CONSTRUCTION INDUSTRY INSTITUTE®

The Implementation Planning Model: An Overview

Research Summary 246-1

Construction Industry Institute

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The Implementation Planning Model: An Overview

Prepared by
Construction Industry Institute
Implementation Planning Model Research Team

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Executive Summary

No organization can maintain "status quo" indefinitely and remain competitive in today's changing business environment. The need for improvement and change varies and is heavily dependent on organization culture, market demands, competition, work force demographics, long-held industry practices, and a necessary focus on minimizing risk. Even with these forces working for and against change, an organization must decide to improve and modify procedures on a regular and continuing basis. Given this demand for continuous change and the introduction of new practices, the question arises as to why organizations have been traditionally reluctant to introduce and implement best practices.

To assist Construction Industry Institute (CII) members to implement change successfully, the Implementation Strategy Committee introduced the CII Implementation Pyramid approach as an overall model for the implementation process. This research builds on the Pyramid by recognizing that the greatest organizational challenge in initiating new practices is the development of an implementation plan. Specifically, organizations require an implementation plan that provides enough detail so all personnel impacted by the planned change understand the roadmap that is going to be followed. Organizations undertaking an implementation process often fail to establish this roadmap or vision for implementing a proposed practice. The CII Implementation Pyramid recognizes the need for a plan, but does not provide specific details that an organization should follow when developing a plan for a new practice. This work fills a gap which is essential to the successful implementation of the pyramid and is primarily focused on Level 4, "Implementation Plan and Goals."

This publication describes the background leading to the development of the Implementation Planning Model and its individual components. This model includes a comprehensive process for approaching and implementing new practices. The Implementation Planning Model introduces the implementation steps intended to provide an organized approach to successful implementation. The Implementation Strategy

Committee recommends the use of this Implementation Planning Model (Implementation Resource IR 246-2) to develop a comprehensive plan that fully addresses the challenges and achieves the opportunities afforded by implementing a proposed new practice. The implementation resource will give greater detail and provide a guide for any organization to utilize the Implementation Planning Model to develop plans and assess their progress on the roadmap to success.

The implementation resource is derived from Research Report 246-11, "The Implementation Planning Model: Steps to Success." For a full treatment of this topic, including research performed and basis for the approaches recommended herein, RR 246-11 should be consulted.

1
Introduction

The greatest threat to achieving greatness is an organization that is content with being extremely good at what it does. Moving from a position of being successful in a specific area to one that potentially excels above the competition can be daunting. Specifically, the cost-benefit analysis for introducing the disruption to existing processes can be difficult to establish due to the unknowns involved with the process. This uncertainty goes against the risk perspective of the capital project investment industry in general and leads directly to the desire to remain with established practices.

Although change management and new practice implementation have a close relationship, the two topics should not be used interchangeably. Specifically, the relationship between change management and new practice implementation can be viewed as a causal link. At the beginning of this link is a trigger for an organization to examine its practices for improvement opportunities. This trigger can be competition, economics, new business opportunities, customer demand, or the result of an internal gap analysis. In each case, this trigger initiates an opportunity for improvement through new or improved practices. Once the opportunity is identified and an implementation path is laid out, the implementation process will result in the need for change. In this manner, the implementation of new or improved practices is the driver for change management. *More importantly, implementation of a practice gives a specific context for change management to occur and establishes a need for a specific plan to be introduced that both manages change and leads to the successful implementation of the practice.* The research summarized in this publication follows this relationship and builds upon change management principles to provide a foundation for the greater detail required for a successful practice implementation plan.

The CII Effort to Address Implementation

The need to enhance an organization's productivity and effectiveness in response to changing environments is a recurring theme through business literature in particular and all areas of production in general. The current research effort introduces an implementation planning model that addresses this need to improve effectiveness through the implementation of new practices. The proposed Implementation Planning Model builds upon existing CII work as well as the experience of the Implementation Strategy Committee to address the need for greater detail in the best practice implementation process. See Research Report 246-11 for a complete discussion of the background research that formed the basis of the proposed model.

This research effort focused on three objectives:

1. Barrier and Success Identification – The key to implementing practices successfully is to understand potential barriers as well as keys to successful implementation. The research team believes that every CII member should understand and address these barriers and key points during best practice implementation.
2. Implementation Framework – The research team developed a model that provides guidelines for any organization approaching the implementation of practices.
3. Sample Plan – The change from a framework to an actual implementation requires an implementation plan that can be communicated to management and personnel who will be involved in the implementation process. To assist in this communication process, the current research effort set an objective of providing a sample plan that organizations can customize for individual requirements.

These objectives provided the basis for initiating the current research effort. The resulting research provides CII member organizations with a new implementation model including an implementation methodology, guidelines, and long-term planning outline that specifically address the issue of implementation within the context of the capital facilities industry.

Literature and Practice Review

The first step in the development process was a literature review, including CII documents on implementation. The CII documents focused on the development of implementation guidelines for suggested practices. Other literature focused extensively on implementation barriers.

Implementation Practice Review

At the conclusion of the literature review, the research team focused on obtaining insights into the practices of CII members in regards to implementing new practices. The goal was to identify the current issues that CII organizations were encountering during the implementation of new practices. The study was undertaken through the use of a survey instrument.

Model Development

The research team synthesized the results of the survey effort into the development of an implementation model. The model has three fundamental goals: outline the steps to a successful implementation effort, identify the barriers and strategies that could be expected during the implementation process, and provide a roadmap to assist an organization in developing a plan for the implementation process.

Testing

After completing the implementation model, the research team conducted a series of tests with participating organizations to determine the accuracy and the usefulness of the model. In each test case, the participating organization matched its implementation process to the proposed model to determine where potential changes to their internal process should be made.

The Implementation Planning Model that was developed from this methodology introduces a number of new terms and processes related to new practice implementation. Additionally, the model introduces a number of new levels of analysis for an organization to evaluate during the implementation process. The development of an implementation plan is a process rather than a single effort. It is important to understand the concepts introduced in this document and reference the Implementation Planning Model Resource Guide (IR246-2) to develop a plan that integrates the CII Implementation Pyramid, the new Implementation Planning Model, and the implementation measurements.

2

Model Foundation

The development of the Implementation Planning Model is founded on three inputs: 1) the CII Implementation Pyramid, 2) literature in the field of change management, and 3) data collected on current implementation practices.

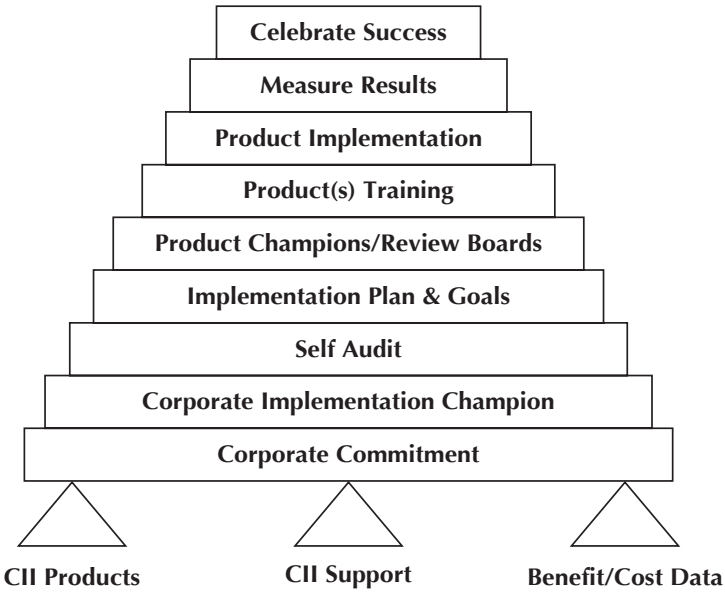

Figure 1. The Implementation Pyramid

Relationship to Implementation Pyramid

The CII Implementation Strategy Committee has focused on the topic of implementation extensively over the last decade. Of particular relevance to the current effort is the Implementation Pyramid (Figure 1) as a best practice for implementing results introduced by CII research. This research effort built upon the Implementation Pyramid by recognizing that the greatest challenge to organizations initiating change and new practices is the development of an implementation plan that provides enough

detail so that all parties understand the roadmap for the implementation process. The original Implementation Pyramid recognized the need for a plan, but did not outline the steps that an organization should follow when developing a plan for a specific implementation process. This research fills this gap by primarily focusing on the expansion of the fourth level of the pyramid, "Implementation Plan and Goals."

By combining the overall methodology introduced in the Implementation Pyramid with the specific implementation plan guidelines introduced in the new Implementation Planning Model, an organization can develop a specific implementation roadmap that meets its specific needs. Specifically, the Implementation Pyramid can provide an organization with a "big picture" model of the steps required in the implementation process. However, in order to develop a specific plan for implementing the new practice, the new Implementation Planning Model should be used. In this manner, the two models provide a comprehensive support structure for an organization that is approaching the implementation of new practices.

Change Management Literature

The literature review focused on the relationship between the implementation of new practices and the change management process. This connection between the two lies in the fact that implementing new practices requires individuals and groups to change existing practices and processes. Thus, the heart of successful implementation is the successful management of change within an organization. The following observations were confirmed during the research process:

- Change management and leadership are intertwined and successful change management efforts are directly dependent on the capabilities of the leader of the change.
- A plan for implementing change and new practices should be used as guide rather than a blueprint, and deviations should be expected and actively managed rather than seen as a failure.

- Risk management is an integral component of change, but risks must be managed and accepted as part of the process with an acceptance that some risk is acceptable and a necessary component of implementing change.
- The implementation of new processes and the change that is required can be more efficient if the group involved meets regularly to ensure all participants are aware of changing conditions and potential barriers.
- Barriers will be encountered during the adoption of new processes and these must be anticipated prior to the adoption of an implementation effort.
- The implementation of new processes requires building a *shared vision* that effectively communicates the reasoning for undertaking organizational transformation.

Implementation Survey

In developing the Implementation Planning Model, the research team conducted a survey to obtain general information concerning the implementation of new practices and policies within CII organizations. About one-third of the CII membership responded to the survey. Although this does not necessarily reflect the total membership position on implementing new practices, it does provide a good indicator of the process of implementing new practices in the capital facilities industry. Of particular interest to the team were three specific survey areas:

1. Are organizations preparing for new practice implementation?
2. What barriers are being encountered during implementation?
3. What strategies are being employed to overcome implementation barriers?

Regading the first issue, implementation preparation, the survey focused on eight areas outlined in the Preparing for Change section later in this publication. The survey revealed significant issues in terms of putting in place adequate preparation procedures. For example, 70 percent of

the respondents stated that managers provided no support or took a neutral stance when implementing new practices. Only 7 percent of the respondents actually stated that other managers championed the new practice. Additionally, the survey found that only 7 percent of respondents indicated that a clear and easy-to-understand vision was put in place for undertaking a new implementation effort. Compounding the poor results was the fact that 23 percent of respondents indicated that no vision had been put in place for the new practice. Finally, the survey found that communication was not being effectively utilized during implementation efforts as 60 percent of the respondents stated that communication of the practice was limited to the project or the local community. Only 20 percent of the respondents stated that communication of the practice was extended throughout the organization up to top management levels.

The second issue in the survey focused on barriers typically encountered during the implementation process. The largest barrier to new practices was the people in or culture of the organization. Specifically, respondents cited convincing people to adopt new practices as the single largest barrier to introducing new practices. In addition, respondents repeatedly highlighted the difficulty in expanding a new practice beyond a single group to other groups in the organization. The reasons behind this barrier focused on "Not Invented Here" or "Lack of Resources" issues.

The final area in the survey focused on strategies used to overcome implementation barriers. Although several different types of strategies are employed within organizations, the most commonly cited were based on either communication or management support. The combination of these areas accounted for over half of the strategy responses and represents the key strategies that are expanded upon in the Implementation Planning Model.

3

Successful Steps to Implementation

The Implementation Planning Model includes an implementation process, a plan development process, and the core model. An overview is shown in Figure 2.

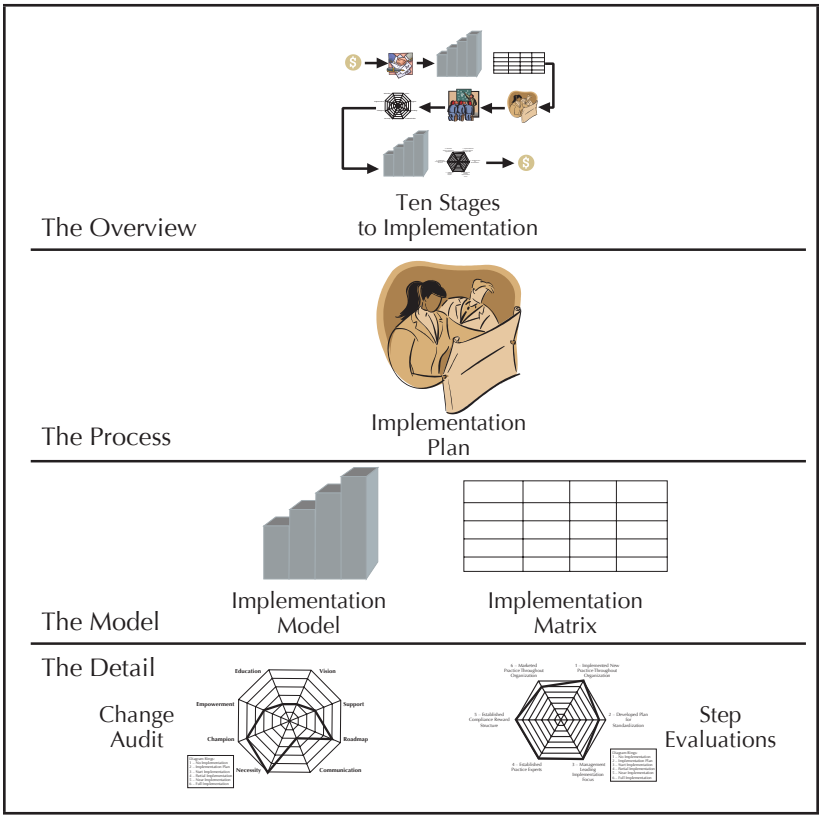

Figure 2. An overview of the Implementation Planning Model from a high-level perspective through detailed specifics

Viewing the entire model as a process that includes a series of levels that progress in detail, the highest level is the Ten Stages to Implementation overview. The next level of the model is the Implementation Plan

development process. Supporting these processes are the core steps of the Implementation Planning Model and the Implementation Matrix. Finally, the detail processes provide specifics for how to measure progress through the plan with the Change Audit and Step Evaluations.

As illustrated by these increasing levels of detail, the model introduces a number of new terms and processes related to new practice implementation. The combination of these items can make it challenging for the reader to understand the complete model at one time. Therefore, the reader should approach the development of an implementation plan as a process rather than a single effort. Specifically, the reader should not be tempted to write a plan at one sitting. **Rather, it is more important to understand the concepts introduced in the document and develop a plan that integrates the original Implementation Pyramid, the new Implementation Planning Model, and the implementation measurements.**

Ten Stages to Implementation Success

The key to success in implementing a new practice is to have a clear perspective on the overall stages required for the entire implementation process. To assist in this overall perspective and as an outline of the critical stages required, the Implementation Planning Model introduces the Ten Stages to Successful Implementation (Figure 3). The stages are:

Stage 1: Needs Analysis – The Needs Analysis lays out the case for implementing a new practice. This case will need to be presented to both management and critical staff, so a compelling argument is required as an output of this stage.

Stage 2: Management Buy-In – The management buy-in will be based on the Needs Analysis developed in Stage 1.

Stage 3: Establish Steps – The Implementation Planning Model establishes a series of four critical steps that will be followed during the implementation process. The third stage in the overall process requires one to understand these steps and develop an approximate schedule for the implementation process.

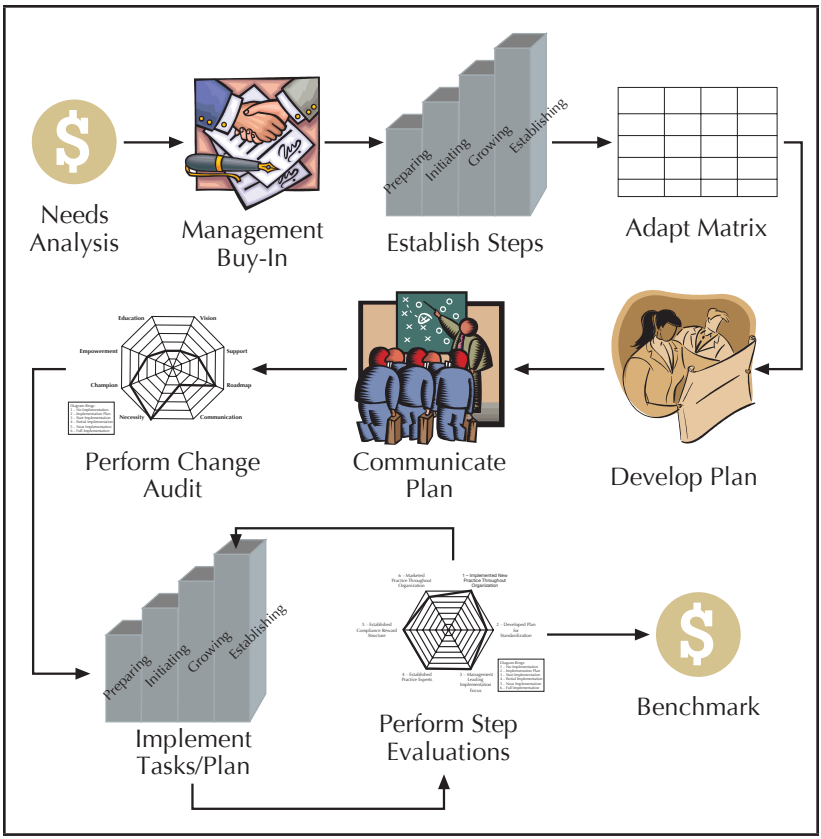

Figure 3. A 10-Stage Approach to Successful Implementation

Stage 4: Adapt Matrix – In this stage, the implementation team must take the specifics within the Implementation Matrix and adapt the generic elements with organization specifics that address the unique requirements of the current implementation task.

Stage 5: Develop Plan – In this stage, the team will translate the details from Stage 4 into a plan that meets the requirements of the specific organization.

Stage 6: Communicate Plan – This stage requires the team to communicate the proposed implementation plan to both management and the proposed test group.

Stage 7: Perform Change Audit – The implementation team will perform a Change Audit that evaluates the readiness of the organization to undertake the implementation process.

Stage 8: Implement Tasks/Plan – The implementation team will now follow the tasks laid out in the implementation plan for each step of the implementation process. Each step in the process has a set of three to five tasks that are critical for success in that step.

Stage 9: Perform Step Evaluations – In conjunction with Stage 8, the implementation team will perform evaluations during each step of the implementation process to determine if the process is achieving required goals.

Stage 10: Benchmark – The final stage in the implementation process is to benchmark the new practice both internally and externally.

The Implementation Plan Development Process

A successful implementation effort must be placed in the context of an implementation plan that details resources and schedules. Depending on the requirements of the organization, the detail and complexity of the implementation plan will vary. The development of this implementation plan has been simplified through the current research effort through the integration of the implementation plan development process. Specifically, the development of an implementation plan follows directly from a combination of organization-specific information and the information developed from the implementation model steps as outlined in the next section.

Typical issues that should be considered for specific organization details during the implementation process include:

- *Overall schedule*. The process outlined in the Implementation Planning Model will have to be adapted to individual schedule requirements. One scenario that is a common deviation from the proposed model is the need to implement the process at a faster rate.

- *Implementation schedule*. Each organization will require a different schedule to perform a successful implementation process. Factors such as organization barriers, size of the organization, resource availability, management support, and the length of time that an existing practice has been in place will all have an impact on the time required to implement a new practice.
- *Resource requirements*. The allocation of resources is a primary barrier to successful implementation attempts. Implementation champions (those responsible for implementing CII practices) are encouraged to use the Implementation Planning Model as an outline to obtain organization resources.
- *History/Culture*. No organization can overlook its history, culture, and entrenched practices. Although there is no "silver bullet" for overcoming a history or organizational culture that is reluctant to change, the model is intended to provide an outline for addressing this issue.

As an example of an implementation plan that is developed through both specific and model information, the following is based on actual company experience for implementing a new project delivery process (PDP). Using the Implementation Planning Model as an outline, a series of implementation steps are established for the implementation schedule. To add specific detail, each of the steps is developed using the information from the model as a guide. The information is then combined with other organization-specific information. An example of this is illustrated in Figure 4 (next page), where the plan focuses on delivery, tasks, and resources. The overall approach is to convey to management that an understanding of the tasks required for the step exists and that specific resources are required to complete the step.

Proposed New Practice:	Project Delivery Process (PDP)
Step:	Preparing
Months for Completion:	6
Anticipated result:	Audit Completion and Implementation of Change Preparation
Champion:	Sue Smith, Director of Pre-Project Planning
Primary Tasks:	The primary tasks for this step are as follows: • Change Audit – Conduct change audit to determine current level of readiness for new practice implementation. • Change Preparation – Enhance areas where current gaps exist in preparation for change. • Approval – Gain executive approval to test the implementation of the new practice.
Focus of Step:	Assign Champion for overall implementation process, obtain buy-in from management and group, and establish necessity for new practice.
Resources required:	Budget allowance will be required for two personnel to conduct the change audit and interview department personnel regarding the current status of each of the eight implementation areas. A series of department meetings will be required to inform the group of the proposed new practice and the impact it will have on the group and the organization. It is proposed that each person in the group attend one education session to learn more about the potential benefits of the proposed new practice and how it will impact their responsibilities.
Implementation Considerations:	The existing project delivery process has been in place for four years and is considered a standard operating practice within the construction department. Changing this process is likely to cause concern among the group as to why the process is changing and how it will affect current operations. Several individuals were involved in developing the original process and may be resistant to change to the new process.

Figure 4. Example of an implementation plan step based on the Implementation Planning Model information. The example is the Preparing Step for a new PDP process

4

The Implementation Planning Model

The overall implementation planning process encompasses several components to assist an organization in the development of an implementation roadmap. At the core of this process is the Implementation Planning Model. The model components are a direct extension and synthesis of the literature, previous research, and survey results generated by the research team. The principal additions introduced in the model are: 1) the context of a roadmap that provides a specific path to implementation success, and 2) a recognition of the specific concerns of the capital facilities industry in implementing new practices.

In terms of the roadmap, the planning model should be viewed as a series of steps that begin with needs analysis and end at final implementation and benchmarking. An organization that is examining the possibility of implementing a new practice should develop an implementation plan that uses the steps as milestones for the schedule and process. As illustrated in Figure 5, the Implementation Planning Model provides the Focus, Tasks, Barriers, Strategies, and Success Indicators for each step in the implementation process.

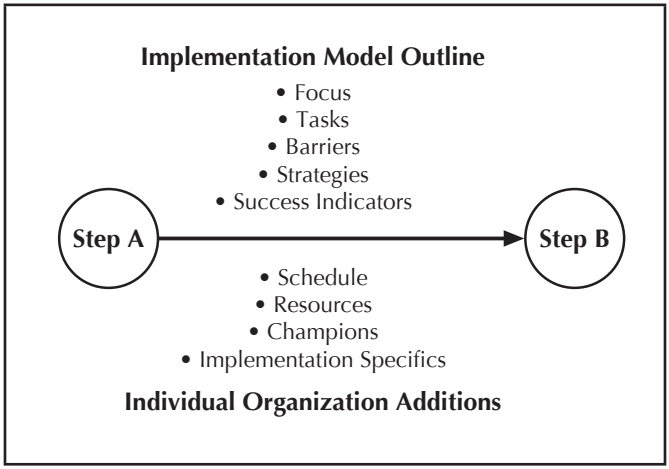

Figure 5. The planning model provides an outline for each implementation step

However, each organization has specific and unique circumstances in which these plan elements must be addressed. Thus, each organization must supplement the plan elements with individual schedule, resource, and implementation champion requirements as well as any other specific business elements that must be addressed during the implementation process. By following this process of combining plan elements introduced in the Implementation Planning Model with specific organization requirements, each organization can use the implementation planning model as a starting point for developing an implementation plan introduced in the previous section.

A Guide to the Implementation Planning Model

The Overall Model – provides a description of the components in the context of a series of stair steps. The overall model is comprised of four steps together with a starting landing and an ending landing. The steps and landings are supported by two foundational supports.

The Implementation Matrix – provides an outline of Tasks, Barriers, Strategies, and Success Indicators. Each implementation step has a specific set of objectives and tasks that must be completed prior to the implementation moving to the next step.

The Change Audit – is included to guide the organization through a measurement process to determine when the organization is ready to commence the process. Embarking on the implementation of a practice requires the organization to be prepared for change. The first of the four steps in the implementation matrix reflects this requirement as it is referred to as the "Preparing Step." A central component of this preparation is to determine if the organization has put in place the focus for adopting change.

The Step Evaluations – encompasses a group of six questions and an evaluation chart that provides the organization with guidance for determining when a specific step is complete and when they are ready to move to the next step of implementation. IR246-2 describes these evaluations in detail.

Introduction to the Implementation Planning Model

The Implementation Planning Model encompasses four central steps or phases together with two landings representing the entrance to, and exit from, the implementation process. In this manner, the model can be viewed as a staircase, where each phase in the process is the next step up the staircase on the way to the top, or full implementation (Figure 6).

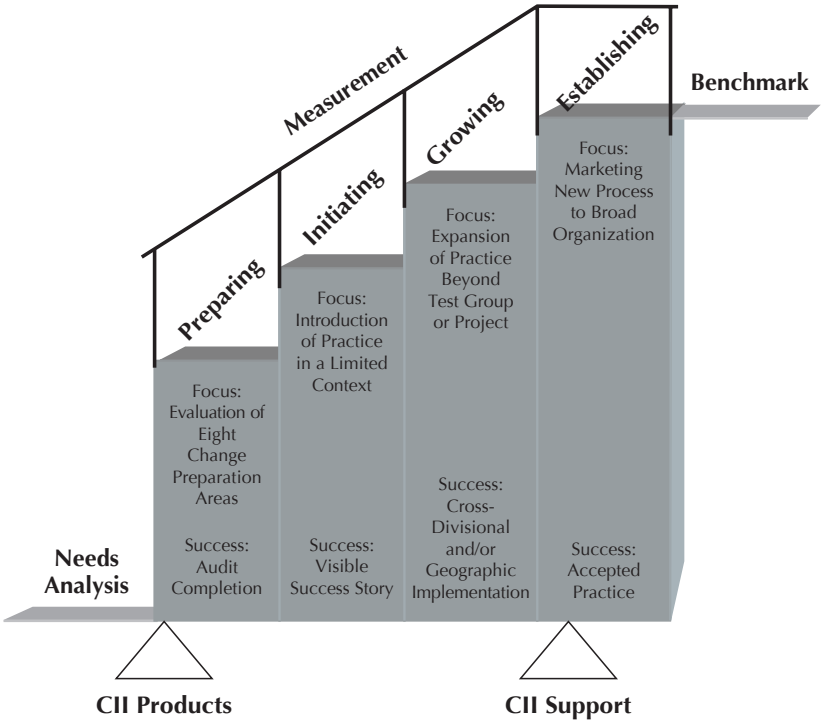

Figure 6. The overall Implementation Planning Model including the steps, landings, and supports for the implementation process

These primary model components are introduced as follows:

- **Model Support** – The implementation model is supported by two key elements: CII products and CII support services. The former represents the array of products that CII offers members to assist in the education process, the benchmarking

process, and in developing a cost/benefit argument. The latter represents the array of services that are available to assist an organization during practice implementation including mentors, classes, workshops, reports, and conferences.

- **Entrance Step** – The entrance step is a Needs Analysis, which is intended to provide the organization with a prioritized list of concerns that need to be addressed by the introduction of new or improved practices. The final selected format of this analysis is left to the discretion of the organization to implement as is appropriate for individual business models.
- **Steps** – The four steps represent the phased movement through the formal implementation process from initial preparing through final establishment as a standard practice. As illustrated in the model, each step has a specific focus and success metric. Each step also has specific strategies recommended for success and specific barriers that may be encountered during the process.
- **Measurement** – Measurement can be thought of as the railing for the four steps. Organizations should strongly consider measuring and benchmarking throughout use of the model. Issues such as cost of implementation, schedule and training expenses, and cost-benefit analysis should be closely monitored and considered an integral part of the implementation process.
- **Benchmark platform** – Reaching this platform indicates that the organization has established the practice as a standard operating procedure and is now focusing on the overall impact of the process.

The following sections provide greater detail on the core of the model, the steps. Specifically, the steps are discussed in the context of the Implementation Matrix that details each step including the focus, tasks, barriers, strategies, and success metric associated with each step.

The Implementation Matrix: Steps and Elements

The analysis of organizations attempting to implement practices into their operating procedures has made it apparent that a representation that includes both steps of implementation as well as directives for each step is a necessity. In response to this need, the Implementation Planning Model has been developed to provide organizations with as much information as possible to successfully develop an implementation plan. Specifically, the common information required to complete a plan is contained within the model. This information, once modified to fit the needs of the particular scenario, can be placed directly into the implementation plan. When combined with the specific organization information discussed previously, a complete implementation plan is achieved.

The Implementation Planning Model provides this information and direction through two central structures:

- Implementation Steps – a defined set of phased steps that assist in identifying where in the process an organization exists at any given time.
- Implementation Elements – a defined set of roadmap guides that assist the organization in directing the implementation effort.

Implementation Steps

An organization cannot achieve a new implementation in one step. Rather, the implementation process occurs over a series of steps, each of which has its own unique challenges, entry, and exit points. Although the identification and definition of implementation steps may vary between authors on this topic, this guide puts forth the following four steps as the defined structure for the CII Implementation Matrix.

- Preparing – The first step of implementation focuses on the learning and resource allocation requirements that need to be in place for the overall implementation process.
- Initiating – The second step of implementation initiates the implementation of a practice within a confined environment, either a project or single group context.

- Growing – Implementation of a new practice is not a success even though it succeeds in a limited environment in the Initiating stage. Rather, for a practice to have organization impact it must grow beyond the confines of its initial test environment. The Growing step focuses on growing the implementation process beyond the Initiating context into a larger number of projects and groups or divisions.
- Establishing – The final step within the Implementation Matrix changes the focus of the process from expansion to establishment. Within this step, the organization must finalize its adoption of a practice by establishing the practice as part of the standard operating practices or tools that are incorporated within standard scenarios. **A practice should only be considered fully established if the organization adopts it as a required practice throughout the organization, at all levels, and in all potential scenarios.**

Implementation Elements

Implementation Elements are the second structure in the Implementation Matrix. The Implementation Elements are a series of guides that assist the organization during the implementation process. For example, the Focus Element provides the organization with a specific group of items that form the focus of attention during each step.

The intent of these Elements is to answer the questions, "What should we focus on during this step, what are the challenges that we are going to face, and how do we know when we are done?" These three questions represent the challenge of the implementation process. The following Elements provide structure for the implementation process.

- Focus – This Element is the easiest to understand as it represents the specific issues that need to be addressed within a specific implementation step. For example, during the Preparing step, the focus should be evaluating the readiness of the organization to pursue and adopt a new practice. While

this concept is simple, it is often the cause of unsuccessful implementation as organizations fail to retain a clear focus in each step.

- Task – Similar to Focus, Task provides an organization with a specific implementation path to follow during each implementation step. The Task Element specifies the small group of high importance tasks that need to be completed during each implementation step.
- Barriers – The Barriers Element changes the focus of the Implementation Elements from a set of guideposts to a set of warnings. Specifically, the Barriers enumerate what might be encountered during that specific implementation step. Although each organization encounters a different set of barriers during individual implementation efforts, the barriers listed within the matrix represent the consensus barriers that are most likely to appear for each organization.
- Strategies – In each of the implementation steps, the Strategies Element provides a guidance strategy that has been proven successful in overcoming likely barriers. Once again, the strategy may not work for every organization, but the research found that adopting such a strategy is likely to produce a positive effect and negate the barriers that are being encountered.
- Success – "How do I know when I have successfully completed an implementation step?" This question is arguably the most common one encountered during the implementation process. In response to this need for a defining completion moment for each step, the Implementation Matrix details specific completion points through the Success Element. In this manner, the Success Elements can be viewed as intermediate stops on the roadmap.

Elements	Steps: Preparing	Initiating	Growing	Establishing
Focus	Evaluation of Eight Change Preparation Areas	Introduction of Practice in a Limited Context	Expansion of Practice Beyond Test Group or Project	Marketing New Process to Broad Organization
Task	Change Audit, Change Preparation	Communication, Success Story	Communication, Buy-In, Resources	Standardization, Repetition, New Areas
Barriers	Necessity, Buy-In	Culture, Outside influence, Risk Aversion	Resources, Leadership, Culture	Resources, History, Executive Approval
Strategy	Necessity, Assign Champion	Communications Plan, Champion Support, Provide Education	Communication Plan, Support and Increase Champions, Provide Education, Market Success Stories	Leadership, Communications Plan, Provide Education,Establish Practice Experts, Reward Compliance
Success	Audit Completion	Visible Success Story	Cross-Divisional and/or Geographic Implementation	Accepted Practice

Figure 7. The Implementation Steps and Implementation Elements form a matrix which contains the information required for the implementation plan

When the Implementation Steps are combined with the Implementation Elements, they form a matrix as illustrated in Figure 7.

Each box within the matrix provides the information that can be transferred directly to the implementation plan. In this manner, the Implementation Matrix serves as a foundation for any implementation plan required by an organization. Complete details of the matrix are provided in the CII Implementation Planning Model Resource Guide (IR246-2).

5

Change Audit: Approaching New Practices

Successful implementation requires the organization to prepare before expending resources on the implementation process. At the core of this process is a Change Audit. A Change Audit helps the organization in evaluating the overall impact of the change on the organization by focusing on eight specific areas (described later) that require attention prior to undertaking the implementation process.

The Impact on the Organization

The introduction of a new practice has an impact on an organization to some degree in all of its components. An organization can be divided into four main components that can be affected by a new practice as follows:

- **Processes** include any formal and informal procedures that direct how operations are completed within any segment of the organization.
- **Structure** of the organization refers to the formal lines of authority and informal lines of communication and authority.
- **Culture** includes the norms, practices, and shared beliefs and attitudes of the individual people within the organization.
- **Business** focuses on the underlying business model incorporated by the organization. Introducing a practice will impact the model by addressing issues such as competitiveness, strategies, and strategic management.

Each of these components is tied together within an organization, and any new practice that is implemented cannot be isolated to a single area. Rather, organization processes must stay in balance at all times, thus requiring adjustments in all areas to accommodate a new practice. For example, a decision to change a process will have a direct affect on the structure of the organization by potentially changing formal and informal communication lines. Similarly, a lesser effect may be felt on the culture

as a new process may impact an accepted norm and similarly, the new practice may affect the business by changing an underlying strategy. In this manner, every new practice will have an impact on every other part of the organization. The impact may be small, but it is an impact that will be felt in some manner.

Preparing for Change – The Change Preparation Areas

In addition to addressing the overall impact on an organization that a new practice may have, an organization needs to address eight specific areas when preparing for new practice implementation. If not sufficiently addressed early in the implementation process, the potential for change barriers is significantly increased. The eight areas are:

1. **Vision** provides the organization with a goal for the completion of the implementation process.
2. **Support**, from top leadership through professional staff, is required for success and must be put in place prior to initiating the implementation process.
3. **Roadmap** describes the process and the milestones during the implementation process and is necessary to keep all personnel moving in the same direction together.
4. **Communication** is the foundation for any implementation process. Unfortunately, a failure to keep organization personnel informed throughout the implementation process will result in misunderstandings and may result in a failure of the process.
5. **Necessity** for the change must be understood and communicated throughout the organization.
6. A **Champion** must be selected to lead the implementation effort and subsequently will receive the greatest resistance to the change process.
7. **Empowerment** focuses on the responsibility and authority necessary to make incremental changes to support the practice.
8. **Education** opportunities provided to employees at all levels will prepare the organization with sufficient knowledge of the proposed practice and the impact of the change required to overcome resistance to the practice.

Measuring New Practice Preparation – A Change Audit

With eight individual areas, determining where an organization currently stands in terms of preparation for a new practice can be intimidating. This intimidation often leads to bypassing this critical stage and results in many implementation failures. In response to this, and as the most detailed level of the overall implementation planning process, a Change Audit process has been developed to provide a prescriptive path for addressing change preparation. The process has two steps: 1) determining the overall impact of the change on the organization components, and 2) objectively determining the current state of preparedness in each of the eight areas. A detailed description of this process is included in the CII Implementation Planning Model Resource Guide (IR246-2). It is highly recommended that every organization review this process prior to commencing a new practice implementation effort.

6
Conclusions

The introduction of new practices will have an impact on every component of an organization. The adoption of new practices can trigger many potentially disruptive responses including reluctance by personnel to adopt a new or improved practice, reluctance by management to provide resources, and a challenge to implementation champions regarding the necessity for the proposed practice. Although these responses may be different for each organization, no organization should enter an implementation process without understanding the potential for both positive and negative responses. However, the potential for negative responses should not preclude any organization from attempting to adopt new or improved practices. In short, a reluctance to introduce practices will ultimately lead to stagnation within the organization and perhaps organization failure. Thus, implementing new or improving existing practices is a critical component in the continuing improvement of an organization.

The model introduced in this document, and fully described in the Guide (IR246-2), is intended to provide organizations with a path to reducing the likelihood that negative responses will stop practice implementation. The underlying premise is that a well-designed implementation plan will guide the organization to a successful outcome. However, this model is not a fail-safe approach to implementation. Rather, an organization must evaluate individual circumstances to determine where the model needs to be expanded to fit specific organization needs.

The Implementation Planning Model is provided as a starting point for successfully developing an implementation plan. However, each organization will encounter specific issues that must be addressed within the context of its own operating environment. The model can reduce these individual challenges by establishing a uniform process for building an implementation plan that allows barriers to be overcome, thus increasing chances for implementation success.

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