

The organizational change strategy that will be used to balance process standardization and improvement with people dynamics and corporate culture as well as project constraints and demands is based on the model put forth in Geoffrey Moore's *Crossing the Chasm* and adapted in Kim Caputo's book, *CMM Implementation Guide*.

The essential tenets of the model suggest the following:

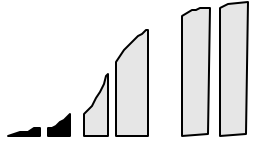
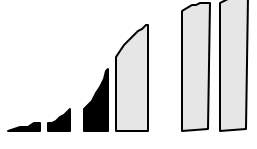
- Organizations transition through a series of stages when performing process improvement
- The transition between stages is not smooth and gradual; instead, the potential for stalling or even stopping can occur between any of the stages. These potential points where efforts can be stalled are known as "cracks" or "chasms".
- Specific strategies and approaches can be devised to address a particular stage, crack, or chasm.
- Milestones for process improvement efforts can be set according to the transition stages.

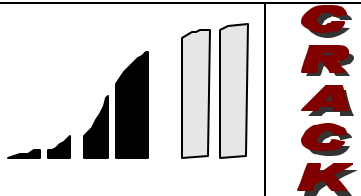
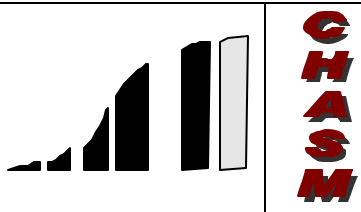
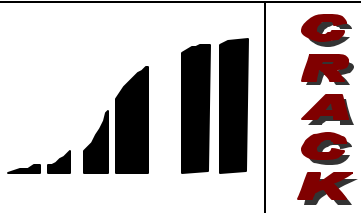
As the organization progresses through each stage, commitment among the people within the organization to the process increases. A typical process improvement scenario usually sees commitment increase as follows:

- Awareness/Understanding stages: Champions and Innovators become involved. Process "evangelists" identified.
- Definition: Early Adopters come on board as workflows are examined across the organization related to the process area.
- Installation: Early Majority exposed to and begin applying the process as the first generation of project pilot opportunities are identified
- Adoption: Late Majority held accountable for applying the process on next generation of work efforts.
- Institutionalization: Non-supporters brought on board through individual performance management and personal development goals.

The following section defines each of the stages, cracks and chasms and provides guiding principles for addressing their strategies and approaches.

- Stages: Key Points, The Work, Barriers, and Leveraging Actions
- Cracks and Chasms: Key Points, Crossing Criteria, and People

S T A G E	Awareness	The Work	Barriers	Leveraging Actions	
	To know about it. <i>"What is it?"</i>	Involves conceptual training and gathering information	<i>"Why is this important to us?"</i> <ul style="list-style-type: none"> • Lack of knowledge • No perceived need to change 	<ul style="list-style-type: none"> • Industry exposure: conferences, trade journals, reference books • Independent Audit Results or Assessments • Consultant findings 	
		C R A C K	Understanding	Crossing Criteria	People
		Prerequisites to the understanding stage of planning and developing a framework	Defined: <ul style="list-style-type: none"> • Scope • Deliverables Description • Timeframe 	<ul style="list-style-type: none"> • Identify Subject matter experts • Identify Champions/Innovators among staff 	
S T A G E	Understanding	The Work	Barriers	Leveraging Actions	
	To understand how it affects you and your organization. <i>"What does it mean to me?"</i> <i>"What does it mean to us?"</i>	Involves planning and developing a framework	<i>"We don't have enough time/resources for it."</i> <ul style="list-style-type: none"> • Resistance to change • Conflicting priorities • Too many changes at once • Resources diverted by other activities • Making unrealistic goals and expectations 	<ul style="list-style-type: none"> • Goals and expectations • Roles/Responsibilities • Framework • Project Plans • Champions act as change agents • Management support 	
		C R A C K	Definition	Crossing Criteria	People
		Prerequisites to the definition stage of defining and documenting processes	Known: <ul style="list-style-type: none"> • Current State • Desired State • Roles • Approach • Resource Commitment 	<ul style="list-style-type: none"> • Involve early adopters in tactical conversations regarding process • Solicit feedback from Early/Late Majority staff. 	
S T A G E	Definition	The Work	Barriers	Leveraging Actions	
	To define it. <i>"What do we do?"</i> <i>"How do we do it?"</i>	Involves defining and documenting processes. Documents the policies, standards, and procedures	<i>"There's no consistent focus."</i> <ul style="list-style-type: none"> • Lack of framework • Lack of change management knowledge: roles, methods • Lack of focus • Lack of change agent to direct/coordinate • Lack of management support 	<ul style="list-style-type: none"> • Implementation approach • Involvement of process users • Constraints for size/effort • Guidelines to meet needs • Planning and tracking to framework • Change agent • Management support 	

		Installation Prerequisites to the installation stage of piloting and updating processes	Crossing Criteria Known: <ul style="list-style-type: none"> • Roles for Trial Use • Approach for Trial Use • Resource Commitment 	People <ul style="list-style-type: none"> • Involve early majority staff that are poised to pilot the process on a project
STAGE	Installation To identify and correct issues by using it. <i>"Will it work?"</i>	The Work Involves process pilot or preliminary use, postmortems, and updates	Barriers <i>"The problems aren't fixed."</i> <ul style="list-style-type: none"> • Lack of monitoring change and issues • Lack of change management knowledge: resistance, sponsorship, targets • Lack of sustained communication of progress 	Leveraging Actions <ul style="list-style-type: none"> • Project-level installation • Progress measurement • Proactive monitoring and facilitating to manage transition and resistance
			Adoption Prerequisites to the adoption stage of active process use	Crossing Criteria Obtained: <ul style="list-style-type: none"> • Management Authorization • User Buy-in • Agreement to Use Process
STAGE	Adoption To adopt it as the new way to do business. <i>"Are we meeting the goals?"</i>	The Work Involves active use of the process required for all	Barriers <i>"How do we get everyone to use it?"</i> <ul style="list-style-type: none"> • Management not creating the need for change • Lack of sustained communication of progress • Lack of monitoring 	Leveraging Actions <ul style="list-style-type: none"> • Share success stories • Share approaches through central repository • Compare progress measurements • Address compliance issues
			Institutionalization Prerequisites to the institutionalization stage of process use with assurance and corrective action	Crossing Criteria Known: <ul style="list-style-type: none"> • Approach for Process Assurance in place • Approach for Process Corrective Action in place • Process feedback loop
STAGE	Institutionalization To confirm it as the normal way of doing business. <i>"Is it good enough?"</i>	The Work Involves active use of the process required for all, with assurance and corrective action	Barriers <i>"Is it working, or do we need to change it?"</i> <ul style="list-style-type: none"> • Lack of monitoring • Lack of evaluation activities 	Leveraging Actions <ul style="list-style-type: none"> • Measure process usage and effectiveness • Capture lessons learned and improvements for next time • Audits and Reviews

Adapted from *CMM Implementation Guide* by Kim Caputo

When using this change management strategy, it is typical to see milestone dates set to indicate the successful completion of any given stage. Since a milestone is an event that you reach, it is more appropriate to refer to these dates as **Defined**, **Installed**, **Adopted**, and **Institutionalized**.

It is not uncommon to combine awareness and understanding stages together given the low commitment levels typical of those stages. At these stages it is usually only the champions and innovators who are involved. What follows is one interpretation of how dates can be set for the subsequent stages.

Once UNDERSTOOD (the precursor to the definition phase), the process enters the definition phase where it is documented and put into a form that everyone who will be executing the process can reference.

DEFINED DATE –

The process is fully defined and documented.

The policy, standard, and procedure (P/S/P) for the process has been created AND approved/reviewed.

Once defined, the process moves to being installed. The focus is how you will train your staff on the process or expose them to what they need to know, i.e. developing the training strategies and training materials then launching those to the staff.

INSTALLED DATE–

Training materials have been created AND,

The people have been fully exposed to and trained in the process defined from the previous stage.

If formal class or web-based training is the training strategy then the date to be installed by may be further out from the defined date than if the training strategy was just to announce that a P/S/P is now available and everyone is expected to read it by a certain date.

Once installed, the focus turns to facilitating your staff in adopting the process into their work flows. Focus now turns to individual unit managers developing adoption strategies (most likely with the help of the process 'champions' that defined the process) to assist their staff in consistently using and complying with the process. Typical strategies for this stage include setting individual goals.

ADOPTED DATE –

Individuals are using the process on all new work.

Individuals are clear in the expectations set by the process, even though they may not exhibit great degrees of proficiency in using the process. (i.e. lack of opportunities to use process, or further development needed.

"Proficient" can be defined as an individual being able to: author, critique, utilize, and/or know what to expect of a process and its deliverables)

Individuals know where to find all process references (Policy, Standards, Procedures, and templates) from a common/central location.

The unit has developed any templates or tools associated with the process that will assist them in being compliant with the process standards.

The unit uses the process checklist to assure that the process is being used and provides feedback regarding facets of the process that is not working and needs further improvement.

Once fully adopted (usually tracked at a unit level), we move collectively into the institutionalization phase. This phase is usually organizational in nature and reflects the combined efforts of all units being fully adopted. The institutionalization, as the phase name hints, works to assure a level of consistency across the entire organization.

INSTITUTIONALIZED DATE –

Individuals across the organization exhibit a high degree of proficiency with the process.

Process mentors are available

The process is auditable in the same manner across all QA units in the organization.

The process is being monitored, measured, maintained, and further honed for efficiency and innovation.