



Appeals Case Management System (ACMS)

Organizational Change Management Plan



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Version 3.0


Revision History

REVISION HISTORY			
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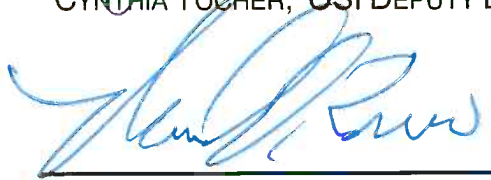
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Table of Contents

1	INTRODUCTION.....	1
1.1	PURPOSE.....	1
1.2	SCOPE.....	1
1.3	REFERENCES.....	1
1.4	ACRONYMS.....	2
1.5	DOCUMENT MAINTENANCE	3
2	OCM PARTICIPANT ROLES AND RESPONSIBILITIES.....	3
2.1	CHANGE LEADER	3
2.2	PROJECT DIRECTOR.....	3
2.3	CHANGE MANAGER	4
2.4	CHANGE EVALUATORS.....	4
2.5	OCM TEAM MEMBERS	4
2.6	PROJECT CHAMPIONS	5
2.7	SI CONTRACTOR	5
3	OCM PLANNING	5
3.1	PRINCIPLES OF OCM	6
3.2	TRANSLATING OCM PRINCIPLES INTO A STRUCTURED APPROACH	6
3.3	SUCCESS FACTORS.....	7
4	OCM SCOPE.....	7
5	OCM TOOLS.....	13
5.1	COMMUNICATION.....	13
5.2	OCM ACTIVITY DEVELOPMENT AND REVIEW PROCESS	14
5.3	OCM REGISTER.....	15
5.4	BUILDING STAKEHOLDER ACCEPTANCE	16
5.5	ANALYSIS OF BUSINESS WORKFLOW IMPACT	16
6	MONITORING THE EFFECTIVENESS OF CHANGE MANAGEMENT	17

Table of Tables

TABLE 1 – SAMPLE ACMS ORGANIZATIONAL CHANGE MANAGEMENT ACTION PLAN.....	8
TABLE 2 – SAMPLE ACMS BUSINESS WORKFLOW IMPACT ANALYSIS WORKSHEET	17

Table of Figures

FIGURE 1 – ACMS ORGANIZATIONAL CHANGE MANAGEMENT ROADMAP	10
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1 INTRODUCTION

1.1 Purpose

The purpose of the Organizational Change Management (OCM) Plan is to actively design, develop, and execute a strategy to prepare stakeholders for business, technical and cultural changes that occur as the result of the Appeals Case Management System (ACMS) project. Embracing and magnifying the positive aspects of change helps stakeholders align themselves with the organization's desired "future state". A well thought out and responsive OCM Plan significantly mitigates business disruption and reduces the time it takes to adopt change; plan activities, prepare and involve stakeholders to achieve and sustain those changes.

1.2 Scope

The OCM Plan identifies the procedures and tools used to manage OCM activities for the project. The plan focuses on activities identified by ACMS project members and does not include activities or procedures identified in the Systems Integration (SI) Contractor OCM Plan. The plan covers activities for the entire System Development Life Cycle (SDLC) and does not include the maintenance and operations phase of the project. The plan identifies the roles and responsibilities of individuals involved in OCM activities. The plan also identifies the processes and timeframes for monitoring the effectiveness of OCM activities.

1.3 References

1.3.1 Best Practices Website

For guidance on the Office of Systems Integration (OSI) project management methodologies refer to the OSI Best Practices website:

<http://www.bestpractices.osi.ca.gov>

The materials are available through the "By Function-Phase" link. OSI project management methodologies align with the California Project Management Methodology (CA-PMM):

http://www.cio.ca.gov/Government/IT_Policy/SIMM_17/index.html.

1.3.2 Project Centralized Document Repository

The ACMS project repository is the project SharePoint site for all project-specific documentation. The project repository is located at:

<http://sharepoint.dss.ca.gov/orgs/projects/ACMSpmo>

OCM items to store in the centralized document repository include, but are not limited to:

- OCM Plan
- OCM Meeting Minutes and Agendas
- OCM Memos
- OCM Status Reports
- OCM Templates
- OCM Frequently Asked Questions (FAQ's)

1.3.3 External References

- Project Management Institute (PMI®) Project Management Body of Knowledge (PMBOK) Guide, 5th Edition, Section 2.1 – Organizational Influences
- Statewide Information Management Manual (SIMM 17), CA-PMM, Section 3.2 OCM Plan

1.4 Acronyms

ACRONYM	DESCRIPTION
ACMS	Appeals Case Management System
CA-PMM	California Project Management Methodology
CDSS	California Department of Social Services
FAQs	Frequently Asked Questions
FSR	Feasibility Study Report
ISD	CDSS Information Systems Division
OCM	Organizational Change Management
OSI	Office of Systems Integration
PMBOK	Project Management Body of Knowledge
PMC	Project Management Committee
PMI®	Project Management Institute
SDLC	System Development Life Cycle

SI	Systems Integration
SIMM	Statewide Information Management Manual
SME	Subject Matter Expert

1.5 Document Maintenance

This document will be reviewed and updated as needed 1) at least annually, 2) and also eight weeks prior to the start of each system development life cycle (SDLC) phase, 3) or on an as needed basis.

This document contains a revision history log. Proposed changes to the OCM Plan must follow the ACMS Artifact Review Process outlined in the ACMS Governance Plan. When changes occur, the document revision history log will be updated with a new version number to the next increment, the date of the update, and a change description.

2 OCM PARTICIPANT ROLES AND RESPONSIBILITIES

This section describes ACMS project OCM roles and responsibilities.

2.1 Change Leader

The California Department of Social Services (CDSS) ACMS Project Sponsor serves as the Change Leader. The Change Leader:

- Acts as the official voice of management.
- Champions the project with staff and stakeholders.
- Provides strategic vision to the change management team.
- Communicates business reasons which require the need for changes.

2.2 Project Director

- Ensures the SI Contractor OCM Plan is integrated with the ACMS OCM Plan.
- Manages relationship between contractors and ACMS OCM Team.
- Manages team resources for conducting OCM activities.

2.3 Change Manager

The CDSS ACMS Support Manager serves as the OCM Change Manager for the project. The OCM Change Manager:

- Facilitates the development of and updates to the OCM Plan in accordance with the project schedule and ACMS Staff Management Plan.
- Identifies and coordinates OCM activities.
- Monitors the effectiveness of OCM activities and achievement of objectives via readiness and job impact assessments in accordance with the project schedule.
- Recommends actions to resolve OCM issues.
- Coaches/mentors ACMS OCM Team Members charged with implementing organization change activities with one or more stakeholder groups.
- Serves as the single point of contact for OCM activities.
- Monitors and maintains the OCM Register.

2.4 Change Evaluators

The Project Management Committee (PMC) serves as the Change Evaluator for the project. Change evaluators measure the effectiveness of OCM activities based upon readiness assessments and training evaluations. The Change Evaluator:

- Evaluates the effectiveness of OCM activities in terms of achievement of objectives and their impact.
- Outlines options and direct the OCM Change Manager on courses of action and/or changes in priorities related to OCM impacts and/or activities.
- Delivers OCM communications in accordance with processes outlined in Governance and Communication plans.

2.5 OCM Team Members

Individuals assigned to the OCM Team include:

- OCM Change Manager
- CDSS ACMS Business Analyst(s)
- CDSS Information Systems Division (ISD) Branch Chiefs
- Contractor(s)
- OCM Champions

The OCM Team may expand when OCM activities require regular involvement from Subject Matter Experts (SME). OCM Team Members:

- Identify changes and their impact; plan for and assess the impacts of change.
- Delineate and implement change management activities (e.g., develop and schedule outreach programs; workshops; informational forums; develop written communications materials – newsletters, Web content, e-mails, posters, and leaflets).
- Coach and mentor ACMS team members and other stakeholders to provide effective OCM.
- Monitor the effectiveness of OCM activities and make recommendations to resolve issues.
- Act as agents of change for their respective functional areas.

The OCM Team meets monthly to coordinate OCM activities, review, and draft OCM communications. All scheduled and ad-hoc OCM communications must be in alignment with the Communications Plan.

2.6 Project Champions

Project champions are people outside of the project team who take on the burden of ensuring others in their functional area involved are on board and support the ultimate success of the project. Project Champions are recruited on an as needed basis and are expected to:

- Advocate for the benefits of system changes.
- Help build acceptance and increase enthusiasm towards the project.

2.7 SI Contractor

The SI Contractor shall be responsible for selecting OCM team members from their staff to:

- Create the Contractor OCM plan which shall build up from the ACMS OCM plan.
- Prepare readiness assessment tools.
- Provide analysis of job/workflow impact.
- Identify approach and activities to market change.

3 OCM PLANNING

OCM planning encompasses all the activities an organization needs to undertake to successfully accept and adopt new business models, strategies and any new

technologies that support them. Successful OCM addresses stakeholder concerns, provides good communications, and assures adequate training and staff acquisition planning in preparation for organizational change. Understanding and effectively implementing change allows transformation of strategy, business process, technology, and people to achieve performance and enhance continual improvement in a dynamically changing environment. Effective OCM planning provides a structured approach to educate and inform management, staff and stakeholders on what is changing, and to enroll and enable staff to support the change.

3.1 Principles of OCM

A principled approach to communicate and implement change fosters openness and trust which ultimately improves the project's chances of success. Key underlying OCM principles are:

- Committed project sponsorship – OCM objectives have the support and resources of key decision makers within the organization.
- Effective project planning – Planning is structured and methodical. All plans are agreed to with regard to OCM objectives, roles, and resources.
- Measurable objectives – OCM objectives are realistic and measurable and progress toward their achievement is shared with all major stakeholders.
- Engaged stakeholders – Project stakeholders are encouraged to openly participate in dialogue, with mutual respect, regarding organizational changes and their impacts.
- Resources and support – OCM implementers and recipients receive the resources and support throughout the change process.

3.2 Translating OCM Principles into a Structured Approach

When understood and adopted, there are a number of activities that can help communicate and increase acceptance of the need for complete and timely organizational change. These activities include:

- Identify changes that will impact the organization and who will be impacted as a result of a project's implementation. Explain why these changes are important and when they need to happen.
- Garner support by bringing together ACMS project and program decision makers, current service providers, resource owners and stakeholders who will be impacted by change. Ensure that changes and their impacts are properly

understood by all and that there is a comprehensive plan to effectively market changes while addressing stakeholder concerns.

- Document specific and measurable OCM objectives to achieve desired outcomes.
- Assign individuals to specific activities and tasks; make them responsible for OCM objectives and desired outcomes.
- Facilitate effective change by removing obstacles and listening for constructive feedback, recognize and reward success. Identify and leverage the use of staff with the right skills to affect the change.
- Respond to any new and significant project changes as they are identified and vetted through project Change Control and Governance processes (see the ACMS Governance Plan and ACMS Change Control Plan for more information).
- Identify and mitigate potential risks that accompany OCM.
- Make the change(s) permanent by institutionalizing them. The change becomes part of the culture.

3.3 Success Factors

Critical success factors necessary to achieve successful change management outcomes include:

- Clear and effective communication strategies
- Strong, ongoing senior management and Sponsor support
- Effective planning
- Well-defined scope, clear vision
- Measurable objectives tied to strategic direction
- Committed, high-level change “champion”
- Dedicated, skilled project team

4 OCM SCOPE

One of the best ways to address organizational change is to identify and document its root causes and resulting impacts. Goals and objectives from the ACMS project

Feasibility Study Report (FSR) describe at a high level how change is planned to influence the organization. The known drivers of change, the project's business, functional/ non-functional requirements, and their impacts become more clear and detailed as the project moves from the procurement phase to the design and development phases.

To define the change management scope for the ACMS project, the OCM Team in cooperation with relevant stakeholders will:

1. Identify what is changing as a result of the design, development and implementation of the ACMS.
2. Analyze the impacts of these changes on each project stakeholder group.
3. Work with affected functional organization managers/stakeholders to create and implement a scheduled action plan to mitigate these impacts.

The table below provides a tool to help identify and capture possible stakeholder concerns with planned changes and potential mitigating actions. The OCM Team will propose mitigating actions to the ACMS PM for approval.

Table 1 – Sample ACMS Organizational Change Management Action Plan

Planned Change	Stakeholder(s) Name	Known Concerns	Proposed Mitigating Actions
Files will no longer be transferred using SFT.	Customer Service Unit	Management of digital documents will no longer be centralized with the customer service unit causing confusion of who is responsible for attaching documents to case files.	Provide overview of “as is” and “to be” processes for document management responsibilities in ACMS.

OCM Roadmap

Figure 1 presents an OCM Roadmap to depict ACMS OCM activities. This roadmap represents a starting concept to refine and update as the project progresses.

The ACMS project OCM Roadmap includes key milestones and corresponding OCM activities to:

- Ensure project awareness

- Encourage individual's desire to change
- Understand how planned changes benefit each stakeholder
- Provide stakeholders with the support, skills, information and knowledge to facilitate the change
- Celebrate successful change

Detail on each category of activities follows.

ACMS Organization Change Management Roadmap

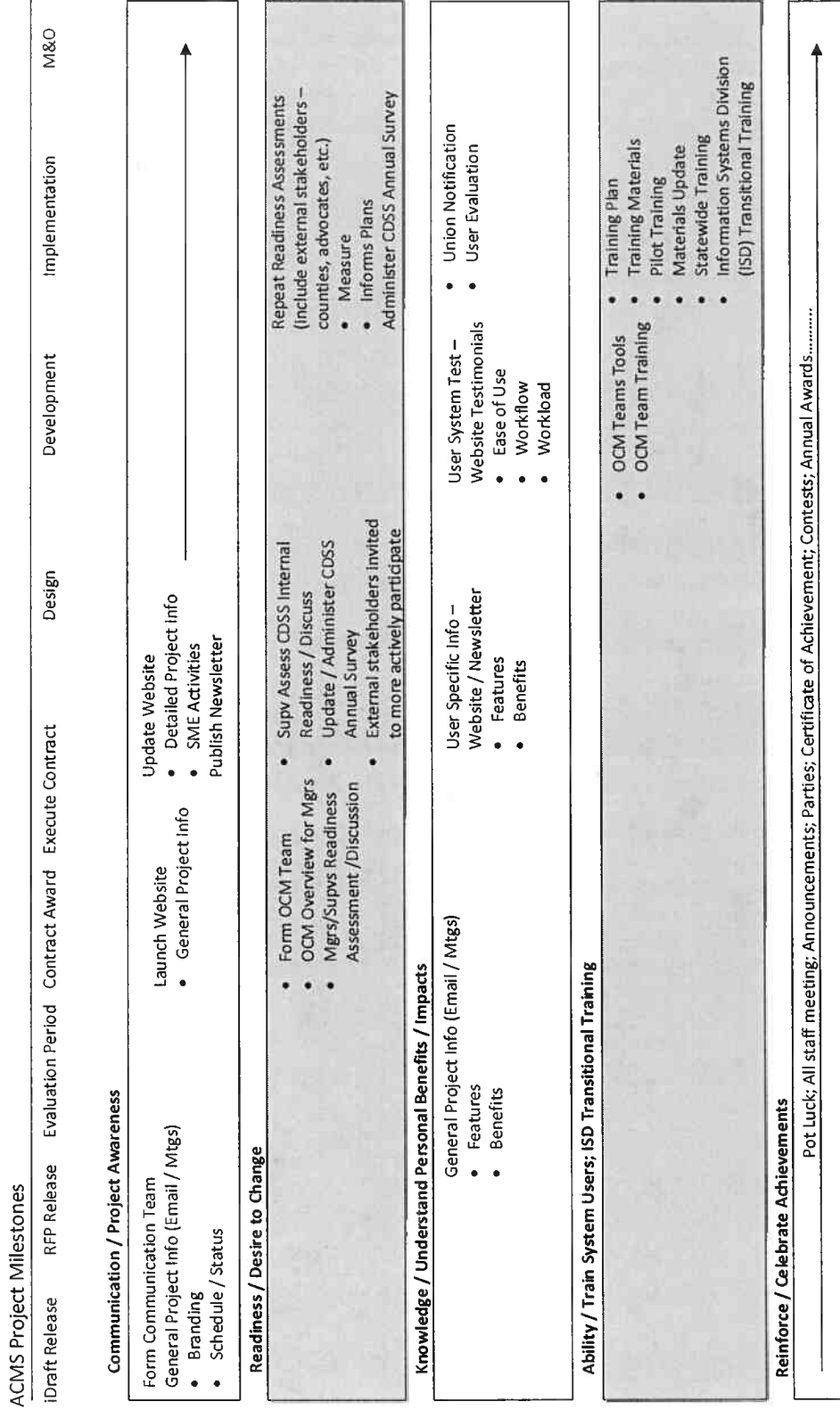


Figure 1 – ACMS Organizational Change Management Roadmap

Communication / Project Awareness

To accomplish change, communication must occur frequently with correct and consistent messaging to the right audiences. At the start of the ACMS project, communications to all stakeholder groups are focused on project overview and status. Project communications are branded to provide a consistent “look and feel” to each distributed communication by using approved templates in the project repository.

The ACMS Project Director facilitates the establishment of a Communication Team, as identified in the Communication Plan. As shown on Figure 1 ACMS project OCM Roadmap, the ACMS OCM Team is chartered at the time of SI contract award. Upon contract execution, the OCM Team establishes a project website, collaborates with the selected SI Contractor to develop detailed website information (e.g., schedule for design sessions, design session participants, project email address, FAQs) and, within 60 days of contract execution, initiates a revised OCM Plan which identifies all the aspects of OCM the SI Contractor will employ to provide OCM services to the ACMS project. The revised OCM Plan will document all approved means of OCM communication provided as a service by the SI Contractor. Communication using ACMS Team approval will continue throughout the project duration. Working with the SI, the Communication Team develops and maintains a matrix of planned communication. Reference the ACMS Communication Plan for more information on project communications.

Readiness / Desire to Change

The first step in understanding an organization’s level of readiness is to perform a readiness assessment. This exercise provides an early glimpse into how ready stakeholders are for change and helps focus change management efforts. The readiness assessment is an activity that can be done several times throughout a project. Over time, it helps the project stakeholders gauge progress and determine what additional organization change efforts are necessary.

Thirty days after the SI Contract Execution, the Contractor will provide a presentation on change management concepts for use by CDSS managers and supervisors, which discusses their role as change agents. The Contractor will also provide readiness assessment tools for use by CDSS managers and supervisors to complete an assessment of their readiness for change.

Sixty days after contract execution, the OCM Team coordinates an initial readiness assessment. The results will be collected and reviewed by the OCM Team. The OCM Team will use the assessment results to identify staff to participate as SMEs in ACMS design sessions. This first assessment provides the OCM Team with timely and valuable organizational change readiness information. The team uses this information to develop action plans to improve organizational readiness in time to support the ACMS launch.

Thirty days prior to the conclusion of system development and testing activities, the OCM Team coordinates a follow up readiness assessment. This second assessment provides measurement of OCM effectiveness. In addition, the administration of the CDSS annual survey provides additional measurement of any variation in staff satisfaction. The comparative data between the two assessment periods and the annual survey inform the development of the ACMS Implementation Plan and the level of effort needed for further change management activities.

Knowledge / Understanding of Personal Benefits / Impacts

During the ACMS project's planning stage, project communication is high level and general information. The information content describes the project's objectives, timelines and status as well as planned ACMS features and the corresponding stakeholder benefits.

As the ACMS project enters Design, Development, and Implementation the ACMS Communication Team and OCM Team coordinate to develop and publish more specific user information.

ACMS stakeholder participation opportunities arise as the project moves into the project design phase. By the end of the design stage, the OCM Team provides more detailed information about specific user system features and benefits, user system testing results, usability, and workflow and workload impacts.

The OCM Team has another opportunity, at the conclusion of user testing, to survey staff to gauge employee acceptance of the new system. This survey is helpful to determine what resistance may be voiced by employee union representatives upon their receipt of the notification of system implementation.

Training

While ACMS development is under way, the SI Contractor develops tools and training materials in preparation for system user training. The SI Contractor:

- Develops an implementation plan that provides an overview for the training approach and delivery of training to all system users and CDSS ISD Service Desk staff
- Completes an ACMS User Manual and corresponding user training materials

At the conclusion of the system development phase and user acceptance testing, the SI Contractor provides training to all users and service desk staff as described in the SI Contractor's implementation plan. The SI Contractor is responsible for evaluating all training to system users and service desk staff. The results of the evaluations will be used to determine if training was effective and/or if additional training is needed. Upon completion of all system user and service desk staff training, the SI Contractor updates the User Manual and training materials to reflect any system changes and/or to improve training materials.

Prior to and during the provision of Maintenance and Operations services, the SI Contractor develops transitional training materials and provides CDSS Information Systems Division staff with system maintenance/development training in alignment with the Training Plan.

Reinforce / Celebrate Achievements

In Figure 1 above, reinforcement and celebration of achievement is ongoing in nature and spans all project phases. As OCM activities serve to improve organizational readiness, it is important to reinforce and reaffirm positive direction and accomplishment of milestones toward the successful implementation of ACMS. Ongoing activities may include, but are not limited to:

- All Staff Meetings
- Announcements
- Pot Luck Celebrations
- Feedback from supervisor's directly to employees – saying "Thank You"
- Milestone Events
- Certificates of Achievement
- Project-sponsored celebrations for employees
- Contests
- Annual Awards
- Visible recognition by senior level sponsors
- Compensation and appraisal systems designed to support the change

5 OCM TOOLS

The following sections describe tools in use to support effective OCM activities. These tools help improve stakeholders' participation, awareness and overall readiness for change.

5.1 Communication

A great deal of time, effort and money are invested when an organization attempts major changes, organizations must be receptive to organizational change to keep pace with evolving technologies, and program/service changes. Marketing these changes correctly is integral to the project's OCM plan. Project marketing activities are specifically designed to reach out to stakeholders who are impacted by change to:

- Provide insight into how application components and new business processes come together to define the organization's future state.
- Explain the benefits of implementing ACMS.

- Indicate how the project actively disseminates factual information about project goals, status and organization-wide impacts of ACMS.
- Show how enthusiasm to promote “buy in” of ACMS is generated and achieved.

The following steps help engage stakeholders and keep them connected to the project. These steps include, but are not limited to:

- Develop a communication strategy tailored to targeted user and stakeholder groups.
- Create a unique project identity; project name, logos, themes for correspondence; essentially project/product branding.
- Build a project image as a catalyst for positive improvements.
- Establish a point of contact for communications.
- Communicate the changes and their benefits.

The ACMS project has an approved project Communication Plan. Some of the methods and tools identified within the Plan for communications include:

- Develop a project website and provide a list of FAQs.
- Use learning sessions to explain project objectives, resulting changes and impacts to lessen user and stakeholder anxiety about changes to come.
- Provide formal presentations and informal sessions to share information and manage stakeholder expectations.
- Create and maintain a project newsletter, bulletin boards, displays, memos and other low cost ways to communicate change information.
- “To-be” walkthroughs that focus on new business processes, applications and features that reduce or streamline work tasks.

5.2 OCM Activity Development and Review Process

The OCM activity development and review process initiates with an identified need for change management. The steps for developing OCM activities are as follows:

1. **Identify Activity Need** – The ACMS Project Team, PMC, OCM Team or other project stakeholders may identify the need for change management. Proposed OCM activities are provided to the Change Manager. The Change Manager discusses the proposed activity with PMC members during weekly ACMS project

team meetings. The PMC decides if the activity is needed and requests the Change Manager to add the activity to the OCM Register and convene the OCM Team to plan the event.

2. **Identify Audience** – The OCM Team meets to identify the recommended audience and person(s) responsible for developing the activity. The Change Manager presents the recommendation to the PMC for review and approval. The PMC reviews and agrees to or amends the recommendation. The Change Manager updates the OCM Register with the recommendation details.
3. **Develop OCM Work Products** – An OCM Team member or assignee develops the work product.
4. **Work Product Approval** – The Change Manager routes the work product(s) for review and approval to the Project Sponsor, prior to scheduling the activity.
5. **Schedule the Activity** – The Change Manager ensures the activity is scheduled and appropriate communication items are added to the communication register. The Change Manager updates the OCM Register with the date scheduled.
6. **Conduct/Evaluate the Activity** – The Change Manager ensures appropriate resources are available to conduct the activity. Any work products created as a result of the activity are attached to the corresponding OCM register item and the Date Occurred field is completed. OCM activities will be evaluated in accordance with Section 6 of this plan.

5.3 OCM Register

The ACMS project repository contains the official OCM Register for all scheduled OCM activities. The OCM Register captures the following attributes for each activity:

- Subject – subject of the OCM activity
- Purpose/Goal – short description of activity and its intended purpose/goal
- Prepared By – person responsible for the development of the activity and materials.
- Audience – list of recipients/groups targeted to participate in the activity
- Date Scheduled – target date for activity
- Date Occurred – actual date the activity occurred

- Attachments – work products related to the activity

5.4 Building Stakeholder Acceptance

The results of readiness assessments indicate which stakeholders desire change or conversely are resistant to change. The OCM Team can then plan for the use of specific change management techniques and tools to build acceptance which include:

- Enlist the support of project champions, business managers, and stakeholders that accept the changes to come and advocate those changes for the project.
- Communicate through memos, newsletters, e-mails, individual discussions, presentations to “advertise” the importance and benefits of upcoming change.
- Identify resistance leaders/staff and engage them in OCM activities.
- Offer employees, users, and stakeholders change management training and adequate knowledge transfer/skills development.
- Explain how the ACMS project plans for and builds acceptance to change.
- Indicate how the project actively disseminates factual information about project goals, status, and organization-wide impacts of ACMS.
- Show how enthusiasm to promote “buy in” of ACMS is generated and achieved.

5.5 Analysis of Business Workflow Impact

Often organizational change impacts workflows and job compositions at the position level. An example is the impact technology imposes on workflow such as when old systems are replaced with systems with workflow management tools. Duty statements for certain job classifications may need to be revised due to the implementation of new technologies. The SI Contractor provides a business workflow impact analysis that identifies changes in process and interactions with the system, recommendations for necessary revisions to processes, and identification of roles. The business workflow impact analysis includes:

- Identify the stakeholder group, the individual or entity impacted.
- Identify the new or revised position or workflow task.
- Identify the skills necessary to complete the task or if the task requires new skills.
- List the type of training required if re-training or knowledge transfer is an option.

The OCM Team will use the results of the business workflow impact analysis as an input for additional OCM activities. The following worksheet is an example of a tool used to record impact analysis information and action items.

Table 2 – Sample ACMS Business Workflow Impact Analysis Worksheet

Stakeholder/ Group Name	Position Classification	Role	New or Revised Position/Workflow Task	Skill(s) Required	Skill(s) Exists	Follow Up Actions Notes

6 MONITORING THE EFFECTIVENESS OF CHANGE MANAGEMENT

At least quarterly, the Change Manager directs assessments to confirm progress toward achieving readiness to implement the project and to identify specific areas where a more concerted effort is required to successfully make change occur. Assessment tools and techniques may include:

- Change management surveys to determine if the purpose of the ACMS project is understood and if stakeholders believe the project is necessary to achieve improvements, as well as whether or not it will be successful.
- Resolution of concerns regarding differences between “as-is,” and “to-be,” business processes to increase acceptance.
- Evaluations to measure stakeholder knowledge and understanding of project changes and benefits.
- Training and training evaluations to increase knowledge and proficiency.