SECTION 3 OUTLINES A RANGE OF TOOLS FOR USE IN THE ORGANISATIONAL STRUCTURING PROCESS.

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- CHAPTER 16: DESCRIBES TOOLS FOR USE IN PHASE 1: DIAGNOSIS
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CHAPTER 22

DESCRIBES TOOLS FOR USE IN MANAGING CHANGE AND TRANSITION

CHAPTER 22

22. TOOLS FOR CHANGE MANAGEMENT

Tools	Highly recommended	Recommended	Nice to have
Change strategy checklist	X		
External requirements identification		X	
Real-time strategic change (RTSC) methodology	X		
Framework for consultation	X		
Selling the case to key decision makers framework	X		
Obtaining approval from Executive Authority	X		
MPSA consultation checklist	X		
Leadership/sponsor alignment	X		
Stakeholder influence analysis	X		
Communication planning matrix	X		
Force field analysis		X	

22.1.1 TOOL 67: CHANGE STRATEGY CHECKLIST

What is it?	How to use it	When to use it
• A checklist for practitioners to use when developing a change strategy. • It reflects the most important areas of change and provides information on the different issues to be addressed. • It does not indicate how the changes should be managed.	• Review each issue as indicated on the checklist. • Answer yes or no to each question. • Identify all the no answers and start re-viewing the standard strategies for each of the issues. • Select the most appropriate strategies and plan for implementation.	• Standard tool in the tool kit.

Element	Issue	Yes/ No
Change vision	• Is there a compelling and inspiring vision that is driving change (such as improved service delivery, more motivated people, improved work environment)?	
	• Do we know what the indicators would be of a successful change?	
	• Has the vision been communicated?	
Change strategy	• Do we know what the enabler of and barriers are to the change?	
	• Are people willing and ready to change?	
	• Do we have an agreed approach to the change?	
Commitment	• Are our leaders aligned and willing to support the change?	
	• Are the employees committed to restructuring?	
	• Are we doing enough to ensure commitment?	
Capacity and leadership	• Is there a change sponsor or champion who will lead change?	
	• Are the relevant line managers willing and able to support the restructuring?	
	• Are we engaging with powerful stakeholders who can influence the success of the restructuring?	
	• Do employees have the skills needed to perform in the new organisation?	
	• Do we have change agents (a guiding coalition) to drive the change?	
Culture	• Does the organisational culture support the change?	
	• Do we have plans and resources to sustain the change?	
	• Are we engaging sufficiently with employees and stakeholders?	

Identify all the items with a No answer and review the possible actions in the table below:

Issue	Action if not in place
• Is there a compelling and inspiring vision that is driving change (such as improved public services)?	• Formulate a clear change strategy and involve as many as realistically possible to assist. Hold visioning workshop with key stakeholders.
• Do we know what the indicators would be of a successful change?	• Facilitate a visioning workshop with key stakeholders to assist in identifying key measures/targets for the restructuring.
• Has the vision been communicated?	• Develop a clear communication strategy for all potential stakeholder groups.
• Do we know what the enablers of and barriers are to the change?	• Perform a force field, risk and stakeholder analysis to determine the enablers of and barriers to change.
• Are people willing and ready to change?	• Assess readiness for change to minimise the risk of reform failure. Ideally this should be done early (preferably when there is still scope to alter the design of the reform) in order to increase understanding of the impact of reform, identify high-risk areas that will need to be managed, understand stakeholders' concerns/insights/emotional responses to change and key issues for the communications strategy.

Issue	Action if not in place
• Do we have an agreed approach to the change?	• Select the best framework for managing the change process. Experience demonstrates the effectiveness of an impartial, senior project manager and a committed project management unit acting as a catalyst in the reform process. • Develop a project plan (based on the other activities listed in this table).
• Are our leaders aligned and willing to support the change?	• Do a leadership alignment exercise to determine whether the sponsors and leaders are willing and able to support the proposed change.
• Are employees committed to the restructure?	• Review readiness for change, increase the number of employees involved in the process. • Encourage team building.
• Are we doing enough to ensure commitment?	• Communicate the benefits and quick wins regularly. • Target highly influential employees who are negative and influence others negatively as well.
• Is there a change sponsor or champion who will lead change?	• Ensure a change sponsor and representative steering committee.
• Are the relevant line managers willing and able to support the restructuring?	• Consider overview training. • Do a leadership alignment to determine how committed the managers are.
• Are we engaging with powerful stakeholders who can influence the success of the restructuring?	• Do a stakeholder analysis and strategise around powerful stakeholders. • Develop communication plan and start engaging with these parties.
• Do employees have the skills needed to perform in the new organisation?	• Present skills training. • Conduct awareness campaign and roadshows.
• Do we have change agents (a guiding coalition) to drive the change?	• Identify change sponsor and change agents. (This can be done through interviews and/or a "change readiness workshop".)
• Does the organisational culture support the change?	• Conduct culture analysis. • Review values and awareness of what people should expect of colleagues.
• Do we have plans and resources to sustain the change?	• Draft workforce transition plan. • Prepare handover plan.
• Are we engaging sufficiently with employees and stakeholders?	• Ensure that as many employees as possible participate in teams. • Establish a change forum. • Communication: A sound communications plan should consider the audience, message, media, frequency, goals, responsibility, feedback mechanisms and tools to measure effectiveness of communication.

22.1.2 TOOL 68: EXTERNAL REQUIREMENTS IDENTIFICATION

What is it?	How to use it	When to use it
• A distinct feature of the proposed change management approach is the design and implementation of change management processes appropriate to the context and dynamics of change within the organisation. This should be done through actively promoting a cocreation approach in determining the needs and crafting the solution for change. Embedded in this approach should be the active informing and active engaging of managers, employees and functions' stakeholders throughout the various phases of the restructuring. • Change management will consist of the elements in the template below, managed in a systematic and integrated manner.	• Review each focus area and its related description to determine whether it has been addressed or not. • If it has been addressed, mark yes and if not, mark no next to each focus area. • Plan to address all the focus areas with a no answer.	• Standard tool in the tool kit.

Focus areas	Description	Addressed Yes/No
Effective change enablement	• Creating the right conditions for a critical mass of managers and staff in the functions to manage the change processes within themselves and their teams.	
Effective communication	• Creating a continuous flow of information and dialogue within the organisational community, those affected by the possible changes as well as their stakeholders.	
Effective stakeholder management	• Mapping and managing the various stakeholders that impact on the functions as well as those being impacted upon by the various functions.	
Effective labour relations management	• Continually ensuring that the various risks from an LRA viewpoint are identified and managed within the framework of agreements between the organisation and its trade unions, as well as the framework of relevant labour legislation.	
Effective empowerment and staff consultation	• Engaging the entire function in ways that lead to ownership of, commitment to, and alignment with a shared purpose and direction.	
Defined preferred future	• A collective "image of potential" for the future that motivates action today.	

Focus areas	Description	Addressed Yes/No
All risks and dependencies considered	• A continual focus on the internal and external environments of the department.	
Establishment of a common database	• A common understanding of strategic issues informs the discretion of people at all levels in the functions so that they can make wise decisions, individually and collectively.	
Effective community	• Fostering an environment where individuals come together and integrate with a shared purpose and common direction, as part of something larger than themselves that they helped create and that they believe in.	
Focus on here and now	• Simultaneous discovery, planning and implementation of individual, group and organisation-wide changes. Decisions and actions are taken as if the future were now, thereby blurring the line between "here" and "there".	

22.1.3 TOOL 69: REAL-TIME STRATEGIC CHANGE (RTSC) METHODOLOGY

What is it?	How to use it	When to use it
• Within the framework of the CLR, the second methodology that will be used, especially where large numbers of managers and employees are involved, is the real-time strategic change (RTSC) methodology.	• Using large-scale meetings, this methodology allows for a critical mass of managers and employees to participate in: o Understanding the need for change in their functions. o Analysing the current reality and deciding what needs to change in their functions. o Generating ideas about how to change existing processes in their functions. o Alignment regarding the strategy, business plan and operating model of the function. o Implementing and supporting change in their functions and making it work. o Revitalisation or renewal for the way forward.	• An alternative strategy for change management and lead-ership.

22.1.4 TOOL 70: SELL AND CONSULT PROCESS

What is it?	How to use it	When to use it
• An overview of all the parties to be consulted as part of a restructuring process in the public sector.	• Review the different stakeholder groups in terms of their requirements. • Plan: o To provide appropriate information. o For the consultation process.	• A standard process in every significant organisational structuring intervention.

Whom to consult or sell to	What do you want from them?	What format could you use?	What documentation do you need?
Decision makers: 1. Unit manager. 2. EXCO. 3. DG or HOD. 4. Executive Authority.	• Agreement with proposed structure. • Mandate to sell and consult on the structure.	• Presentation at EXCO meeting. • Meeting to brief Executive Authority. • Formal submission to Executive Authority.	• Business case. • Summary of business case. • Presentation slides.
Staff	• Support for proposed structure and its implementation.	• Information sessions. • Written comments and submissions from staff.	• Summary of business case. • Presentation slides. • FAQs about the structure.
Trade unions or workplace forum (if required in terms of sections 197 and 189 of the Labour Relations Act)	• Support for proposed structure and its implementation.	• Information sessions. • Written comments and submissions from trade union.	• Summary of business case. • Presentation slides. • FAQs about the structure.
MPSA (if top three tiers of structure are changed)	• Concurrence on the proposed structure.	• Formal submission.	• Business case and submission requirements as set out by dpsa.

22.1.5 TOOL 71: FRAMEWORK FOR SELLING THE CASE TO KEY DECISION MAKERS AND STAKEHOLDERS

What is it?	How to use it	When to use it
• The first step is to sell the proposed structure to the decision makers in your organisation. You will have to convince them that the proposed structure is the most feasible and most desirable of the options that you have explored. Your arguments will be set out in the business case. • A well-written business case is only part of the selling task. You will need to make a convincing presentation to the decision makers.	• You will need a mandate (or authorisation) from the decision makers before you can proceed with selling and consulting on the structure with staff and other stakeholders. It is important that you have a clear mandate. This will minimise confusion and conflict in the consultation process. • If you have consulted staff in the earlier phases of the structuring exercise, it may be easier to sell the structure. But do not take it for granted that all staff will support the proposed structure. • If your organisation is embarking on a major restructure that will affect the staff in your organisation, it will be necessary to consult the trade unions represented in your organisation.	• A standard process in every significant organisational structuring intervention.

Checklist: Selling to and consulting with staff and unions	Addressed Yes/No
Selling the structure to key decision makers	
√ Prepare a presentation pack that includes a summary of the business case and presentation slides.	
√ Request sufficient time for you to make the presentation to the relevant managers or EXCO of your organisation.	
√ Anticipate the questions decision makers may ask and be prepared to respond.	
√ If you are briefing the Executive Authority, prepare a briefing pack. The Executive Authority may need to receive the briefing pack prior to the briefing session.	
√ Obtain decision making mandate.	
√ Get the mandate in writing from the person who has authority.	
√ Agree on whom to consult and for what purpose.	
√ Be clear about the parameters of the mandate, for example, you may have the mandate to listen to concerns, but not to negotiate changes to the structure.	

Checklist: Selling to and consulting with staff and unions	Addressed Yes/No
√ Agree on the constitution of the selling and consultation team. Be sure that the team has the expertise to respond to questions.	
√ Agree on the time that will be allowed for selling and consultation. Set a cut-off date for the process.	
√ Agree on the format for consultation, for example, information sessions with staff and written submissions from staff.	
√ Indicate what you will do with the information collected through the consultation process.	
Selling the structure to the staff	
√ Plan briefing or information sessions thoroughly. Consider inviting manageable groups of staff. Set aside sufficient time for the sessions so that staff do not feel rushed.	
√ Prepare a concise, clear presentation and handouts for the sessions.	
√ Anticipate questions that staff might ask and be prepared to respond to these.	
√ Decide which members from the organisational design team will be present at the sessions.	
√ Let staff know what will happen following the briefings.	
Selling to trade unions	
√ It is essential that you consult the dpsa Guide on Transformation and Restructuring: Human Resources. You should also consult the labour relations specialist or the legal division in your department to ensure that you have interpreted the provisions of the LRA correctly.	

22.1.6 TOOL 72: CHECKLIST: APPROVAL FROM EXECUTIVE AUTHORITY

If	Then
The restructuring process does not involve changes to the top three tiers of the organisation	The Executive Authority can approve the structure.
The restructuring involves changes to the top three tiers of the organisation	The MPSA has to be consulted before implementation.

Consider the following during the approval process:

Helpful tips	Addressed Yes/No
√ Prepare a formal submission to the Executive Authority.	
√ Include the final organogram in the submission for the signature of the Executive Authority (or his/her delegate).	
√ Include an implementation plan with time frames and roles and responsibilities.	
√ Highlight issues raised by the MPSA that might impact on implementation.	
√ Submit a copy of the final approved organogram to the dpsa for their records.	

22.1.7 TOOL 73: MPSA CONSULTATION CHECKLIST

If the restructuring involves changes to any of the top three tiers of the organisation, the Executive Authority must consult the MPSA. Refer to Chapter 2 of this Guide for more information on the MPSA's directive on consultation.

Consider the following during this process:

Helpful tips	Addressed Yes/No
√ Ensure that the submission and business case to the MPSA meet the requirements set out by the MPSA in the directive.	
√ The submission to the MPSA should be signed by the Executive Authority or the delegated official.	
√ Keep a copy of the submission and business case.	
√ Respond promptly to requests for further information and clarification from the dpsa.	

22.1.8 TOOL 74: LEADERSHIP/SPONSOR ALIGNMENT

What is it?	How to use it	When to use it
• The sponsor evaluation is a questionnaire which looks at key aspects of the sponsor's attitudes and readiness to change.	• Ideally, work through the questionnaire in discussion with the sponsor. • Discuss each question in some depth, rather than quickly selecting a response. • Alternatives are to ask him/her to complete it, or complete it yourself based on what you believe to be the sponsor's views on the proposed change (in the latter case, you will need to confirm the consistency of your marks with the sponsor).	• Standard tool in the tool kit.

The following questionnaire can be used to evaluate the sponsor's attitudes and readiness:

I believe I have a full appreciation of the impact of the changes on the people in the organisation.	1	2	3	4	5
I am very willing to commit whatever resources (which are at my disposal) are required for the change project to succeed.	1	2	3	4	5
I am very willing to demonstrate personal support for the change (e.g. meet privately with key individuals).	1	2	3	4	5

I am able and willing to reward promptly those who facilitate implementation.	1	2	3	4	5
I am able and willing to express displeasure with those who inhibit the acceptance of the change.	1	2	3	4	5
I am willing and able to make sacrifices for the project, even if the costs are high.	1	2	3	4	5
I am willing to maintain strong and sustained commitment until the change has been implemented.	1	2	3	4	5
I have a clear idea why the proposed change is required.	1	2	3	4	5
I am prepared to put effort into communicating the reasons for change.	1	2	3	4	5
I will be rewarded for helping to implement the proposed change.	1	2	3	4	5
The proposed change is in accordance with the values of this organisation.	1	2	3	4	5
The change being proposed is vital.	1	2	3	4	5
My senior colleagues agree with the proposed changes.	1	2	3	4	5
If this proposed change is implemented, it may call into question my previous decisions or performance.	1	2	3	4	5
The proposed change will have a major impact on the organisation.	1	2	3	4	5

Use the following score:

1 = Unacceptable

2 = Poor

3 = Average

4 = Good

5 = Very good

22.1.9 TOOL 75: STAKEHOLDER INFLUENCE ANALYSIS

What is it?	How to use it
• This tool analyses the influence and impact of the structure on various stakeholders. • It can be used to determine who needs to be informed and who needs to be involved to ensure that the structuring initiative is successful. • It also provides an opportunity for the restructuring team or manager to identify action plans for each of the stakeholders who will be impacted or needs to be involved.	• Identify the various stakeholders (the analysis provides for generic groups of stakeholders, but the tool can be expanded to include specific stakeholders or individuals). • Rate each stakeholder on their possible attitude towards the structuring initiative (allocate 1 for a very positive attitude, 3 for an intermediate attitude and 5 for a very negative attitude). • Rate each stakeholder on their potential influence on the initiative (1 = little to no influence on the outcome, 2 = some influence but cannot totally derail the process, 3 = powerful and can stop or derail the process). • Calculate an impact factor for each stakeholder by multiplying the possible attitude factor and the potential influence factor to get a total out of 15.

Stakeholders	**Possible attitude** *1=Positive* *5=Negative*	**Potential to influence** 3=Powerful 2=Some 1=Little	**Influence factor** (Attitude x influence=/15)	**Communication actions to be taken**
Government				
Citizens				
Employees				
Suppliers				
International counterparts				

22.1.10 TOOL 76: COMMUNICATION PLANNING MATRIX

What is it?	How to use it
• A tool to match the type of information with the channel, audience, responsibility and frequency.	• Identify the different types of information required and identify the appropriate channel, the target audience, the responsible parties and the frequency.

	Urgent information (Information about decisions taken, urgent meetings, quick wins, new information, late adjustments to agendas, etc.)	**Regular information** (Information about the project team, the process, milestones, interesting facts, etc.)	**Strategic information** (All information pertaining to the rationale, benefits, impact of the anticipated structure change)
Channel and medium (E-mail, voicemail, intranet, newsletters, group sessions, personal letters, gatherings, forums, banners, posters, telephone calls, etc.)			
Audience (Primary and secondary, stakeholder groups: employees, government, citizens)			
Responsibility (Who takes responsibility for what information, to which audience through which channel?)			
Timing/frequency (How often will this take place?)			