USDA

United States Department of Agriculture

Change Management and Implementation Guide

Revised 2016

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Contents

1.0 Introduction to Change Management

The purpose of this Change Management and Implementation Guide (CMIG) is to provide the U.S. Forest Service's Aviation Management Program with a structured way to approach planning for and implementing change. This includes change to the agency, a particular program, or any other change that has potential to significantly impact personnel or operations, whether originating from inside or outside the agency.

Change can challenge high-performing employees who are experts in their field by requiring them to transition from methods they have mastered over years to methods that are new to them. The result can be a time of uncertainty until they have achieved a high degree of proficiency and confidence in the new method.

Change can also introduce hazards that are unknown or unforeseen due to the fact that something different is being introduced into a known and familiar method. In an attempt to proactively expose these hazards, a structured approach to introducing change and managing people and systems through the transition period is a critical strategy for success.

This guide offers structured approaches to making this kind of change successful for both the agency and employees. It is a dynamic document and should be utilized to best meet the scope and scale of each change process. It should also be updated as better practices are identified. Knowledge gained through implementation as well as reviews during continuous improvement processes must contribute to future versions of the guide to keep the agency 'change ready'.

1.1 What Changes Drive a Change Management Plan?

Not all changes to a system require a full Change Management and Implementation Plan (CMIP), so it is important to understand what triggers should be put in place that would activate a need for implementing change management.

There are three specific conditions under which special attention for change management is warranted:

1. An issue is identified within the current operations often highlighted by an unexplained increase in safety-related events or regulatory infractions.

2. Any time a major operational change is foreseen, including:

a. New system designs;

b. Changes to existing system designs;

c. New operations, procedures, or programs;

d. Modified operations, procedures, or programs;

e. Introduction of new major equipment into an operation; or

f. Changes to key personnel that could significantly impact on operation.

3. Before or during periods of significant organizational change that include rapid growth or downsizing and key personnel changes.

a. This may be a result of either internal or external impacts on the organization.

1.2 Why the Management of Change is Important

The CMIP aims to ensure that programs, systems, personnel, and management are sufficiently prepared for change so they can operate at a satisfactory level of performance until the transition has been fully adopted and implemented. The members of the change process or the Change Management Action Team (CMAT) will need to determine what 'satisfactory', will look like.

> **The single biggest reason organizational changes fail is that no one has thought about the endings or planned to manage their impact on people (Bridges, 2009).**

This plan applies principles and processes from Safety Management Systems (SMS) for management of specific hazards associated with change. As with SMS, it entails proactive processes such as risk assessments, predictive processes through data analysis, and reactive processes through After Action Reviews (AAR), incident reports and accident reports.

Documentation of the change process must be recorded for safety assurance, continuous improvement, and confidence that the plan is on track in reaching the goals and objectives.

1.3 Considerations When Planning for Approaching Change

The structure of a Change Management Plan is outlined as follows. Since change management closely follows the components, elements, and processes of SMS, descriptions are identified in SMS terms.

Structure of a Change Management and Implementation Plan

1. **Leader's Intent, Objectives, and Administration of the Change**
   a. Apply Forest Service change policy
   b. Obtain Leader's Intent
   c. Identify objectives of the change
   d. Identify the project leader
   e. Organize the Change Management Action Team (CMAT)
   f. Obtain signed charter for group implementing the change
   g. Initiate communications regarding the change

2. **Managing the Effects of Transition in Change**
   a. Analyze and understand why management of transition is important
   b. Understand the stages of transition
   c. Assess program or organizational readiness for transition (survey, etc.)
   d. Analyze results of transition readiness assessment
   e. Plan for the transition
   f. Understand the role of leaders during transition
   g. Develop a Transition Monitoring Team (TMT)

3. **Strategy for Implementation**
   a. Conduct gap analysis for the change (current condition, futures desire)
   b. Determine if implementation strategy should be a national approach
   c. Determine if implementation strategy should be a phased approach
   d. Determine implementation for regional strategies
   e. Determine implementation for national forest and/or base strategies

4. **Documentation of the Change**
   a. Develop a Communication Plan for the change
   b. Continually update and implement the Communication Plan
   c. Document training associated with change
   d. Document all work being accomplish in the CMIP
   e. Develop an archive process
   f. Ensure revision control is appropriately annotated

5. **Managing Hazards and Risk in Change**
   a. Update programmatic risk assessments with hazards introduced by change
   b. Conduct a risk assessment if one currently does not exist
   c. Identify and mitigate events, issues, and hazards that could cause the change to fail
   d. Actively continue to identify and mitigate unknown hazards
   e. Implement mitigations

6. **Quality and Safety Assurance in Change**
   a. Assign responsibility for change quality and safety assurance processes
   b. Evaluate performance of change implementation
   c. Ensure hazard mitigations are implemented and working as intended
   d. Ensure mitigations for prevention of failure of the change are implemented and working
   e. Collect and review change data and documentation for emerging hazards
   f. Ensure emerging hazards are assessed, mitigated, and implemented

7. **Establish a Measurement of Success**
   a. Develop and maintain an action tracker

2.0 Change Management Processes

2.1 Understanding Forest Service Policy Regarding Change

In most Forest Service activities, the policy responsibility for a program is held at the Washington Office level with either the Deputy Chief, State and Private Forestry or the National Director, Fire and Aviation Management having the authority to approve significant changes in the program. The personnel who operate the program are generally employees of Ranger Districts, National Forests, Regions, Areas, or Stations. Unifying programmatic design and direction with field operations is the core of successful management and successful change management.

Within the four components of SMS, the second component of Safety Risk Management (SRM) in coordination with the third component, Safety Assurance (SA), incorporates the process for managing change. The International Civil Aviation Organization (ICAO) and the Federal Aviation Administration (FAA) and the US Forest Service identify the management of change as a key element of SMS.

> ICAO Safety Management Manual (SMM)[1] – Safety management practices require that hazards resulting from change by systematically identified, and strategies to manage the consequential safety risks be developed, implemented and subsequently evaluated. Sound management of safety risks associated with change is a critical requirement of…SMS.

> Title 14 CFR Part 5, 5.51, subpart A[2] – One of the foremost acknowledged sources of hazards is change in an…operation, and it is one of the principal reasons for special or expanded oversight…

> AC 120-92B, CFR 14 Part 5.51, subpart C[3] – The SRM process is triggered when proposed new systems or changes to systems are being considered…The SRM process is not triggered solely by major changes to a system; it is triggered by any revision of an existing system.

> U.S. Forest Service Aviation SMS Guide[4] – "The WO function of Doctrine, Communications and Risk Management will identify and determine acceptable safety risk for changes within the organization which may affect reestablished process and services by the new system design, change to existing system designs, new operations/procedures, or modified operations/procedures…. These items **shall not** be implemented until the associated risks of each are determined to be acceptable using the risk assessment procedures contained in this manual and the Change Management and Implementation Guide."

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[1] ICAO, Safety Management Manual (SMM), (2013), Doc 9859, Third Edition, p. 2-14.

[2] Federal Register. Department of Transportation, Federal Aviation Administration, Volume 80, Number 5, Rules and Regulations, Part IV, p. 1314, January 8, 2015.

[3] U.S. Department of Transportation, Federal Aviation Administration, (2015).Advisory Circular 120-92B, Safety Management Systems for Aviation Service Providers.

[4] U.S. Forest Service Aviation SMS Guide, page 28, dated 3/20/2014.

In order for SMS to be fully functional, it must include a plan for implementing change within the organization.

2.2 Determine Leader's Intent

Visible commitment by senior leadership in the form of a clear Leader's Intent is essential for the organization to understand the expectations for change and leadership's commitment to it. The Leader's Intent is the initial method of communication from leadership for change to the system or program. It identifies why change management is important, what methods and processes the organization intends to use to achieve the desired outcomes, and how these methods and processes will be employed in operations.

> **Change of any sort…finally succeeds or fails on the basis of whether the people affected do things differently (Bridges, 2009)**

The Leader's Intent should be issued at the senior leader level where the authority to implement the change resides. This defining document should be referred to often to ensure the process is meeting the course of action laid out by leadership. The Leader's Intent is a call to action for the implementation of change and lends leadership support and direction to the entire process.

2.3 Leader's Intent Best Practices in Change Management

The following page lists best practices for Leader's Intent in managing change.

The Leader's Intent Should:
1. Define senior leadership's commitment to the change and to the change management process.
2. Define roles, responsibilities, and accountability of those involved and affected by the change.
a. Define who can direct, control, or change the procedures and make key decisions regarding safety risk acceptance.
b. Define lines of authority and accountability, communication, and responsibility by the organization, the program or system, and employees.
3. Define the purpose of the change within the program or system.
a. How change may affect established processes and services.
b. Indicate awareness of the potential for hazards to be introduced into an operation whenever change occurs.
c. Indicate awareness that change could affect the appropriateness and understands that there will be a need for resources and support throughout the implementation.
d. Display mindfulness that successful implementation of the change is a high priority for the agency.
4. Define the objective that meet the purpose of the change and allow for modifications to the objectives to ensure the purpose is accomplished.
5. Identify the scope, methods, and processes for the change.
6. Define the outputs expected from managers and the team
7. Align with SMS policy and other operational policies.
8. Secure commitment and involvement from all necessary staff.
9. Secure commitment by the organization to provide the necessary resources for successful change management.
10. Define oversight and management of the transition processes.

2.4 Gather Information Pertinent to the Change

New or revised programs, projects, or issues lead to change. As early as possible, begin a preliminary information gathering and documentation process. It is important to recognize which program or systems the change management process pertains as well as other programs or systems that may be impacted. The proposed change should be sufficiently identified and preliminary actions recorded to develop solid objectives toward the future goal and purpose behind the change. Here are some specifics:

Ideas for Gathering Information Related to the Change
1   What is the purpose, opportunity, event, or catalyst that is creating the momentum toward change?
2   What programs or systems does the desired change apply to?
3   Collect information about the purpose and future vision of the change from those closest to it.
4   Analyze and understand what interests are currently in place that people might try to protect when facing transitions caused by the change.
5   Communicate the purpose, project, or issue associated with the change throughout the system or organization to begin the process of allowing people to prepare for the transition. Don't wait until the change is just about to be implemented.
6   Determine what resources will be required to begin the change process.
7   Determine which position(s) has the delegated authority to make necessary decisions.
8   Determine which position(s) have accountability for the program, project, or change process.
9   Who within the system, program, or project has the most knowledge?
10   Who has responsibilities, accountabilities, and authority related to safety?
11   How much time will be required for (a) information gathering, (b) planning, (c) implementing, and (d) transitioning?
12   What are the contingency plans in case a critical event takes place during the change?

2.5 Determine the Objectives

Once the key pieces of information outlined above in 2.4 have been gathered, change management objectives need to be established to ensure that the Leader's Intent is implemented as intended. Objectives set operational change management benchmarks for assurance of progress.

Objectives must be specific, measureable, achievable by those tasked to accomplish them, and realistic. You may also want to designate a timeframe for the objectives.

Ensure that the objectives are approved by the senior leader accountable for the program, project, or change process.

OBJECTIVES OF THE CHANGE

1. Set short and long term objectives that will continue to direct the change management process throughout the entire transition.

2. Communicate the objectives to foster a common understanding of what the change management process is intended to achieve and what the path ahead will look like.

2.6 Identify the Project Leader

This is key to success: who will lead the change? Designating a Project Leader is critical to ensure it isn't just about managing the change, but leading people through each stage of the transition period. He or she will report to senior leadership with progress, concerns, and successes. The Project Leader will ensure the plan will be completed, implemented, communicated at key junctures, and that decisions and budget issues will be addressed at the appropriate level in a timely manner.

OBJECTIVES SHOULD BE:

Specific

Measurable

Achievable

Realistic

Time-based

▶**Change Hazard #1:** *Leaving the Project Leader position vacant elevates the probability of delay or even failure of the change management process.*

2.7 Organize the Change Management Action Team

Once the resources have been identified, select members for the Change Management Action Team (CMAT). These members must have an appropriate experience base, represent each component of the system or operation, and be available to see the process to completion from planning, to implementation and through the transition stages.

The following identifies some considerations for the CMAT:

CMAT Considerations	
Identification of the Team	1. The size of the team will depend on the scope and scale of the change project. Ideally the group should consist of less than ten individuals. Involvement of a Line Officer, Regional Aviation Officer, Regional Aviation Safety Manager, and National Federation of Federal Employees representatives is essential.
	2. Ensure the experience base of the individuals is appropriate for the project. Select carefully to ensure a broad base of expertise. Having at least one person with SMS training will strengthen the team.
	3. Provide change management and transition management training or orientation for the group to ensure understanding of the team's tasks and challenges in guiding the change process.
Duties of the Team	1. Working as a team, develop the CMIP.
	2. Ensure close monitoring of the effects of the transition throughout all three of the Transition Stages.

2.8 Obtain a Signed Charter for the Group Implementing the Change

A signed charter is essential for the Change Management Action Team and any other key leadership groups specifically identified to implement or oversee the change process. A charter should define the group's purpose, roles, who the members are, and who the group is responsible to. It should also define the group's tasks, budget parameters, and team outputs.

2.9 Initiate Preliminary Communications Regarding the Change

The change management process must be clearly communicated to ensure continuous support and commitment by leadership, the CMAT, the workforce within the program, and even the larger community outside of or surrounding the affected program or system. Communicate the reason for the change by actually "selling" the purpose. Do it early and often before you share the change itself. The purpose and change process must be clearly understood by those in the planning process, leadership, and the workforce that the change will eventually impact.

▶**Change Hazard #2:** *Designating CMAT members who are not fully committed to the task of implementing the CMIP or who do not have enough time available to commit due to demands from their primary work positions.*

3.0 Managing the Effects of Transition during Change

3.1 Why Management of the Transition is Important

Transition and change is not the same thing. "Change is situational; transition on the other hand, is psychological" (Bridges, 2009)[5]. These are two different processes and each must be understood by those making the decision for change as well as those implementing the change. Both processes must be closely managed in order for the desired modification to the system or program to be successful. Even with well-designed and detailed plans in place, the change can easily fail if the transition stages are ignored. It is imperative to manage people through the transitions that take place when change is introduced.

If the transition isn't carefully planned and people aren't carefully managed through each stage, the change could take twice as long to implement or it may fail all together. Managers often ignore the transition periods or rush through them. Managers who have been a part of the change development and planning process are often at the New Beginning stage before the affected workforce even makes it through the Ending; they may

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[5] Bridges and Bridges (2009); page 3 reprinted with permission.

fail to recognize the emotional impact on the workforce because they no longer feel the loss themselves.

If the organization is known for pushing change without considering the impact it has on the workforce, it will be a very real and uphill battle to move the next change through successfully.

There are costs to the workforce and different levels of management if managing the transition is not done effectively. These costs are generally represented through attitudes that almost mirror the grieving process. These attitudes may manifest as resentment, anxiety, self-absorption, stress and even guilt. It is up to leadership to determine how they can encourage a vibrant and effective workforce, instead of a disgruntled group that will eventually either get the change or leave (Bridges, 2009). How leadership manages the transition will determine the outcome of the change.

3.2 Understanding the Stages of Transition

After a decision has been made to implement a change, the matter of preparing to manage and lead the workforce is an equally important process and should be addressed early. These are the people, the workforce, which must accomplish the details of the CMIP. If they aren't well informed, managed, and recognized as key to a successful change, the entire plan may fall well short of its goal.

The transition period is the time and process by which people get through change (Bridges 2009). The transition period begins when people are starting to recognize a change may be coming and ends when the change has been implemented and everyone is working comfortably again in their positions. Though each change is different and is full of unknowns, the transition process is well mapped and understood. Knowing this and preparing to manage the transition process is a well-marked path and will aid in charting a way through the challenges of change.

Each change comes with transition, and each transition proceeds through the following three distinct stages[6].

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[6] Bridges and Bridges (2009); pages 3 and 5 reprinted with permission.

Transition Stages		
Stage I: The Ending	**Stage II: The Neutral Zone**	**Stage III: The New Beginning**
Whenever there is a change implemented into an organization, employees and managers alike have to let go of something. Endings create a sense of loss or require a letting go of something--that is when management will find themselves dealing with resistance. It isn't the change necessarily that people are resisting as much as the loss they are experiencing. This isn't the phase to talk about how good and healthy the change is going to be, but rather to deal directly with the losses and endings.	This is an in-between time, when the old way is gone but the new isn't fully operational. It is also a period when the workforce may feel least confident or comfortable in their positions. What used to be second nature and something they were good at is now creating feelings of inadequacy and doubt. Management could get impatient with the amount of time it seems to be taking for the change to be fully operational and effective. It is a very difficult time both for the organization and the workforce.	This is where people develop their new identity, are confident and competent again at their job, and have made it through the change successfully with a new sense of purpose. This is the stage when the implemented change really begins to work.

3.3 Understanding the Role of Leaders during Transition

This section of the guide offers tips for the Project Leader during each stage of transition. It also includes tasks and suggestions for managers within the program affected by change who are directly supervising those in the workforce.

3.3.1 Project Leader

The Project Leader's role is to (1) lead the CMIP in collaboration with the Change Management Action Team (CMAT), and (2) lead the affected community through the transition.

The chart below displays tasks and tips for the Project Leader to consider during each stage of the transition.

▶**Change Hazard #3:** *Lack of leadership support across the board for all affected programs, bases, and locations will inhibit the success of the change and potentially jeopardize safety.*

Project Leader	
Stages	**Tasks /Tips**
Before the Transition	1. Remain positive. 2. Understand and acknowledge the anxiety that comes from changing from a high experience, high performance organization to a low experience, high performance organization. 3. Develop a 1-minute speech that explains the purpose of the processes involved in the transition. This should be included in the Communication Plan. 4. Assess the level of trust between the community and their leaders. 5. Determine if the periodic assistance of a Human Factors Specialist would be beneficial for the project. If so, determine how to best utilize the Human Factors Specialist throughout the transition.
During The Ending[7]	1. Don't overreact or be surprised by opposition and resistance. 2. Communicate by actions. Visit locations, bases, and field sites to provide timely assistance and face-to-face question and answer opportunities. 3. Ensure allocation of funds assured at the senior leader level is appropriately implemented. 4. Communicate triggers that ensure the informational message reaches the targeted people, as quickly and as often as necessary. If you don't know the information on particular events, give them a date you will know and stick to it. If the information still isn't available by the designated date, let them know it still isn't available. Don't let the date just go by; keep the commitment. 5. Honor the past for what it has accomplished and mark the endings. This is a 'line in the sand' that should be meaningful and memorable. The way things are today is a result of past change. Tomorrow's changes lead the way to the future. 6. Engage people in the process. Work to acquire the influence of the most effective and respected people within that system or program.
In the Neutral Zone	1. People need to feel they have control, understanding, support, and clear priorities. 2. Utilize the Transition Monitoring Team (TMT) to gather feedback on how things are progressing in the Neutral Zone.
Into The New Beginning	1. Provide enough flexibility in the system to allow for customization for the situation. 2. Leader transition is usually ahead of the community because they have been involved in the change planning from the start. Don't become impatient; allow time for the community to experience their own Ending and Neutral Zone.
After the Transition	1. Consider organizational improvement in change management style, methods, and resources. 2. Make suggestions on how the organization can learn and improve transition management based on your experience with the process.

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[7] Bridges and Bridges (2009); pages 25−27 reprinted with permission.

3.3.2 Workforce Managers and Supervisors

The chart below displays tasks and tips for workforce managers and supervisors to consider during each stage of the transition.

Workforce Managers and Supervisors	
Stage	**Tasks/Tips**
During The Ending	1. Provide the difficult information up front with as much detail as possible. Describe what goes and what stays throughout each aspect of the change.
	2. Inform personnel of what is "over" and if it is over for everyone.
	3. Recognize that people need to process the information and allow some time for this. Accept the importance of the losses to those feeling the impact.
	4. Acknowledge the losses openly. Results of the transition readiness assessment can provide solid information for leadership as to how ready the workforce is for the change. Pretending the loss doesn't exist stirs up more trouble than talking about it.
	5. Do not mistake the emotional impact of perceived loss as bad morale.
	6. Expect and accept signs of grieving. These emotional states (denial, anger, bargaining, anxiety, sadness, disorientation, depression) can be mistaken for bad morale when in fact people are really feeling a loss.
	7. If the change is taking a feeling of competence and replacing it with uncertainty, try to find a way to give them back a sense of control by engaging people in the process.
	8. Triggers that have activated the Communication Plan and processes must reach the targeted audience. Ensure the information flow continues throughout the workforce.
	9. Identify dates of scheduled events such as training and readiness assessments, and if the dates shift, communicate that information as soon as possible.
	10. Help people to progressively disengage from the past.
	11. Ensure people know where to find support throughout the process.

Workforce Managers and Supervisors	
Stage	**Tasks/Tips**

In the Neutral Zone[8]	1. Be aware of a decrease in people's effectiveness and monitor occurrence of the following:
	
	    a. People's motivation and effectiveness may fall and anxiety may rise.
	
	    b. Old problems may re-emerge.
	
	    c. Priorities may become confusing.
	
	    d. Turnover may rise.
	
	    e. Teamwork may become undermined.
	
	    f. People may become polarized, disorganized, and/or slower to recognize safety concerns or hazards.
	
	2. Encourage, reorient, and redefine outlooks, attitudes, and values.
	
	3. Allow people to be creative.
	
	4. Identity opportunities for improvements that have long been requested.
	
	5. Protect against or delay new changes until the community is more prepared to handle them.
	
	6. Watch for the perception of preference for one group over another.
	
	7. Utilize the TMT.
	
	8. Protect people, encourage people, give structure, and provide opportunities.
	
	9. Work with local union representatives on working conditions.
	
	10. Conduct "town hall" meetings with employees and their families.
	
	11. See additional tips below in 3.4.

The New Beginning	1. Utilize the Communication Plan to ensure people are a part of the communication process throughout all stages of transition 2. Help the workforce picture what the future will look like following the change and transition. 3. Be consistent. 4. Maintain momentum by ensuring quick successes. 5. Symbolize the new identity. 6. Celebrate successes.

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[8] Bridges and Bridges (2009); pages 39−53 reprinted with permission.

3.4 Tips for Navigating the Neutral Zone

The Neutral Zone is a precarious time when people must be protected, encouraged, and given structure and opportunities. If they are afforded this, people will work the rest out for themselves.

In The Neutral Zone
1. Normalize the time in this "no-man's-land". Encourage reorientation and redefinition of outlooks, attitudes, and values within the organization. Don't just wait for this period to pass, be sensitive and proactive.

2. Redefine the Neutral Zone as a time of opportunity.
   a. Let people be creative.
   b.   Utilize this time to make long desired improvements.

3. Provide structure and strength.
   a. Protect people from further change or delay new changes until the workforce is more prepared to handle it.
   b. Consider implementation task forces or project teams to help implement, communicate and encourage.
   c. Set short range goals and check points along the way
   d. Ensure leadership has provided the information needed to understand and succeed.
   e. Be wary of showing preference for one group over another.

3.5 Four P's of Communicating Change

Communication will take people from the Ending, through the Neutral Zone, and into the New Beginning. It is crucial that people are involved in an effective communication process throughout all phases. Receiving information early and often on the purpose of the change helps provide a mental picture of what their world should look like when all is said and done. To effectively bring people along, ensure information is provided on the plan to implement the change and what part or role the workforce will have in the process.

When communicating with the workforce about the change, remember the following key concepts: Purpose, Plan, Picture, and Part to Play.

3.5.1 Communicate the Purpose

The purpose of the change usually grows from a project, program, or issue that was identified. Whatever the reason for consideration and implementation of the change, it should be communicated effectively. If people don't understand the purpose, they likely won't want to be part of the plan, be able to picture or understand what the future is supposed to look like, or engage in being a part of making the change.

3.5.2 Provide a Plan

The transition differs from the change plan in that it addresses change from a personal rather than organizational level. Transition planning provides structure and outlines things like key events, information, training, and where people can find support throughout the process.

3.5.3 Create a Picture

Provide a description of the future that people can visualize. Help the workforce create a picture in their minds so they can understand what their world will look like once the change is implemented. Once they lose the old way, it is important they can imagine what their new world will look like.

3.5.4 What Part Will People Play?

People need to understand their role and their relationship in contributing to the process. Knowing this will help them feel invested in the outcome of the change implementation. They also need to understand how they can deal effectively with the transition process.

3.6 Assess Program and Organization Transition Readiness

The purpose (project, program, or issue) that was the catalyst for the change being implemented is identified in the CMIP. Identifying and recognizing the purpose in the CMIP creates a strong foundation for implementation of the change. Change involves developing a means of placing something new into a current system or program to address a given issue. Readiness, how well the program or organization is capable of accepting change, is a key to the pace and success of change into the program.

> **Change readiness is the ability to continually initiate and respond to change in ways that create advantage, minimize risk and sustain performance (Musselwhite, 2014).**

The intent of a readiness assessment is to get a sense of how ready people with the affected community are to handle the change. It can be a very informal process and can be done though conversations with individuals, surveys, or other data gathering methods.

Transition Readiness Assessment Consideration
1. Determine how this can be accomplished throughout the transition process for the entire community.
2. Review the results and address the concerns of the community within the transition strategy. This should be documented in the Communication Plan.
3. Determine the other data gathering processes or methods to provide for anonymous feedback from the community.
4. Determine the ability of the workforce, location by location, to handle the change.
5. Determine variations in the transition plan for groups, locations, or areas less capable and more capable of handling the change.

If the climate of the workforce is found to be incapable of handling the change, trying to force them through the transition of a change that was supposed to strengthen the program may actually end up weakening it.

Here is a list of questions that will help the organization understand its transition readiness. The important aspect of this assessment process is to get feedback from as wide a set of sources as possible. The more negative answers, the more difficult the transition will likely be.

Evaluating the Organization's Readiness[9]
1. Is there a sense among the workforce that a change is necessary to address a known project, program, or issue?
2. Do most people accept that whatever change is taking place represents a valid and effective response to the underlying purpose?
3. Does the proposed change polarize the workforce in any way that will make the transition more disruptive?
4. Is the level of trust in the organization's leadership adequate? If it is low, it will be very difficult to bring people along.
5. Will the organization provide people with adequate training for the new situation and roles?
6. Does the organization have a healthy "Just Culture" that allows for mistakes within a new situation?
7. Is there a means to capture mistakes and their affects and mitigate them?
8. Does the change fit into a widely understood strategy with a fairly clear vision of the future?
9. Do people understand why they will have to let go of existing systems? Is it talked about publically?
10. Is the cultural memory of the organization open to change or has it been scarred by past failure?
11. Has the change been explained to those who are going to be affected by it in as much detail as is currently possible?
12. Are there people within the organization who have experience in change and transition management?
13. Do the leaders of the change understand that the Transition Stages will take considerably longer to complete than the change itself?
14. Has the organization set up some way to monitor the progress of the transition?
15. Is the organization prepared to help employees deal with the problems they encounter during the transition or are they pretty much left on their own?

3.7 Planning for Transition

After analyzing the results of the transition readiness assessments, the wise utilization of that information is key to developing an appropriate plan for moving the workforce through the transition.

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[9] Bridges and Bridges (2009); page 147 reprinted with permission.

The fact that transition entails the dynamic nature of people, many of which may not be such willing participants, is going to present some challenges and modifications along the way. However, ignoring it is a recipe for failure. The activity of preparing the CMIP in itself is a means of moving people through the early stage of transition. It is an initial step in mindfully transitioning leadership and managers through the stages of the Ending and toward the Neutral Zone. These individuals then become key facilitators in moving the workforce through the process as the plan they have invested in rolls out for implementation.

Generally, personnel developing the CMIP or a core section of this group become the Change Management Action Team (CMAT).

Items listed in the following chart will assist the CMAT in developing a plan for managing the Transition Stages.

Managing the Transition Stages
1. Share the issue or purpose. This is a key item that should already be incorporated into the Communication Plan. "Selling" the purpose is fundamental to preparing the workforce and others (i.e., family members, special interest groups, other stake holders) for the transition.
2. Collect information about the purpose. Assemble important data that provides key information to help plan for the Transition Stages. What is it about the current situation that people may be opposed to losing?
3. Ensure evaluation of the program's readiness for the transition process in incorporated and fully addressed.
4. Be knowledgeable about changes affecting each location or group, what is being lost and what is being gained for each, and how to encourage people through it.
5. Be prepared to assist each location or group to manage and encourage their people through the transition.
6. Continually educate and remind leadership at all levels about the differences between change and transition.
7. Educate shareholders and other customers about the impact of this change on services provided by this project or program. This should be addressed in the Communication Plan.
8. Recognize the emotional responses of people and plan for these throughout each of the three Transition Stages.

9. Communicate timelines and events to the community, including the following:
 	
   a. Provide information on the development of the CMIP and the identity of CMAT members.
 	
   b. Provide a schedule of when training will be taking place and for whom.
 	
   c. Provide a timeline for specific changes at each affected location.
 	
   d. Schedule site visits to provide support and offer question and answer sessions. Clearly identify the reason for the visit well in advance.

10. Re-evaluate how the change plan and transition process are going. The best time to do this is during the second stage of the transition, the Neutral Zone. Review strategies and resources, and adjust objectives as needed to better meet the purpose of the change.
11. If the CMAT does not have the capability or resources to effectively manage the entire process all the way through the transitions, assign a TMT to provide effective communication for the CMAT. This will enable the CMAT to gain progress reports from the field as the changes and transitions take place without over-burdening themselves. The TMT should be a basic component of change management, not an add-on to the CMAT.
12. Plan how the CMAT is going to explain and encourage the new behavior and attitudes that the changes are going to require.
13. Throughout the entire process, keep track of what helps and what hinders the organization and its people as they go through the transition. This will provide valuable information for continuous improvement not only for the current changes being implemented, but for future changes to the organization and other programs.

3.8 Develop a Transition Monitoring Team (TMT)

Developing a TMT is especially important when implementing large changes to a program where the scale of the change may be difficult for the CMAT to monitor. The TMT is valuable to the process in several ways, but the primary benefit is their ability to accurately

and effectively provide information from the field to the CMAT and on occasion from the CMAT to the field. Communication is the most critical aspect of the entire change process. Having a group of people trusted both by the workforce and the CMAT enables the transition to progress more smoothly.

3.8.1 Benefits of Utilizing a TMT

The TMT is Able to:
1. Provide unfiltered communication to leadership from the field.
2. Represent a cross section of the program or organization.
3. Be an effective focus group that reviews communication effectiveness.
4. Counter misinformation and rumors.
5. Be familiar with the Transition Stages and catch concerns before they get out of hand.
TMT Benefits Are:
1. People's mistrust starts to die out when they discover their worries and difficulties are being recognized, answered, and remedied by the CMAT through the TMT.
2. Feedback can be provided to groups and individuals on specific issues they originally brought to the attention of the TMT.
3. TMTs often identify problems at an early stage before they become serious issues.
4. TMTs are also an effective way to counter rumors because the members of the team are able to disseminate accurate information. Sometimes information shared by the TMT is more accepted as truth by the workforce than if coming directly from management.

3.8.2 Building the Team

Consider the Following:
1. Make it a relatively small and agile group that can still be effective for the size of the project or program.
2. Ensure it represents all interested parties of the change.
3. Ensure members want to be there and are people who are interested in the project. To do this, explain the task and ask for volunteers.
4. Educate the team on their purpose and the scope of their efforts. They are a monitoring team, not a management team. Their purpose is feedback, both to the CMAT and the workforce.
5. What information, skills, or assistance do people need to ensure the team's success?

3.8.3 Team Charter

Define the Charter of the TMT (this is usually developed by the CMAT):
1. Discover and communicate how the transition is affecting people.
2. Ensure accurate and timely communication from the CMAT to the workforce and from the workforce to the CMAT.
3. Discover if any groups are having particular trouble in the transition.
4. Determine the approach the TMT will use: (a) reporting issues that people come to them with, (b) sending members around to interview people, or (c) a combination of both.
5. Determine if there are any policies, practices, or structures impeding the transition.

3.8.4 TMT Guidance Process

Considerations Related to TMT Activities
1. The TMT should meet as long as there are transition issues to keep track of.
2. Gradually phase in new people to replace the original TMT if a transition goes beyond a year.
3. Conduct a conference call or meeting approximately once every two weeks.
4. Have a non-participating facilitator run the meetings.
5. Limit the focus of TMT discussions to matters that have grown directly out of the changes going on in the organization and the transitions that people are in because of them.
6. How often and by what means is the TMT to report back to the CMAT?

4.0 Strategy for Implementing Change

Each change that is implemented into a system is unique. Not every change plan will work for every situation; some change processes can be implemented all at once, while others will require implementation in phases. A phased approach is often considered for larger changes where it can be tested, evaluated, adjusted, and then expanded to other areas. Either way, ensure the implementation of the change does not outpace the resources or plan. This would likely ensure a complete loss of boundaries and controls during the transition period and a high potential of failure.

Highly skilled operators are often very comfortable with the systems they use. Changing their system can be very disorienting as they go from high experience and proven skills to low experience with the new system. Ensure the program facing change has adequate information available to establish a thorough and appropriate plan. Determining the program's current state in relation to how the agency desires the outcome of the change to look for that program, is an effective process called a gap analysis.

4.1 Conduct a Gap Analysis

A gap analysis is a comparative tool that helps determine what policies, procedures, guides, manuals, training, and other arrangements are already in place and might readily receive the intended change. Areas where there are holes or "gaps" may require further development in order to be prepared for the change. The gap analysis may also help determine vulnerabilities that arise as a consequence of introducing the change or from the interaction between people and specific features of the change.

The CMAT will need to design a Gap Analysis Checklist to specifically meet the unique needs of the program or system being affected. There are several sources to draw from when developing this checklist:

1. Utilize the Fire and Aviation Safety Management System Office of Quality Assurance Audit Checklist and others resources.

2. Review the FAA SMS Gap Analysis Checklist. This source provides both preliminary and detailed information on the format and safety content of a gap analysis.[10]

3. Reference the ICAO Gap Analysis Safety Management Manual.

Once the gap analysis is complete, ensure it is well detailed and incorporated into the documentation process. The items that are identified as missing or deficient will then form the basis for the CMIP.

▶**Change Hazard #4:** *Failing to have a clear understanding of where the program is and a clear vision of where the agency desires it to be at the conclusion of the change.*

4.2 Phased Strategy of Implementation

The implementation strategy should be a well-designed method of introducing the change into a system or program. The more complex an introduction of a change to a system on a large scale, the more consideration should be given to setting controls and sideboards on the implementation. Should the implementation be restricted early on to a Forest or Regional level (Phased Approach)? Or can it be effectively implemented nationally while still maintaining control of the implementation and the transition (National Approach)? There are benefits and drawbacks to each method.

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[10] http://www.faa.gov/documentLibrary/media/Advisory_Circular/AC_120-92B.pdf

4.2.1 Benefits of a Phased Approach

Benefits of Phased Approach
1. A phased approach is a tightly controlled process which can be used as a "test bed" to learn and improve on the implementation prior to going national with the change.
2. It keeps the change to a manageable size so that if the change begins to negatively affect the workforce or safety of the program, it can be quickly addressed and managed.
3. Working out the kinks in the smaller scope of a Forest or Region helps improve the CMIP and its implementation.
4. Management is more aware of the challenges it will face at a national level; an improved plan can be implemented on a national level.
5. If there are any failures in the change process, the financial impact would be less significant at a Forest or Regional level.

4.2.2 Drawbacks of a Phased Approach

Drawbacks of Phased Approach
1. Implementation and transition of the overall change will take longer to fully accomplish nationally.
2. Misinformation and inaccurate information could leak through the grapevine, impacting the transition readiness of other Forests or Regions when the change does go national.
3. It may not provide enough data to fully understand how the change will impact an entire program or system nationally.
4. If every location is not fully and equally supported by their leadership, safe, effective and successful change is not likely to emerge.

4.3 National Strategy of Implementation

Implementing a full scale change throughout an organization or on a national level can be a logistically difficult undertaking. The plan, resources, key personnel, and CMAT need to ensure all aspects are well prepared for such a large undertaking. That being said, the entire program or system will experience the change together.

4.3.1 Benefits of National Implementation

Benefits of National Approach
1. The implementation will be conducted all at once, potentially decreasing the transition time for becoming fully operational.
2. A quality Communication Plan would greatly enhance information sharing between Forests or Regions as the changes and transition begin to reveal better or more efficient processes.
3. Implementation on a larger scale should supply a large amount of information and data to analyze.

4.3.2 Drawbacks of National Implementation

Drawbacks of National Approach
1. It would likely be more expensive to implement on a large scale at one time.
2. There may not be sufficient human and other resources to appropriately manage the change.
3. Limited ability of oversight and control as the change could be implemented extensively on units, forests, bases, systems, etc.
4. Communication and information may be impacted due to the extensive workforce that must be provided accurate information. Keeping up with and managing the "rumor mill" could prove difficult.

5.0 Documentation of the Change

The documentation section incorporates all of the elements of the CMIP and provides a record of change management activities and adjustments to the plan during the implementation process. Its purpose is a centralized location for all those who need to consult the information, to provide a means of historical data in order to capture the starting point and a continuous improvement resource for updates and upgrades to the plan. It is also a "warehouse" of sorts for a quality and safety assurance review of how the change process is moving along, and what concerning trends may be emerging. Minimal documentation requirements are outlined as follows.

Documentation Should Include the Following:
1. Identification documents for project, program, or issue
2. Historical documents for project, program, or issue
3. Change Management and Implementation Plan (CMIP)
a. Leader's Intent
b. Objectives
c. CMAT Charter
d. Any other charters developed for the change
4. Risk management processes
a. Risk assessments utilized within the program
b. Hazard identification processes
c. Mitigation implementation processes
5. Quality and safety assurance processes
a. Data collection and analysis processes
b. Performance evaluation processes
c. Readiness reviews and results
d. Gap analysis and results
e. Trend analysis processes and results
f. CMIP effectiveness evaluation processes
6. Communication Plans (as they are updated throughout the process)
7. Document training associated with change
8. Document all work being accomplished in the CMIP
9. Develop an action tracker and archive process
10. Ensure revisions are controlled within the CMIP and Forest Service Aviation SMS Guide as appropriate
11. Performance evaluation of change processes
12. Transition management processes, effectiveness, and lessons learned
Change gap analysis and results

6.0 Managing Hazards and Risk in Change

6.1 Introduction to Change Risk Management

The change risk management process should start by answering the question "How important is the change to equipment or activity to safe system operations?" Change risk management processes are very similar to SMS risk management processes. SMS risk management processes manage all risk within a program. The change risk management process is specifically designed to manage the risks related to and introduced by changes

implemented into and impacting a program or system. However, change risk management goes one step further and also identifies situations, issues, or "hazards" that may cause the change in and of itself to fail. These "hazards" to the change process are just as significant as those affecting safety. Examples of these have been noted throughout this guide. Capture these typical "hazards" to the change process and build upon them for the change that is facing the agency today.

6.2 Identification of Hazards Introduced by Change

The risk management process for the introduction of a change within a program or system needs to identify what hazards are introduced or may be hidden within the system when a change to the system occurs. The change hazard identification process can augment any existing risk assessments within the program.

If no programmatic risk assessment currently exists, development of the risk assessment process is well defined within the Forest Service Aviation Safety Management System Guide and should be implemented into the program prior to a programmatic change.

Once the change hazard identification process is conducted, these hazards must be assessed, mitigated, and the defined controls put into action. Prevention of these identified hazards is the key to success. If hazards have been identified, risk levels assessed, and mitigations developed, yet no action is taken to implement the controls, this would be a disastrous failure. No amount of argument can justify the failure to actively address known hazards and take action to mitigate them. Once these hazards have been identified, they are known. Leaving a known hazard "on the table" without mitigating the risk to an acceptable level and implementing the controls is insupportable. Implement the controls, improve the controls, and bring everyone home, every time.

6.2.1 Three Approaches to Help Reveal Hazards

There are three processes that help reveal hazards: predictive, proactive, and reactive processes.

Predictive Process

The predictive process identifies change hazards by utilizing resources already experienced in a particular piece of equipment or a program. Determine what other programs, agencies, or communities have been through something similar. Seek these out and glean their experience and knowledge to identify known hazards to them, but likely unknown to your program.

Example: The U.S. Smokejumper program implementation of ram-air parachutes systems. Those knowledgeable and experienced in this type of parachute system were initially the BLM, followed by the Region 1 smokejumper bases. The smokejumper program gained knowledge of known and existing hazards and applied the knowledge to their change risk management process for ram-air parachute implementation.

Proactive Process

The proactive process identifies hazards within the current program or system that may exceed current controls if a change is introduced. These are identified through employee reporting systems, surveys, program data that may be available through annual reports, manufacturer information and other available resources. Resources outside of the agency can provide valuable information and vast amounts of research.

> *Example:* In review of an analysis of Pilot Flight Experience vs. Accident Involvement conducted by a Robert E. Breiling Associates 2009 study, Total Flight Experience and Time in Model were investigated. The category Business Turboprops – Pro and Non-Pro Flown revealed that not until 300 hours in model has been gained does accident involvement vs. hours in model decrease. A Boeing Company analysis of all air carrier jet accidents involving pilot related cause factors confirmed this analysis; Boeing found that 82% of all air carrier jet pilot related accidents involved pilots with less than 280 flight hours in model.

The take-away would be an awareness that pilots with less than 300 hours in a particular model of aircraft may be at a higher risk for accidents. This information can then be placed into the risk management process and mitigated.

Reactive Process

Since it is very difficult to identify all hazards when introducing something new, the reactive process is key for gathering hazard information that can only be identified when a change has been put into operation for a period of time. The important aspect of this process is to ensure that well-planned monitoring processes are in place:

1. After Action Reviews are documented and analyzed for common situations that are becoming concerns.

2. Incident and accident reports provide important information.

3. Facilitated Learning Analysis provides studied findings for improving processes.

4. Verification of the risk assessment and its mitigation measures. What may have been missing during the process?

5. A monitoring process that will ensure risks are being managed as anticipated.

6. If a phased strategy has been implemented (example Smokejumper Ram-Air Implementation), ensure lessons are gathered, shared, and processes improved as the phased approach continues.

Tools that have been introduced to the field without a monitoring process often can create work-arounds and potentially more serious hazards (i.e., new gas containers for fueling chainsaws in the field). If the tool, equipment, or system is not working as anticipated, it needs to be addressed. Re-assess the hazard, develop an improved mitigation, and ensure implementation back into the field.

6.3 Assessing Risk

The risk assessment process is the means of placing a rating of probability and severity alongside the identified change-induced or related hazards. These hazards are linked to a particular system within the program such as Personnel or Equipment and then each system's hazards are assessed for criticality[11] and risk to the program.

6.4 Hazard Mitigation

Risk mitigation is the process of assigning controls to the hazards that have been identified. It is important to designate meaningful controls that will reduce the probability or the severity or both, to an acceptable level. Each mitigation measure is then rated again for its effect on the probability and severity following the impact of the control. Unless economically prohibitive (i.e., purchase of a new fleet of aircraft), these controls must be implemented.

6.5 Benefit and Cost of Control Measures

The final rating should consider what effects the mitigations have on the outcome of the hazard. Once each mitigation measure is rated for its overall risk score, the mitigation is to be assessed for the benefit it provides to control the risk associated with the hazard. The final step is to then determine the cost and rate the particular mitigation measure using the Cost/Benefit rating chart.[12] If the cost of the mitigation is high and the benefit is low, the overall rating would be poor for the implementation of that mitigation. It may still be a required implementation measure, but may be lower priority.

7.0 Communication, Training, and Promotion

This component of change management, as mirrored in SMS, addresses training processes associated with changes and communication plans. This supports the core operational activities of the CMIP.

7.1 Develop a Change Management Communication Plan

The Communication Plan should be developed at the National level and held outside of the CMIP. The plan should be constantly updated by the Communications Specialist and Program Manager. The CMAT serves as subject matter experts for the Communications Specialist who will help direct development of the plan.

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[11] "Criticality relates to the potential consequence of equipment being improperly operated or an activity being incorrectly executed" (ICAO Safety Management Manual www.icao.int/anb/safetymanagement/DOC-9859_FULL-EN.pdf).

[12] Reference the resources that exist within the Forest Service Fire and Aviation Management's Aviation Safety Management System Guide and the strategic risk assessments located on the Fire and Aviation Safety website at http://www.fs.fed.us/fire/av_safety/index.html

Developing an intranet site for the change has been particularly helpful in the C23B+/SD3-60 Sherpa and Ram-Air Parachute System projects.

The change management process must be clearly communicated in order to ensure continuous support and commitment by leadership, the CMAT, and the workforce within the program or system affected. Communicate the reason for the change by actually "selling" the purpose, the issue, and the change process. Do it early and often before you share the change itself. Ensure understanding by all those in the planning process, leadership, and workforce that the change will eventually impact.

The Communication Plan Should:
1. Explain the change management policies, procedures, and responsibilities to those involved.
2. Describe the channels of communication used to gather and disseminate change management information.
3. Identify triggers that should activate an information flow for both anticipated and unanticipated events.
Identify responsibilities developing and utilizing various communication tools.

The Communication Plan continually provides ongoing information regarding activities and safety performance and encourages continued commitment by the program, system or community the change is affecting. Consider a variety of means when developing the plan. Continually look for new and useful methods of communication that may benefit the information-sharing process.

Disseminated information must be timely, clearly understood, and credible. It should be specific to the intended group so they are not overloaded with irrelevant information that may create a lack of interest and eventually a lack of participation. The goal is to keep people engaged, not overburden them.

Information relies on feedback in order for it to be communication. Feedback from the program, system, or community is necessary to achieve the objectives of the plan as well as understand the impacts during the phases of the transition. Feedback requires confidence in the system and an assurance that information will be used appropriately. Policies should be specific regarding data confidentiality and the ethical use of information provided by the program, system, or field.

▶**Change Hazard #5:** *Building a Communication Plan without the full involvement of the National Fire and Aviation Management Communications Officer would likely be ineffective and render the plan all but useless.*

Feedback from the field provides valuable information to the CMIP, not only in recognizing the progress of the plan, but in adjusting tactics as necessary to continue toward success. It is also a tool that provides learning events for future CMIPs and a continuous improvement process. In order to keep the feedback system healthy, responses to field reports need to be identified in the Communication Plan. If people don't receive timely

responses with some indication of follow-up activity, they may stop participating, rendering the communication process ineffective.

7.2 Identify Training Associated with the Change

Training related to the proposed change should involve all personnel associated with that particular program or system to ensure they are competent to undertake the new responsibilities. Although they may be competent coming out of the training, they may not feel confident, which should be of concern to management and is addressed in Chapter 3.0, Managing the Effects of Transition. Key aspects of training for change are the special features and aspects that require unique knowledge and understanding relevant to their roles within the program. Here are some considerations for training:

Training Considerations
1. Who needs to be trained?
2. How will the training plan or curriculum be developed?
3. Are there different considerations for crews, teams, and individuals?
4. What are special training considerations for the CMAT and TMT?
5. Should a safety specialist attend these trainings?
6. What training should be considered for senior leadership regarding the change and transition plans and processes?
7. Determine frequency of training for a phased approach to change implementation.
8. Determine considerations and logistics for national implementation approach.
9. Determine re-currency requirements if necessary.
10. Develop knowledge check strategies to ensure understanding.
11. Develop training documentation and record keeping processes.

8.0 Quality and Safety Assurance in Change

Assuring all these process, procedures, plans and people that have been set in motion through this change process are performing as intended is a critical activity to success. The change quality and safety assurance process is the performance of monitoring activities and data analysis that provides feedback on controls and mitigations. It is the primary source for evaluating the effectiveness of controls as they are put into action in the field. This is an additional layer of defense that is a validation of risk control expectations and a confirmation of objectives for the CMIP.

8.1 Assigning Responsibility for Change Safety Assurance Processes

Some of the change safety assurance processes can be undertaken by the CMAT, while others may be undertaken by individuals. If a safety specialist or safety team will benefit

the process, ensure they are identified and appropriately utilized. The CMAT can identify what data needs to be collected and by whom. Another source is to identify individuals within the program who are subject matter experts in that particular field. This source of data collection would be beneficial in:

1. Observing operations as they take place in the field.

2. Conducting and managing After Action Reviews.

3. Verifying the risk assessment in the field.

4. Being the primary point of communication feedback from the field to the CMAT and management.

5. Providing the source for documentation of emerging hazards and trends.

8.2 Collect and Review Change Data

The data collected should be identified in the CMIP. There are several means of gathering pertinent change implementation data for monitoring the safety performance of the introduced change:

1. Hazard reporting systems

2. Accident and incident reports

3. Review the change readiness audit results conducted prior to implementation of the change.

4. Conduct After Action Reviews and document and analyze findings.

8.3 Evaluate Performance of the Change Implementation

A primary finding for change quality and safety assurance is whether or not the change implementation is meeting the objectives defined in the policy. If targets are not being met that are intended to keep the change on track, feedback through the system should trigger activities that will make adjustments to meet those objectives, providing they still make sense.

Evaluating Performance of Change Implementation
1. Continually monitor performance of the CMIP and its implementation processes to validate effectiveness.
2. Ensure hazard mitigations are implemented and working as intended.
3. Ensure controls for prevention of failure of the change are implemented and working.
4. Eliminate or modify risk controls that have unintended consequences or have run their course and are no longer needed.
5. Ensure feedback is built into the system to provide for positive communication to management and the workforce.
6. Verify the risk assessment process through observations and other methods of the change as it is being used in the field or workforce.

8.4 Identify Emerging Hazards from the Change Implementation

An additional function of the change quality and safety assurance process is the evaluation of change performance indicators and emerging hazards that begin to sift through as the change to operations or field applications gains momentum. These findings are then fed back into the change risk assessment as a reactive process and mitigated or controlled in accordance with the CMIP.

The change quality and safety assurance process is also a means of identifying any changes that may be taking place within the operating environment that were not anticipated in the CMIP. Planning for the change is one thing, but external and unanticipated changes to the environment that may directly or indirectly affect the targets and objectives of the change is quite another. This would again feedback into the change risk assessment as a reactive process to be controlled through mitigation measures.

1. Identify the most efficient and effective processes and design them back into the CMIP for continuous improvement.

2. Identify and document areas of most significant concern that can be addressed up front during any subsequent changes implemented into the organization, program, or system.

Finally, the change quality and safety assurance process provides input for improving the implementation of change within systems and programs. These evaluation and data gathering methods provide for continuous improvement of the CMIP.

8.5 Measurement of Success

It is important to understand if the introduced change has had the desired effect on the program. If there is no means to become aware of any deficiencies of the new system or negative impacts it may have on the work of personnel within the program, there is no way to capture and provide for improvement. It is also imperative that people are assigned and held accountable for those assignments.

How to Measure Success:

1. Ensure the workforce is aware of a reporting and feedback system and encourage them to disclose any glitches in the system.

2. If work-arounds are developing, capture the reasons why. There may be a better way of doing things, but on the other hand, guard against the lowering of standards. Set the bar high and keep it there if it makes sense.

3. Encourage site visits to locations impacted by the change to determine if current training programs are providing sufficient information and capabilities to the workforce.

4. Evaluate communication capabilities and whether or not the field or workforce was provided accurate and timely information.

5. Determine if the change and transition periods accomplished the objectives and met the leader's intent for the change implementation.

6. Update the CMIP and processes to better ensure success for future changes to agency programs and systems.

7. Gain insight from personnel attitudes and comfort levels as people move through the Transition Stages. This can be done through surveys or interviews. Gathering information on the "psychological and emotional health" of the workforce experiencing change is important.

8. Utilize an interactive action tracker to document planned accomplishments and to track progress. Ensure each task is assigned to a person held accountable for accomplishing it. Ensure each action is recorded and archived.

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Glossary

Action Tracker ~ A document usually set in a table type format that tracks tasks, responsible personnel, due dates, progress, and comments. It is a living document that is continually updated to capture new tasks. Tasks that have been accomplished are kept in archives to track and record actions throughout the change process.

Change ~ involves developing a means of placing something new into a current system or program to address a given problem.

Change Management ~ Considerations and plans to manage internal and external disruptions to an organization or program.

Change Readiness ~ The ability to continually initiate and respond to change in ways that create advantage, minimize risk, and sustain performance.13

Criticality ~ Criticality relates to the potential consequences of equipment being improperly operated or an activity being incorrectly executed.

Gap Analysis ~ Identification of existing program components, compared to change program requirements.

Outputs ~ Results of a process, plan or activity that is documented and communicated throughout the program or organization.

Change Safety Assurance ~ A safety process of management functions that systematically provides confidence that the organizations change processes are meeting the safety controls identified in the Change Risk Management process and is on track as per the Change Plan.

Terms of Reference ~ A statement of the operational background and organizational profile in deciding composition of the Change Management Action Team and its activities and interactions within the Change Management Plan.

Transition ~ The result of incorporating change into the system which then impacts the people within a particular program.

Transition Management ~ A detailed process that addresses change from a personal level for the workforce by building a plan that will orient the change implementation by selecting, designing and scheduling events, actions and projects that move people through the transition phases.

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[13] Musselwhite, C., Plouffe, T. (2014). Change Readiness is the New Change Management. Harvard Business Review OnPoint Leading Change, winter, pages 10-11.

Appendix A: U.S. Forest Service Programs Implementing Change

In 2014-2015 the methods of implementing change management presented in this guide were applied to three different programs in Fire and Aviation Management.

The first program was the U.S. Forest Service Smokejumper Program Ram-Air Parachute System Implementation Project. This plan helped the smokejumper community plan, develop, and implement a process to transition the entire program to a ram-air parachute system while maintaining safe operational capabilities. This document can be obtained through the National Smokejumper Program Manager.

The second program addressed the implementation of fifteen C-23B+ Sherpa aircraft acquired from the Army. The Forest Service was tasked with transitioning them to the SD3-60 FAA certificated Sherpas and developing a change management and implementation plan to incorporate those aircraft into the smokejumper program as well as other uses for the aircraft. This document can be obtained through the National Large Fixed-Wing Aircraft Program Manager.

The third program was the U.S. Forest Service National Emergency Medical System Short-Haul Program. This change management process was developed through lessons learned from the Rappel program change processes. The Short-Haul project action team utilized the Change Management and Implementation Guide to confirm that all of the principles of change management had been addressed and were in place prior to execution of any training or missions for the 2015 season. This document can be obtained through the National Helicopter Program Manager.

Applying the principles of the guide to the specifics of the project being considered is very important as each project is unique. The Ram-Air Parachute System and the C23B+ Sherpa projects had not been fully defined by the agency prior to starting the process of developing the Change Management and Implementation Plans for both programs. This meant that both programs were simultaneously working to determine the intended outcome of the change while working to develop a change plan to implement the change.