



1.8 VoteCal Organizational Change Management Plan

VoteCal Statewide Voter Registration System Project

State of California, Secretary of State (SOS)



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Version Control

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Table of Contents

1. Introduction.....	4
1.1 Purpose and Objectives	4
1.2 Scope	5
1.3 Standards	6
1.4 Assumptions, Dependencies, and Constraints.....	6
1.5 Document Control.....	7
2. Roles and Responsibilities	8
3. Organizational Change Management Approach.....	10
3.1 Overview of Approach	10
3.2 Assess	11
3.3 Analyze.....	13
3.4 Plan	15
3.5 Critical Success Factors and Guiding Principles.....	16
3.6 Detailed Organizational Change Management Threads	17
3.6.1 Project Management	17
3.6.2 Project Team Alignment.....	18
3.6.3 Change Management and Communications	18
3.6.4 Workforce Transformation.....	19
3.6.5 Training	20
3.6.6 Implementation Support	20
4. Current Analysis of Organization Change Management Needs	22
5. Work Plan Overview	35
5.1 Big Picture – Activities Across the Duration of the Project	35
5.2 Focused View – Current and Next Phase	36
Appendix A – OCM Planning Matrix.....	41
Appendix B – Sample Organizational Readiness Survey Questions	43
Appendix C – OCM Risk Level Maturity Model	45
Appendix D – Anticipated Change Readiness Acceptance Levels	47
Appendix E – VoteCal OCM Activities by Phase.....	51
Appendix F– VoteCal OCM Activities Wall Chart.....	52

1. Introduction

The VoteCal Project will provide the California Office of the Secretary of State (SOS) with a single, centralized voter registration database that will meet Help America Vote Act (HAVA) 2002 requirements.

Relative to other states, California's HAVA implementation will present far fewer risks associated with organizational change management than experienced elsewhere. SOS has chosen to implement a bottom-up model, which by itself minimizes the changes required by county elections offices. The business model SOS implemented nearly ten (10) years ago under CalVoter I further lessens the effects of HAVA compliance on the State, since the current CalVoter I system implements a bottom-up model that is conceptually similar to what will be implemented for VoteCal. The business model similarities between CalVoter I and VoteCal indicate that there will be less change for end users and other stakeholders than if CalVoter I had not preceded VoteCal. Based on these factors, the VoteCal Project estimates the change required under VoteCal to be very manageable.

While the similarities in business models will lessen issues resulting from change, there are still a number of changes to business process that will be required under VoteCal to achieve HAVA compliance. In conjunction with business model and business process changes, other human-focused transition risks are likely. For example, SOS and county job roles/duties may change, new statewide policies may be required as a result of the technical or procedural changes, and new staff and staffing levels may be required to support HAVA requirements.

Collectively, these changes present a unique transition challenge to end-users, the SOS, counties, and Election Management System (EMS) vendors. To manage the human-focused transition risks and needs, the VoteCal Project will initiate and conduct organizational change management (OCM) activities throughout the project's lifecycle. OCM activities will be used to plan and facilitate a smooth transition to the "to be" environment in order to increase the probability of a successful implementation.

This document is Deliverable 1.8, the VoteCal Organizational Change Management Plan. It has been developed to the specifications presented in Deliverable Expectation Document (DED) 1.8, VoteCal Organizational Change Management Plan as reviewed by the Secretary of State (SOS).

1.1 Purpose and Objectives

The OCM Plan is designed to guide the VoteCal Project's actions and activities related to organizational change management. The plan describes the approach the VoteCal Project will take to address the human-focused needs that will be encountered in preparation for and during the VoteCal System implementation. Each version of the OCM Plan (Deliverable 1.8, Deliverable 3.4, and the phase-based updates) will be progressively more elaborate and specific as to both the human-focused needs and the activities designed to address these needs. The details of this evolution are described in Section 3 of this document.

The goals of the Organizational Change Management Plan are to:

- Define how organizational change management issues will be identified (e.g., readiness assessments)
- Define potential and/or common activities used to support organizational transition, and their applicability to the VoteCal Project

- Present a high-level strategy for conducting change management strategy, workplace readiness, and other organizational change management activities
- Complement the VoteCal Communications Plan (Deliverable 1.1) and the VoteCal System Training Plan (Deliverable 2.10), as well as the SOS Communication Plan.

The following are expected outcomes of a fully implemented OCM Plan.

- Project Team and SOS leadership actively participating in activities to build awareness among stakeholders
- Project Team and SOS leadership that is aligned and committed to the initiative—speaking with one voice and delivering a consistent message
- Stakeholders who are aware and committed to the changes that will result from the initiative
- Communications that reach all stakeholders and address all stakeholder issues and concerns
- Leaders and stakeholders who are engaged in the initiative and participating in discovery sessions, stakeholder meetings, and other activities where their input is needed
- Future job roles and duties identified and defined, which appropriately reflect new business processes
- Just-in-time training that is available to appropriate stakeholders
- Training that appropriately reflects new business processes not just system changes
- Policies, procedures, and strategies that are aligned and supportive of the new system and understood by responsible stakeholders
- Organizational models and structures that reflect the new business processes and other changes as a result of the implementation

1.2 Scope

The OCM Plan is a high-level strategy document that defines the VoteCal Project's organizational change management approach. The plan identifies the current understanding of human-focused transition needs that will be encountered during the VoteCal System implementation, and identifies the approach that will be taken to address these needs.

The plan identifies how the VoteCal Project Team (SOS and Catalyst) will identify and monitor OCM needs through readiness assessments, risk reviews, and other feedback mechanisms. The OCM needs identified will be limited to the primary VoteCal Project stakeholders, as identified below. Additional stakeholder groups exist for the VoteCal Project, but their concerns and information needs will be handled through the SOS Communication Plan, and not through this OCM Plan.

- VoteCal Project team members (SOS and Catalyst)
- SOS Elections Division staff (end-users)
- SOS IT Division staff
- County Elections staff (end-users)
- County IT staff
- EMS Vendors

The OCM Plan also defines the response to the identified needs by defining planned and potential OCM activities, tasks, and mechanisms that will be undertaken by the VoteCal Project Team (both SOS and Catalyst) to facilitate end-user transition and address other stakeholder needs. These activities are grouped into the following six (6) OCM work threads:

- Project Management
- Project Team Alignment
- Change Management and Communications
- Workforce Transition
- Training
- Implementation Support

The OCM Plan is a companion document to the Communications Plan (Deliverable 1.2) and the VoteCal System Training Plan (Deliverable 2.10), as well as a complement to the SOS Communication Plan. The OCM Plan includes components of the communications strategy and training strategy, to provide a broad picture of the overall approach to transitioning end-users and stakeholders. The OCM Plan is not intended to supplement or supersede the communications or training plans. Details related to communications and training will be provided in these respective plans.

The OCM Plan does not provide a detailed tactical or procedural approach to end-user and stakeholder transition activities that will be conducted in every phase of the VoteCal Project. Instead, the plan is strategic in nature, creating a framework and guide for the VoteCal Project's OCM activities. As identified in Section 3: Organizational Change Management Approach, an Organizational Readiness Assessment will be conducted early in the Design phase, as well as subsequently be reviewed and updated in each phase. The results of this assessment will serve to guide the prioritization and scoping of the activities in each work thread. A list of potential activities can be found in Section 4: Detailed Organizational Change Management Threads, with indications of which are mandatory vs. discretionary, and how decisions will be made as to which to include.

1.3 Standards

While there are no recognized industry standards for organizational change management, business transformation, communication, and training, the methodology used for the VoteCal Project is based on sound and proven organizational change management best practices and the experience of the Catalyst Team.

1.4 Assumptions, Dependencies, and Constraints

The OCM Plan was developed based on the following assumptions.

- Limited business process changes will be required at the County election office level.
- Where statewide policies and processes are revised or developed, SOS will exercise its authority through quick decision making and timely communication to County election offices.
- SOS and County election offices have the authority and ability to change and adjust to business processes, policies, staff roles/responsibilities, resource levels, and other workforce transition needs in a timely manner.
- SOS staff have the ability and flexibility to allow staff to attend meetings, training, and other OCM activities without impacting business operations. County election office staff have limited

ability and flexibility to travel, and therefore virtual and regional meetings will be favored over central meetings at SOS facilities.

- SOS and County election offices will provide information, guidance, and support to address any job description or classification revision.
- SOS and County election offices will provide information, guidance, and support to assist in analyzing resource allocation levels needed to support the new system and processes.
- All VoteCal Project Team members have a role and responsibility in the OCM process, including helping to develop and deliver transition support services, but also in collecting and communicating feedback to the OCM Lead.
- In the event that the SOS VoteCal Project Team cannot achieve its resource responsibilities to meet the timetable for delivery of OCM- or training-related work, the Catalyst Team and the SOS VoteCal Project Team will handle each situation on a case-by-case basis.
- The Catalyst Team will work collaboratively with the VoteCal Project Manager and work stream leads to gain timely access to project stakeholders and leaders to acquire needed information and data or carry out other proposed OCM activities.
- The SOS VoteCal Project Sponsor and leadership are committed to the success of VoteCal and are willing to take the necessary supportive action required to achieve project success.
- A strong network of communications liaisons is established and utilized throughout SOS and counties.
- Credible State personnel will deliver information, supported by professionally developed communications collateral materials.
- The SOS VoteCal Project Team and Catalyst VoteCal Project Team will be jointly responsible for executing/implementing all OCM strategies, plans, activities, and tasks developed by Catalyst OCM Team.

1.5 Document Control

The OCM Plan is intended to be a living document – the plan will be refined and updated throughout the VoteCal Project phases. As new organizational change management needs are identified, the Catalyst OCM Lead will work with Catalyst and SOS to select the appropriate response and tactics and update the plan. The plan will be reviewed once during each major project phase, at a minimum, and updated as required. A complete update of the OCM Plan will be completed as deliverable 3.4 in the Development Phase.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log and header/footer of the document.

As with other work products of the VoteCal Project, the approved OCM Plan will be placed under configuration management in accordance with the Document Management Plan (a subset of the Project Management Plan). Also, in accordance with the Document Management Plan, the OCM Plan will be stored on the SharePoint server and available to the project team, the Independent Project Oversight Consultant (IPOC), Independent Verification and Validation (IV&V) vendor, and SOS senior management.

2. Roles and Responsibilities

Table 2-1 describes the roles and responsibilities of the Catalyst Consulting Group project team members, along with the counterparts at SOS, with regard to executing the Organizational Change Management Plan. These defined roles and responsibilities are meant to be complementary to those defined in the SOS Communication Plan and the Training Plan (Deliverable 2.10). These roles and responsibilities are also further defined through the detailed resource planning in Appendix F.

Table 2-1 Organizational Change Management Roles and Responsibilities

ID	Role	Responsibility
1.	Catalyst OCM Lead	<ul style="list-style-type: none"> ▪ Provide management oversight, strategic advice for OCM /training strategies, and leadership involvement. ▪ Work in partnership with SOS OCM Team to oversee and coordinate the development of all OCM, communications, and training strategies and plans. ▪ Work in partnership with SOS OCM Team to provide integration across all OCM components. ▪ Work with VoteCal executive sponsors, staff, and project management on strategic issues. ▪ Support Catalyst Deployment lead with change-related activities and cutover tasks. ▪ Provide direction and guidance to OCM and training teams around strategies, plans, activities, and tasks to prepare employees for the new system and the change it brings.
2.	Catalyst Team/Support	<ul style="list-style-type: none"> ▪ Assists the Catalyst OCM Lead in developing and performing OCM strategies, activities, and tools. ▪ Assist in the facilitation of key decision meetings ▪ Conducts related activities in process design, functional analysis, etc. ▪ Aids in identifying transition issues and responses.
3.	Catalyst Project Manager	<ul style="list-style-type: none"> ▪ Oversee OCM Plan and provide Project Management Office (PMO) support. ▪ Participate as part of PMO in executing OCM activities, as directed in the OCM Plan. ▪ Redirect Catalyst resources to assist in OCM activities as necessary, specifically as related to escalated issues.
4.	SOS Project Manager	<ul style="list-style-type: none"> ▪ Redirect SOS resources to assist in OCM activities as necessary, specifically as related to escalated issues. ▪ Escalate critical issues as needed to the Project Director.
5.	SOS Project Director	<ul style="list-style-type: none"> ▪ Provides input to the overall direction of the OCM activities. ▪ Communicates to SOS and County users, as defined in the SOS Communication Plan. ▪ Manages issues identified by the team and the relationship of team to the Executive Steering Committee.
6.	SOS OCM Team (Mandatory members are: VoteCal Project Management Team, Optional members are: SOS Communications Lead, SOS Training Lead, SOS Technical Architect, SOS QA Consultant Services, SOS SPA, and SOS Support Staff)	<ul style="list-style-type: none"> ▪ Responsible for providing integration across all OCM components. ▪ Work collaboratively with the Catalyst OCM Lead to develop OCM strategies, approaches, activities, and tools to identify and address risk and readiness, mobilize and align leaders and project team, and effectively communicate and engage stakeholders in support of the proposed effort. ▪ Participate in executing OCM activities, as directed in the OCM Plan. ▪ Communicates to stakeholders, as defined in the SOS Communication Plan.
7.	SOS Communications Lead	<ul style="list-style-type: none"> ▪ Work in partnership with Catalyst OCM Lead to oversee and coordinate the development of all communications strategies and plans. ▪ Other duties as detailed in Communication Plans.
8.	SOS Training Lead	<ul style="list-style-type: none"> ▪ Work in partnership with Catalyst Training Lead to oversee and coordinate the development of all training materials and delivery plans. ▪ Other duties as detailed in Training Plan.
9.	SOS Project Assistant	<ul style="list-style-type: none"> ▪ Provide logistics support (such as scheduling meetings, interviews, and events). ▪ Maintain project historical records and knowledge repository in Sharepoint, to be used as basis for future Knowledge Base and website additions (to be completed by Catalyst OCM Lead and SOS Communications Lead).

3. Organizational Change Management Approach

The goal of successful Organizational Change Management is to move all project stakeholders from an early stage of project contact and awareness, through to later stages of buy-in and ownership. Throughout, the process is as important as the end goal itself.

It is important that the VoteCal Project Team (SOS and Catalyst) be both proactive and reactive in managing the organizational change management process. When individuals receive timeline-appropriate and user-specific messages about the change, combined with access to the appropriate support tools, they are able to successfully commit to becoming a part of the change. When managed successfully, all stakeholder groups will move through the OCM stages towards change commitment in a predictable and controlled manner. This results in an expected transition and timely organizational change implementation.

Conversely, if not managed proactively, or if organizational change management activities are addressed sporadically, implementation may be delayed or may encounter challenges with stakeholders who are resistant to change, who lack the necessary buy-in, and who may become derailed and “bail out” of the overall effort.

3.1 Overview of Approach

The key focus of organizational change management (OCM) activities is to reduce the inherent people-related project risks and thereby promote the successful adoption and use of the new system and process environment brought with the VoteCal System.

In each phase of the VoteCal Project, the Catalyst OCM Lead, with support from the SOS OCM Team, will conduct a review of the known and predicted business process changes and organizational risks brought on by the VoteCal Project, and will deliver a set of targeted activities to reduce identified risks and proactively move stakeholders to identified readiness markers. As part of this document, we have included an initial assessment of risks and needs, as well as a mapping of the responsive activities. Through each subsequent phase of the project, and in particular through Deliverable 3.4 OCM Plan Update, we will conduct additional assessment activities, in order to refine the list of known risks and needs, and to further detail the planned activities. This list of OCM activities has partially been defined based upon best practices from prior projects of a similar nature, size and scope. Additional input was collected from members of the SOS OCM Team, our business partner DFM Associates, and through two county site visits, as defined in Section 4.

In addition to the formal assessment/planning points at the beginning of each VoteCal Project phase, biweekly meetings will be held between the Catalyst OCM Lead and SOS OCM Team to monitor progress of activities, new and ongoing risks, and to adjust plans for the phase accordingly.

Organizational Change Management activities fall into six major categories, which will be referenced at various points throughout the readiness assessment:

Table 3-1: Organizational Change Management Work Threads

ID	Work Thread	Description
1.	Project Management (elements for OCM success)	The OCM project management thread focuses on identifying the people-related transition risks and needs, planning a response to risks/needs, and facilitating or supporting the project's organization, governance, and decision-making processes. Thread activities aid in identifying SOS and county change readiness, identifying effective transition options and stakeholder preferences, and gathering feedback. The thread also coordinates with other project management functions, such as helping with project oversight through project dashboards and other communication mechanisms.
2.	Project Team Alignment	The project team alignment thread focuses on the transition needs of the VoteCal Project's leadership and staff. Thread activities aid in creating a shared vision, building team rapport and dynamics, supporting team learning and process improvement, and information sharing.
3.	Change Management and Communications	The change management and communications thread focuses on proactively engaging internal and external stakeholders. Thread activities are designed to involve stakeholders at key points in the system development lifecycle and to share information that is timely and relevant. These efforts are aimed at helping the stakeholders accept the system and transition more smoothly.
4.	Workforce Transition	The workforce transition thread focuses on the organizational structure, staffing levels, business process, procedural, and policy changes needed for effective transition at both the SOS and county election offices. Thread activities are designed to identify needed changes, propose solutions, and facilitate non-technical transition needs such as form redesign, change in job roles/responsibilities, policy manual updates, staffing level changes.
5.	Training	The training thread focuses on preparing end-users to utilize the new system functionality, processes, and policies. Activities in this thread are coordinated through the Training Plan, but are focused on developing strategies for user training materials, conducting educational opportunities, and post-training support aids (i.e., on-line help, knowledge base).
6.	Implementation Support	The implementation support thread focuses on managing the deployment of the VoteCal System to end-users, and supporting the end-user transition from the current to the to-be business processes. Thread activities are designed to assess deployment readiness, inform users about the cut-over and prepare them for cut-over activities, and to support users on the go-live date and post-implementation.

These categories will be used in the diagnosis of readiness levels and potential risks to the VoteCal Project, as well as serve as a grouping for the OCM activities to be conducted. Additional detail about each thread, including descriptions of the activities associated with each thread, is provided in Section 3.6.

Detailed planning for OCM activities is comprised of three stages: Assess, Analyze and Plan. In the Assess and Analyze stages, discovery is conducted on the state of change readiness for each of the key stakeholder groups. This will then be used to confirm the previously assigned activities, and to determine the number, type, and scope of activities to be conducted in the next phase. Additional details of this approach can be found in sections 3.2, 3.3, and 3.4 of this OCM Plan. This process is highly interdependent with the planning activities for Communications and Training that are detailed in separate documents. It is also important to note that organizational change management activities are highly dependent on the business process, technical, test and deployment activities. The Catalyst Team will collaborate and participate with the SOS Project Team, Project Managers, and Working Groups throughout the project life cycle to develop and implement effective change across the State's election community.

3.2 Assess

The first stage in planning upcoming OCM activities is to conduct an assessment of readiness and risks. As part of the creation of this deliverable, an initial assessment was conducted. The initial

assessment presented in this document provides a solid baseline understanding of the composition of the different stakeholder groups, and identifies the high-level concerns and risks for each group.

Beginning with the start of Phase 2: Design, a more formal Assessment will be conducted by the Catalyst OCM Lead, with support from the SOS OCM Team. This assessment will be repeated at the beginning of each project phase, and in conjunction with Deliverable 3.4. The Assessment activity contains five key activities, as defined in Table 3-2. The timeline is illustrative of sequencing, but will require confirmation of schedules of the SOS OCM Team. For the Design Phase, a more detailed workplan (showing this activity in context of other OCM activities) has been provided in Section 5.

Table 3-2: Assess Stage Activities (to be completed at the beginning of each subsequent phase)

Activities	Timing	Resources
<p>Meet with OCM Team to collect initial information</p> <ul style="list-style-type: none"> Review list of stakeholders, understand particular concerns, review communication plan already developed Focus will be on identifying new issues and discussing known issues 	<p>Week 1 1-2 hour discussion</p>	<p>Lead: Catalyst OCM Lead Participate: SOS OCM Team</p>
<p>Conduct county site visits</p> <ul style="list-style-type: none"> Observe business processes in context of live environment Discuss communication/training preferences, understand barriers to change, understand personalities Continue to visit new counties, in order to view as many different live environments as possible prior to deployment 	<p>Weeks 1 and 2 approximately 2-6 counties per phase</p>	<p>Lead: Catalyst OCM Lead and Team Participate: County Election Staff Optional: SOS OCM Team</p>
<p>Conduct surveys of key stakeholders</p> <ul style="list-style-type: none"> <u>Change Readiness Survey</u>: to understand mapping of stakeholder groups against readiness checkpoints; pull trends and anecdotes for follow-up <u>Communication Preference Survey</u>: to understand existing vehicles to utilize and understand most effective methods <u>Training Preferences Survey</u> (may be postponed until Training Needs Assessment): to understand preferred/effective methods to use as model <u>Workforce Survey</u>: to collect self-reported descriptions of job titles/roles and elections duties <p>Note: sample survey questions have been provided in Appendix B</p> <ul style="list-style-type: none"> In order to reduce fatigue from repetition, a sampling of members from each stakeholder group may be surveyed instead. A subset of questions will be tailored to be specific to the phase, but the majority of questions should be consistent to allow for side-by-side comparison 	<p>Weeks 1 and 2 Max 20 minutes per user; 3 total emails (launch, reminder, final close)</p> <p>Allow at least 10 calendar days, but need to wrap-up prior to follow-up activity</p>	<p>Create Survey: Catalyst OCM Lead Send Survey: SOS OCM Team (exact email address TBD) Take Survey: Elections Division, County Election Staff, County IT Staff, EMS Vendors</p>
<p>Follow-up on results</p> <ul style="list-style-type: none"> <u>Follow-up with Core Team</u>: ask clarifying questions from survey results; investigate cause-and-effect relationships <u>Interviews/Focus Groups with Stakeholders</u> (very scalable depending on earlier results): ask clarifying questions from survey results; research into points of concern; collect anecdotes In order to reduce fatigue from repetition, the minimum number of participants necessary will be used Expect the nature of the follow-up questions to become increasingly specific over time 	<p>Week 3 Variable time commitment depending on earlier results (expected no more than 1-2 hours with Core Team)</p>	<p>Lead: Catalyst OCM Lead Participate: SOS OCM Team, other stakeholder groups as needed</p>

Activities	Timing	Resources
<p>Create vehicle for ongoing collection of issues/risks/questions</p> <ul style="list-style-type: none"> • Allow for ad hoc submission of concerns between readiness assessments • May add additional feedback loops over time (e.g. comments directly on password-protected website) 	<p>Week 3</p>	<p>Lead: SOS Communications Lead</p>

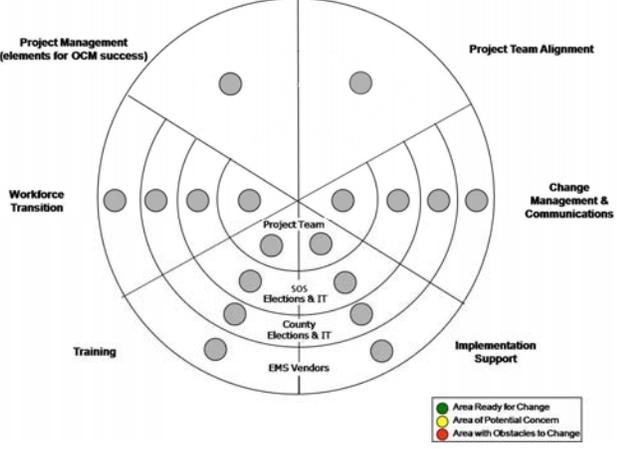
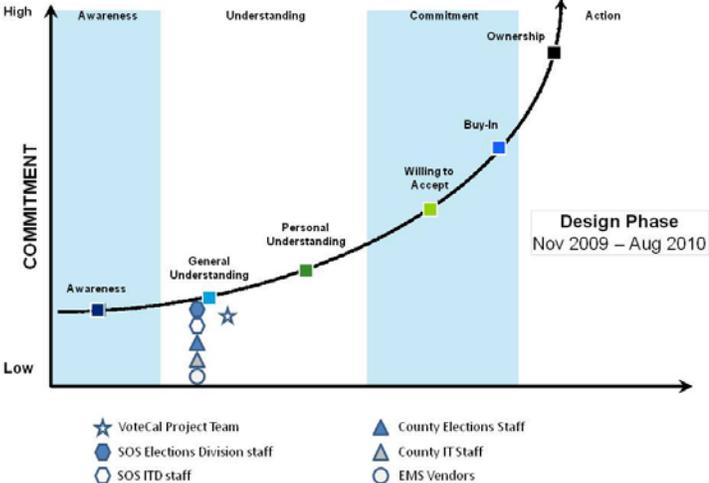
These steps will be refined for efficiency over time but will form the basis of the OCM Assessment conducted in each phase and as part of Deliverable 3.4 (VoteCal System Organizational Change Management Plan Updated).

3.3 Analyze

The second stage in planning upcoming OCM activities is to analyze the results of the assessment, in order to quantify readiness gaps and risks. Following the completion of the assessment, the Catalyst OCM Lead will conduct an analysis of the data and information gathered. The Analysis stage will be conducted by the Catalyst OCM Lead with minimal ad hoc clarification from the SOS OCM Team, and is expected to take one to two weeks. For the initial assessment conducted as part of this deliverable, a shortened analysis was conducted, as described in Sections 4 and 5.

The initial analysis is envisioned to produce three key outcomes as detailed in Table 3-3.

Table 3-3: Analyze Stage Activities

Activities	Sample Tool / Dashboard View							
<p>Assign Risk Levels to each OCM Category</p> <ul style="list-style-type: none"> Assign <u>project-wide risk levels</u>: due to their nature, a single risk level will be assigned to Project Management and Project Team Alignment Assign <u>stakeholder-specific risk levels</u>: for the remaining four categories, a risk level will be assigned for each key stakeholder group in that element Provide <u>explanatory text</u>: a short description of the justification for these assignments will also be provided in the Readiness Assessment <p>Note: Appendix C contains a model of the characteristics of each risk level. This will be used as a guiding document when quantifying risk levels.</p>								
<p>Map Stakeholder Groups to Change Readiness Levels</p> <ul style="list-style-type: none"> Identify <u>change readiness levels</u>: based on the survey results and clarifying discussions, each major stakeholder group will be assigned to a change readiness level Compare against <u>expected levels</u>: these results will be compared against the previously established expected mappings, and any gaps will be noted. Explanatory text will also be provided to describe the nature of this gap. <p>Note: Appendix D contains a mapping of expected change readiness levels for each VoteCal Project phase.</p>								
<p>Identify Risks to be Tracked and/or Mitigated</p> <ul style="list-style-type: none"> Articulate <u>new risks</u>: based on the survey results and clarifying discussions, any newly identified risks will be added to the master VoteCal Project risk log. Identify <u>mitigation strategies</u>: strategies will be identified to counteract or prevent the risk from realizing. The focus will be on OCM activities that will minimize or eliminate negative consequences to implementation. 	<table border="1"> <thead> <tr> <th data-bbox="667 1331 852 1381">Risks</th> </tr> </thead> <tbody> <tr> <td data-bbox="667 1381 852 1556">Too much, too little communication</td> </tr> <tr> <td data-bbox="667 1556 852 1749">Failure to understand the impact of change</td> </tr> </tbody> </table>	Risks	Too much, too little communication	Failure to understand the impact of change	<table border="1"> <thead> <tr> <th data-bbox="852 1331 1490 1381">Mitigation Strategies</th> </tr> </thead> <tbody> <tr> <td data-bbox="852 1381 1490 1556"> <ul style="list-style-type: none"> Develop and adhere to a formal communications plan that is agreed on by the project stakeholders. Deliver important, relevant and consistent messages through appropriate communications channels. Emphasize stakeholder events (for example, for county officers, managers, supervisors, and other end users) to drive awareness, understanding, and competence. </td> </tr> <tr> <td data-bbox="852 1556 1490 1749"> <ul style="list-style-type: none"> Perform organizational risk and readiness assessment to analyze, understand, and mitigate project risks. Drive early agreement among key stakeholders on the critical aspects of the implementation process and build their commitment and sponsorship. Provide tools to the resources responsible for driving change across counties. Leverage individual leaders and their strengths to promote understanding and acceptance of the VoteCal initiative. </td> </tr> </tbody> </table>	Mitigation Strategies	<ul style="list-style-type: none"> Develop and adhere to a formal communications plan that is agreed on by the project stakeholders. Deliver important, relevant and consistent messages through appropriate communications channels. Emphasize stakeholder events (for example, for county officers, managers, supervisors, and other end users) to drive awareness, understanding, and competence. 	<ul style="list-style-type: none"> Perform organizational risk and readiness assessment to analyze, understand, and mitigate project risks. Drive early agreement among key stakeholders on the critical aspects of the implementation process and build their commitment and sponsorship. Provide tools to the resources responsible for driving change across counties. Leverage individual leaders and their strengths to promote understanding and acceptance of the VoteCal initiative.
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As the initial analysis is conducted during the VoteCal Project’s Design Phase, the tools and dashboard views identified in the three steps above will be fine-tuned to meet the needs of the SOS OCM Team. In

subsequent iterations of the readiness assessment, the tools and dashboard views are expected to remain stable, so that progress against readiness goals and change to risk levels can be clearly identified. The analysis stage is expected to take one to two weeks in both the initial and subsequent iterations.

3.4 Plan

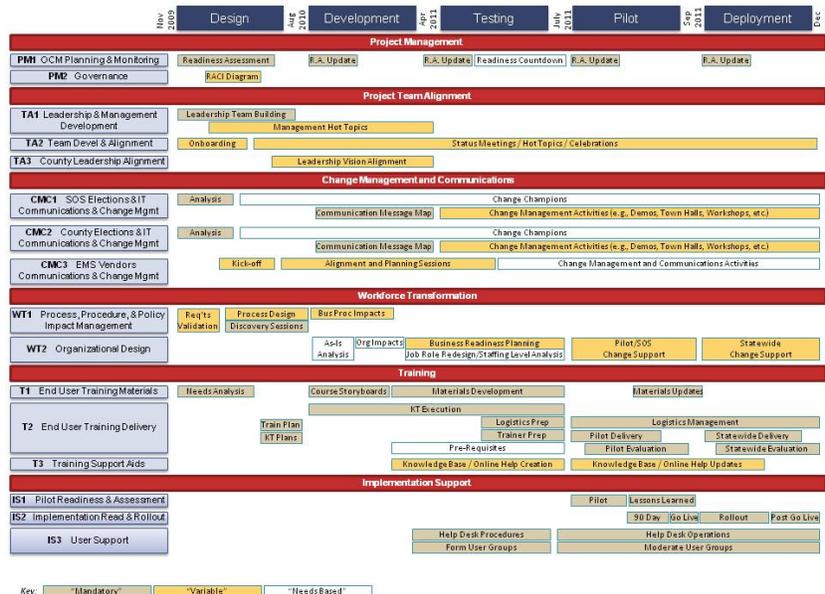
The third stage is to create a detailed work plan for OCM activities in the upcoming project phase. For the assessment completed as part of this deliverable, an initial list of activities and timeframes has been included as Appendix F. For each current/upcoming phase, a more detailed workplan is provided as part of the Plan stage.

Following the completion of the assessment and analysis, the Catalyst OCM Lead, in conjunction with the SOS OCM Team, will develop a work plan that details the activities and assignments to be conducted in the remainder of that project phase. This planning will include review of three types of activities: “mandatory” activities, “variable” activities, and “needs based” activities.

- “Mandatory” Activities: activities that must be conducted for a large system implementation project
- “Variable” Activities: activities that should be conducted in some fashion; vary scale and complexity based on assessment and resources
- “Needs Based” Activities: activities that may or may not be conducted, based on assessed need and availability of resources

The graphic below depicts these three types of activities across all remaining VoteCal Project phases. A copy is also available in Appendix E for a larger view.

Figure 3-4: Plan Stage Activities



As stated above, for each current/upcoming phase, a more detailed workplan is provided as part of the Plan stage. In Section 5, this detailed workplan has been included for the Design Phase. This workplan includes a week-by-week breakdown of OCM activities, along with callout for SOS participation. It is

assumed that the Catalyst OCM Lead will be the primary lead and participant for each activity, unless otherwise noted. A sample of the format for this workplan is shown in Table 3-5.

Table 3-5: Sample Work plan

Week	Activities	SOS Team Input
Week of 12/7	PM1.1: Submission and approval of Deliverable 1.8 version 2.0	SOS Project Management Team (review/approval)
	PM1.2/CMC1.1/CMC2.1: create assessment survey	None (Catalyst)
	PM1.2/CMC1.1/CMC2.1: review and approve assessment survey	SOS OCM Team (30 min review)
	PM1.2: conduct county site visits (LA County)	2 from SOS OCM Team (accompany on visits)
	TA2.2: develop draft team welcome packet	None (Catalyst)
	TA2.3: Bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	TA2.5: develop draft of Who's Who Contact List	None (Catalyst)
	CMC1.2/CMC2.2: update Change and Comm Mgmt plan	SOS OCM Team
CMC2.4: attend CACEO New Law meeting (understand OCM concerns)	TBD	
Week of 12/14	PM2.1: publish Project Team org structure	VoteCal Project Director/Project Manager (finalize/publish)
	PM2.2: review decision-making processes	SOS Project Management Team (review)
	PM2.3: review RACI documentation	SOS Project Management Team (review)
	PM1.2/CMC1.1/CMC2.1: release assessment survey	SOS Communication Lead (send email)
	TA1.1: conduct Planning Phase Lessons Learned session	VoteCal Project Team (attend session)
	CMC1.2/CMC2.2: update Change and Comm Mgmt plan	SOS OCM Team
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)

3.5 Critical Success Factors and Guiding Principles

OCM plays a critical role in the success of the overall VoteCal System deployment. The VoteCal OCM approach helps identify and address people-related risks and issues, and helps users and other stakeholders to transition to the new system, business processes, procedures, and policies.

The following are key elements that are vital for the OCM strategy to be successful:

- Establish leadership agreements on initiative direction and issues;
- Leverage assets and strengths of individual leaders throughout the initiative;
- Set expectations of leadership, division and county management and staff;
- Promote understanding and acceptance through creative communications and promotional campaign activities;
- Carefully understand workforce impact;
- Facilitate non-technical changes (i.e., revised job descriptions, updated organizational structure, staff leveling, etc.)
- Deliver role-based user training -- match future job roles to what employees need to know and do to be effective;
- Provide go-live support leading up to deployment, during the first few days of go-live, and post-go-live; and
- Enable appropriate post-deployment support (i.e., help desk, user groups, etc.).

In pursuing these success factors, the VoteCal Project Team (both SOS and Catalyst) will also follow several guiding principles, including the following:

- Favor live (or live 'virtual') events over written communications whenever possible;

- Engage key leaders at SOS, counties, and other stakeholders;
- Provide targeted but consistent messaging;
- Not too early, not too late; not too much, not too little – Appropriate and properly timed communication and activities are critical;
- Educate and create context at all events/communications;
- Leverage existing and informal communication and message channels;
- Encourage and promote two-way communications;
- Monitor formal and informal feedback; and
- Encourage standardization, but understand differences between users.

3.6 Detailed Organizational Change Management Threads

The following section defines the organizational change management threads that will support the VoteCal Project through the system development life cycle. The threads include:

- Project Management
- Project Team Alignment
- Change Management and Communications
- Workforce Transformation
- Training
- Implementation Support

For each thread, a description has been provided for the thread, as well as the subareas that fall under it. A summary view of the key activities that fall under each of these areas can be found in Appendix A.

3.6.1 Project Management

Managing the OCM needs and responses of the VoteCal Project is critical to the project's overall success. Accordingly, the VoteCal Project Team (both SOS and Catalyst) will include a project management thread as part of the OCM strategy. The project management thread focuses on identifying OCM needs, planning a response to those needs, and continually monitoring feedback to identify and address other human-focused transition needs. The project management thread also is a companion to other PMO activities, including helping to manage the governance processes of the project.

3.6.1.1 PM1 Organizational Change Management Planning and Monitoring

The combined SOS and Catalyst VoteCal Project Team will identify organizational change management impacts early in the design phase and will refine plans to address these impacts. Impacts will continue to be monitored throughout the duration of the project lifecycle, and the execution of the plans will be adjusted accordingly.

3.6.1.2 PM2 Governance

A key component to the overall OCM approach is project governance. Project governance defines how the project will be managed and how decisions will be made. For the VoteCal Project, governance is largely defined in the project management plan. However, there exist several OCM activities which may be beneficial in supporting the VoteCal Project's governance. For example, an organization chart

for the overall project will be developed, showing which team members report to which team leads, and who are counterparts on the team. Likewise, in coordination with the project management plan, the project's decision making processes will be documented. A RACI diagram will also be developed to identify who is Responsible, Accountable, Consulted, and Informed for each decision. Finally, other OCM support may be provided to the team, as needed.

3.6.2 Project Team Alignment

Mobilizing the project staff, project leadership, and county leadership is critical to the success of the VoteCal Project. Each group has an important role in moving the project forward. Separately, each group must work as a team. Collectively, the teams must also work together and have a shared vision. The goal is to provide the teams with the support they need to be high functioning teams.

To prepare for the VoteCal System, the VoteCal Project will conduct a variety of activities that support the leadership and management team's development, the project team's development, and the alignment of county and SOS leadership.

3.6.2.1 TA1 Leadership and Management Development

A leadership team that remains actively engaged, accountable, and visible throughout a project's lifecycle can be the most valuable asset to the project's success. To support this need, activities will be focused on identifying and resolving leadership alignment issues. The team will also conduct other activities to actively build project management skills and form a high-performing team, including lessons learned sessions, team building activities, and leadership development workshops.

3.6.2.2 TA2 Team Development and Alignment

To advance the overall project objectives while minimizing internal disruptions, the VoteCal Project Team (including SOS staff and Catalyst staff) must work together as a high-functioning team. Since the team members have not worked together before, and since new project team members may join at various points in the project, team development and alignment activities are critical to the project's success. Several resources will be created to orient and baseline team members, including a workbook/kit for new team members and updated contact list. Meetings and celebrations will also be conducted through the course of the project to focus on internal team alignment and recognize success.

3.6.2.3 TA3 County Leadership Alignment

For the VoteCal Project to succeed, SOS and county leadership must have a shared vision and be working toward a shared goal. Both parties must agree on the project direction, and must be cooperative in moving forward. To facilitate the shared vision and cooperation, the VoteCal Project Team (both SOS and Catalyst) will conduct a variety of activities aimed at sharing information, communication, and aligning goals.

3.6.3 Change Management and Communications

One of the largest risks in a large-scale system implementation is mistaken expectations by end users, based on miscommunication, rumors, or lack of information. It is important that communication and change management activities be delivered through a variety of vehicles, in a way that is timeline-appropriate and targeted to the user group.

To prepare for the VoteCal System, the VoteCal Project Team (both SOS and Catalyst) will identify, assess, and mitigate communication and change management risks. This will include deliberately

planned, proactive communications that are delivered to all members of a stakeholder group. It will also include change management activities such as monitoring stakeholder feedback and creating interactive activities (e.g. workshops and Q&A sessions) that address the communication needs of pockets of stakeholders.

Note: this section of the OCM Plan is meant to encompass the Change Management activities and demonstrate how these will be integrated with Communication activities. Full details of the Communication Activities can be found in Deliverable 1.2: VoteCal Communications Plan and the SOS Communications Plan.

3.6.3.1 CMC1 SOS Staff Communications and Change Management

The VoteCal Project Team (both SOS and Catalyst) will identify the communication and change management needs of the SOS Elections Division and IT Division staff at the beginning of the project and refresh that assessment at the beginning of each project phase. Based on that assessment, Communication messages will be shaped and a Change Management Plan developed. Those plans will be executed upon through the duration of the project lifecycle, making the necessary adjustments along the way, in order to remain responsive to stakeholder needs.

3.6.3.2 CMC2 County Staff Communications and Change Management

The VoteCal Project Team (both SOS and Catalyst) will identify the communication and change management needs of the County Elections and IT staff at the beginning of the project and refresh that assessment at the beginning of each project phase. Based on that assessment, Communication messages will be shaped and a Change Management Plan developed. Those plans will be executed through the duration of the project lifecycle, making the necessary adjustments along the way, in order to remain responsive to stakeholder needs.

3.6.3.3 CMC3 EMS Vendors Communications and Change Management

The VoteCal Project Team (both SOS and Catalyst) will identify the communication and change management needs of the EMS Vendors at the beginning of the project and refresh that assessment at the beginning of each project phase. Based on that assessment, Communication messages will be shaped and a Change Management Plan developed. Those plans will be executed through the duration of the project lifecycle, making the necessary adjustments along the way, in order to remain responsive to stakeholder needs.

3.6.4 Workforce Transformation

As with any large-scale system implementation, VoteCal will have an impact on how work is completed and who conducts the various tasks. The shift in technology will require changes to business processes, procedures, and policies. In turn, job roles/responsibilities and staffing levels are likely to be affected, which may trigger a broader need for organizational realignment.

To prepare for the VoteCal System, the VoteCal Project Team (both SOS and Catalyst) will identify, assess, and mitigate process, procedure, and policy impacts, as well as organizational design needs at the state and county levels through workforce transformation activities.

3.6.4.1 WT1 Process, Procedure, and Policy Impact Management

The VoteCal Project Team (both SOS and Catalyst) will identify potential process, procedure, and policy impacts early in the design phase and as issues arise through the project lifecycle.

3.6.4.2 WT2 Organizational Design

The VoteCal Project Team (both SOS and Catalyst) will identify organizational structure, job role/responsibility, staffing level, and other organizational design impacts in conjunction with the business process review during the design phase. Additionally, as SOS and counties prepare to deploy the VoteCal System, additional issues may arise.

3.6.5 Training

A major component in reducing implementation risk is providing users with sufficient training “just in time” for the change to a new system and process environment. This is coupled with providing appropriate support tools to allow users to reinforce their training once they are working in the new environment.

To prepare for the VoteCal System, the VoteCal Project will identify the training needs of users, create training materials that support those training needs, and develop the appropriate training aids that will support users in a post-go-live environment. This will all be done in coordination with change management, communication and workforce transition activities, to facilitate consistency of messages and targeting of training based on role.

Note: this section of the OCM Plan is meant to show how Training activities will be integrated into the larger OCM set of activities. Full details can be found in Deliverable 2.10: VoteCal Training Plan.

3.6.5.1 T1 End User Training Materials

The VoteCal Project Team (both SOS and Catalyst) will conduct an assessment of the training needs of all end users in the design phase, and will begin to develop training materials around these prior to the pilot deployment and testing phase. The training courses will be designed and training materials developed in a way that can be continually updated throughout the project lifecycle.

3.6.5.2 T2 End User Training Delivery

The VoteCal Project Team (both SOS and Catalyst) will support a number of training logistics activities, as well as support a train-the-trainer program using either SOS or county staff. The VoteCal Project Team (both SOS and Catalyst) will coordinate and conduct quality control activities, in order to confirm that all end users receive an appropriate training experience that will promote their success.

3.6.5.3 T3 Training Support Aids

The VoteCal Project Team (both SOS and Catalyst) understands that training does not begin and end in the classroom. In order to adequately promote the success of users in the new system and process environment, a number of tools to support end users outside of the classroom will be necessary.

3.6.6 Implementation Support

The rollout of the VoteCal System can be seen in two parts: the technical implementation and the business implementation. The business implementation is no less significant than the technical implementation, in that user and business readiness to use and support the VoteCal System will largely determine public perception of the system’s success. The business implementation is the culmination of

the previously described efforts around Change Management and Communications, Workforce Transformation, and Training, and is the counterpart to Project Management in reducing risk.

To determine business readiness for the VoteCal System, the VoteCal Project will identify, assess, and mitigate rollout-related impacts, as well as develop and implement procedures to support users. In the first thirty days of go-live in the VoteCal environment, additional support will be available beyond normal Help Desk support, including teleconferences and live support as needed. Implementation will begin with a Pilot implementation, and will continue through one year of Help Desk support.

3.6.6.1 IS1 Pilot Readiness and Assessment

The VoteCal Project Team (both SOS and Catalyst) will deliver a pilot rollout of the VoteCal implementation, in order to better understand the challenges that will be encountered in the new system and policy environment. The pilot implementation will include all implementation activities planned and scheduled for the statewide implementation, including preparation activities, assessment of readiness, and post-go-live end user support. Conducting the full scope of implementation activities, combined with a series of lessons learned activities, will serve as input for updating and finalizing the implementation activities for the statewide rollout.

3.6.6.2 IS2 Implementation Readiness and Rollout

The VoteCal Project Team (both SOS and Catalyst) will support statewide implementation through activities in advance of implementation, during cutover, and immediately following rollout. The preparatory activities will guide the key stakeholders (including county staff, EMS vendors, and SOS staff) step-by-step through the process of preparing the business environment to support the new system, and will involve a series of readiness checkpoints. During cutover and immediately following go-live, support will be provided (via conference calls and in-person support) to aid key stakeholders in resolving issues and speeding user adoption.

3.6.6.3 IS3 User Support

Following go-live, end users of the system need to have several mechanisms to resolve questions and issues, as well as to generally receive “help”. The VoteCal Project Team (both SOS and Catalyst) will staff a Help Desk and provide input/oversight to a User Group or series of User Groups. The Help Desk will be staffed with VoteCal experts to answer questions and resolve system issues. A User Group (or series of User Groups) will provide peer-level support to discuss and share ways to improve ongoing operations using VoteCal. In order to make these useful resources following go-live, all User Support efforts will be kicked off in advance of implementation.

4. Current Analysis of Organization Change Management Needs

During the creation of Deliverable 1.8, an initial assessment was completed to document the known human-focused transition needs that will result from the VoteCal Project. This included a baseline understanding of the business process changes and organizational risks for the main stakeholder groups. By conducting this initial analysis during the Planning Phase, the OCM Plan is based on a solid understanding of known changes and concerns that will need to be addressed and/or mitigated, as well as the general concerns for a project of this scope, size and nature. In subsequent phases, further assessments will be conducted to discover additional questions and concerns that need to be addressed, refine our understanding of the impact of business process changes on key stakeholders, and track our progress in addressing these human-focused transition needs.

The currently-understood changes and concerns are presented in Table 4-1. For each of the major stakeholder groups (County Elections Staff, County IT Staff, SOS Elections Division, SOS ITD, EMS Vendors and the VoteCal Project Team), the business process changes are identified and organizational risks are presented in terms of the questions that stakeholders will be asking themselves. For each group, those items are collectively mapped against the OCM activities that will be conducted to address or mitigate these risks.

In all cases the relationship is many-to-many, meaning multiple business process changes/organizational risks from the list will be addressed by a single activity, and multiple activities will be used to address each business process change/organizational risk. This is done intentionally. Each activity will address multiple (logically-grouped) changes and risks, in order to make the content robust and respect the limited time available with each stakeholder group. Changes and risks will also be addressed through multiple activities or venues, understanding that different people have different learning styles and will need to be presented with information in different formats.

In Table 4-1, the following abbreviations are used:

- BP = Business Process Change
- OR = Organizational Risk
- PM = Project Management
- TA = Project Team Alignment
- CMC = Communications and Change Management
- WT = Workforce Transformation
- T = Training
- IS = Implementation Support
- S# and T# also appear in reference to Business Requirements from the RFP

Table 4.1 Planning Phase – Identified Business Process Changes and Organizational Risks

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
County Elections Staff	BP	<ul style="list-style-type: none"> * Voter Registration processing will have <u>new steps</u> added to it / steps re-arranged * Real-time statewide checks for previous registration (S4.2) * Real-time identity verification (S5) * Real-time death and felon matching (S4.17-4.18) * Potential: additional validations/business rules (e.g. new data standards, new verification procedures, new forms) * "Declined" or "Rejected" affidavits must now be input into system to enable SOS to complete EAC reporting (pencil tallies not sufficient or needed) (S2.13, S4.9) * New messages from VoteCal that reject entry in the EMS (S4.11-4.14) * VoteCal will enforce standardization of some elements of data entry (S4.11-4.14) * Voter Registration data entry may <u>take longer</u> than it currently does due to process change * Tasks moved from batch to real-time (additional steps) * Transaction processing, network latency (T4.1, limited to 1 sec/2 sec) * Remediation to the County EMS may involve <u>GUI changes</u> * County participation/input/feedback into GUI changes * Recognize that keyboard shortcuts and quick reference "cheat sheets" may no longer be applicable * Learning curve may result in temporary slower processing * Remediation to the County EMS may involve <u>data standardization</u> in the local election management system * County participation/input/feedback into data standardization * County workload in mapping/scrubbing of data prior to conversion * Learning curve may result in temporary slower processing (e.g. method of registration (S2.17), effective date (S2.19), election code (S18.1), etc.) * Additional QA processes may be needed temporarily to aid in adoption * Data received and/or viewed from <u>other counties</u> may look different * Scanned affidavits/signatures may be at a different resolution level or in a different format (S2.20-2.21) * <u>Additional data</u> may be captured in a standard manner for HAVA, EAC, and UOCAVA requirements (to replace tallies) and reporting data may also be collected seamlessly from existing EMS data, such as: <ul style="list-style-type: none"> * Military and overseas voters: ballots and statuses (S2.32) * Military and overseas voters: qualification and registration details (S2.33) 		TA 3 County Leadership Alignment	CMC2 County Staff Change Mgmt & Comms	WT1 Process, Procedure, and Policy Impact Mgmt WT2 Organizational Design	T2 End User Training Delivery T3 Training Support Aids	IS1 Pilot Readiness and Assessment IS2 Implementation Readiness and Rollout IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS	
County Elections Staff	BP (cont'd)	<ul style="list-style-type: none"> * <u>New vocabulary</u> will be used in VoteCal that may impact EMS's as well <ul style="list-style-type: none"> * e.g. "Search", "Match" and "Report" * e.g. variations on "Pending" (including elimination of "Fatal Pending") * <u>Address update</u> processes will be revised <ul style="list-style-type: none"> * CASS address validation/standardization will result in cost savings for local mailings * Processing of NCOA information may be modified in some counties * Shift of 'official list' <ul style="list-style-type: none"> * PVRDR request functionality may be processed through VoteCal and may involve shifts in interactions with requestors (S26) * Staff workload may decrease as requests shift to the State * VoteCal may present <u>functionality that is new or updated</u> from current county EMS functionality <ul style="list-style-type: none"> * Extract of data from VoteCal for comparison to the data in the county EMS (S8) * Capture of local death record information, separate from CDPH lists (S11) * Provisional ballot information may be entered in support of public website (S20) * Tracking of affidavit issuance for registration drives (S28) * Process voter registration (new and updated) from sources outside of county (such as online registration) and confirmation of voters who transfer out of the county * Capability to view complete voter registration data for potential registration matches outside of county to assist in list maintenance research. * Voter Registration <u>tasks may be split differently</u> than currently, depending on county processes <ul style="list-style-type: none"> * Inclusion of real-time checks vs. batch processing * Entry-level data entry vs. Lead/Supervisor-level review of matches/conflicts * Impact to internal QA processes * Potential shift of some functions that are currently performed at the county level to SOS <ul style="list-style-type: none"> * Printing of Voter Notification Cards (S4.19) * Printing of other voter contacts * Printing of notices to confidential voters (S2.31) * Confirmed change: ROR becomes an SOS-only function, eliminating county roll-up (S24) * Additional printing/monitoring of VIG will shift to SOS (S25) 							

See above (continuation of list)

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS	
County Elections Staff	BP (cont'd)	<ul style="list-style-type: none"> * SOS will <u>monitor additional activities</u> completed by county staff * Pending transfers out of county (S4.21) * List maintenance notices sent to voters (S9.9) * Ability to send dismissed potential matches for re-review, both individually and in batch (S13.6) * Detection of "orphan voters" and "orphan precincts" (S21) * Interaction during the redistricting process (coordination with VoteCal system admins) (S21) * Policy may require <u>temporary staff</u> to be assigned a user-specific instead of generic user ID for auditing purposes <ul style="list-style-type: none"> * Increased workload to establish/maintain/disable in County EMS * Consideration for appropriate user access rights * <u>Training</u> for temporary workers/new staff may be more complex and involve coordination with EMS Vendor and/or SOS * User access rights may be different between the County EMS and VoteCal *Voter data changes may take place outside of county (e.g., re-registration in another county, online registration, high-confidence level matching, etc) <ul style="list-style-type: none"> * Problems may go unnoticed for some time in large counties with high volumes of activity, while smaller counties may notice through routine monitoring * General resistance to "losing control", countered strongly with "freeing up their time" * Counties retain ability to "undo" or "fix" changes that were incorrectly made * Potential increased interaction between counties to resolve disputes; potential need for SOS mediation * <u>Outages</u> at VoteCal may impact the ability to process local Voter Registrations <ul style="list-style-type: none"> * Temporary workarounds to bypass real-time checks * Process for reviewing records after batch process synchronization * Need for process to identify and recover potential lost data from outage * (Potential): <u>Peak workloads</u> in VoteCal (e.g. pre-election registrations, post-election history) may impact processing times <ul style="list-style-type: none"> * Workarounds may be necessary to allow staff to remain productive at this critical time * Concern about poll book printing (delays, crashes, truncated files, etc.) – note ability to do export instead of direct print (S17) 							

See above (continuation of list)

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
County Elections Staff	BP (cont'd)	<ul style="list-style-type: none"> * Users will have new functionality to support <u>researching</u> a voter's identity and history (S3) <ul style="list-style-type: none"> * Policies or procedures may be needed regarding priorities and process for research and resolution of potential matches * Automation of high-quality matches may provide more time for research/resolution of potential matches. * Statewide matching will have enhanced capabilities (S10) for both new/re-registrations and periodic sweeps for duplicates/matches <ul style="list-style-type: none"> * Configurable thresholds will create both automatic processing and manual review (S10) * Once a potential match is dismissed, it will not reappear unless forced for re-review (S13.6) * Notices need to be reviewed/resolved for all 'potential' matches (incl. duplicate sweeps (S10.9). * <u>Incomplete data</u> will be queued for future processing, including "first time federal voters" <ul style="list-style-type: none"> * Requires monitoring of additional queues * May result in more work/confusion at polling places * In some cases, replaces current EMS functionality * <u>Public website</u> will provide new information to voters <ul style="list-style-type: none"> * Public may ask new types of questions to the counties, including not being able to find themselves * County staff may see a reduction in inquiries from voters to determine registration and election status. * County may see a reduction in voter disenfranchisement and Election Day problems due to voter's ability to get information and maintain registration accuracy on-line. * County staff may question the source/accuracy of data * Current county websites may need to be retained for additional functionality (e.g. sample ballots, candidate information) * Counties that currently have a DMV lookup may no longer need that look-up * In general, the VoteCal system is intended to embody the understanding that the Secretary of State is the top authority over the official database of voter registration in the state but that county authority is also respected and supported. * Establishment of user accounts in the EMS may be modified (e.g. more specificity for temporary workers), and new duties for creating user accounts in VoteCal. County staff will be responsible for maintaining user accounts and assigning security roles to users in that county. * There may be changed responsibilities around monitoring/initiating batches and monitoring of error logs * County staff may incorrectly route questions to the County Help Desk, instead of EMS vendor or SOS – need clear triaging standards * There may be an initial increase in workload during transition for researching and resolving potential matches during the data integration into a statewide system, as well as from audit type activities to verify correct system operation. 						

See above (continuation of list)

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
County Elections Staff	OR	<ul style="list-style-type: none"> * How extensive will the changes be to tasks and activities? Will I need a new job classification or job description? Will my role within the Elections team/county staff change? * How will the county receive communications from SOS? Will I still receive information via my Supervisor (or other current process)? * Will I receive task assignments from SOS directly (either new types of tasks or direct queues of work)? Will SOS be monitoring my progress and tell my supervisor how I'm doing? * Is the VoteCal team aware of the elections calendar and our regular duties? Will key project milestones be scheduled around the elections? * General: is VoteCal going to be in place for the foreseeable future, or is there intent to create a new system (e.g. statewide EMS) in another few years? * How do I know that records from other counties are 'good', especially when they look different? * How will I or other counties be involved in decision-making (e.g. Discovery Sessions, CACEO Business Process Standards committee)? 	PM1 OCM Planning and Monitoring	TA3 County Leadership Alignment	CMC2 County Staff Change Mgmt & Comms			IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
County IT Staff	BP	<ul style="list-style-type: none"> * County IT staff (or their contractors) are responsible for maintaining network connectivity between the VoteCal private WAN end point and local users and local EMS software * There will be new hardware and software to interact with / oversee / manage, including supervising remote access maintenance sessions by Catalyst/SOS * There will be new security protocols to implement; must ensure that VoteCal software components have authority to run on a local machine and access appropriate local EMS system interfaces. * Establishment of user accounts in the EMS may be modified (e.g. more specificity for temporary workers), and new duties for creating user accounts in VoteCal * There will be changed responsibilities around monitoring/initiating batches and monitoring of error logs * County staff may incorrectly route questions to the County Help Desk, instead of EMS vendor or SOS – need clear triaging standards 			CMC2 County Staff Change Mgmt & Comms	WT1 Process, Procedure, and Policy Impact Mgmt WT2 Organizational Design	T2 End User Training Delivery T3 Training Support Aids	IS1 Pilot Readiness and Assessment IS2 Implementation Rollout IS3 User Support
County IT Staff	OR	<ul style="list-style-type: none"> * Network security – what assurances will SOS/Catalyst provide that the county is not being exposed to any new security threats? * How will I troubleshoot and resolve network connectivity and communications issues between my county and VoteCal? * How will conflicts between VC connectivity requirements and county IT security policies be resolved? * Will we be losing control of our systems/hardware/network to SOS? Will they be trying to “take control”? * How will the county receive communications from SOS? Will this be direct to me, or filtered through the Registrar/Clerk? Will I be able to speak to the EMS or Catalyst directly, as needed? * General: is VoteCal going to be in place for the foreseeable future, or is there intent to create a new system (e.g. statewide EMS) in another few years? * Is our current hardware and software platform adequate? Who will pay the acquisition or ongoing maintenance and support costs for any necessary equipment? * How do my users report and resolve problems with the system? Who provides that support? 			CMC2 County Staff Change Mgmt & Comms			IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
SOS Elections Staff	BP	<ul style="list-style-type: none"> * During transition, CalVoter and VoteCal responsibilities will <u>overlap</u> and will result in a temporary increase in workload * <u>List maintenance</u> activities will be aided by new tools/functionality in VoteCal (e.g. statewide searches, automated processing, etc.) * SOS will have <u>new responsibilities</u> (e.g., monitor list maintenance activities, queries/reports and mediate county disagreements) and updated responsibilities (e.g. Help Desk) (see also VoteCal Project Team) * <u>Investigation</u> activities will be aided by VoteCal functionality <ul style="list-style-type: none"> * New reports and search functions in VoteCal * View more complete voter histories across counties and inclusion of information (e.g. signature images) * Real-time access to information * The creation of the <u>ROR report</u> will be simplified (also for NVRA, EAC and UOCAVA reporting) <ul style="list-style-type: none"> * Change from compilation of 58 county reports to pulling data directly from VoteCal * Reduction in workload for standardizing data * Change in nature of proofing/formatting (activity still exists, but different steps) * Support for <u>Voter Hotline</u> will change (expected lower call volume due to public website but potentially more complex types of questions) * Expected increase in <u>requests for data trends</u> analysis or increasingly customized PVRDR's * <u>Outreach</u> to the public may change through use of public website (e.g. notifications of key dates, opt-out of mailings, etc.) * <u>Political Party</u> contact information will be tracked (S23) * <u>Affidavit Issuance Tracking</u> will be in VoteCal instead of or in addition to outside system/process (S28) * Potential: SOS may <u>centralize</u> functions that are currently performed at the county level <ul style="list-style-type: none"> * Printing of Voter Notification Cards (S4.19) (S7.7) * Printing of other voter contacts* Printing of notices to confidential voters (S2.31) * Confirm/accept pending transfers out of a county if they have not been accepted by the county for a set number of days (S4.21) * Confirmed change: ROR becomes an SOS-only function, eliminating county reporting of data (S24) * Additional printing/monitoring of VIG may shift to SOS (S25) * SOS will have an increased role in <u>monitoring additional activities</u> completed by county staff and ensure timely resolution of data issues <ul style="list-style-type: none"> * Pending transfers out of county (S4.21) * List maintenance notices sent to voters (S9.9) * Ability to send dismissed potential matches for re-review, both individually and in batch (S13.6) * Detection of "orphan voters" and "orphan precincts" (S21) * SOS will need to update voter outreach activities due to and to inform about the public website * Online registration may actually reduce the frequency, quantity and cost of VRC orders 			CMC1 SOS Staff Change Mgmt & Comms	WT1 Process, Procedure, and Policy Impact Mgmt WT2 Organizational Design	T2 End User Training Delivery T3 Training Support Aids	IS1 Pilot Readiness and Assessment IS2 Implementation Readiness and Rollout IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
SOS Elections Staff	OR	<ul style="list-style-type: none"> * How will I interact with the VoteCal Project team to get information about the status of the project, provide my input, find out about future responsibilities, etc.? Will there be presentations/opportunities for discussion, or is it only through Bruce and Cathy? * What is the process for sharing information with counties or others? If I am asked a question, can I answer it, or do I have to send them to the website? * What new responsibilities will I have in VoteCal? Will my job classification or job description change? * Will any positions be lost or added at SOS in this transition? Will there be any opportunities for promotion? * Will SOS be taking on responsibilities that typically belonged to the counties? How do the counties feel about that and how will that affect my relationship with them? * What role will I play in assuring the public of the 'trustworthiness' of the VoteCal system? What project and ongoing activities will help me develop confidence in the quality of data? 			CMC1 SOS Staff Change Mgmt & Comms			IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
SOS ITD Staff	BP	<ul style="list-style-type: none"> * During transition, CalVoter and VoteCal responsibilities will overlap and may result in a temporary increase in workload * Interaction with county IT staff may increase on items like security and network * SOS ITD will be involved in infrastructure activities (e.g. setting up hardware, establishing network security) along with Catalyst * SOS ITD may act as an intermediary between Catalyst and OTech/DTS(in planning/implementing failover at the Data Center) * Maintenance/Operations functions handled by Catalyst in M&O Year One will eventually transition to SOS ITD * New types of issues/questions may be escalated from the Help Desk 			CMC1 SOS Staff Change Mgmt & Comms	WT1 Process/Policy Mgmt WT2 Organizational Design	T2 End User Training Delivery T3 Training Support Aids	IS1 Pilot Readiness and Assessment IS2 Implementation Rollout IS3 User Support
SOS ITD Staff	OR	<ul style="list-style-type: none"> * How will I interact with the VoteCal Project team to get information about the status of the project, provide my input, find out about future responsibilities, etc? Will there be presentations/opportunities for discussion, or is it only through Brian/John? * What is the process for sharing information with counties or others? If I am asked a question can I answer it, or do I have to send them to the website? * What new responsibilities will I have in VoteCal? What new opportunities might become available? Will my job classification or job description change? * How will I be trained on my new responsibilities? * Will any positions be lost or added at SOS in this transition? * Will we receive complaints/questions related to network and system speed? 			CMC1 SOS Staff Change Mgmt & Comms			IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
EMS Vendors	BP	<ul style="list-style-type: none"> * Remediation may involve GUI changes <ul style="list-style-type: none"> * Degree of change will vary by vendor * Include feedback cycles with both counties (approval/buy-in) and SOS (certification) * Future changes may involve a more extensive re-certification process with SOS * System must accommodate new voter registrations and updates that originate from sources outside the county. * Remediation may involve data standardization in local EMS databases, including facilitation of multiple county interests * Remediation will involve integration with new web services * Remediation will involve data imports in addition to current/modified exports <ul style="list-style-type: none"> * Includes process of synchronizing data between two sources * Includes ability for counties to deliberately keep data out-of-sync (e.g. more detailed minor party affiliation) * Local Roster Printing functions must now be based on state data extracts. * When assisting counties with redistricting, transition to the new voter-precinct-district assignments must be coordinated with VoteCal system admins. * Software release process must be modified to accommodate VoteCal system conversion plan and deployment plans. * Future software releases after regression tests must be regression tested to ensure VoteCal functionality is not affected. * New training requirements as part of remediation, as well as modified training going forward * Increased interaction with SOS Help Desk; Vendor help desks must learn to differentiate between local EMS issues and VoteCal issues for referral * The Motor Voter interface will be enhanced to allow additional electronic transfer following implementation (S6) 			CMC3 EMES Vendors Change Mgmt & Comms		T1 End User Training Materials T2 End User Training Delivery T3 Training Support Aids	IS1 Pilot Readiness and Assessment IS2 Implementation Readiness and Rollout

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
EMS Vendors	OR	<ul style="list-style-type: none"> * Will we be disadvantaged, due to the inclusion of DFM on the VoteCal team? * Will VoteCal mandate changes that could put me at a competitive disadvantage with respect to my competitors? * Is there a risk that our proprietary information could get divulged to our competitors? (especially to DFM, who is part of the SI team) * What opportunities will we have for providing input to the remediation requirements? What opportunities will we have to provide feedback/negotiate? * How can we contribute to communication messages from SOS? Counties are likely to perceive this more as an EMS change than a statewide change, and we are concerned about being blamed for things out of our control? * How will roles and responsibilities/division of responsibilities be communicated to counties? * How/where will I receive information about remediation contracting and payment process? What are the basic guidelines? Where do I get involved? * Will counties be inclined or encouraged to switch EMS vendors as part of this project? Are we at risk of losing customers? Are their opportunities to gain new customers? 			CMC3 EMES Vendors Change Mgmt & Comms		T3 Training Support Aids	IS3 User Support

Group		Business Process Changes / Organizational Risks	PM	TA	CMC	WT	T	IS
VoteCal Project Team	BP	<ul style="list-style-type: none"> * Establishing data standards will involve increased participation from VoteCal staff (including negotiation between counties) * VoteCal staff will help mediate disagreements between counties on specific data record changes * VoteCal staff will have entirely new tools, technologies, processes and procedures to learn * A new role will be created specifically for running queries/reports/data mining – both for cleaning up data/county accountability and for media/management/legislature requests * A new role(s) will be created to monitor counties for timely resolution of data exceptions and potential matches * A new role will be created to provide ongoing training to county staff regarding VoteCal policies & direct system usage. * Help Desk will have an increased volume of calls * Help Desk will have an increased interaction with EMS Vendors when troubleshooting issues 	PM2 Governance		CMC1 SOS Staff Change Mgmt & Comms	WT2 Organizational Design	T2 End User Training Delivery T3 Training Support Aids	
VoteCal Project Team	OR	<ul style="list-style-type: none"> * How do I share information with my SOS colleagues? * What information is appropriate for me to share with the counties and EMS vendors? Do all communications have to go through the Communication Plan approved channels? * What is my role during the project? * When I have competing priorities, who can I talk to about the conflict? * What is my role after the project? * How will I receive information/training about the activities coming up? * What is the plan for knowledge transfer, so that I can maintain the system ongoing? * What role will I be expected to play in implementation? * If I have a close relationship with a particular county, can I provide implementation support to them? 	PM1 OCM Planning and Monitoring PM2 Governance	TA1 Leadership & Mgmt Dev TA2 Team Dev & Alignment	CMC1 SOS Staff Change Mgmt & Comms			IS2 Implementation Readiness and Rollout IS3 User Support

As stated above, Table 4-1 represents the initial assessment of business process changes and organizational risks that the major stakeholder groups will face as a result of the VoteCal Project. This list will continue to be refined throughout the course of the project, specifically through the bi-weekly OCM meetings and in conjunction with the formal assessments done at the beginning of each project phase and for the 3.4 Deliverable. During these assessments we expect to be able to articulate the business process changes in more detail, add to the list of organizational concerns, and focus on the organizational risks/concerns that are particularly relevant given the current stage of the project and level of stakeholder buy-in. That said, we do believe this list to be fairly comprehensive and to represent the major business process changes/organizational risks that we expect to address throughout the entire VoteCal Project. We also expect that the categories of OCM Activities used to address these human-focused transition needs is considered comprehensive and stable and will not change significantly (if at all) during the course of further assessment.

5. Work Plan Overview

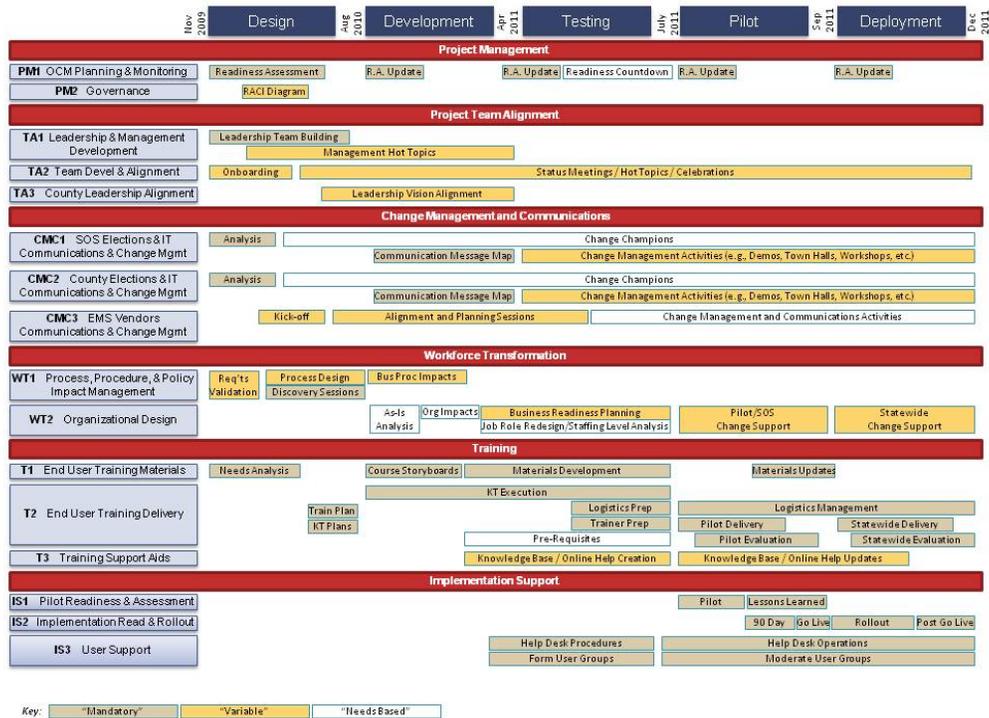
In this section, we will provide both a big picture view of the OCM Work Plan for the duration of the VoteCal Project and for the current and next project phases (Planning and Design, respectively).

5.1 Big Picture – Activities Across the Duration of the Project

In Section 3.6 of the OCM Plan, we identified 6 OCM work threads and 17 sub-areas, that collectively represent a big picture view of how we plan to address the human-focused transition needs associated with the VoteCal Project. Subsequent to creating that big picture view, our initial assessment helped us to narrow in on the specific types of activities and tasks that will best enable us to address the business process changes and organizational risks specific to this project and to these stakeholder groups. Based on the assessment outlined in Section 4, we have created two key documents that identify the 70+ OCM activities that we plan to undertake during the course of the VoteCal Project. The first is a one-page view of how the activities link together; the second is a detailed wall chart that provides the who/what/when/where/why/how of each activity.

The first of these two documents as illustrated in Figure 5-1 and Appendix E is a conceptual view of how the activities will be sequenced under the six work threads and by project phase. Across the left are the six work threads and 17 sub-areas as identified in Section 3.6. Across the top are the five remaining project phases. The body of the graphic includes the major activities shown in sequence and under the appropriate work thread/sub-area. Note that this is meant to be a representational view, and not an exact schedule. Certain activities will have a waterfall orientation (meaning that one will be wrapping-up after the next activity has started), but are shown here as strictly sequential. Other activities which are optional and minor are not shown at all.

Figure 5-1 OCM Activities by Work Thread across all Phases



In addition to the conceptual view, a detailed chart was created that shows a comprehensive view of the who/what/when/ why/how for each activity. This chart, as presented in Figure 5-2 and Appendix F, includes the following columns for each activity:

- | | | | |
|---|---|--|--|
| <p>What/How</p> <ul style="list-style-type: none"> • Work Thread / Sub-Area / ID / Activity • Description • Tasks | <p>When</p> <ul style="list-style-type: none"> • Mandatory/ Variable • Phase (5) | <p>Who</p> <ul style="list-style-type: none"> • Stakeholder • Resources | <p>Why</p> <ul style="list-style-type: none"> • BP or OR focus • Benefits • Triggers |
|---|---|--|--|

The inclusion of the large amount of detailed information through this wall chart is meant to serve multiple purposes. First, it provides detailed documentation of the types of activities envisioned for this project, including explanatory elements such as the description, sample tasks, and stakeholders impacted. Second, it provides planning elements, such as the phase in which the activity is conducted and the resources involved. Third, it provides decision-making criteria, such as whether the element is mandatory/variable/needs based, the benefits, and the trigger for determining the scope of the activity.

Figure 5-2 OCM Activities by Work Thread across all Phases

Work Thread	Activity ID	Description	Mandatory/Variable/Needs Based	Phase					Stakeholder/Resource	Benefits	Triggers
				Design Phase (Apr 07 - Jun 07)	Development Phase (Jun 07 - Sep 07)	Testing Phase (Sep 07 - Oct 07)	Pilot Phase (Oct 07 - Nov 07)	Deployment Phase (Nov 07 - Dec 07)			
Project Management	P1.1	Project Management	Mandatory	█	█	█	█	█	█	█	█
	P1.2	Stakeholder Management	Variable	█	█	█	█	█	█	█	█
	P1.3	Change Management	Needs Based	█	█	█	█	█	█	█	█
	P1.4	Communication	Needs Based	█	█	█	█	█	█	█	█
Business Process	P2.1	Business Process	Mandatory	█	█	█	█	█	█	█	█
	P2.2	Business Process	Variable	█	█	█	█	█	█	█	█
	P2.3	Business Process	Needs Based	█	█	█	█	█	█	█	█

5.2 Focused View – Current and Next Phase

As outlined in the Approach Section 3, at the beginning of each project phase, an ongoing assessment will be conducted that follows the formal Assess-Analyze-Plan approach. The analysis of the complete assessment will provide the VoteCal Project Team (both SOS and Catalyst) with a dashboard view of the risk level for each stakeholder group and track the readiness level of stakeholder groups against expected metrics. Those dashboards will also be used as a key input into the work planning for that phase.

For the purposes of this Phase One Deliverable, we have conducted only a preliminary assessment and have not conducted a complete analysis to the point of creating dashboard views. We are able to use the assessment to create a work plan for Design Phase Two, which will be further refined in the next few weeks as the formal assessment at the beginning of the Design Phase is conducted. Table 5-3 describes the completed OCM activities from the Planning Phase. Table 5-4 describes the anticipated work plan for the Design Phase.

Table 5-3 Summary Work Plan for Planning Phase

Time	Activities
Prior to September 2009	Ongoing budget activity: WT2.2: Submit and update Budget Change Proposal including identification and refinement of SOS staffing needs Feb 2008: CMC1.3: Regional Meetings with California Counties, Q&A on RFP July 2009: CMC2.3: VoteCal Project Kickoff Presentation at CACEO Annual Conference August 2009: WT2.2: Approval of BCP, including preliminary analysis of additional SOS staffing needs August 2009: CMC2.3: VoteCal Kickoff County Regional Meetings
Ongoing, starting Sep 2009	TA2.3: Status meetings TA2.6: Ad hoc meetings
September 2009	PM2.1: Project Charter updated PM2.2: Phase 1 Deliverable review included discussion of decision making processes
October 2009	PM1.1: Submission of DED for Deliverable 1.8 PM1.1: Submission of Deliverable 1.8 version 1.0 TA2.4: October Special Event (Halloween Potluck) CMC2.3: Release Q&A from County Regional Meetings (Aug) CMC2.3: County IT Representatives Regional Presentations
Week of 11/2	PM1.1: Submission of Deliverable 1.8 version 1.1 TA1.3: ISAWS Project Lessons Learned Brown Bag TA2.1: Design Phase visioning session
Week of 11/9	PM1.1: Review and discussion of Deliverable 1.8 PM1.1: Submission and Approval of DED for Deliverable 1.8 PM1.2: BP/OR Assessment meetings for EMS Vendors (detailed with DFM and during county site visits with DIMS) PM1.2: BP/OR Assessment meetings for Counties (during county site visits with Sacramento County and El Dorado County) PM1.2: BP/OR Assessment meeting for SOS Elections Division (Bruce and Cathy) PM1.2: BP/OR Assessment meeting for SOS ITD (John and Brian)
Week of 11/16	PM1.2: BP/OR Assessment during Requirements Validation WT1.2: Requirements Validation Sessions PM1.1: Submission of Deliverable 1.8 version 1.2
Week of 11/23	PM1.1: SOS OCM Team review of Deliverable 1.8 version 1.2, including briefing sessions (all SOS OCM Team) TA2.3: Bi-weekly OCM meeting TA2.4: November special event (Thanksgiving potluck) (all VoteCal Project Team) CMC1.3/CMC2.3: research email inbox and password-protected website (SOS Communication Lead)
Week of 11/30	PM1.1: Submission and discussion of Deliverable 1.8 version 1.3 (SOS Project Mgmt Team) PM2.2: document decision-making process (SOS Project Management Team) PM2.3: develop RACI in conjunction with Integrated Schedule sessions (SOS Project Management Team) TA1.2/TA1.3/TA2.4: Identify schedule of events for Hot Topics and Team Building and Special Events (SOS OCM Team)

Table 5-4 Detailed Work Plan for Design Phase

Week	Activities	SOS Team Input
Week of 12/7	PM1.1: Submission and approval of Deliverable 1.8 version 2.0	SOS Project Management Team (review/approval)
	PM1.2/CMC1.1/CMC2.1: create assessment survey	None (Catalyst)
	PM1.2/CMC1.1/CMC2.1: review and approve assessment survey	SOS OCM Team (30 min review)
	PM1.2: conduct county site visits (LA County)	2 from SOS OCM Team (accompany on visits)
	TA2.2: develop draft team welcome packet	None (Catalyst)
	TA2.3: Bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	TA2.5: develop draft of Who's Who Contact List	None (Catalyst)
	CMC1.2/CMC2.2: update Change and Comm Mgmt plan	SOS OCM Team
CMC2.4: attend CACEO New Law meeting (understand OCM concerns)	TBD	
Week of 12/14	PM2.1: publish Project Team org structure	VoteCal Project Director/Project Manager (finalize/publish)
	PM2.2: review decision-making processes	SOS Project Management Team (review)
	PM2.3: review RACI documentation	SOS Project Management Team (review)
	PM1.2/CMC1.1/CMC2.1: release assessment survey	SOS Communication Lead (send email)
	TA1.1: conduct Planning Phase Lessons Learned session	VoteCal Project Team (attend session)
	CMC1.2/CMC2.2: update Change and Comm Mgmt plan	SOS OCM Team
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 12/21 (holiday)	TA1.2: small team building activity	VoteCal Project Team (attend session)
	TA1.3: deliver first Management Hot Topic	SOS Project Management Team (attend session)
	TA2.2: review draft welcome packet, make updates, release	SOS Project Management Team (review)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 12/28 (holiday)	-Holiday Week-	
Week of 1/4	PM1.2: conduct county site visits (prefer OC – largest DFM – and another SoCal county)	1-2 from SOS OCM Team (accompany on visits)
	PM1.2/CMC1.1/CMC2.1: final reminder on assessment survey	SOS Communication Lead (send email)
	TA1.2: small team building activity	VoteCal Project Team (attend session)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: Password-protected website up and running	SOS Communication Lead /ITD Reps (secure website permissions, create initial design)
	CMC3.2: vision alignment with EMS vendors (prep for conference calls)	SOS OCM Team (input and review)
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 1/11	WT1.4: create initial list of potential policy changes	SOS Project Management Team (input)
	PM1.2: conduct county site visits (make-up week)	1 from SOS OCM Team (accompany on visits)
	PM1.2/CMC1.1/CMC2.1: compile/analyze survey results	None (Catalyst)
	CMC3.2: vision alignment with EMS vendors (deliver conference calls)	SOS OCM Team (deliver)
	CMC3.1/CMC3.4: EMS Vendor Feasibility Phase 1	TBD
Week of 1/18	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
	PM1.2/CMC1.1/CMC2.1: conduct follow-up on survey results, refine work plan	SOS OCM Team (follow-up meetings)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC2.3: make Discovery Session prep docs available to participants in advance (e.g. via password-protected web)	SOS Communication Lead (web update or send email)
Week of 1/25	IS3.2: survey existing user groups	SOS OCM Team (input)
	PM1.2: work plan review	SOS OCM Team (review)
	PM1.2: present readiness assessment results	SOS OCM Team (review)
	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	WT1.3/CMC2.4: Discovery Sessions, Week 1 (including change management messages)	VoteCal Project Team (delivery of messages, participation in sessions)
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)

Week	Activities	SOS Team Input
Week of 2/1	TA1.2: small team building activity	VoteCal Project Team (attend session)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.3/CMC2.4: Discovery Sessions, Week 2 (including change mgmt messages)	VoteCal Project Team (deliver/participate)
	WT1.1: include process discussions in Discovery Sessions	VoteCal Project Team (input to process docs)
Week of 2/8	WT1.3/CMC2.4: Discovery Sessions, Week 3 (including change mgmt messages)	VoteCal Project Team (deliver/participate)
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 2/15	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	WT1.3/CMC2.4: Discovery Sessions, Week 4 (including change mgmt messages)	VoteCal Project Team (deliver/participate)
	WT1.1: include process discussions in Discovery Sessions	VoteCal Project Team (input to process docs)
Week of 2/22	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	WT1.3/CMC2.4: Discovery Sessions, Week 5 (including change mgmt messages)	VoteCal Project Team (deliver/participate)
	CMC3.2: vision alignment with EMS vendors (conference call)	SOS OCM Team (deliver)
	WT1.1 Process Design: include parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 3/1	TA1.2: small team building activity	VoteCal Project Team (attend session)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	CMC3.4: Contract review with EMS Vendors	TBD
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 3/8	CMC3.3: ongoing communications with EMS vendors	TBD
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
	WT1.4: revise list of potential policy changes based on Discovery Session input	SOS Project Management Team (input)
	IS3.2: user group activity	Election Reps (participate/present)/ SOS Communications Lead (messaging)
Week of 3/15	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	WT1.1: include process design parallel with design sessions	VoteCal Project Team (input to process docs)
Week of 3/22	TA1.1/TA3.2: Leadership Vision Alignment (pulse check following Discovery Sessions)	Elections Reps (deliver)/SOS Communication Lead (messaging)
	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.1: Training Needs Assessment development	SOS Training Lead (input)
	T1.5: Knowledge Transfer planning	VoteCal Project Team (input to KT needs)
Week of 3/29	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.1: Training Needs Assessment development	SOS Training Lead (input)
	T1.5: Knowledge Transfer planning	VoteCal Project Team (input to KT needs)
Week of 4/5	TA1.2: small team building activity	VoteCal Project Team (attend session)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	WT1.4: revise potential policy change list with latest information	SOS Project Management Team (input)
	T1.1: Training Needs Assessment review	SOS OCM Team (review)
	T1.5: Knowledge Transfer planning	VoteCal Project Team (input to KT needs)
Week of 4/12	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	CMC3.4: EMS Vendor Feasibility Phase 2	TBD
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.1: Training Needs Assessment finalization	SOS OCM Team (review)
Week of 4/19	T1.5: Knowledge Transfer planning	VoteCal Project Team (input to KT needs)
	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	TA3.3: County Leadership Update	Elections Reps (present)/SOS Communication Lead (messaging)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.2: Training Plan development	SOS Training Lead (input)
	T1.5: Knowledge Transfer planning	VoteCal Project Team (input to KT needs)

Week	Activities	SOS Team Input
Week of 4/26	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	CMC3.3: ongoing communications with EMS vendors	TBD
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.2: Training Plan development	SOS Training Lead (input)
Week of 5/3	TA1.2: small team building activity	VoteCal Project Team (attend session)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.2: Training Plan review	SOS OCM Team (review)
	IS3.2: user group activity	SOS Communications Lead (share information)
Week of 5/10	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	T1.2: Training Plan finalization	SOS OCM Team (review)
Week of 5/17	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	TA3.3: County Leadership Update	Elections Reps (present)/SOS Communication Lead (messaging)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 5/24	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	CMC3.4: EMS Vendors – Request for Comments	TBD
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 5/31	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 6/7	TA1.2: small team building activity	VoteCal Project Team (attend session)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 6/14	TA1.3: deliver monthly Management Hot Topic	SOS Project Management Team (attend session)
	CMC3.3: ongoing communications with EMS vendors	TBD
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 6/21	CMC1.3/CMC1.5/CMC2.3/CMC2.5: updates to password-protected web	SOS Communication Lead (web update)
	CMC2.4: CalVoter I Interim Solution migration lessons learned (Fresno and Napa)	SOS OCM Team (attend conf call)
	TA2.3: bi-weekly OCM meeting	SOS OCM Team (attend meeting)
	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
Week of 6/28	WT1.1 Process Design (may continue)	VoteCal Project Team (input to process docs)
	IS3.2: user group activity	SOS Communications Lead (share information)

As noted in Table 5-4, bi-weekly OCM meetings are scheduled for the duration of the Design phase. During these meetings, the formal assessment will be reviewed, as well as input from other interactions with the stakeholder groups. In response to this additional input, the work plan for the Design phase will be monitored on a rolling basis, to provide confidence that the appropriate activities are in place to be both proactive and reactively responsive to the human-focused transition needs at this stage of the project.

Appendix A – OCM Planning Matrix

Workthread	Area	Activity
Project Management	PM1 Organizational Change Management Planning and Monitoring	PM1.1 OCM Plan (initial and updated)
		PM1.2 Risk and Readiness Management
		PM1.3 Feedback
		PM1.4 Oversight/ Monitoring
	PM2 Governance	PM2.1 Project Management/ Team Organizational Structure
		PM2.2 Document Organizational Decision Making Processes and Style
		PM2.3 RACI Diagram
		PM2.4 Additional Support as Needed
Team Alignment	TA1 Leadership and Management Development	TA1.1 Lessons Learned
		TA1.2 Leadership and Management Team Building
		TA1.3 Leadership and Management Hot Topics
	TA2 Team Development and Alignment	TA2.1 Kick-off
		TA2.2 New Team Member On-Boarding
		TA2.3 Status meetings
		TA2.4 Special Events/ Celebrations
		TA2.5 Who's Who Board and Contact List
		TA2.6 Ad Hoc Meetings
	TA3 County Leadership Alignment	TA3.1 Kick-off
		TA3.2 County and SOS Leadership Vision Alignment
		TA3.3 Status Updates / Advanced Communications
Change Management & Communications	CMC1 SOS Staff Communications and Change Management	CMC1.1 Voice of the Customer Analysis
		CMC1.2 Communication and Change Management Plan
		CMC1.3 Execution of Communications Plan
		CMC1.4 Execution of Change Management Plan
		CMC1.5 Branding
		CMC1.6 SOS Project Champions
	CMC2 County Staff Communications and Change Management	CMC2.1 Voice of the Customer Analysis
		CMC2.2 Communication and Change Management Plan
		CMC2.3 Execution of Communications Plan
		CMC2.4 Execution of Change Management Plan
		CMC2.5 Branding
		CMC2.6 County Project Champions
	CMC3 EMS Vendors Communications and Change Management	CMC3.1 Kick-off
		CMC3.2 Business Partner and SOS Leadership's Vision Alignment
		CMC3.3 Status Updates / Advanced Communications
		CMC3.4 Planning Meetings / Requirements Discussions
		CMC3.5 Invitation to Select Team Events
Workforce Transformation	WT1 Process, Procedure, and Policy Impact Management	WT1.1 Process Mapping/Design Sessions
		WT1.2 Requirements Validation Sessions
		WT1.3 Discovery Sessions
		WT1.4 Revision of Policies
		WT1.5 Form Redesign
		WT1.6 Floor plan/Workspace Analysis
	WT2 Organizational Design	WT2.1 High-Level Org Transition Impact Analysis (County)
		WT2.2 High-Level Org Transition Impact Analysis (SOS)
		WT2.3 Guidance on County Org Design/ Transition
		WT2.4 User Role Mapping
		WT2.5 Job Duty Statement Analysis and Refinement (SOS)
		WT2.6 Staffing Level Analysis (SOS)
		WT2.7 Organizational Structure/Model Analysis and Refinement (SOS)

Workthread	Area	Activity
Training	T1 End User Training Materials	T1.1 Training Needs Assessment
		T1.2 Training Plan
		T1.3 Training Courses
		T1.4 Training Materials
		T1.5 Knowledge Transfer Plan
	T2 End User Training Delivery	T2.1 Training Logistics
		T2.2 Training Evaluations (course & trainer)
		T2.3 Knowledge Transfer Activities (for Project staff and M&O support)
		T2.4 End User Training
	T3 Training Support Aids	T3.1 Training Pre-Requisites
		T3.2 Knowledge Base
		T3.3 On-line Help
Implementation Support	IS1 Pilot Readiness and Assessment	IS1.1 Pilot Implementation
		IS1.2 Pilot Lessons Learned
	IS2 Implementation Readiness and Rollout	IS2.1 Pre-Assessment (as part of sequence planning)
		IS2.2 90-day to Go-Live Readiness Assessment
		IS2.3 Go-Live Prep Events
		IS2.4 Go-Live Support (on-site, phone, centralized)
		IS2.5 Post-Go-Live Survey
	IS3 User Support	IS3.1 Help Desk
IS3.2 User Groups		

Appendix B – Sample Organizational Readiness Survey Questions

The following are sample questions frequently included in organizational readiness surveys. This content will be revised and modified as the Catalyst Team prepares to conduct the readiness assessment.

Sample Change Readiness Assessment Questions

VISION

- I am familiar with and understand the vision of Project Y.
- The vision for implementing Project Y is clear and compelling.
- I understand the need for change due to the Project X implementation.
- I believe the Project X implementation is beneficial.
- I believe Project X is being implemented to meet State/Federal mandates.
- I believe Project X is being implemented to improve service to citizens.
- I believe Project X is being implemented to benefit staff.

LEADERSHIP

- I understand who the executive sponsors are for the Project Y implementation.
- There is sufficient executive-level support for the implementation to be successful in this organization.
- I believe the executives have a commitment to active involvement in communications and education about the change effort.

CHANGE COMMUNICATIONS

- I am motivated to participate in the change effort.
- I am open to changing the way we provide services.
- What do you feel could be the biggest challenges or barriers related to the Project X implementation?
- What is YOUR greatest concern related to the Project X implementation?
- What are some of the best practices you have observed in other offices that enabled success?

BUSINESS PROCESS

- I understand what the transformed “to-be” environment will look like.
- I believe that current job processes will need significant change due to Project X.
- I believe current policies, procedures, practices and operations will support the Project Y implementation.

TRANSITION

- I understand what the road from our “as-is” to our “to-be” vision looks like.
- I understand what programs and functions Project X will affect.
- I understand what is required to make the Project X implementation successful.
- What do you hope to see come out of the Project X implementation?

ORG/WORKFORCE READINESS

- I understand my role and am ready to engage in the transformation effort.
- The Agency has the skills required for successful implementation.
- The organizational skills required to successfully support Project Y after “go-live” exist.
- I believe the Project X implementation will require a commitment to retraining Agency staff.

RESOURCES

- The appropriate time, resources, and priority have been committed to the Project Y implementation.
- I understand and am receptive to the resource needs of the Project Y implementation.
- I believe the technology will be in place to support the Project X Project.
- Who typically coordinates change in the offices?
- What tools, resources or support would help the offices be prepared to implement change?

TEAM EFFECTIVENESS (FOR PROJECT TEAM ONLY)

- Team members communicate directly and openly with one another.
- Team members can set aside personal agendas and biases.
- Our decision- making process is clear to me.
- Team members want to be involved with the project.
- Team members are viewed as valuable and competent by each other.
- Team members are comfortable voicing their opinions in meetings.
- Team members trust each other.
- Team members are respectful of each other.

Sample Communication Questions

COMMUNICATION PREFERENCES

- What type of project team information would you like to receive? (schedule, scope changes, successes, key events, key decisions, milestones progress)
- How often would you like to receive project team information? (weekly, bi-weekly, monthly, quarterly, relational to event/activity)
- How would you prefer to receive project team information? (email, voicemail, newsletter, meeting, blog/website, conference call)
- What's the most effective way to gather your input/feedback? (survey, email suggestion box, focus groups, voicemail hotline)
- What are the greatest challenges faced when receiving and/or sending important information throughout the organization?
- I have enough time each day to read all my e-mails including bulletins, broadcasts, newsletter, etc.

COMMUNICATION MESSAGES

- I understand most of the communications I receive from the agency (including bulletins, broadcasts, newsletters, etc.).
- I receive enough information to help me quickly adjust to the new way of working after a major change happens (such as policy or system changes.).
- I receive information far enough in advance to help me adapt to major changes (such as policy or system changes.).
- My supervisor or manager has clearly communicated to me what the vision of this organization is and my role in it.
- I am very clear about what is specifically expected from me as a result of the changes (such as policy or system changes.).
- I know where to go to get answers to my questions about major changes happening in the agency.
- When the agency undergoes a change in policy, processes or systems, I receive frequent feedback on how I am doing at implementing those changes.
- I feel safe asking my supervisor questions or voicing my concerns when the agency implements a change that affects me.

Sample Training Questions

- What type of training do you prefer (in-person, online, self-paced, etc.)?
- What types of documents do you use for ongoing help and support (online help, manuals, reference cards, etc.)?
- How often do you receive training from your EMS Vendor (monthly, annually, only once)?
- Have you received formal training on business processes in place in your county?

Sample Workforce Questions

- Do you have a clear understanding of all responsibilities assigned to you relative to elections and voter management?
- Do you feel pulled in multiple directions between elections/voter registration duties and other clerk duties?
- Do you feel that staffing levels are appropriate for the duties assigned to your office?

Appendix C – OCM Risk Level Maturity Model

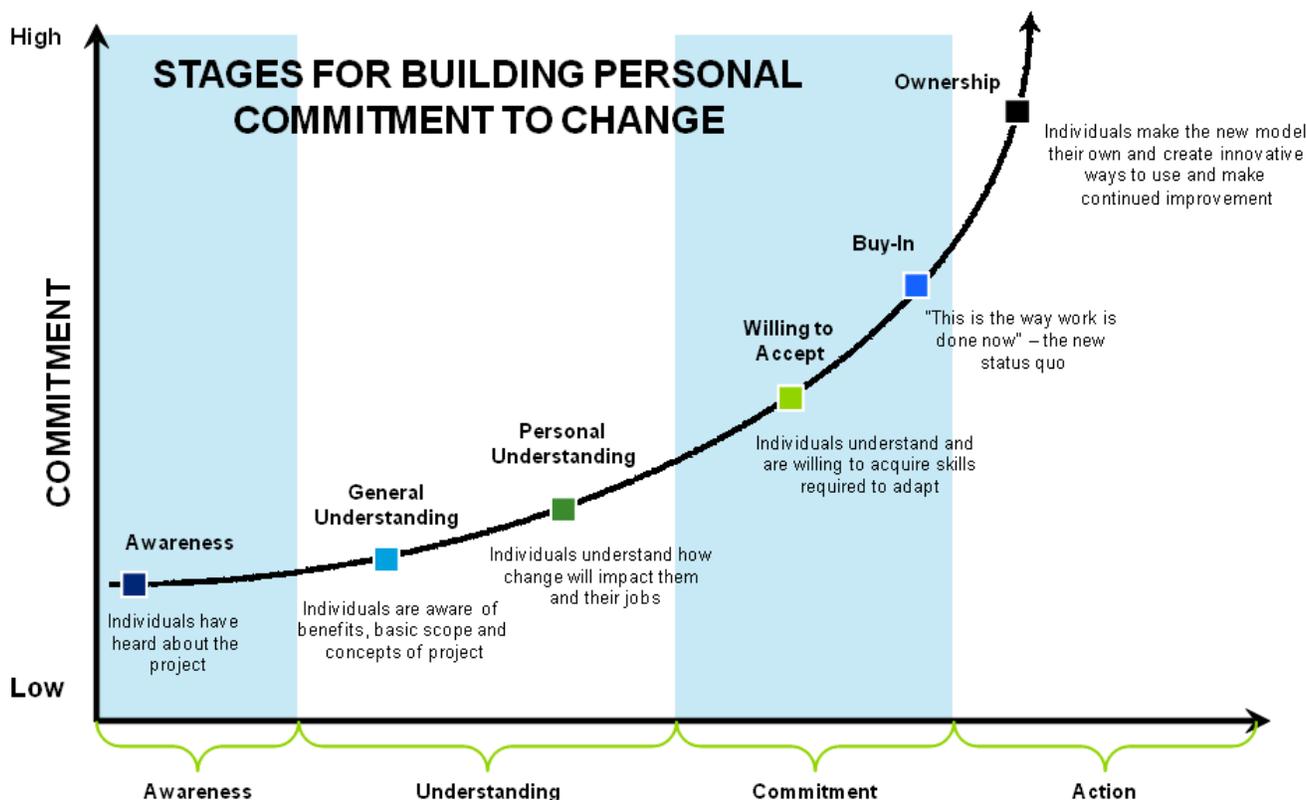
The following OCM Risk Level Maturity model describes the characteristics of each risk level. This model will be used as a guiding document when quantifying risk levels.

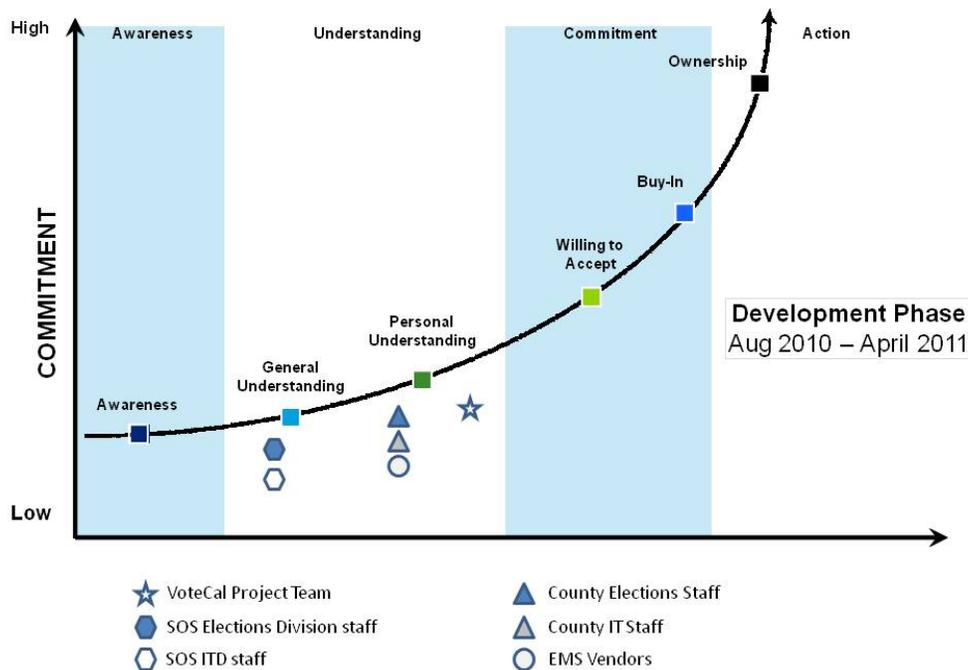
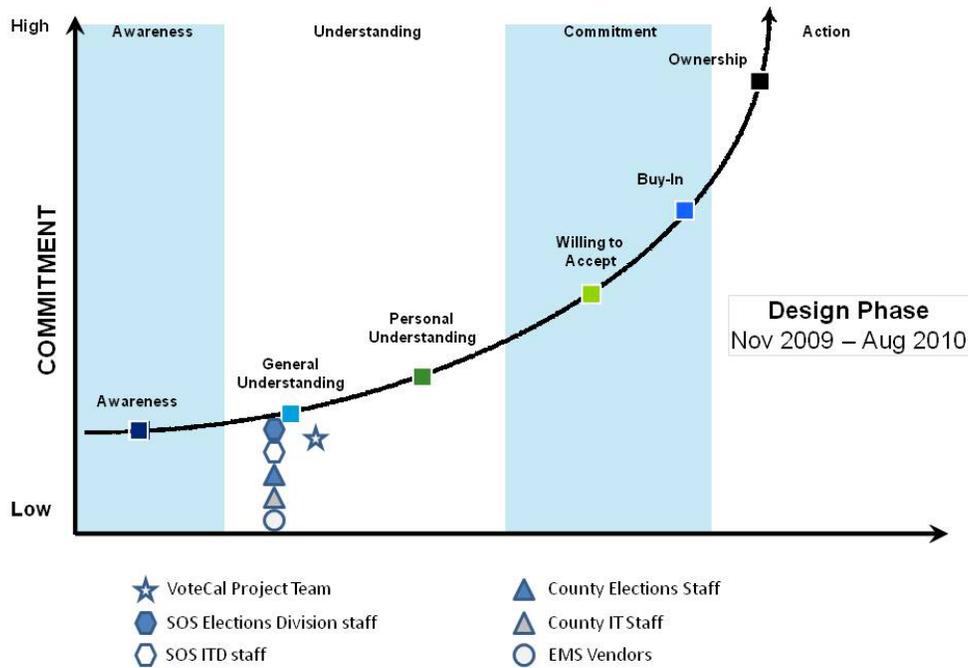
	Success Measures	Red (Significant Risk)	Yellow (Moderate Risk)	Green (Limited Risk)
Project Management (elements for OCM Success)	<ul style="list-style-type: none"> • Clear project governance and decision-making structures have been followed • Risks have been proactively identified and addressed • Organizational roadblocks have been removed 	<p>Within the PM team, it is unclear who the decision-makers are and what roles people fill. Decisions are being delayed or conflicting direction is being given to the project team and stakeholders.</p> <p>Readiness Assessments are conducted on a sporadic basis and are not very detailed. There is a vague understanding of stakeholder readiness, but the understanding is not specific enough to use as a basis for tailoring OCM activities.</p>	<p>The Project Management team members each understand their role, and they are able to make decisions within their area of responsibility. However, delays are encountered when a group decision is needed.</p> <p>Readiness Assessments are conducted periodically and provide a fair amount of information on stakeholder readiness. OCM activities are somewhat tailored to readiness and risks.</p>	<p>The Project Management team has clearly defined roles and responsibilities. Stakeholders understand who makes decisions, and the group provides a unified front. Messaging is consistent from all members.</p> <p>Readiness Assessments are conducted at regular intervals, and are robust in nature. The SOS OCM Team understands the concerns with each stakeholder group; OCM activities are in place to meet readiness goals and mitigate implementation risks.</p>
Project Team Alignment	<ul style="list-style-type: none"> • (Cohesive Group) • (Stakeholder points of contact) • Necessary changes have been made to sustain the new environment 	<p>The Project Management team is not functioning as a cohesive group; individual roles are confused leading to the team working at cross-purposes. There is little understanding of the big picture of the project, and individuals do not understand how they contribute to the greater success of the project.</p>	<p>The Project Management team is not “high performing” as a group, but individual team members are functioning well in their roles. There is some understanding of how roles fit together into the big picture, but the team sometimes works at cross-purposes.</p>	<p>The VoteCal Project team is considered “high performing” both within the group and to the rest of the project team. Each team member has a clear understanding of the big picture and the team works well together to support their individual and group responsibilities.</p>
Change Management and Communications	<ul style="list-style-type: none"> • The full impact of the change has been well-understood and well-planned-for • End users embrace the new system and business processes 	<p>Significant concerns in three or more of the following areas, by two or more stakeholder groups:</p> <ul style="list-style-type: none"> • Value Proposition • Vision Focus • Competing Initiatives • Stakeholder Resistance • Sponsorship • Stakeholder awareness of plans for: training, organization/ infrastructure, migration plan 	<p>Moderate concerns in several of the following areas, by one or two stakeholder groups:</p> <ul style="list-style-type: none"> • Value Proposition • Vision Focus • Competing Initiatives • Stakeholder Resistance • Sponsorship • Stakeholder awareness of plans for: training, organization/ infrastructure, migration plan 	<p>Minimal concerns in none or one of the following areas, by one or two stakeholder groups:</p> <ul style="list-style-type: none"> • Value Proposition • Vision Focus • Competing Initiatives • Stakeholder Resistance • Sponsorship • Stakeholder awareness of plans for: training, organization/ infrastructure, migration plan

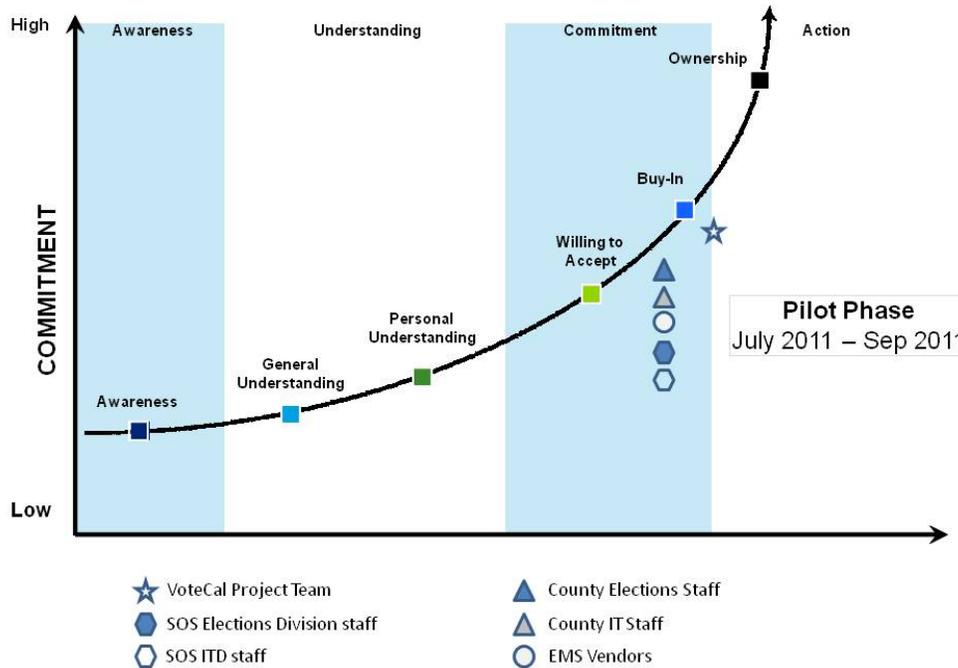
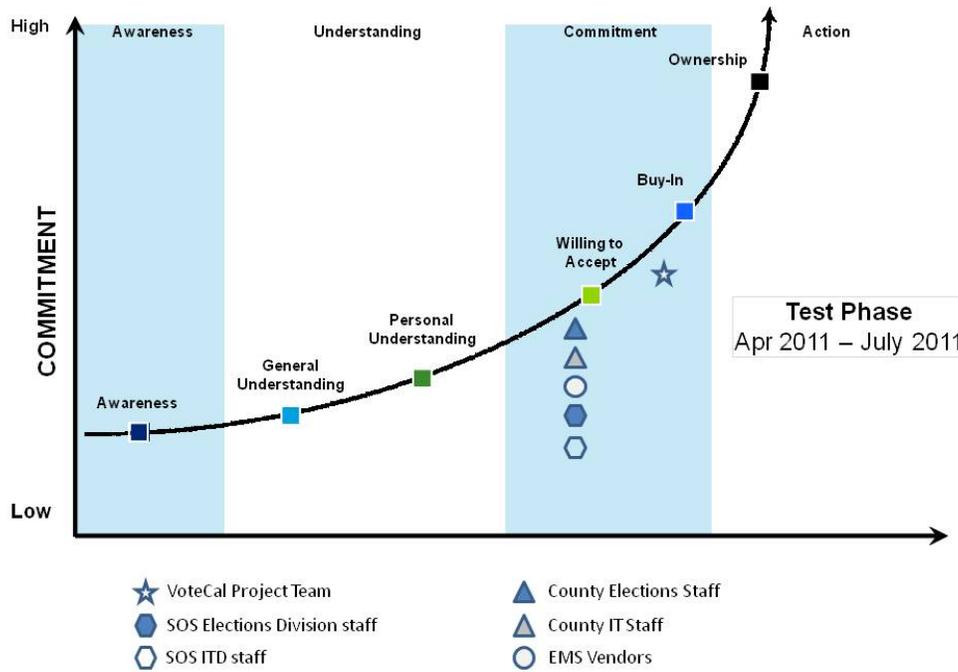
	Success Measures	Red (Significant Risk)	Yellow (Moderate Risk)	Green (Limited Risk)
Workforce Transformation	<ul style="list-style-type: none"> Stakeholders clearly understand their roles and responsibilities and how the change specifically affects them The organization structure has been updated to address changes from the new environment 	<p>The SOS Elections division does not have a clear vision of which staff will complete tasks in VoteCal, and whether any changes in staffing levels are necessary.</p> <p>County Elections staff have not evaluated the impact of VoteCal tasks to their current workload.</p> <p>Neither the SOS Elections division nor County elections staff have an understanding of process changes beyond system actions/tasks.</p>	<p>The SOS Elections division has a fair understanding of the tasks and processes required in VoteCal; assignments have been made to staff, but there is not a clear understanding of the impact to workload.</p> <p>County Elections staff have a fair understanding of the tasks and processes required in VoteCal. Current staff have been assigned, and some mitigation strategies may be in place to handle additional workload.</p>	<p>The SOS Elections division has a clear understanding of the tasks and processes required in VoteCal and have assigned those duties to staff; new staff has been hired as necessary to meet workload demands.</p> <p>County Elections staff has a clear understanding of the tasks and processes required in VoteCal and has assigned those duties to staff; workload has been reviewed and duties reassigned or new staff brought in to handle expected increases.</p>
Training	<ul style="list-style-type: none"> Employees know how to use the system Employees know where to get additional project information and system support The project team maintains internal capabilities to sustain the change at the end of the project 	<p>Training has been completed by a portion of VoteCal end users and there is no plan to finish training the remainder. Training was focused on system functionality and does not provide users with a comprehensive view of the new policy and system environment.</p> <p>A Knowledge Transfer plan was not created, or is incomplete. Knowledge Transfer activities have not been conducted formally.</p>	<p>Training has been completed by the primary VoteCal end users and there is sufficient time remaining to train the rest. Training focused primarily on system functionality, but provided some information on revised processes to support system use.</p> <p>A Knowledge Transfer plan was created and was partially implemented, but major milestones have been missed.</p>	<p>Training has been completed for the majority of VoteCal end users and there is a plan in place for completion. Training covered system and process information, and users are equipped to use support tools for ongoing learning.</p> <p>A Knowledge Transfer plan is in place and is being enacted to prepare for ongoing system maintenance.</p>
Implementation Support	<ul style="list-style-type: none"> End users understand and follow the new business processes End users are prepared to do their new job on day one 	<p>A pilot was conducted, but lessons learned were not formally collected, and were only minimally addressed in updates.</p> <p>End users have a partial understanding of how to translate system training and project communications into day one duties. Some end users have some awareness of support mechanisms.</p> <p>Some other stakeholders (e.g. interface partners, EMS vendors) are prepared to support the new system/processes, but communication is not clear and open with the Project Team.</p>	<p>A pilot was conducted and lessons learned were collected, but were only partially updated in the statewide implementation plans.</p> <p>Most end users have a decent understanding of how training and communications translate to the day one environment. Most end users know what support mechanisms are available.</p> <p>Most other stakeholders (e.g. interface partners, EMS vendors) are prepared to support the new system/processes, but communication is somewhat unclear.</p>	<p>A pilot was conducted and all lessons learned were addressed in an updated implementation approach.</p> <p>End users understand the new system and process environment and are prepared to do their duties on day one. Most employees are prepared to utilize the self-support and Help Desk functions.</p> <p>All other stakeholders (e.g. interface partners, EMS vendors) are prepared to support the new system/processes, and open lines of communication have been established to resolve potential issues.</p>

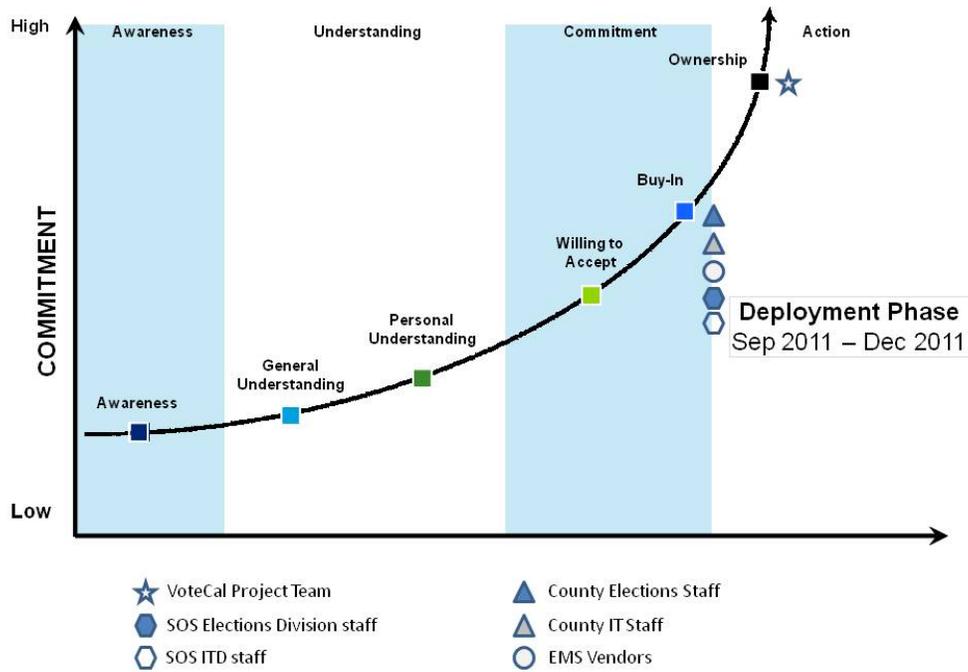
Appendix D – Anticipated Change Readiness Acceptance Levels

The Anticipated Change Readiness Acceptance Levels map each stakeholder to anticipated level of change readiness during each VoteCal Project Phase.

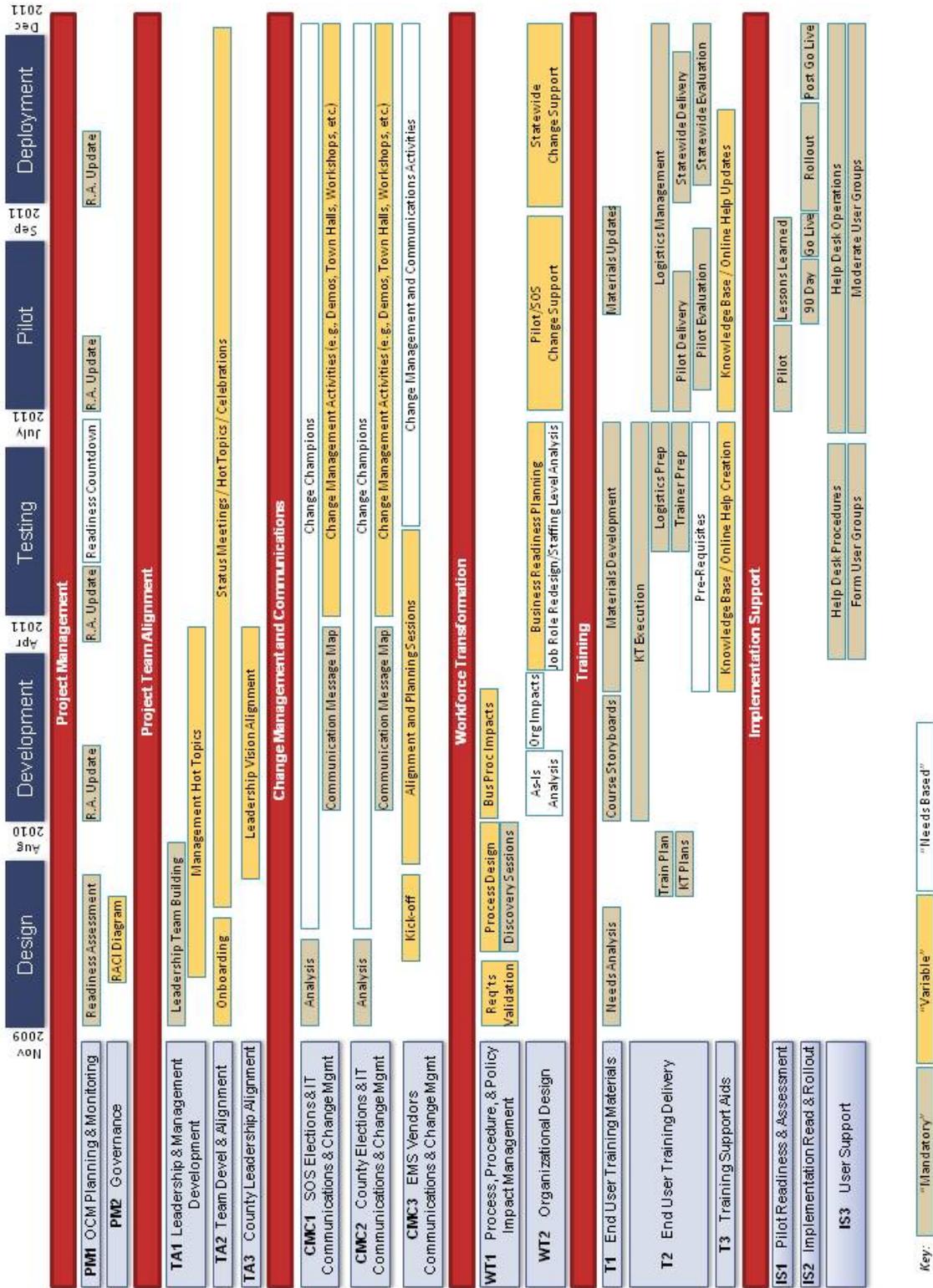








Appendix E – VoteCal OCM Activities by Phase



Appendix F– VoteCal OCM Activities Wall Chart

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