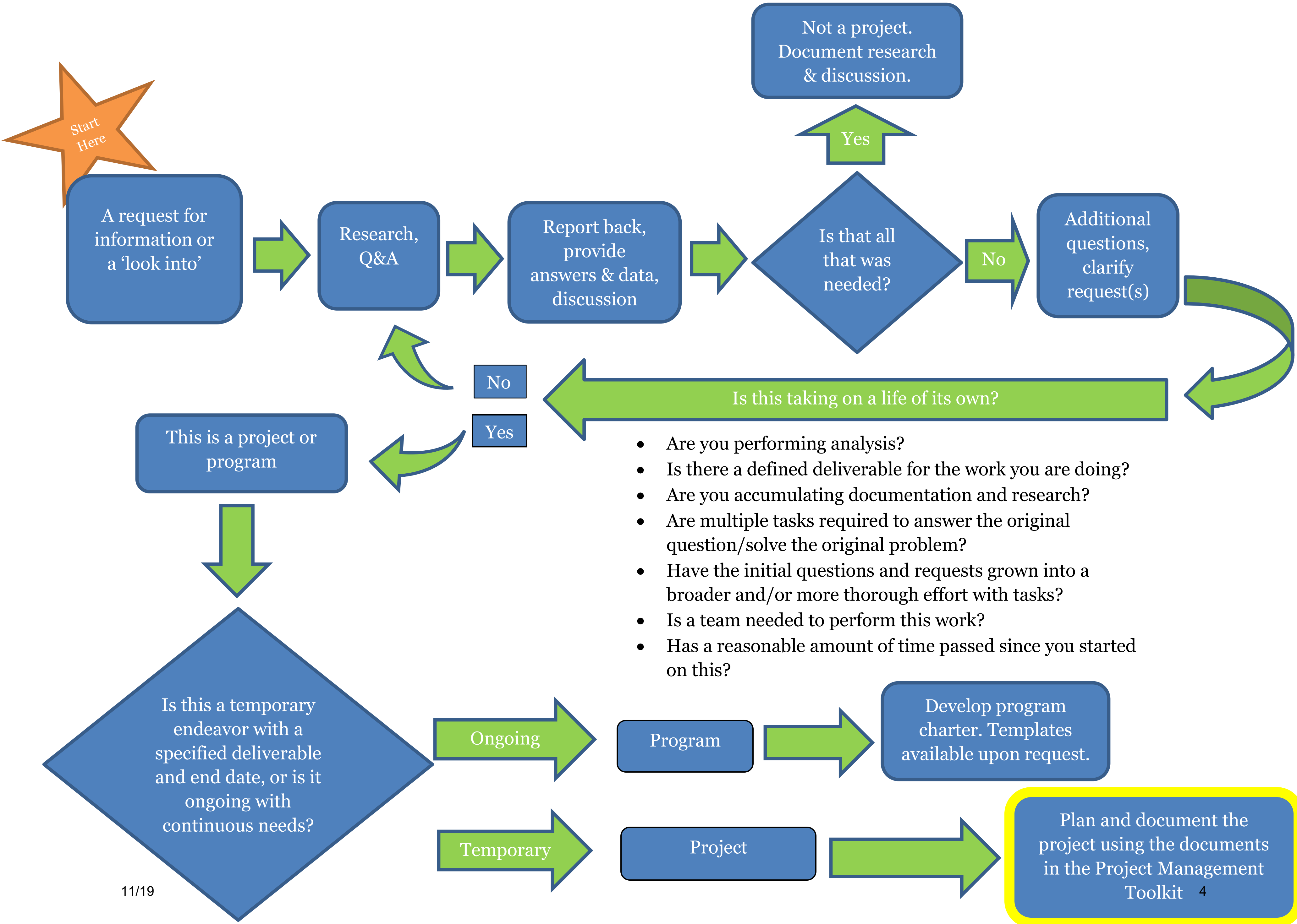
PROJECT MANAGEMENT

CHANGE MANAGEMENT


Start Here
A request for information or a 'look into'
Research, Q&A
Report back, provide answers & data, discussion
Is that all that was needed?
Yes
Not a project. Document research & discussion.
No
Additional questions, clarify request(s)
Is this taking on a life of its own?
No
Yes
This is a project or program
- Are you performing analysis?
- Is there a defined deliverable for the work you are doing?
- Are you accumulating documentation and research?
- Are multiple tasks required to answer the original question/solve the original problem?
- Have the initial questions and requests grown into a broader and/or more thorough effort with tasks?
- Is a team needed to perform this work?
- Has a reasonable amount of time passed since you started on this?
Is this a temporary endeavor with a specified deliverable and end date, or is it ongoing with continuous needs?
Ongoing
Program
Develop program charter. Templates available upon request.
Temporary
Project
Plan and document the project using the documents in the Project Management Toolkit

STEPS TO COMPLETE YOUR PROJECT PLAN

There are five phases to a project:

- Initiate project
- Plan the project
- Implement & execute the plan
- Monitor and control
- Close project and conduct project review evaluation

The purpose of the steps listed below is to guide you through the elements required to *adequately plan* the project to achieve your goals and objectives effectively and efficiently. Your work may not have started as a project but may have grown into a project (see "Project Determination Flowchart") that now requires planning. These steps do *not* cover implementation and ongoing management of the project, how to close it out, or how to evaluate it. That information can be found in other documents in the toolkit.

The templates provide an example of how to organize your project information, but **you may revise the materials as you deem appropriate for your project**. The project plan template contains the key components that should be included in every project charter or plan, but you may organize those components in a way that best supports your work.

1. **Complete the 'Project Plan Template' (document number three in the Project Management Toolkit)**
   a. This is a comprehensive document that addresses the key components that should be included in a project plan. This is a foundational document you may use for multiple purposes, including documenting the history of a project, updating your project sponsor, and planning an approved budget request.
   b. Completing the plan will take time and thought, **it is not a quick exercise**. Taking the time to thoroughly answer each question will provide you with a clear picture of what you want to accomplish, the factors that must be considered to determine how you will accomplish it, and how you will measure the results. The time put into the plan will save time in phase three of your project, implementation. An example of a completed project plan is available upon request.
   c. You also may want to consult additional tools/documents to help you complete the plan, including: Project Management Tools Definitions, Project Metrics, the Project Team Roles Template, the Project Risks document, and the Risk Assessment. These are also available for download in the toolkit.
   d. A completed project plan provides an excellent justification for the project, outlines what may be expected if your project is successful, and addresses the key risks that may impact results and outcomes.
   e. If you have questions about the project plan template or need any assistance to complete the plan template, please contact the Innovation Team.
   f. If your project will involve public engagement, please check the Civic Engagement webpage at https://www.slc.gov/civic-engagement/ for information and resources.
   g. When you are ready for phase three of your project (Implement & Execute), download and fill out the "Project Implementation Plan Template." It's a more detailed write-up of your project plan that also includes implementation steps. Information in the completed "Project Plan" template may be transferred into the "Project Implementation Plan" template and you may include activity planning

for the individual steps/activities required to implement your project in the Implementation Plan template.

2. **Identify any action items**
    a. Based on the project plan, are there any tasks that must be completed before the project starts?
    b. If so, clearly identify the person(s) responsible and assign deadlines.
    c. Follow-up to ensure action items are completed and the project plan is adjusted if necessary.
3. **Describe and sequence each step required to meet the milestones and achieve the project objectives**
    a. Map out the individual tasks and activities to be performed, identify the resources needed for each step, the parties responsible for each step, and the proposed timeline for completing each step (see also **Project Implementation Plan Template** in the Project Management Toolkit for a suggested format, and **Steps to complete your project implementation plan** for instructions).
    b. Review the sequence to ensure adequate time has been allowed for communication, safety precautions, iterations of steps if needed, completion of tasks, reflection, and assessment, etc.
4. **Meet with the project sponsor(s) to review the plan**
    a. Meet with your project sponsor(s) and review the plan to ensure they agree on the objectives, deliverables, expected outcomes, metrics, timeline and milestones, sequence of activities, communication plan, risks, etc.
    b. Address any issues the sponsor(s) raises and adjust the plan accordingly.
5. **Meet with the project team, stakeholders, and resources to review the plan**
    a. These meetings may be held separately or may be combined, but these groups need to review the project plan and understand the overall objectives, their roles and responsibilities, and the timing of their involvement.
    b. Answer all questions raised, resolve any issues, and ensure all parties are aligned before closing the meeting(s).
    c. Be sure to document the meetings, including time and date, attendees, discussion, any issues raised and resolutions, understanding of roles and responsibilities, and timing of project activities.
6. **Start your project!**
7. **Update the project plan if any components change**
    a. If there are multiple people working on the project, set up recurring meetings to resolve issues and track progress.
    b. As you conduct your project, circumstances may change and require you to adjust your implementation plan, for example, or new risks may arise that were not previously addressed.
    c. Be sure to update your project plan and note the date and nature of the changes to any of the plan components. This documentation will provide an important record of the project history.
8. **Optional: Complete a project review report**
    a. See Project Review Report template (document number ten in the Project Management Toolkit)

PROJECT PLAN

Project Name:	
Prepared by:	
Estimated Start Date (MM/DD/YYYY):	
Estimated Duration:	
Department:	
Project Manager:	
Project Sponsor(s): (If unsure consider Q12)	

SCOPING THE PROJECT

The prompts in this section define the scope of your project, also known as the project charter. Your project scope/charter defines the why, what, when, and how of the project. The information you include in this section will guide all project decisions. Best practice is to develop the scope in consultation with key stakeholders so everyone is clear on the expectations for what your project will and will not deliver.

1. **PROJECT PURPOSE** What is the purpose of the project? Why is it being initiated? What problem will this project solve?
2. **PROJECT DESCRIPTION** What are you doing?
3. **STRATEGIC ALIGNMENT** Which of the City's strategic objectives/mayoral priorities does the project support? How does this project fit into the City's "big picture"?

4. **CURRENT STATE** What is the current situation? What work (if any) is currently being done on this project? How much money is being spent, if any? How much staff time is being spent, if any? Are errors (or rework) happening? What are the other features of the current state?
5. **DESIRED RESULT(S)/OBJECTIVE(S)** A project objective is an overall goal or desired result of the project. What will the project accomplish? What will change as a result of a successful project?
6. **DELIVERABLES** Project deliverables are goods or services –tangible or intangible – produced by the project. These are what you will measure and use to assess your project's success. To determine deliverables, think about what this project will yield or produce. For example, a report, a document, software, a good, a service, etc.

7. EXCLUSIONS

These are considerations or elements that will NOT be part of the project. It's important to define these up-front to prevent scope creep. What won't be included in this project? What related results or deliverables are out of scope?

8. ACCEPTANCE CRITERIA & DECISION MAKERS

Who needs to sign off on what? And how they will sign off? Use this space to consider who the ultimate decision makers are and what they need to approve in your project. For example, you may need someone to approve your communication plan and someone else to approve your risk management plan.

9. CONSTRAINTS

What restrictions or limitations do you have on your project? Constraints typically fall within six areas: scope, quality, resources, budget, risk, and time.
(As a project manager, it is your responsibility to be aware of the constraints and work with key stakeholders to set realistic expectations and prioritize deliverables for the project accordingly. For example, if you are only given one week to complete a project that should take six weeks and has three deliverables, time and quality are constraints. It is your job as PM to tell the stakeholders that only one deliverable can be done well and get them to prioritize which of the three deliverables they want done.)

PROJECT ROLES

10. PROJECT MANAGER

Who is the person leading the project? Is the project manager also a decision maker? Briefly describe their responsibilities for this project.

11. TEAM MEMBERS

Who will execute the project and what are their roles and responsibilities? (To define the team roles in more detail, please download the "Project Team Roles Template" in the Project Management Toolkit and complete the exercise with your project team members.)

Name:	Title:	Project Role & Primary Responsibilities:

12. SPONSOR

Who is the primary sponsor for this project? The sponsor is often an executive, cabinet-level person. Briefly describe the expectations for the sponsor of this project.

13. IMPACTED GROUPS

Is this an internal or external project? Who will be directly impacted by the project? Who will benefit? Will any group be negatively impacted? If so, be sure to consider the group(s) in your risk assessment in Q20 below.

14. **STAKEHOLDERS**
Who has a stake in the project results and deliverables? Who has an interest in your project's outcome? They can be internal or external. Please download the "Stakeholder Register" template in the Project Management Toolkit for a more detailed method of identifying and managing stakeholders.

KEY PROJECT COMPONENTS

The following components are key to consider and plan for prior to project execution. Some of these areas, such as communication and risk, often warrant their own specific plans. Please see the Project Management Toolkit for downloadable templates that allow you to plan for these components in greater detail, including a communications plan and risk assessment.

15. **COMMUNICATION**
How will you communicate project status and information, and what messages should be directed to which group (sponsor(s), impacted group(s), stakeholders, etc.)?

16. **PROJECT SCHEDULE**
What is the timeline (start and end dates) for this project and what are the key activities to complete? Does the project have sub-projects that will come out of this, and have you considered timing for those? For complex projects, an excel spreadsheet or project management software like smartsheet are recommended.

17. METRICS

How will you measure whether the project is successful? How will you monitor progress or identify when there is a problem? What metrics will be used to measure the progress and performance of this project? (Examples can be found in the "Project Metrics" document in the Project Management Toolkit.)

18. BUDGET, COSTS, FUNDING SOURCES

What is the budget for this project overall? What is the projected cost of this project? What is the cost of implementation? What is the cost of engagement or communications? What is the cost of long-term maintenance post-implementation (if needed)? What funding sources have been identified or secured? Have you consulted your department's financial analyst or finance manager yet concerning funding and expenses? If funding has not been secured, what needs to be done to do so?

19. RESOURCES

What other support and resources (physical and time) will you need, either within or outside of the City, and how have you planned for those resources? (e.g., IT assistance, legal assistance, graphics, a survey, etc.) What is your plan for securing those resources?

20. RISKS

What could go wrong, what could jeopardize the project's completion or achievement of its objectives? What could lead to negative outcomes or unintended outcomes? What may limit your ability to achieve your objectives? What can you do to mitigate the risks? (see also "Project Risks" and "Risk Assessment" documents in the Project Management Toolkit)

22. RELATED PROJECTS

What other projects may be affected? What other projects are you relying on and what is their timing? Is any other department in the City doing a similar project?

23. OTHER

What additional information about your project should be considered that wasn't addressed above?

DECISION-MAKER(S): The person or group responsible for making decisions regarding project results or outcomes, or funding; may or may not be the project sponsor.

IMPACTED GROUP(S): A defined group expected to benefit from or experience the results of a program or project.

IMPLEMENTATION PLAN: A step-by-step plan to execute a project.

METRICS: Measures or calculations used to indicate status, problems or areas of concern, progress, performance, outcomes, or other aspects of a project.

PLAN: A written document that explains the work to be performed, why it is being performed, the expected results, and associated risks and contingencies.

PROGRAM: An existing or new ongoing scope of work that addresses and impacts a certain need or opportunity within an organization and/or community. Programs also may consist of multiple related projects organized under the 'umbrella' of one program and are generally long-term. Programs should have a completed program plan or charter that includes metrics used to ensure the program is operating as designed and is delivering on intended results.

PROJECT: A temporary scope of work undertaken to create a unique product, service, or result. It also may be defined as a unique venture with a beginning and end carried out by staff to address a specific objective, issue, or opportunity within constraints of time, cost, scope, and quality.

PROJECT MANAGER: The person responsible for managing a project and overseeing its successful completion. The manager's job is to ensure that the project proceeds within the specified timeframe and under the established budget, while achieving its objectives. Project managers make sure that projects are given sufficient resources and manage relationships with contributors and stakeholders.

PROJECT TEAM MEMBER: Individuals who actively work on one or more phases of the project. Team member roles vary according to each project.

RISKS: Events, issues, situations, beliefs, or circumstances that could negatively impact the progress or results of a project. Risks should be identified, quantified to the extent possible, ranked, and addressed to eliminate or reduce their impacts.

ROLES: Positions within a team that are associated with or assigned specific responsibilities.

SPONSOR: The manager or executive who champions a project, typically a cabinet-level leader.

STAKEHOLDER: Those with any interest in your project's outcome. Stakeholders are individuals or groups who are invested in the project and who will be affected by your project at any point along the way, and their input can directly impact the outcome. Stakeholders may be internal (members of a project team, project managers, executives, project sponsors, internal customers/users, other departments, those needed to support the initiative) or external (community groups, residents, business owners, city council, community, external customers/users, etc.)

Metrics or key performance indicators (KPIs) are tools used to track progress, detect problems or areas of concern, measure results or performance, or otherwise highlight some aspect of a project. Below are some categories and examples that may be useful in identifying metrics for your project. This list is not exhaustive, you may develop metric categories that more closely align with your project.

SCHEDULE
Milestones met
Percentage completion
Estimated time to complete
Time per customer

FINANCIAL/BUDGETING
ROI (return on investment: a ratio that compares the gain or loss from the project relative to the cost.)
IRR (internal rate of return: the expected compound annual rate of return that will be earned on a project.)
Payback period (the time required to pay back or recuperate the funds expended for the project, i.e., how long it will take to reach the break-even point.)
Percent of budgeted spending (what percentage of your budget have you spent/did you spend on the project?)
Variance (difference between what you budgeted for the project and what you actually spent)
Cost per customer/participant
Dollars committed/earmarked (not just budgeted)
Savings
Cost per contact hour (see Qualitative, below, for contact hour definition)

INPUT/OUTPUT, RATE
Mpg
Cycle time
Turnover or clearing rates
Emissions, emissions rates
Number of riders per trip
“x” per person
Error/defect rates
Usage per day/week/month/year/time period
Volume per day/week/month/year/time period
Rate or percentage of increase/decrease

QUALITATIVE
Customer satisfaction
Number of repeat customers
Conversion rate (number who completed a step, or all the steps, in an event or program/project)
Contact hours (number of hours a user or member of target population participated)

OTHER FEEDBACK TOOLS
Dashboards (Red/Yellow/Green (RYG))
Status boards
Balanced scorecards
Surveys
Interviews

When your team is identified, use this template to discuss and reach agreement on roles and responsibilities. The project manager can also use this template to think about who should be on the project team.

1. Who is the project manager?

2. Who is/are the project sponsor(s)?

3. What departments are involved in this project's implementation?

4. What departments are affected by this project?

5. What roles are needed to meet the project's objectives?

6. What are the time commitments to meet each project objective?

7. Considering the answers above:
    - Project Manager:
        - Project Role:
        - Tasks:
    - Sponsor(s):
        - Project Role:
        - Tasks:
    - Teammate A
        - Project Role:
        - Tasks:
    - Teammate B
        - Project Role:
        - Tasks:
    - Teammate C
        - Project Role:
        - Tasks:

Team Member Agreement

8. What do team members need/expect from the Project Manager?

9. What do team members need/expect from one another?

10. What resources do team members need to fulfill their designated roles on the project?

11. How will the team make decisions?

12. How will the team divide up the tasks/workload?

13. If a team member cannot or does not meet expectations, how should it be addressed?

14. Can everyone commit to the expectations and norms?

Every project has associated risks, and a good project plan anticipates those risks and establishes processes to address them if they occur. Below are suggestions for developing a list of risks for your project and for being prepared with back-up plans should any of the risks materialize.

PROJECT RISKS TO CONSIDER AND PLAN FOR:

- **KEY COMPONENTS**: Are all the project key components defined for your project? (Yes/No)
  - If not, are you planning to define all the key components before the project starts? (Yes/No)
  - If not, why not and what are the risks to not having them defined?
    - What could go wrong or adversely impact your program/project if a component is not defined in advance?
    - How will you mitigate those risks?
  - If so, what could change or go wrong with the key components that would put your program or project objectives, outcomes, budget, schedule, and milestones, etc., at risk? How would you mitigate those risks?
- **MANAGING CHANGES**: Do you have processes established to address program/project changes if and/or when they occur? (Yes/No)
  - Do you have checklists for what to do if a change to your plan is needed or a problem arises? (Yes/No)
  - Do you have a process for documenting and tracking any changes that may be made to the program/project? (Yes/No)

- **COMMUNICATION**: Do you have a communication plan for your program/project that explains how you will communicate within and outside of your team? (Yes/No)
    - If not, why not and what are the risks associated with not having a communication plan?
    - Who and what is at risk if there is no communication plan?
    - How will you mitigate those risks?
    - If so, does the plan include all the appropriate people/stakeholders and does it assign roles and responsibilities?
- **PARTICIPANTS:** Do you have alternates identified if one of your team members drops out? What if the target population objects to some aspect of the program or project? What if one of the stakeholders withdraws support?
    - What are the ways participants in the program or project can slow or stop progress?
    - What are the ways to mitigate those risks?

- **WORK BACKWARD FROM THE DEADLINE:**
  - Start at the deadline and work backward to map out the steps required to reach the deadline, accounting for how long each step will take, any coordination required, or factors beyond your control
  - Is the deadline achievable given the steps required?
    - If not, who should be informed?
    - If not, are there alternative objectives and outcomes that can be accomplished in the allotted time?
    - If not, what are the consequences, and can they be mitigated?

- **WHAT IF ANALYSIS:** Assume the program/project fails.
  - What would be possible reasons for the failure?
  - How can you mitigate the risks associated with those reasons?

STEPS TO COMPLETE YOUR PROJECT IMPLEMENTATION PLAN

Five basic phases to a project:

- Initiate project
- Plan the project
- Implement & execute the plan
- Monitor and control
- Close project and conduct project review evaluation

The purpose of the steps listed below is to guide you through the elements required to **implement and manage** the project plan to achieve your goals and objectives. These steps do *not* cover planning of the project, how to close it out, or how to evaluate it. You can find resources for those in the Project Management Toolkit.

You may wish to revise the materials as you deem appropriate for your program/project. The implementation plan should be organized in a way that best supports your work.

1. **Complete the 'Project Plan' template**
    a. Information in the completed 'Project Plan' template may be transferred into the 'Project Implementation Plan' template in the Executive Summary section, and in Section 1: Introduction, including the Purpose, Objectives and Expected Outcomes.
    b. The implementation template is a detailed document that breaks down the steps required to implement and manage a project plan into individual tasks. For each task listed you will need to document the following:
        i. The purpose of the task, i.e., why this step is necessary, what it will accomplish.
        ii. The key question(s) the performance of this task will answer.
        iii. The subtasks: a further chronological breakdown, if necessary, of the items to be performed to complete the task, who will perform them, and how you will know they have been performed successfully.
        iv. Deliverable(s): the outcome(s) of the task, what will occur or change due to performing this task and how you know the task is completed.
        v. The timeline for completing the task. (Note you may change the column headers in the chart from MONTH to DAY or WEEK or whatever makes sense for the task to be performed).
        vi. The resources required to complete the task. Examples of resources may include personnel, equipment, transportation, funding, travel, expertise, etc.
    c. The task planning process ensures you or your team have thought through the order of the tasks required to implement the plan, what is required to complete each task, and how you will know when a task is successfully completed. This level of detail ensures you are prepared to successfully implement your project and helps to mitigate any associated risks. **A thorough implementation plan will ensure the project will proceed efficiently and effectively**.
    d. If you have questions about the implementation plan template or need any assistance to complete the template, please the Innovation Team
    e. If your project will involve public engagement, please visit the Civic Engagement webpage for engagement information and resources.
    f. Add or delete tasks, questions, subtasks, deliverables, etc., in your implementation plan as appropriate for your project.

g. Summarize the timetables for each task in the Task Calendar in Section 3 of the template. The Task Calendar provides a timeline to help you determine if the program or project will be completed by a certain date. If the plan does not meet a required deadline you may go back and rework the timeline to achieve the deadline.

2. **Review the completed Implementation Plan with your team and identify any action items**
   a. Are there any tasks that must be completed before the project implementation starts?
   b. If so, clearly identify the person(s) responsible and assign deadlines.
   c. Follow-up to ensure action items are completed and the program/project implementation plan is adjusted if necessary.
3. **Meet with the project sponsor(s) to review the plan**
   a. Meet with your project sponsor(s) and review the implementation plan to ensure they agree on the tasks, sequence of activities, risks, etc.
   b. Address any issues the sponsor raises and adjust the plan accordingly.
   c. Be sure to document the meeting, including time and date, attendees, discussion, any issues raised, and resolutions.
4. **Start your project!**
5. **Update the project plan and implementation plan if any components change**
   a. As you implement your project, circumstances may change and require you to adjust your project plan and/or implementation plan; for example, new risks may arise that were not previously addressed.
   b. Be sure to update your project plan and implementation plan and note the date and nature of any changes to any of the components or tasks. *This documentation will provide an important record of the project history*.
6. **Track completion of each task in the implementation plan**
   a. Note when the task was completed, any issues that arose, how they were resolved, and how you confirmed the task was completed.
   b. *The annotated implementation plan will be an important record of the process you/your team followed and will help you identify 'lessons learned' from the project*.

General Project Information			
Project Name:			
Project Sponsor:			
Project Lead:			
Document History			
Version	***Date***	***Author***	***Reason for Change***

Approvals			
	Name	**Signature**	**Date**
Project Sponsor			
Project Manager			

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Executive Summary (project description)

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1.3 Expected Outcomes

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2 Project Implementation Plan

Task:

Purpose

Key Questions

Subtask:

Subtask:

Subtask:

Deliverables

Timeline

Task	MONTH1	MONTH2	BEYOND

Required Resources

Task:

Purpose

Key Questions

Subtask:

Subtask:

Subtask:

Deliverables

Timeline

Task	MONTH1	MONTH2	BEYOND

Required Resources

Task:

Purpose

Key Questions

Subtask:

Subtask:

Subtask:

Deliverables

Timeline

Task	MONTH1	MONTH2	BEYOND

Required Resources

Task:

Purpose

Key Questions

Subtask:

Subtask:

Subtask:

Deliverables

Timeline

Task	MONTH1	MONTH2	BEYOND

Required Resources

Task:

Purpose

Key Questions

Subtask:

Subtask:

Subtask:

Deliverables

Timeline

Task	MONTH1	MONTH2	BEYOND

Required Resources

3 Task Calendar

Task	MONTH1	MONTH2	BEYOND

4 Resource Calendar

TASK	MONTH 1 (Resources Required)	MONTH 2	BEYOND

☐ You may share this document.

☐ The project plan is attached.

General Project Information	
Project Name:	
Project Manager:	
Project Sponsor:	
Project Team:	

Approvals			
	Name	**Signature**	**Date**
Project Sponsor:			
Project Manager:			

1 Project Description

Please describe the project.

2 Project Timeline

3 Project Objectives

The objectives, as outlined in the Project Plan, included the following:

Objective	Met/ Partially Met/ Not Met?	Description

4 Project Expected Outcomes

What were the expected outcomes and were they achieved? Why or why not?

The expected outcomes, as outlined in the Project Plan, included the following:

Outcome	Achieved/ Partially Achieved/ Not Achieved?	Description

5 Program/Project Budget

The budget (reference the budget you included in your Project Plan):

Description	Budget ($)	Actual ($)	Remaining ($)	NOTES
Total				

Were there areas of implementation that suffered because you didn't have an adequate budget?

6 Project Acceptance/Adoption

Was this an internal or external project?

If internal, what evaluation have you done of staff acceptance/adoption?

If external, attach your engagement after-action report (found on the Civic Engagement website). ☐

7 Project Assessment & Lessons Learned

Category 1: Timeline, Key Milestones met?

Category 2: What went well or worked well on the project?

Category 3: What went poorly or did not work well on the project?

Category 4: Would you do anything differently the next time?

8 Project Open Issues, Follow-up Items, and Assignment of Responsibility

New projects almost always introduce a change of some sort, either internally (i.e., introducing new job functions), externally (i.e., asking the public to do something) or both. In either case, both the technical and people side of the change needs to be effectively managed for a project to be successful. The technical side ensures the project itself is developed, designed, and delivered effectively. The people side ensures change is embraced, adopted, and utilized by either the employee or public. Change management is a deliberate strategy that provides the structure, processes, and tools to make this happen.

Ideally, each project has a dedicated change management team separate from the project team; but we understand resource constraints can make this very difficult. The purpose of this section is to provide a general overview of change management so you can apply it to your project if desired. The assessments and plans below can be used to create a master change management plan, which should then be integrated with your overall project plan. If you decide to do this and this is your introduction to change management, we recommend contacting the City's Innovation Team first. They are available to go into more detail about change management and assist with drafting a change management strategy for your project. Please contact: innovation@slcgov.com. Happy Changing! *Note: All content was adopted from Prosci Inc. and UC Berkeley materials. This guide is intended for internal SLC use only. Please do not distribute outside of SLC.*

The Three Phases of Building a Change Management Strategy

The purpose of Phase 1 is to develop a customized and scaled approach with the necessary sponsorship and team structure.

Phase 1 – Preparing for Change

Define your change management strategy

Prepare your change management team

Develop your sponsorship model

Main Activities

- Conduct Project Change Triangle (PCT) assessment (see below)
- Perform risk analysis (see below)
- Anticipate resistance areas (see below)
- Design special tactics
- Develop overall strategy
- Architect team structure
- Prepare your team
- Assess sponsorship (see below)

The purpose of Phase 2 is to create and implement plans that will move the organization/community/individual through change.

Phase 2 – Managing Change

Develop change management plans

Take action and implement plans

Main Activities

- Create plans (see below for all plans)
    - Communications
    - Sponsorship
    - Coaching
    - Training
    - Resistance Management
- Integrate into project plan
- Execute plans

The purpose of Phase 3 is to ensure that the change is adopted and sustained.

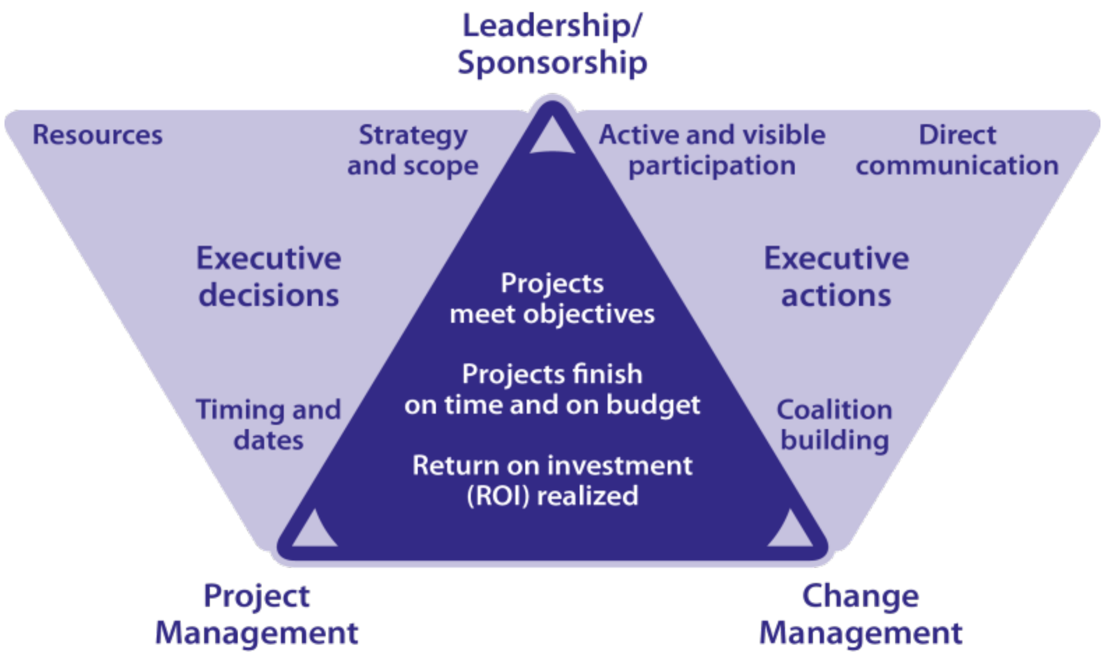
Phase 3 – Reinforcing Change

- Collect and analyze feedback
- Diagnose gaps and manage resistance
- Implement corrective actions and celebrate successes

Main Activities

- Proactively collect feedback and listen to employees
- Track compliance with the "new way of doing things"
- Identify gaps and areas of resistance
- Implement corrective action
- Celebrate successes
- Move to "new" business as usual

The Building Blocks of a Change Management Strategy



Assessments
Note: Templates of all assessments are available upon request by the Innovation Team.

- Project Change Triangle Assessment
  - Every project requires three elements to succeed: Leadership/sponsorship, project management, and change management (see image above).
  - This assessment identifies the strengths and weaknesses of the project based on factors attributed to each of the three elements. It helps prioritize your efforts on the weakest element.

- This should be done to establish a baseline and at critical milestones to make sure the project is still on track.

- Risk Assessment
  - In this assessment you are looking at the size and scope of the change (such as the number of people impacted, the degree of organization restructuring, etc.) and organizational attributes (such as how ready/resistant the organization is to change and impact of past changes on employees/the community, etc.)
  - This assessment helps you determine the risks associated with the change you are implementing and how to scale your change management efforts accordingly. More information on project specific risks can be found in the **Project Risks** document in the toolkit.

- Sponsor Assessment
  - Active and visible sponsorship is essential to successful change. Senior leaders not only need to demonstrate why change is necessary, they also provide the authority and credibility needed to build coalitions that result in successful change.
  - This assessment looks at whether a project has a designated leader/sponsor, their role in the organization/community, whether they support the change, change competency, and how active/visible they are with respect to the project.
  - The results from the sponsorship assessment will be used to create a sponsor roadmap/coaching plan to help sponsors lead the change in question. (See below).

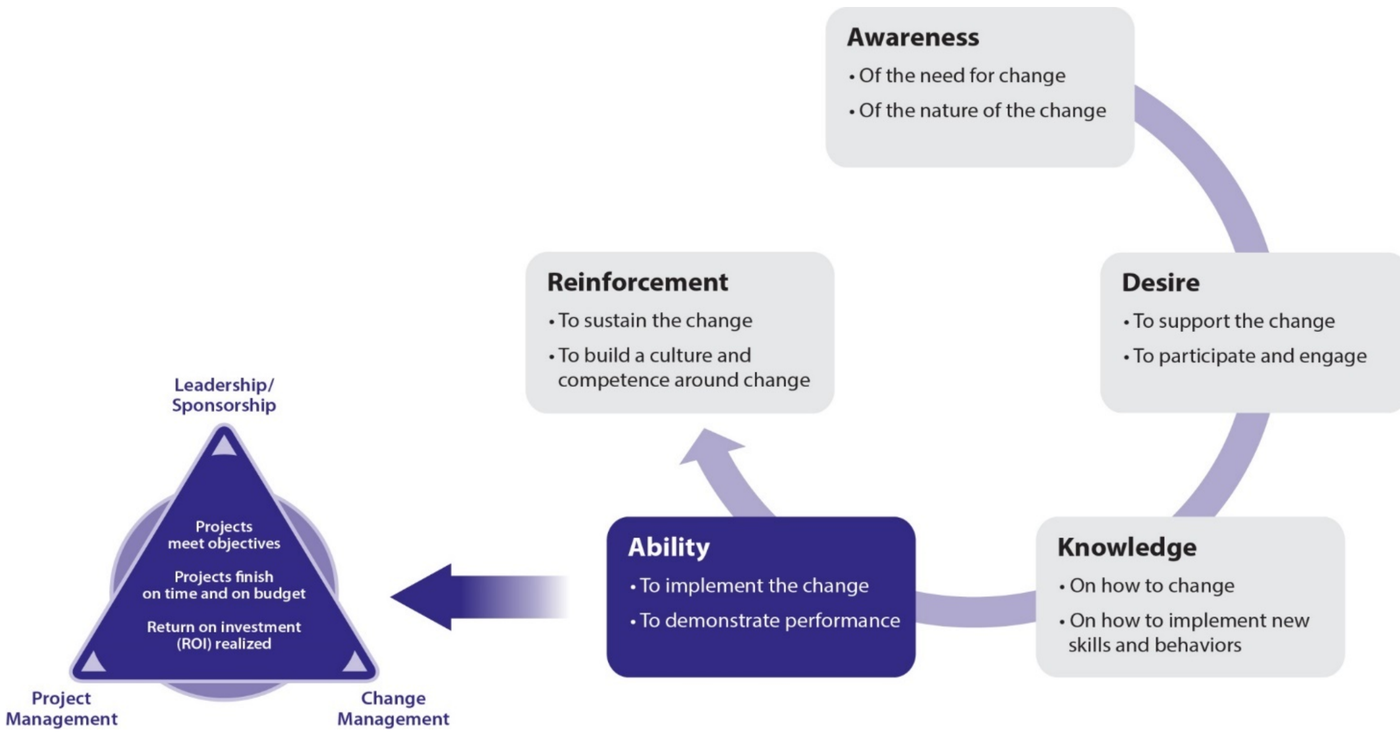
- Impact Assessment
  - A key tenant of Change Management is to understand how different groups and individuals will be impacted differently and develop a strategy to address these different degrees of impact.
  - There are 10 aspects of an employee's job that can be impacted by change:
    - Processes
    - Systems
    - Tools
    - Job Role
    - Critical Behaviors
    - Mindset/Attitude/Beliefs
    - Reporting Structure
    - Performance Reviews
    - Compensation
    - Location
  - The purpose of this assessment is to identify which groups will be impacted by your project and how the change will impact them specifically.

- Individual Change Assessment: ADKAR
  - In order for an individual to successfully adopt a change, they must successfully experience the 5 elements of change: **A**wareness, **D**esire, **K**nowledge, **A**bility and **R**einforcement or ADKAR. This is important

because all change (whether organizational, departmental or a general group) results from individual change, one person at a time.

- **Awareness**. How aware are they of the change and the reasons for change? Does the individual/stakeholder understand:
  - The problems inherent in the current situation?
  - The opportunities missed if the change doesn't happen?
  - What is trying to be achieved?
  - How things will be better?
  - How the change will impact them?
  - What their role will be in the future state?
- **Desire**. Do they want to change? Does the individual/stakeholder:
  - Know that management/leaders are aligned with the change effort?
  - Feel their concerns, questions, and needs are being heard?
  - Feel hopeful about the future state?
  - See value in the change?
  - Believe a well thought out strategy is being put in place to achieve the change?
- **Knowledge**. Do they know how to change? Have we provided the right training and information on how to use the new system or follow a new policy/rule? Does the individual/stakeholder:
  - Have the necessary information, knowledge and skills to successfully fulfill their new role?
  - Know where to go for additional information about the change?
  - Know what resources are available to support their personal side of change?
  - Know what success looks like?
  - Have a plan to achieve success?
  - Know which behaviors will need to change?
- **Ability**. To what extent is the person capable of implementing their new skills or knowledge? Does the individual/stakeholder:
  - Believe the organization has provided appropriate resources to support the anticipated change?
  - Have the necessary systems, processes, and policies in place?
  - Have the ability to execute the new behaviors required for the change?
  - Know how to perform the required tasks?
- **Reinforcement**. To what degree is the person receiving reinforcement for demonstrating change? Are supervisors doing their jobs to positively reinforce the change? Does the individual/stakeholder:
  - View management/leaders as a resource for removing/overcoming barriers?

        - Have mechanisms in place to reinforce the required behaviors?
        - Have metrics in place to assess the ongoing effectiveness of the change?
    - Using the ADKAR analyzer, we can look at individuals and assess where in this process they may get stuck (the barrier point); this will tell us which element we need to focus on with that specific person.
    - This tool not only manages change at an individual level, it guides activities at an organizational/community level as well.
    - Please see *Individual Change Plan* worksheet.



Change Management Plans

- Communications Plan
    - The results from the risk, impact, and individual change (ADKAR) assessments are used to create a targeted communications plan for your project.
    - This involves identifying key messages on how the change will impact a specific group, outlining the difference between the current and future state, and status updates.
    - You will also need to decide on delivery method, frequency and who the best sender is (sponsor/manager/colleague/community leader).

- Outcomes of a communications plan
  - Build awareness of the nature of the change, why a change is needed, and the risks of not changing.
  - Formalize feedback mechanisms and enable two-way communication with employees.
  - Publicly celebrates success.
- ➢ Please see the *Case for Change*, *Change Management Communications Plan* and *Sponsor Vision* worksheets.

- Sponsorship Roadmap/Plan
  - Active and visible sponsorship is essential to successful change. Senior leaders not only need to demonstrate why change is necessary, they also provide the authority and credibility needed to build coalitions that result in successful change.
    - ➢ Please see the *Sponsor Responsibilities* guide for details on what is expected of an effective sponsor.
  - The results from the sponsorship assessment (above) will be used to create a sponsor roadmap/coaching plan to help sponsors lead the change in question.
  - The roadmap will outline specific activities needed for each audience at each phase of the project.
  - Outcomes of a sponsor roadmap
    - Outline role and responsibilities of sponsor.
    - Build awareness of how the change aligns with the vision for the organization/community.
    - Create desire to change through coalition building and the management of resistance.
    - Reinforce the change through visible recognition that comes directly from organization/community leader(s).
  - ➢ Please see *Sponsor Vision* worksheet & *Sponsor Responsibilities* guide. The *Sponsor Responsibilities* guide outlines the responsibilities of an effective sponsorship throughout the lifecycle of a change initiative. Review these expectations with the sponsor prior to project launch to clarify expectations. If the sponsor is unable to commit to all described responsibilities, determine workarounds with the sponsor for who will undertake these tasks.

- Coaching Plan
  - For internal projects, managers and supervisors are instrumental to successful change. This is because employees trust them and they are close to where the change is happening
  - The purpose of this plan is to provide managers with the tools and support they need to work directly with their employees. For external projects, this plan can be adapted to fit the needs of community leaders/representatives.
  - Managers/community leaders carry out 5 critical change roles.
    - Communicator: To build awareness of the need for change.
    - Liaison: Provide feedback to project team/sponsors and vice versa.

        - Advocate: Support the change through words and actions to influence desire in the change.
        - Resistance Manager: Anticipate, determine, and manage the root causes of resistance.
        - Coach: Support employees/the public in their change journey through training, knowledge sharing, and positive reinforcement.
    - Outcomes of effective coaching
        - Build awareness of how a change impacts an employee/community member.
        - Create desire through personal interactions with employees/ community members and effective management of resistance.
        - Fosters ability by creating the right environment to develop new skills and acquire new knowledge.
    - Please see the *Sponsor Responsibilities* guide for details on what is expected of an effective sponsor/manager.
    - The *Individual Change Plan* worksheet is a useful tool for managers when discussing how a change will impact individual employees and what is being done to help them succeed.

- Resistance Management
    - Resistance is a natural reaction to any change and you should not be surprised by it. The key is to anticipate and identify early on where your project may run into resistance. You have a better chance of mitigating resistance by being proactive and developing special tactics before it becomes too big to manage.
    - A strategic plan can be created to address the resistance in question. Below are some questions to consider when outlining a resistance management plan.
        - What type of resistance is anticipated?
            - ✓ What might resistance look like in your organization/department/for a specific group?
            - ✓ Where is resistance likely to occur?
        - How will resistance be identified?
            - ✓ Employee feedback
            - ✓ Supervisor input
            - ✓ Project team issues
            - ✓ Change liaisons (community leaders/liaisons, etc.)
        - Process for resistance management by level
            - ✓ Employees
            - ✓ Supervisors
            - ✓ Managers (mid/senior)
            - ✓ Community leaders/liaisons
        - Resistance management training by level
            - ✓ Targeted audiences for this training
            - ✓ Schedule for training (or method of integrating this material into existing training for this audience)

        - Below are a few things to keep in mind when trying to manage resistance.
            - ✓ Clearly define the change and outline goals early on. What looks like resistance could actually just be a lack of clarity.
            - ✓ Motivate people by showing them the need for change. What looks like resistance could actually just be exhaustion and a lack of motivation.
            - ✓ Shape their change journey by being specific about what needs to change and what the end-game looks like. What looks like resistance could actually just be a lack of direction.
    - Resistance management here refers specifically to the people involved in the project, whether as the implementors, impacted groups or other stakeholders. More information on project specific risks can be found in the **Project Risks** document in the toolkit.

- Training Plan/Knowledge Sharing
    - The purpose of this plan is to develop knowledge of how to carry out a change by providing training and education opportunities to employees (internal) or community members (external).
    - Key components of a training plan.
        - Identify the different audiences that require training and/or education.
        - Conduct a needs assessment for each audience.
        - Document requirements for the training organization or project/engagement team.
    - ➢ Please see *Individual Change Plan* worksheet.

Each of the 5 change management plans above help drive certain elements of the ADKAR Model outlined above.


Individual:
Awareness
Desire
Knowledge
Ability
Reinforcement
Organizational:
Communications Plan
Sponsor Roadmap
Coaching Plan
Training Plan
Resistance Mgmt
Time

Case for Change Worksheet

The purpose of this worksheet is to help you brainstorm and outline the reasons a specific change needs to occur. Responses could be used to craft communications for each relevant audience impacted by the change. Information from the scope of work, project charter and other relevant project management documents could be used to complete this worksheet.

Background What is the current problem that needs to be solved? How did we get here?	
Current State Where are we now? Why is what we're doing currently not working? What opportunities are being missed?	
Risks of Not Taking Action What future problems are anticipated if no action is taken? What is the impact to the organization/community?	
Benefits of Taking Action What are the benefits of making the change? What is the impact to the organization/community?	

Change Management Communications Plan

Audience Who needs to know? (Need to plan for each audience)	
Message What are you trying to say? What are the key messages that need to be communicated to these audience? Refer to *Case for Change* worksheet.	
Call to Action What are you asking people to do (if applicable)?	
Tone/Mood This will help your team communicate with a consistent voice for this particular message/audience. *Examples*: Formal, casual, bold, optimistic, serious/intense, socially conscious, open/transparent, curious	
Messenger Who should deliver the message?	
Method of Communication? How will the message be delivered? (Email, group/one on one meeting, flyers, formal presentation, surveys, etc.)	
Communication Date(s)	

Sponsor Vision Worksheet

Once a sponsor has been identified, set up a meeting to discuss their vision for the change. Responses to the questions below should be used to craft communications throughout the life of the project.

Organizational Goal(s) What do we hope to achieve? Why are we doing this now?	
Organizational Benefits How will things be better?	
Impact to Stakeholders Expected benefits?	
Impact to Stakeholders Potential consequences or impacts?	

Sponsor Responsibilities Guide

Active and visible sponsorship is essential to successful change. Senior leaders not only need to demonstrate why change is necessary, they also provide the authority and credibility needed to build coalitions that result in successful change. The table below outlines the responsibilities of an effective sponsorship throughout the lifecycle of a change initiative. Review these expectations with the sponsor prior to project launch to clarify expectations. If the sponsor is unable to commit to all described responsibilities, determine workarounds with the sponsor for who will undertake these tasks.

Pre-Implementation	• Ensure alignment with strategic goals. • Assess organizational readiness based on existing commitments. • Create and lead steering committee (if needed) • Contribute to project charter and provide sign-off for go/no-go decision. • Communicate expected project benefits to impacted stakeholders. • Delegate decision making authority as appropriate. • Champion project pre-implementation kick-off with a personal commitment message. • Serve as point person for escalated issues. • Approve project plan and secure project resources. • Attend regular status update meetings (if possible) and provide feedback to prevent scope creep and course correct if needed.
Implementation	• Delegate decision making authority as appropriate. • Kick-off project implementation launch. • Receive regular status updates and provide feedback. • Spearhead ongoing executive level communications and steering committee updates. • Celebrate key milestones with project team. • Communicate key milestones to impacted stakeholders.
Post-Implementation	• Broadly communicate and celebrate realized benefits and lessons learned. • Attend project review meetings/sessions and provide sign-off for project closure. • Sustain realized benefits by ensuring people and processes are in place for long term stability.

Individual Change Plan Worksheet

To achieve successful implementation of any change, individual behaviors need to change. The questions below are meant to define what success looks like and outlines a plan on the individual level. This can then be measured after the change is implemented.

1. What behaviors need to change?

2. What does success look like? How will you measure it?

3. What knowledge, skills, and abilities are needed to ensure new behaviors?

4. What systems and tools are needed to support the behavior change?

5. What new policies, procedures and/or processes are needed to support the behavior change?

6. What training is needed to support the behavior change?

7. What organizational assistance is available to support the employee?

8. What reinforcements/consequences need to be in place to sustain behavior change?