

Specialized Training



for e-Governance Programme



Governance

Capacity Building

Change Management
and Capacity Building
for e-Governance

S2 - CM & CB
Reading Supplement Handbook

Change Management & Capacity Building for e-Governance

Reading Supplement Handbook

DISCLAIMER

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The objective of this document is to provide an overview or preliminary understanding, only, on the subjects/areas covered as part of the training programme. This document should be treated as only background quick reference on the topic(s), and should not be treated as a guideline and/or instructions for undertaking the activities covered under the e-Governance projects. It is expected to provide useful learning for members working in the area of e-Governance. The document by no means has any commercial intention and is solely developed for the purpose of knowledge sharing.

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NISG/CBKM/STeP/07-2013

Printed & Published by

National Institute for Smart Government,

www.nisg.org

on behalf of the

Department of Electronics & Information Technology,
Government of India

How to use this Handbook

This Handbook on *Change Management & Capacity Building for e-Governance* is aimed primarily for the officials in Government departments who are responsible for or associated with managing the e-Governance projects in their departments. It is also a unique compendium of information from diverse sources which will be invaluable to the readers as a quick reference guide on various concepts, covered during the training programme.

This Handbook is organized into six sections. Each section builds on the information in preceding ones to enable a comprehensive understanding of models, tools and frameworks required for the successful implementation of change. It has been written with the intention of allowing quick and easy access to the most appropriate concepts covered during the training. The handbook is intended for a wide and diverse audience, from those who are only beginning to consider managing e-Governance projects to practitioners who have already accumulated considerable theoretical and/or practical experience.

Flow diagrams, tables, graphs & images are used extensively to facilitate easy comprehension and quick recollection of the topics covered therein.

Change Management as a subject covers a broad spectrum of topics but we hope that this handbook provides a concise, informative and easily used companion for those involved in Government transformation so that they can use the topics covered under the training to their full advantage.

Feedback from the readers & of this handbook is greatly valued by us.

Please write to us at:

stephelpdesk@nisg.org

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List of Acronyms

| | |
|-------|------------------------------------------------------|
| ADKAR | Awareness, Desire, Knowledge, Ability, Reinforcement |
| CMF | Change Management Framework |
| EDI | Electronic Data Interchange |
| ICT | Information & Communication Technology |
| ILIS | Integrated Line Information System |
| IT | Information Technology |
| KSA | Knowledge Skills Attitude |
| LSIP | Large Scale Interactive Process |
| MIS | Management Information Systems |
| SMEs | Subject Matter Experts |
| TNA | Training Needs Assessment/Analysis |

1. Introduction

1.1. Introduction to the Course

The “Change Management and Capacity Building for e-Governance” course is designed to equip participants with the necessary background and understanding of key people related challenges in implementation of e-Governance projects and an overview approach for addressing these challenges to facilitate smooth implementation and acceptance of e-Governance systems. The training course will equip the participants with a range of practices and examples on change management and capacity building for e-Governance projects to:

- Maximise the uptake of change programs/e-governance initiatives
- Create consensus, awareness and achieve buy-in on project objectives and benefits at all levels and stakeholders
- Minimise the resistance for project implementation and to keep project stakeholders informed and involved
- Create an environment for effective benefits realization of the project objectives
- Build right capacities at all the levels for increasing project success and achievement of project objectives

The training course focuses on the following key elements:

- Key people related challenges in e-Governance projects
- Change management framework for addressing the people related challenges
- Overview of approach for people change management
- Overview of approach for training and capacity building
- Overview of approach for communications management

1.2. Performance Objectives of the Course:

The training course performance objectives in terms of expected capabilities to be demonstrated by the participants in their respective departments post training completion include the following:

- Change management and capacity building strategy development and implementation of strategy
- Lead/support in managing the people change management aspects in e-Governance project implementations
- Lead/support in identification of human capacity building requirements and adoption of suitable approach for creation of capacities across all levels for project implementation
- Manage project stakeholder communications

1.3. Knowledge, Skill and Attitude Development Focus in the Course

Following summarises the key Knowledge, Skills and Attitude development focus areas under this course.

Knowledge

- Aspects of change, drivers of change
- Characteristics of organizational change
- Enablers and disablers of change
- Managing change in eGovernance projects
- Various change management approaches
- Designing effective change management programmes
- Various tools and techniques that would help design effective change management programmes
- Measuring impact of change

Skills

- Define the scope of change management for e-Governance project implementation
- Define the approach and key activities for change management for e-Governance implementation

- Identify the key stakeholders, roles and responsibilities for change management
- Define the scope of work and deliverables for engagement of a consultant for people change management
- Validation of consultant's deliverables

Attitude

- Appreciation of perspectives related to change and managing transformation.
- Gaining deeper understanding of impact of change on the organization, sector and people
- Willingness to explore various aspects that would enable change in a real-time environment
- Advocating and promoting the importance of change on projects and managing people
- Blending intuition and structured change management process for decision making

The following section discusses the key aspects as listed in section 1.1 above.

2. Introduction to Change Management and Capacity Building in e-Governance Projects

2.1. Change Management

The implementation of e-Governance programs brings along drastic changes in the routine functioning of day to day government. The delivery of Government services through the electronic media including EDI, Internet and other IT based technologies would necessitate procedural and



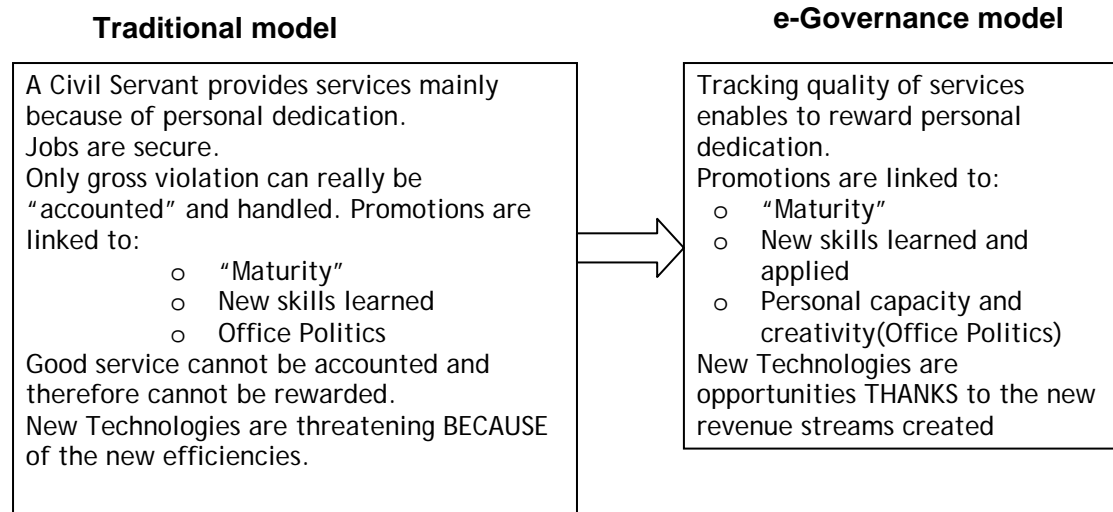
legal changes in the decision and delivery making processes. It demands fundamental changes in Government decision management. There are changes in the processes, reporting structure, delegation of powers, administrative set-up, roles and responsibilities of the employees etc. The employees need to be delegated more authority. De-layering of the decision-making levels leads to Reengineering and appropriate sizing of the decision-making machinery. All the changes in the system may not be welcomed by the stakeholders. These changes need not only be accepted by the government and citizens but also be accepted by various interests groups like employees unions. Under such circumstances bringing in a change will involve changing the mindsets of the people, and a complete Reengineering process needs to be carried out for the same. Hence, implementation of e-Government programs necessitates change management. Change management is the methodology that integrates change and the ability to adapt into the organization. It is an organized, systematic application of the knowledge, tools, and resources of change that provides organizations with a key process to achieve their basic business strategy. This will involve training of the personnel at all levels, more so, at the lower rung of government management organizations.

e-Government Implementation is complex for the following reasons.

- Inherent difficulties
 - Long implementation
 - Underestimation of effort
 - Benefits accrue in the end whereas effort required upfront
- Large number of stake holders

- Who are the drivers: consultants, departments, ICT authority, partner
- Degree of support from top management for investment and involvement in implementation
- Design issues
 - Processes consistent and transparent versus flexibility
 - Integrating with legacy systems
 - Technical performance
 - Privacy, security and standardization
- Management of change
 - Extent of process reform
 - Varying comfort level with IT/screens

The implementation of e-Government projects leads to a cultural shift for the government officials.



A reluctance or inability to manage change properly is often one of the key reasons for the failure of e-Governance projects. The discipline of change management identifies and addresses the human resources and organizational factors that can drive or obstruct change. Prof. Norman Archer has developed a simple but comprehensive methodology for analyzing change management. According to Dr. Archer: "an evolving Environment creates Change Drivers that impact the Organisation". Management determines how to respond to these drivers. A Change Strategy is selected, along with Tools and Methodologies, for implementing the proposed organisational changes. It is critical to be able to Measure and Evaluate the impact of change on the organisation, so an initial snapshot of the organisation is taken. During and after implementing changes, the organisational impact must again be evaluated to determine whether it has been successful. Continuing adjustments may be required to tune the organisation."

2.1.1. Change Management defined

Change management is the methodology that integrates change and the ability to adapt into the organization. It is an organized, systematic application of the knowledge, tools, and resources of change that provides organizations with a key process to achieve their basic business strategy.

Organizations manage change to:

Identify patterns and structures of change in order to control them

Predict issues and problems in each stage in order to accelerate change and minimize pain

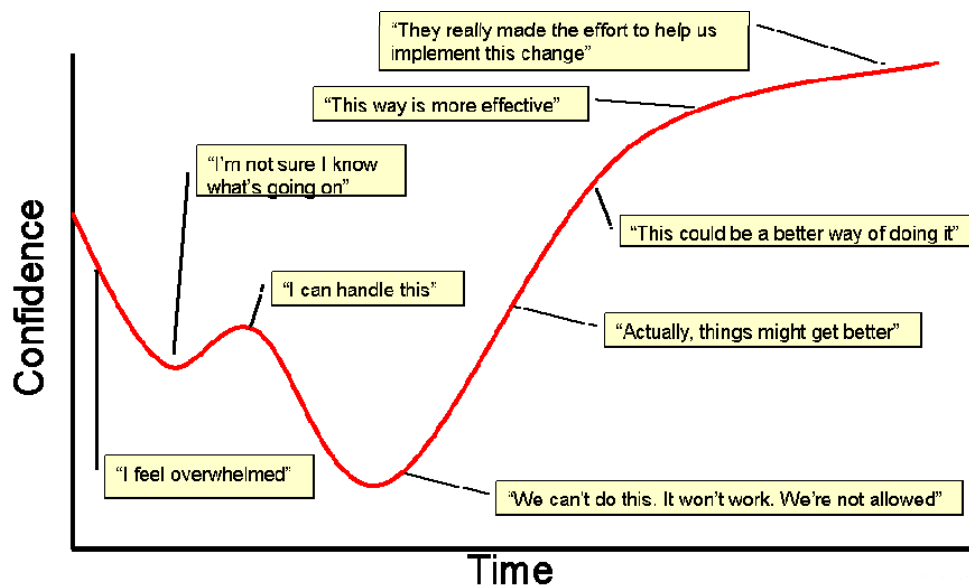
An alternative definition is

"Systematic identification and management of activities that enable an organization in transition from its current state to a desired future state. These activities include communication, stakeholder engagement, transition management, training as well as evaluation of change readiness and change acceptance."

One of the most common starting points for applying change management is seen to be after the project has been conceptualized, designed and implementation has begun. Change management is often added after the project begins to experience problems. In reality, in most of the e-Government projects we see that change management processes are initiated only after the project implementation has

started. This initiative again is mostly not taken with a holistic understanding of change management, and is taken as a reactive measure rather than pro-active measure. The present CMF may be used at any of the entry points of the project; however it is most effective to address the change management issues at a high level during the project feasibility and conceptualization study. Secondly, the change management process activities should be included as part of the project plan. Thirdly, it could [should?] be developed by an in house team having the required level of competency, and recommended to be facilitated by an external consultant team. Achieving successful change management with e-Governance requires you to use both individual and organizational change management approaches.

People’s reaction to change can be summarized in the following figure:



Key components of successful change management are:

- Leadership;
- Focused and coherent strategy, including defined objectives and implementation plans;
- Buy-In from stakeholders, which includes
 - Consultation;
 - Incentives;
 - Training; and
 - Monitoring and evaluation.

2.1.2. ADKAR" - a model for Change Management

ADKAR is a goal-oriented change management model that allows change management teams to focus their activities on specific business results. The model was initially used as a tool for determining if change management activities like communications and training were having the desired results during organizational change. The model has its origins in aligning traditional change management activities to a given result or goal.

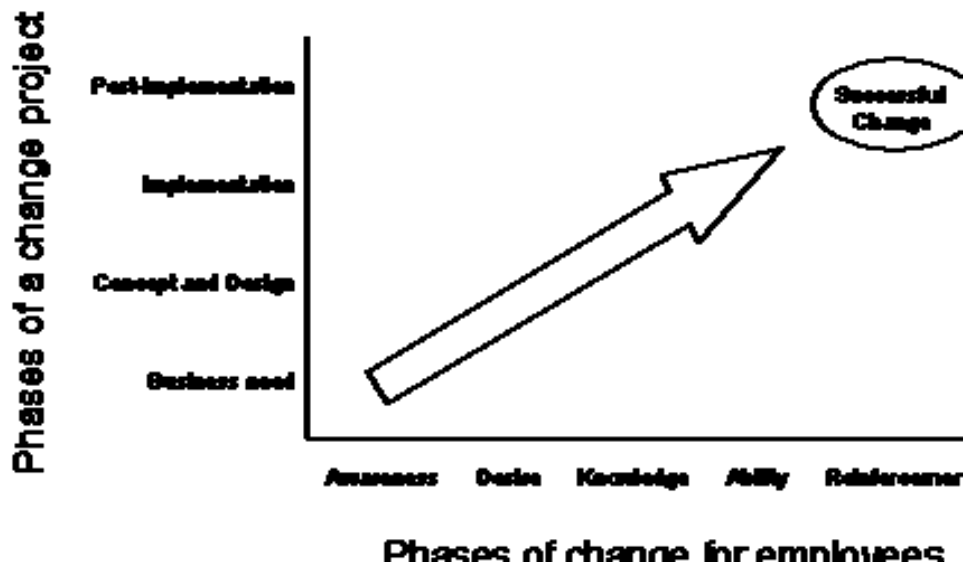
The model was initially used as a tool for determining if change management activities like communications and training were able to obtain the desired results during organizational change. The model has its origins in aligning traditional change management activities to a given result or goal. As a project manager, the participants can use this model to identify gaps in their change management process and to provide effective coaching for their employees.

The ADKAR model can be used to:

- diagnose employee resistance to change
- help employees transition through the change process
- create a successful action plan for personal and professional advancement during change
- develop a change management plan for employees

The ADKAR model has the ability to identify why changes are not working and help you take the necessary steps to make the change successful. You will be able to break down the change into parts, understand where the change is failing and address that impact point

The ADKAR model works on the premises that change is a two dimensional process viz. Business dimension of change and People dimension of change. Successful change happens when both dimensions of change occur simultaneously.



2.1.3. Key Principles for Change Management design

The following factors must be considered while designing change management plan.

- Design compensatory benefits for real losses due to change for employees. Communicate positives and negatives honestly
- Ensure organization climate is right
 - Shared values with advocates of change
 - Participative design
 - Quality of work life, job satisfaction as explicit objectives
 - Training and education
- Ensure all stakeholders understand
 - Expected pay off
 - Role of stakeholders & others in terms of new tasks, skills, training
 - Counseling service, feedback on understanding
- Organisation to manage change
 - Identify champions and legitimize role
 - Project team, command structure
- Identity obstacles to change in advance of implementation
 - Financial, technical, organisational, social, anti- champions
- Determine implementation strategy staged/phased, incentive structure

Organizational dimension of change

The business dimension of change includes the typical project elements.

- Business need or opportunity is identified.
- Project is defined (scope and objectives).
- Business solution is designed (new processes, systems and organizational structure).
- New processes and systems are developed.
- Solution is implemented into the organization.

These are the standard elements of a business change that managers feel most comfortable managing

People dimension of change

Research shows that problems with the people dimension of change are the most commonly cited reasons for project failures. In a study with 248 companies, effective change management with employees was listed as one of the top-three overall success factors for the project. Helping managers be effective sponsors of change was considered the most critical success factor overall.

Effective management of the people dimension of change requires managing five key goals that form the basis of the ADKAR model:

- **Awareness** of the need to change
- **Desire** to participate and support the change
- **Knowledge** of how to change (and what the change looks like)
- **Ability** to implement the change on a day-to-day basis
- **Reinforcement** to keep the change in place

2.1.4. Communication in Change Management

There are five key principles of Effective Communication:

Principle #1: Organisational Change cannot occur without communication

Principle #2: Communication is not a single step or component of a change process - it must occur in parallel, fully integrated with the change process

Principle #3: Communication strategic planning entails more than selecting ingredients or tactics according to a cookbook or recipe

Principle #4: Communication is not something done to a target audience, like turning on a fire hose of words. Effective communication is a two-way process, focused on dialog

Principle #5: Communication professionals apply the rigorous planning process, including assessing stakeholder needs, creating and coaching message delivery, and building feedback loops

Some of the errors in change communication are:

- No clear identification of key stakeholders/audiences
- Failure to listen to stakeholders (attitudes, concerns, information needs, suggestions)
- Insufficient faith in stakeholders' ability to handle "bad news"
- Lack of candor
- Concentration on the "what" at the expense of the "why"
- Failure to analyse communication processes/channels internally and externally (what works and what does not)
- Over-reliance on established media
- No high-level, strategic accountability for communication
- No clear spokesperson/spokespeople
- Failure to define consistent "major messages" for all stakeholders
- Focus only on initial announcement and end results - rather than on continuous information sharing and reinforcement
- Lack of predictability (communication frequency and channels)
- Belief that confidential information will stay secret

2.1.5. Key Reasons for Failures in Change Initiatives

In spite of all planning, sometimes a change initiative may fail. The reasons for failure may be within control of the Project leadership team or beyond its control. However, being aware of at least potential causes of failure, which are within the control, is a pre-requisite for successful change management. Following are some of the reasons for failure of a project:

- **No prioritization:** Every activity is given equal importance and priority. All or most of the activities are taken up simultaneously, making the change process complex and unmanageable.
- **Voice of customer is absent:** The objectives of the change do not take into account the requirements of the customers. Customers are either not consulted or their needs are ignored or their requirements are misunderstood.
- **Employees are not involved:** Little or no involvement of employees in the implementation of the project finally becomes a major impediment to the change initiative.
- **Benefits at individual level are not demonstrated:** The project may aim to provide signification benefits at Organizational level. However, for the individuals involved (employees, citizens, etc.), there may not be any clearly perceivable benefits. Such a situation creates resistance to change, finally leading to project failure.
- **No urgency is created for Change:** This aspect is often overlooked. People generally tend to remain in the 'As-Is' situation and resist any attempt to change. In case of ILIS, the efforts to create 'urgency' for 'change' has to be directly proportionate to the complexity of the Project.
- **Continuity of team not ensured:** Many e-Governance projects suffer due to changes in the project leadership and management teams. When new members come on board, there is whole lot of things to be learnt about the project activities, risks, etc. This takes its own time and slows down the project progress. Lack of continuity in project team also deprives the project of the key benefits that come with experience.

3. Change Management Framework

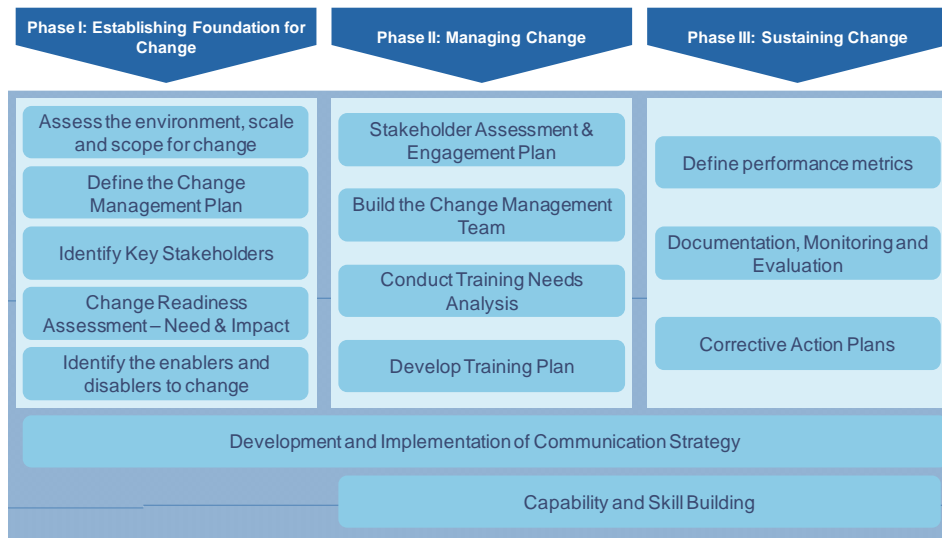
3.1. Overview of Approach for Change Management

This section discusses overview of approach for managing the change in e-Governance projects implementation. Change management is the process, tools and techniques to manage the people-side of business change to achieve the required business / organisational outcome, and to realize that business change effectively within the social infrastructure of the workplace. The Change Management in e-Governance projects implementations focuses along three key dimensions. These are:

| Essential Elements of Change Management | |
|-----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Stakeholder Management | Make sure all stakeholders are identified, relationships are managed; stakeholders get information about progress, programme needs, and benefits tracking, their feedback is received and incorporated in the programme |
| Communication Management | Provide planned communication throughout the organization and execute this along effective means and channels. Make sure that communication reaches the target audience in time and provides just enough information for that audience so that they are informed on and excited about the change and effectively implement it |
| Training | Provide training materials, trainers and logistics; ensure the target audiences are trained in the new ways of working (including data, processes, systems/tools and governance) just in time and just enough |

Based on these key elements, the diagram presents overview of approach for managing people change in e-Governance projects implementation and later paragraphs summarizes key activities performed in each phase of approach.

Approach for Change Management



Stakeholder Management, Communication and Capability Building (Training) cut across the different phases of the Change Management Framework, which clearly indicates the importance of these activities in the overall Change management initiative. Following lists key activities at each phase of the change management approach.

Phase I: Establishing Foundation for Change – Key Activities

- Assessing the Scale of change in terms of number of affected entities, users, geographical spread, etc.
- Assessing the scope in terms of policy, process, system and structure
- Assessing the existing environment to understand ‘Change Readiness’ and ‘Culture’ Assessments
- Preparing a Change Management Plan
- Identifying the key stakeholders, in terms of people impacted and those capable of influencing the outcomes of the change initiatives
- Identifying the key enablers and disablers of Change

Phase II: Managing Change – Key Activities

- Assessing the stakeholders for understanding their power, influence, impact and support in the project
- Mapping of various stakeholders and stakeholder groups
- Building the Change Management Team to make change ‘happen’
- Defining the roles and responsibilities of the members of the Change Team
- Conducting Training Needs Analysis to understand the training objectives

- Prepare the Training Plan for addressing the training needs

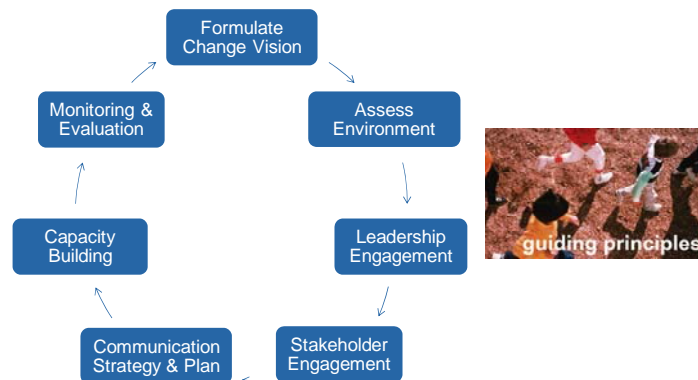
Phase III: Sustaining Change – Key Activities

- Identifying the performance metrics for measuring the success of 'Change' and cascading the same to the stakeholders
- Monitoring and evaluating the metrics to measure the change outcome and incorporate necessary modifications
- Developing a repository / knowledgebase for documentation of the 'Change'

4. Change Management Planning

4.1. Guiding principles for Change Planning

A Change Management Plan defines the various phases, related activities, tools and mechanisms for evaluating and tracking the changes and the related deliverables encompassing a Change Management initiative. Following are the guiding principles for change planning.



| Guiding Principles | |
|----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Guiding Principle 1: Formulate Change Vision | <ul style="list-style-type: none"> • Creating a compelling vision for change is key to implementation of any Change Management initiative. • Vision acts as a bridge between the current state and the desired future state. • Vision should be defined and articulated at the onset of a Change Management initiative. |
| Guiding Principle 2: Assess Environment for Change | <ul style="list-style-type: none"> • Assess the environmental variables influencing the change process viz. legal, political, social • Assess government's / department's history, readiness and capacity to change • This Assessment should be carried out in the initial stages of planning, as it will help in identifying risks and developing a plan to mitigate them |
| Guiding Principle 3: Leadership | <ul style="list-style-type: none"> • Leadership needs to create, drive and support the change agenda. |

| Guiding Principles | |
|------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Engagement | <ul style="list-style-type: none"> • Leaders must understand the dynamics of change management and need to apply the principles that make change effective • Leadership engagement to visibly lead the change, set the tone for change, and reinforce the government's commitment to the interventions must be outlined at the planning stage |
| Guiding Principle 4: Stakeholder Engagement | <ul style="list-style-type: none"> • Identify and engage the key stakeholders at the beginning to minimize the resistance from change and create buy-ins • Engage and collaborate with stakeholders affected by the change as much as possible |
| Guiding Principle 5: Communication Strategy and Plan | <ul style="list-style-type: none"> • A targeted approach to developing a communication strategy is important in e-Governance projects • Communication strategy should be developed during the Planning phase of change and needs to be revisited and refined throughout the change cycle • Communication needs to be assessed by looking at the why, what, how, and when of communicating • Change programme should aim at creating awareness, and gaining support, involvement and commitment |
| Guiding Principle 6: Capacity Building | <ul style="list-style-type: none"> • Training of the personnel at all levels is imperative to build capacity and sustain change in e-Governance projects. • Identifying key skills required to drive and implement the change initiative must begin at the planning stage. • The training plan must be charted out for identified groups and targeted training must be conducted. • Few leadership training might be required at the onset to equip the leaders with the necessary skills to drive the change |

| | |
|---------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Guiding Principle 7: Monitoring and Evaluation</p> | <ul style="list-style-type: none"> • Define metrics/system to measure progress of the change initiative – how far have we got, how far do we still need to go? • Monitoring techniques need to be designed by the project team and cascaded to the key stakeholders. |
|---------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

4.2. General Tools in Change Management

The table below discusses general tools in change management planning and execution

| General Tools | |
|--------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Change Readiness Survey</p> | <ul style="list-style-type: none"> • Measures the organizational readiness to change, and • Determines the levels of understanding, acceptance and commitment likely to effect the success of the planned change <p>An assessment should answer:</p> <ul style="list-style-type: none"> • How will people respond to change? • To what extent will they “own” the change? • Where might there be pockets of resistance? • What are the systemic or cultural barriers to effective change implementation? • What strategies and methods should be deployed to minimize resistance, reduce barriers and promote ownership? |
| <p>Change Management Workshops</p> | <ul style="list-style-type: none"> • Meetings emphasizing on exchange of information among a usually small number of participants through hands-on exercises • An Effective tool to facilitate discussions involving change leaders • Decision makers and their supporting teams in the right mix |

| General Tools | |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> • Creating an effective agenda for workshop including Clearly defined objectives, Flow of the activities in the workshop, Communicating expectations to the participants and Guidelines for the moderator/facilitator |
| Large Scale Interactive Process (LSIP) | <ul style="list-style-type: none"> • LSIP works on the Philosophy that “If the dissatisfaction of the people is understood, then people are propelled to look at the vision of the organization. The creative tension between the dissatisfaction and the future vision helps people in taking the first steps towards change.” • LSIP can be used as an effective tool while communicating the change vision to a large group of stakeholders in relatively short period of time |
| Structured Interviews | <ul style="list-style-type: none"> • A structured interview is an interview format where a defined set of questions are asked from various individuals • The tool can be used to conduct perception and engagement surveys in a Change Programme <p>Principles of designing structured interviews:</p> <ul style="list-style-type: none"> • Questions are presented with exactly the same order • The choice of answers to the questions is fixed (close-ended) in advance • Open-ended questions can also be included but within a defined scope • An interview schedule which lists the wording and sequencing of questions |
| Focus Group Discussions | <ul style="list-style-type: none"> • Focus group methodology is one of several tools to generate valid information important to the advancement of change programs across organizations through a group interview technique. <p>Principles for conducting focus group discussions:</p> <ul style="list-style-type: none"> • 10-12 participants from a similar group |

| General Tools | |
|----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> • Participants are asked to provide insights on the topic and there is no fixed response to a particular question – • People may tell personal stories, revisit an earlier question, disagree, contradict themselves, and interrupt. • Facilitator must balance the needs of participants to ‘have their say’ against the need to stay focused. • Reporting and analysis is done in words not numbers |
| Appreciative Inquiry | <ul style="list-style-type: none"> • Appreciative enquiry is a useful and effective approach used for thinking, seeing, and acting for powerful change in organizations. • It works on the assumption that whatever you want more of, already exists in all the organizations and this process allows change leaders, drivers to discover that. <p>Approach</p> <ul style="list-style-type: none"> • There are a variety of approaches to implementing Appreciative Inquiry: <ul style="list-style-type: none"> ○ Mass-mobilized interviews ○ A large gathering of stakeholders ○ Group discussions • All these approaches involve bringing large, diverse groups of people together to: <ul style="list-style-type: none"> ○ Visualize the future in a positive way ○ Study and build upon the best in the organization / system. • Questions: <ul style="list-style-type: none"> ○ Questions are designed to encourage people to tell stories from their own experience of what works in the organization / system ○ Questions often revolve around what people enjoy about their aspirations for the Future • Participants: |

| General Tools | |
|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> ○ The process begins with a core group setting the focus of the Inquiry, and developing and testing the appreciative questions. ○ Then the questions are shared with a larger group of people. • Time Requirements: <ul style="list-style-type: none"> ○ The interview questions can be developed, tested and analyzed in a few hours or in a workshop. ○ Data from the interviews can be looked at and turned into information by a few people in the design team ○ Everyone can then decide collectively how to best go forward. |
| Identifying Key Stakeholders | <ul style="list-style-type: none"> • Identifying the key stakeholders early in any e-Governance project is important. • Stakeholders are defined as individuals and groups – internal or external to an organisation – who are impacted by and capable of influencing the outcomes of change initiatives. • Stakeholders are identified by scanning the ecosystem of the e-Governance projects. • When identifying key stakeholders, consideration should be given to: <ul style="list-style-type: none"> ○ Location of the stakeholder: Where are the key stakeholders located in the organisation’s broad structure. Government headquarters, state-union level. ○ Role in the decision-making process: <i>What role do these stakeholders have in decision making. Identify People</i> those influence decisions in a particular situation or regarding a particular issue, i.e., Those that are most active in making |

General Tools

decisions, taking actions and communicating and those who will take decisions on the transformation programme or whose decision making capacity could impact the success of the transformation programme.

- **Position** - Some stakeholders may be identified as important in particular situations or for particular issue because of the roles they play and the positions of influence or power they hold. *e-Governance policies are framed at the highest levels of Government involving politicians and bureaucrats.*
- **Membership** - Affiliation and membership of a professional association or special interest group may be important because they can have influence/power in a situation e.g., industry bodies or trade unions.

4.3. Understanding Environment, scale and scope for change

We discussed in the previous sessions, various environment variables, which exert an impact upon implementation of e-Governance projects. These variables are categorized as Social, Political, Legal and Economic variables. For minimizing the impact and resistance from people, it is vital to understand the scope of change led by the e-Governance projects. Few questions that need to be answered to understand the scope and scale of change of the e-Governance Projects:

- To what extent will there be changes in the way the Government departments operate, is structured, or work?
- Will the change require a shift in mindsets and behaviors?
- How many elements (i.e., people, process, structure, and strategy) will be impacted?
- To what extent will the Government organization (i.e., departments, workgroups, the no. of people, functions, & locations) be affected?

- Who are the key stakeholders and target audiences in the overall change program?
- How much emotional impact will the change have?

a. Understanding Scale of Change in an e-Governance Project

Scale of the 'change' refers to entities affected by the change, number of users geographical spread. Scale of the 'change' can be understood through leadership discussions in the Government and with other key stakeholders.

Scale of change (Indicative factors)

- Number of employees / stakeholders who will be impacted due to implementation of the project
- Units across which the proposed system will percolate

b. Understanding Scope of Change in an e-Governance Project

It requires adequate focus and experience to manage peoples' apprehensions, aspirations and capacities during e-Governance projects cutting across policy, process, system and structural elements and that would likely involve physical relocation in addition to the acquisition of new skills and a change in roles for the workforce. The scope of change in e-Government projects in general is along policies, processes, systems and structural changes. For effectively managing the people change, it is critical to gain good understanding of what is the scope of change along these dimensions. Based on the scope and scale of change, necessary change management planning can be performed.

4.3.1. Approach for assessing the environment, scale and scope for change

Assessing the environment for change at the onset of any change management exercise is key to the success. Tools such as Change Readiness Assessment and Culture assessments can be used for diagnosis. An understanding of the Change Situation can be gained through an enquiry into 5 key areas: (i) Context, (ii) Complexity, (iii) Consequence, (iv) Culture and (v) Capability.

a. Context for change

Context explores the nature and driving forces behind the change initiative. E.g. The purpose of most of the e-Governance initiative is to reform the way Government manages and shares information with external and internal clients. Specifically, to

harness ICTs (such as Wide Area Networks, the Internet, and mobile computing) to transform relations with citizens, businesses and amongst various arms of Government.

- **Predictability:** It is important to understand, How certain or clear are the outcomes and benefits resulting from an e-Governance project? What is the vision of Government and the Leadership team from the project?
- **Urgency:** How critical or time-constrained is the project and the need to bring in the desired change?
- **Inherent risk:** How serious are the consequences for the organization if the change fails?

b. Complexity

Identifying & Understanding the key variables contributing to the complexity of e-Governance projects at the onset can be used as a critical guideline while designing the change approach & strategy.

- Examine the complexity of the problem and predictability of the solutions.
- Also key here is the complexity of the structure of the Government entity and its interdependencies and interactions with various bodies and its possible impact on successful change implementation.
- Finally, time and space constraints need to be understood.

c. Consequence

Understanding the levels of resistance is critical for an e-Governance project to create buy-in from all the stakeholders at a later stage.

- Review of the likely levels of resistance to the proposed changes, on a role by role and unit by unit basis
- Review of potential areas of resistance and also the organizational politics especially amongst the leadership of the organisation
- Understanding the inherent consequences to the individual/organization of either complying or not complying with the proposed changes.
- Understanding the extent to which the delivery of the benefits of the programme is dependent on any particular change approach.

d. Culture

Cultural barriers pose the biggest challenge in installing a new system. They exist at employee level, officers' level and political level. The need is to create a rich and adaptable culture that encourages values which opens up the bureaucratic structure of the Government organizations. Culture looks at norms of behavior in the organisation, including a review of how change has/has not been implemented successfully in the past.

- Are people focused on detail or the big picture?
- Is there a power and control culture or a culture of empowerment?
- Do people focus more on the task or on the people?
- In case the change effort is on a national scale, assessment of regional cultural differences is essential

e. Capability

Mostly e-Governance projects start on the assumption that capability is available within the organisation to deliver such programmes. However, an unrealistic guesstimate can derail the programme, hence, a systematic approach to understanding current capabilities is important to design realistic change management strategy. Understand the capabilities (current and required) to both implement the change and operate sustainably in the new environment.

- Assessing the skills and capabilities of the organizational Leadership to drive the change process
- Look at available resources and understand other change efforts currently underway in the Government agency / body.
- The level of commitment of both leaders and front-line staff should also be explored.

4.4. Identifying enablers and disablers to change

Identification of enablers and disablers is a an essential element in people change management, based on which effective stakeholder engagement and management strategy can be developed to leverage enablers and to address disablers for change. In identifying enablers and disablers for change, change readiness assessment plays

a crucial role. Change Readiness Assessment is a systematic technique which provides data on organisation's capability to change and the change management 'hot spots' or risks that will inform the change strategy/plan. The assessment usually involves a combination of survey and focus group workshops with the following objectives:

- To understand how well the organisation has delivered change programmes in the past
- To understand current level of confidence in delivering future change
- To understand the gap between current capability and that required going forward
- To define and agree the change management actions to close the gap

It is a stakeholder engagement activity, and entails consultation and involvement of key stakeholders and members of the front-line. The key objectives of the Change readiness assessment are:

- 1 To **assess the readiness and capability of Government and other stakeholders** for change and lay necessary foundations for a successful change programme.
- 2 To help the Government body / agency in understanding its **areas of strengths and identifying opportunities** for development with the objective of creating the transformation
- 3 To identify and prioritise **action points** in bringing about the transformation
- 4 To **mobilize** the project **for the change** by involving the **sponsors / leaders** across different levels in the process of identifying issues and opportunities.

Change Readiness Assessment program will include following activities:

- Prepare **sampling plan** to cover stakeholders from various groups
- Develop a **Change Readiness Assessment Questionnaire** based on the identified change themes/levers
- Prepare **administration plan** and deploy various mechanisms such as workshops, e-mail, online, telephonic discussion, one-to-one meetings etc to collect the inputs of various workgroups.
- Collect and analyse the data.

Following lists key elements in change readiness assessments followed by overview of each of element.

| | |
|------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| Change Readiness Workshops | To communicate the purpose and context of the Survey to the survey population |
| Communication Note | To share the overview of the objective of the survey with the participants and request them to fill the survey questionnaire. |
| Instructions Note | To brief respondents on purpose, process and confidentiality |
| Data Collation | To collect and collate the data in a predefined template |
| Risk Profile Review | To map survey results with the <i>Change Readiness Risk</i> profile and assess the current state and identify the enablers and disablers |
| Detailed Analysis and Action Plan | To identify the focus areas for managing the change |

a. Change Readiness Workshops

Change readiness workshops are used to communicate the purpose and context of the Survey to the survey population. Following are some key insights into change readiness workshops.

- Change readiness workshops aims at sensitizing the employees and other key stakeholders to the change process and gather their perception.
- It is an effective tool for gathering Top Management perspective and identifying key enablers and disablers to change
- Identification of change Levers which are imperative for achieving technological change in the organization
- Provide insights on e-Governance

b. Communication Note

Communications note is aimed at sharing the overview of the objective of the survey with the participants and request them to fill the survey questionnaire. Communication note includes:

- Message from the leadership
- Provide basic information around the concept and scope of the e-Governance initiative
- Objective of the Change Readiness assessment survey
- Explain how data will be used

- Assure anonymity and confidentiality
- Outline how the questionnaire needs to be filled

c. Instructions Note

Instructions note is aimed at briefing respondents on purpose, process and confidentiality including the guidelines for filling the questionnaire. This includes:

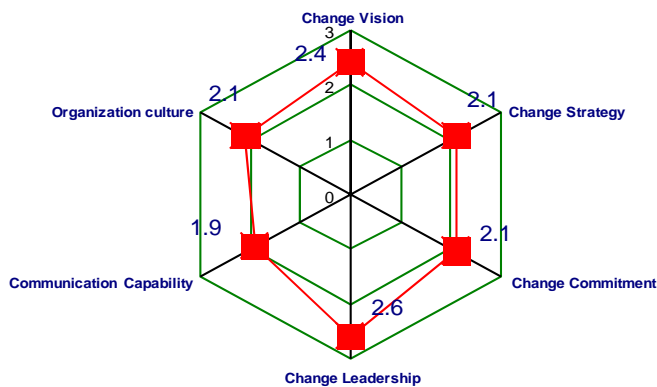
- Provide candid and honest response to the statements in the questionnaire.
- Give first reaction and not spend too much time thinking of each question
- Fill in the mandatory sections viz. Designation, rank etc. Name is optional anonymity is guaranteed.
- Provide the opinion in the context of your department and your role in the concerned unit/section.
- Fill in the circle in the scale that corresponds to the degree of your agreements to the statements

d. Data Collation

To collect and collate the data in a predefined template. Data collection can be done using a standardized template / questionnaire and can be gathered through workshops, online administration depending upon the culture of the Government department and technology availability.

e. Risk Profile Review

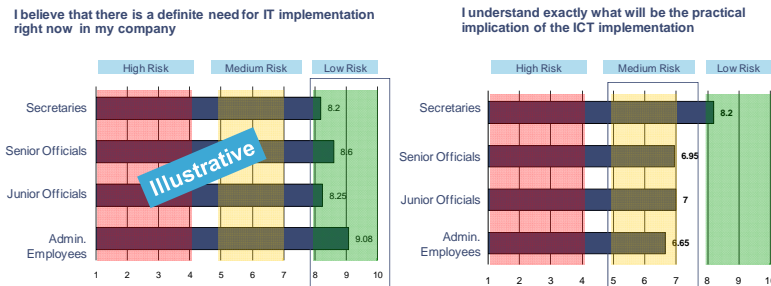
Risk Profile Review is used to map survey results with the Change Readiness Risk profile and assess the current state and identify the enablers and disablers. Diagram below presents a sample risk profile. The numbers in the diagram represent priority order for managing change based on the survey score.



| | |
|---------------------------------------------|-------------|
| * Polygons represent levels of Risk Profile | |
| Polygon 1 | High Risk |
| Polygon 2 | Medium Risk |
| Polygon 3 | Low Risk |

f. Analysis of results to identify the enablers and disablers

Survey responses are analyzed by mapping them on the risk profile i.e. high, medium and low and the analysis is done from various perspectives to capture the gaps, issues and resistance among various employee groups. Illustrative output of survey analysis results is provided below.



The objective of overall change readiness assessment is to identify the change enablers and disablers. Following lists sample change enablers and disablers.

| Change Enablers | Change Disablers |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> • A compelling change vision has been created and cascaded throughout the organization. • The leadership at all levels, drives continuous communication to explain change purpose • Active change management techniques are engaged to generate understanding and involvement among employees. • There is an established structured plan in line with the change vision. • Performance measures are established at organizational, functional and operational level. | <ul style="list-style-type: none"> • Stakeholders have fragmented understanding of the long term objectives of the technological change. • There is lack of structured plan, strategy and direction to guide organization response to change. • There is lack of commitment to the current change programmes. • There is no visible leadership at functional / organizational level which drives change • Little or no formal communication outside the change programme team. |

Based on the identification of risk areas and analysis of the data course of action is determined for each dimension. E.g. Change Strategy, Change Commitment, Change Leadership, Communication Capability and Organizational Culture.

4.5. Building change team

For successful implementation of e-Governance projects, the project stakeholders need to be engaged and involved right from the beginning of the project. Following lists some key reasons for stakeholder engagement and involvement throughout project lifecycle:

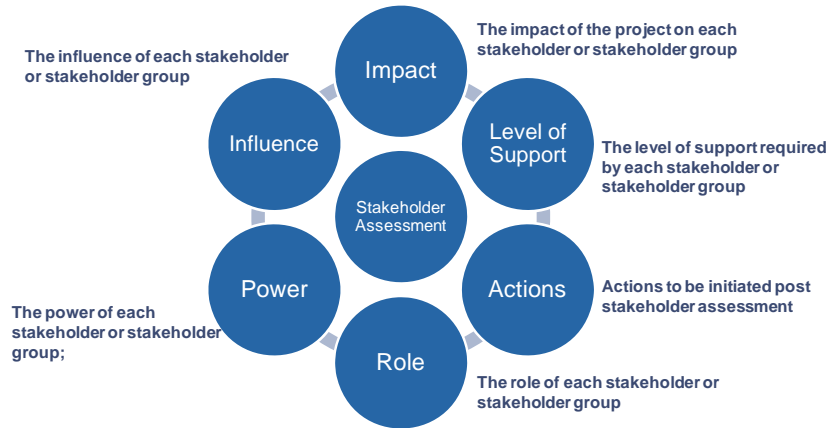
- Determine the level and type of stakeholder activities required to inform, involve and engage with them.
- Invest the appropriate resources to engage with stakeholders who are 'critical'
- Make sure that the Stakeholders are aware of their roles and responsibilities in ensuring success e.g., ICT implementation, the identification and acceptance of the responsibility for owning and managing the day-to-day aspects of the system and the new ways of working
- Minimize resistance to the programme through stakeholder engagement strategies and prevent the programme from being derailed
- Build a vision & hunger for success for the programme & generate enthusiasm for the change
- Identify the extended audience for project communications and the project-related information that each stakeholder or stakeholder group should receive and with what frequency;
- Ensure that all of the project dependencies have been identified and their impact understood
- Stakeholder Engagement in an e-Governance programme is an ongoing activity
- Stakeholders may move up and down the map as the project progresses so this work should be revisited on a regular basis
- List of stakeholders may also change throughout the life-cycle of the project

For effective stakeholder engagement and involvement, it requires an internal team, apart from the team of consultant, to support and drive the stakeholder engagement. This team can be referred as the change team.

A Change Team identified for change management plays a crucial role in implementation of change, communicating the change and leading the change at various levels of the organization. Hence, selection and formation of a change team will determine the success and outcome of the change management. For identifying the change team, it is important to understand the target stakeholder groups, who

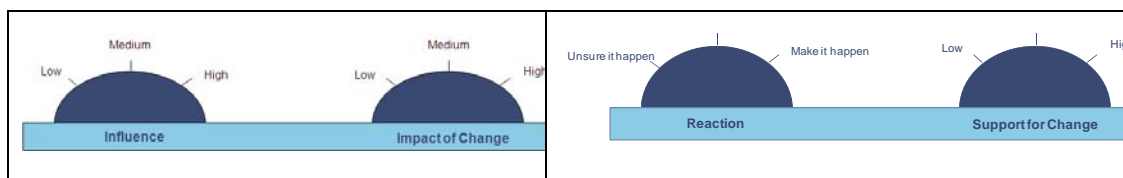
need to be managed, communicated and trained throughout the engagement. Some of the key stakeholders in an e-Governance Project are:

- Individuals such as Secretaries, Head of Ministries, Heads of Directorates;
- Project sponsor,
Project manager,
Heads of budgeting and
spending units in pilot
Ministries; Business
process owners;
Funding Agencies
- Consultants, Vendor/
Intermediaries
- Divisions, departments or units, employees, user groups, legal entities, or
location / geography (e.g., headquarters, plant, location, state, country), citizens

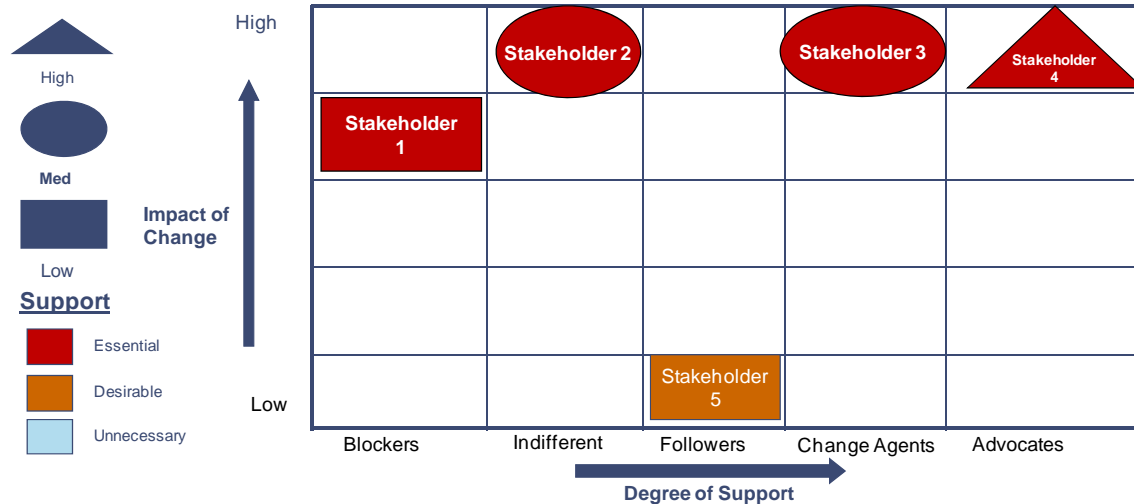


All these stakeholders can perceive the same project in different ways depending upon their Expectations. Stakeholder assessment defines the power, influence, impact on the project and support required from the stakeholders and stakeholder groups.

Following **parameters** are used with a rating scale to assess and map various stakeholder groups in organization.



Stakeholder map groups stakeholders on a matrix to represent how much influence and impact stakeholders have in current state and how essential their support is in the change program.



Build a Change Champion network

Evolution of **e-Governance change champions** is essential and critical for handholding the e-Governance effort in the initial period. They act as catalysts to accelerate acceptance process among users and to ensure rapid deployment internally, by

- Facilitating acceptance
- Motivating the front end service people
- Create an awareness and curiosity among the users by explaining the benefits

Change Champions can extend the scope of communications for the Programme. They provide another avenue to communicate with the business and gather valuable feedback from the business. An **ideal change agent in the e-Governance implementation** would be:

- a computer savvy person,
- who has power and authority in governmental system, and
- high credibility among service department and user communities.

Building a Change Champion Network that can make change happen:

- **Find the right people:** The stakeholders analysis will provide inputs for identifying the change champions for the programme
- **Create Trust:** To facilitate teamwork among the Change Champions identified

- **Develop a common goal:** A common understanding of goals will help the team move in one direction

The change champions organization:

- Understand and agree with the need to change
- Have credibility and respect within the stakeholders (external / internal)
- Have a sense of urgency about the change
- Are good communicators and motivators
- Have a good understanding of the organisation and it's culture
- Have great listening skills
- Are enthusiastic to represent the change within the organisation
- Are approachable and accessible.

Four key characteristics seem to be essential towards building effective change champions network. They are:

- **Position Power:** Are enough key influential players on board?
- **Expertise:** Are the various points of view, relevant to the task at hand represented in the network?
- **Credibility:** Does the network have enough people with good reputation in the organization / amongst stakeholders?
- **Leadership:** Does the network include enough proven leaders to be able to drive the change process?

Roles of a Change Champion

- **Change Leaders** – Champions the Change vision, Guides, Removes barriers
- **Cheerleaders** – Educators, facilitators, Play supportive role, Removes barriers
- **Program Manager** – Plan change process with sponsors, Ensure project team has necessary skills, training
- **Functional Change Experts** – Deep subject matter expertise, Coach
- **Change Conceptualizers** – Facilitate meetings, build creative environment, Integrate ideas into change design

4.6. Develop Change Management Activities

Development of Change Management Activities/Plan focuses on building the framework for the change implementation, where resources, roles and responsibilities are documented, schedules are developed based on timeframes and deadlines, and training requirements are identified. Development of change management activities refer to identifying various activities which are needed for helping/supporting each stakeholder group for addressing the risks/issues identified in during the change readiness assessment survey. From this analysis, the approach for addressing these issues and managing the change for project stakeholders should be developed including areas such as:

- a phased or staged approach to implementation of proposed e-governance initiative from the people perspective as it will involve re-alignment of roles and re-training of the skills both functionally and behaviorally.
- Defining the associated measurement criteria for the items that will constitute the successful migration and its acceptance

Once the approach for implementation is defined, the various components of the current and planned future environments should be analyzed to determine which specific activities/actions are required to develop a successful migration strategy. For creating a lasting change effect for the project implementation, departments need to review and translate following key aspects into change activities. These would involve:

- **New Roles** - Creating and strategizing communication on the aspect of changed and value added roles in line with the requirements of project.
- **Changes in Roles/positions/retrenchment/relocation** - Creating and strategizing communication on the aspect of redeployment, retrenchment of employees and approach for managing the response/reaction from the employees..
- **Identifying New Competencies** - As current skills may not be sufficient for future organisation identifying and then communicating the need to raise skills levels across functions including sensitization to risk management becomes a key change management activity.
- **Facilitating Cultural Change** - Creating an advocacy culture across levels becomes critical in implementation of change programs as word of mouth

and informal communication is key to successful implementation. We would look at the audience and create mechanisms for change management activities around the requirements from the aspect of cultural acceptance of change.

- **Communication** - It is imperative that communication is a dimension interwoven in any change program and needs to intersperse and permeate through the entire change process.
- **Recommending transparent HR and related sub-systems** - Designing and creating systems helping people to understand their own skill gaps and therefore being able to take actions is key to generate buy in into the change program. Activities to align individual and organizational requirement are key to our change management approach, as we synthesize processes and systems to delineate non-transparency.

As departments go about designing activities around the above-mentioned requirements on the change management imperatives, the focus area should be a two fold to lead the desired change:

- **Inspirational to** energize people, align people across levels and to chart a collectively accepted plan of action till the “go-live” phase.
- **Operational to** Reengineer and design key business processes with the aim of achieving project objectives, to Implement Reengineered processes and to Design suitable structure, systems and processes to sustain the change

Based on the above, departments need to identify the stakeholder wise Engagement and Change Actions/Activities based on the impact assessed for the target stakeholder groups and priority and sequencing of each change activity identified for the project. These change management activities are likely to consider, for example, change strategy, engagement and communications, change leadership, capability development, clarity and understanding of the case for change and vision.

For each change action/activity, department need to identify the stakeholder responsible for undertaking the activity and the approach for monitoring the change activity plan and effectiveness of change activities implemented during the project implementation. Following outlines key illustrative activities for Change Management.

| Activity | Description |
|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Align Leadership | Facilitate the alignment of leadership relating to the support and advocacy of the overall change vision. This alignment shall be completed during the design phase to ensure leadership’s support during the execution phase. |
| Establish Change Program Governance | Leadership should be aware of the change program’s progress, successes and risks so that impending decisions are made with an appropriate level of knowledge. The right teams must also be mobilized and empowered to make decisions regarding the change. Change program governance ensures that the right people are making the best decisions possible. |
| Select Appropriate Methods to Build Commitment | The purpose of this task is to develop a comprehensive understanding of communication in the organization and to determine and plan the best communication methods for the situation/message based on stakeholder needs and preferences. These comprehensive, detailed plans educate, involve and inform stakeholders, helping to build acceptance and buy-in throughout the transition. |
| Assess Training Needs and Curriculum Planning | The purpose of this task is to confirm the impact of the change initiative on all stakeholders, assess the training need, and design appropriate curriculum/training plans that will enable end-users to successfully perform their jobs in the new environment. The training and curriculum plan should addresses policy, process, and system/tool training as well as other change management and leadership training as needed. |
| Involve & Educate Sponsors and Change Agents | It is important for all sponsors and change agents to be knowledgeable about the change program, as they will be responsible for addressing issues and concerns that may arise throughout the course of the change initiative. This task involves conducting training programs and workshops to educate all sponsors, change agents and the appropriate |

| Activity | Description |
|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | stakeholders. |
| Align Organization & Culture | Where appropriate, detailed designs and plans for recommended changes will be produced to support the change effort and integrate with existing organization design and cultural alignment activities. |

5. Training in e-Governance Projects

Implementation of e-Governance projects may require significant changes to the current capabilities and skill sets of the employees in the organization and it is imperative to address the gaps between the required and current capabilities and skill sets of employees at various levels in the organization. Following discusses an overview of Training approach for e-Governance projects.

Overview of Approach for Training



Table below discusses each of the above activities in summary.

| Activity | Description |
|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Needs Analysis | Needs Analysis focuses on identifying the specific capabilities and skill sets required for various stakeholder groups in the context of e-Governance projects implementation. These skill sets including leadership, managerial, technical, domain, operational and other areas as relevant to the project. An understanding of the capabilities and skill sets is crucial to identify the gaps and to plan for bridging these gaps. The needs analysis will focus on defining the specific Knowledge, Skill and Attitude development requirements for the target stakeholder groups. |
| Gap Assessment | Gap assessment focuses on assessing the current capabilities and skill sets of the people across various levels vis-à-vis the target capabilities and skill sets needed in the context of e-governance project implementation. Development of training plan and strategy will be performed based on these identified gaps. |
| Design Solutions | For the identified gaps, a training strategy/solution should be developed to address the Knowledge, Skill and Attitudinal requirements for the stakeholders. The solution should |

| Activity | Description |
|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | address the approach for development of KSA, methods of training, training course framework, detailed training plan, approach for evaluation of the training, development of training calendar etc. |
| Development | Development phase includes development of the relevant training material, training aids, feedback forms, student hand outs, faculty handouts and other training material as may be needed for conducting the training. |
| Delivery | Delivery phase includes imparting/conducting the training programmes for various stakeholder groups as per the training calendar. |
| Evaluation | Evaluation phase includes evaluation of effectiveness of the training programmes conducted to the stakeholders and improving the approach and training material based on the specific feedback back provided by the stakeholders. |

5.1. Training Needs Assessment

Training Needs Assessment/Analysis (TNA) focuses on identifying these skills/capabilities gaps in the employees of the organization, which will provide crucial input into development of a training plan/strategy. Following discusses some key objectives of the Training Needs Analysis (TNA):

- To understand the training audiences & their needs in the context of e-Governance
- To assess the training needs by role and by training type to address the knowledge and skills gaps :
 - Understand the changes to processes taking effect due to e-Governance adoption
 - Identify new technologies (or changes to existing technologies) taking effect

- Assess new skills and behaviors needed to perform work in the new environment
- To identify areas requiring the greatest training focus and prioritizing training activities to address all critical dependencies
- To understand common training needs required for all stakeholders (internal / external)
- To outline potential skills and training risks to a successful go-live, and recommend mitigating actions

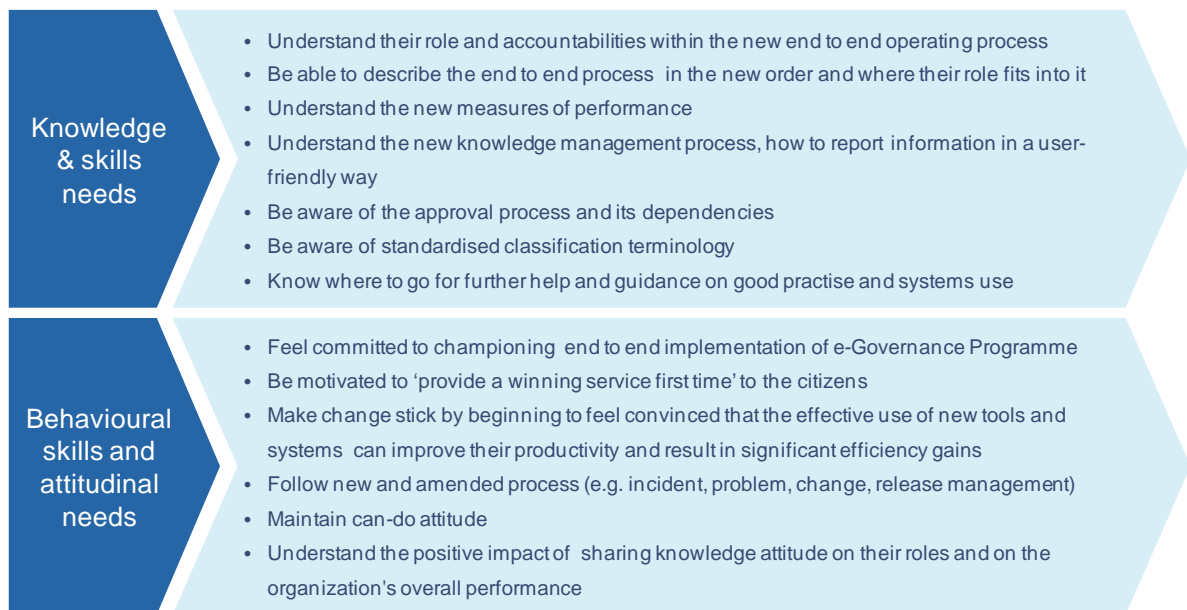
Following presents scope and overview of approach for conducting the Training Needs Assessment. Scope of TNA includes:

- Typically the scope of the TNA in an e-Governance project will include all process, technology, and Skills and Behavioral training, needed to ensure a successful implementation.
- TNA will cover all the stakeholders who will be impacted by the change
- The TNA will be a key input to designing the training strategy and interventions to ensure staff are sufficiently skilled to fulfill their roles in the changed environment.

Following summarises the approach for TNA:



A typical Training needs analysis output of the TNA includes:



5.2. Assess Current Capabilities

Existing skill levels are assessed amongst the stakeholder groups and skill gap analysis is conducted based on future requirement from the role. This includes:

- Determine the effectiveness and ability of the organisation's present staff in completing the appropriate tasks to the required levels of competence.
- This information can be gained through a range of steps used in isolation or in combination depending on the size of the organization & the scale of change. e.g.
 - self assessment;
 - line manager interview;
 - stakeholder interviews;
 - surveys or questionnaires;
 - existing MIS;
 - on-job observation; and
 - customer feedback.

5.3. Compare Current and Target Competency Levels to Identify Gaps

- Identify and document gaps between current & required competency levels
- Record the gaps as potential training requirements

- Evaluate the potential training requirements to identify which are caused by a complete or partial lack of skills or knowledge and which have other causes. Then:
 - List as training requirements, those performance gaps caused by lack of skills/knowledge; and
 - List as issues those performance gaps not caused by lack of skills or knowledge
- Determine in a report possible non-training solutions e.g. changes in reward systems, amendments to service level agreements, geographic location of function and/or stakeholder

5.4. Identification of Skill Gaps

Identified skill gaps are then categorized as ‘High’, ‘Medium’ and ‘Low’ basis the importance and priority of the training.

| | |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| High | Priority training to address the issues of low capacity to prepare and implement projects and institute the mandated reforms |
| Medium | An important requirement and is assumed to be part of best current practice. Ideally this would be reinforced through a development or communications activity. |
| Low | Peripheral activity or one that can be safely assumed to be core to present practice so should be a behaviour or piece of knowledge that an incumbent is carrying out as part of everyday activities. |

Based on the identified training requirements, Typically the training requirement for various stakeholder groups are prioritized as below. The table below is for Illustration only, the number of stakeholders and their categories would vary depending upon the scope and nature of the project.

| | Officers / Secretary | Clerks | Project Team | Change Agents | Minister |
|-------------------------------------|----------------------|--------|--------------|---------------|----------|
| Training on the end to end process | Medium | High | Low | Medium | Medium |
| Training on new performance metrics | High | High | High | High | Medium |
| Training on Teamwork | High | Medium | Low | Low | Low |
| Knowledge Management Process | Medium | High | Medium | Medium | NA |
| e-Governance and Reforms | High | Medium | High | High | High |
| IT Tools | High | High | High | High | Medium |

5.5. Development of Training Scope and Strategy

The objective of developing a training strategy to focus on the training activity for the transformation programme and determine the types of training to be conducted for each target audience. Components of a training strategy framework

- Approach to training
- Design,
- Development,
- Delivery
- Evaluation

The scope defines;

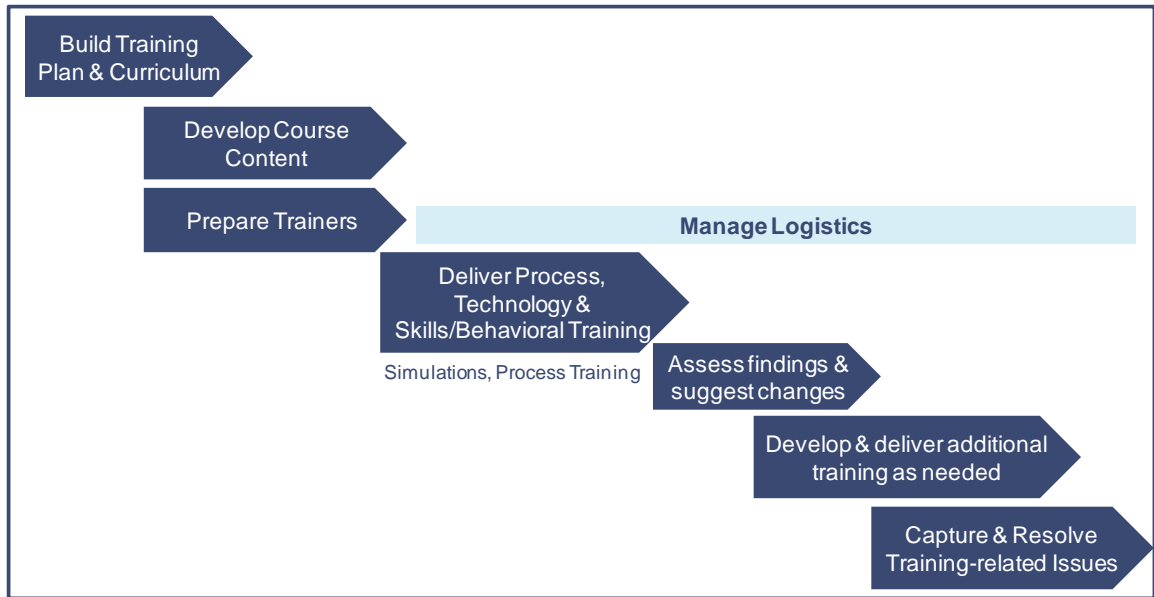
- the type and number of courses to be developed or changed;
- the purpose and the likely number of training sessions required;
- initial assumptions and risks;
- any legislative and regulatory requirements; and
- high level training plan.

The strategy determines;

- the training environment requirements;
- statement of training principles and the objectives; macro content;
- cost-effective range of delivery methods, e.g. classroom, face to face, e-learning,
- approach to training management & administration;
- any pre-requisites for training; and
- approach to quality assurance.

5.6. Developing Implementation Plan

Based on the training scope and strategy, a training plan should be developed including the specific activities to be conducted for development of course, conducting training, training calendar etc. Following presents an overview of training plan.



6. Communications Management

Stakeholder communication is a critical aspect in ensuring stakeholder buy-in and acceptance of proposed policy, process, system and organizational changes. Communications Management addresses the need to engage, communicate and management of apprehensions and aspirations of the people impacted by the proposed process, system and structural changes. Moving to a new business environment, with changes in the structures, business processes and induction of automated systems, may put stress on the employees of the organization and other stakeholders, even when the envisaged outcomes for them are positive. Any major changes or impact to the current working environment may have severe impact to the people and hence will also impact overall functioning of government. Considering this, it is critical to communicate and prepare the employees for the change. Communications Management Plan, should address the specific communication and engagement needs for each stakeholder group, communication methods, messages, responsibilities etc.

6.1. Assess Stakeholder Engagement & Communication Needs

Stakeholder impact assessment and readiness survey provides key insights into the communication needs of various stakeholder groups impacted by proposed e-Governance initiative. In addition, department need to study the current Communication Approach & Methods adopted in the organization for the ongoing initiatives and need to assess the changes in the current approach/methods and to identify additional communications needs and methods for successful engagement of stakeholders and to receive buy in for proposed project implementation.

Current state assessment allows to identify what works well and what doesn't - and what new or innovative approaches could be used in the future. This will be useful for gaining an understanding of:

- Who is responsible for internal/external communication? Where are they based?
- Existing communication organisational charts / relationship diagrams
- Method(s) by which communications are developed, reviewed, approved and distributed
- The communication channels used / available. How successful are they? How is this measured?

- The methods staff / stakeholders use to provide feedback, and how often
- Current perceptions about the effectiveness of communication and why

6.2. Develop Stakeholder Engagement & Communication Plan

The stakeholder mapping and readiness assessment, as discussed earlier, provides critical inputs into the key stakeholders impacted, their role and influence in the e-governance project. Based on these inputs, department need to evaluate/define the following for development of a communications strategy:

- Objectives of communication and engagement of each stakeholder
- Who needs to be communicated with, priorities and level of involvement is needed from each individual or group
- the key messages and how will they be tailored for each group
- appropriate vehicle for conveying that message
- ways to maintain stakeholder interest in the project / initiative throughout its duration
- ways to listen to the stakeholder response and measurement approach to evaluate response

From these inputs, department will need to map the stakeholders into 'Know, Think, Feel, Do' map, which identifies Stakeholder group, what they should know from the e-governance project, what the stakeholder group think/feel about the communicated change, what the stakeholder is required to do to successfully adopt the change.

Once department identifies what different stakeholders need to Know, Think, Feel and Do, department need to put together a Communication Strategy Framework outlining it will help its employees to get there. The Framework includes things like Communication objectives, Key messages, Roles and responsibilities, Guiding principles, Timings, Channels and media, Risks and Success measures.

For continuously updating and revising the communications and engagement plan is critical for project implementation and it requires incorporating feedback mechanisms from pilot phase/communications to make the process effective and inline with requirements on ground. Department need to define the feedback mechanisms needed, including communication evaluation survey; running periodic

focus groups, working with the local change agents within the Change Network etc, for updating/refining the communications management plan. We will develop supporting tools/guidance material for obtaining feedback from stakeholder groups in this regard.

6.3. Implementation of Engagement & Communication Plan

In this phase, department will need to launch the engagement and communications activities based on agreed upon stakeholder engagement and communications plan. The specific activities performed in this stage include:

- Distributing materials via the appropriate channels, including populating a bespoke website and/or portal;
- Managing communication activities, workshops, town halls and focus groups to deliver or facilitate face to face communication;
- Implementing feedback and discussion channels and opportunities; and
- Coaching and supporting the Change Network and senior and local line management on their on-going communications and engagement role.



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