



IT Change-Readiness Program: **Culture** **Pre-Assessment Guide**

GSA's Center of Excellence (CoE) Innovation Adoption (IA) practice created this resource to help prepare you with the initial methods to address your organization's readiness for change and identify how culture might impact change.



Centers of Excellence
Resources & Advisory Support



Modernization = Change. Are you ready?

Understanding readiness for change and how your culture impacts change will influence successful technology adoption and sustainability.

Your IT modernization may involve:

- Launching a new enterprise solution
- Launching a new tool or application
- Becoming a more data-driven organization
- Undergoing a cloud transformation
- Sunsetting a legacy technology

Overview

This section includes information about:

- Defining Innovation Adoption (IA)
- The IA practice at the CoE
- The C3 framework
- Decisions and actions of the pre-assessment process



What is Innovation Adoption (IA)?

IA is an approach that integrates **Organizational Change Management (OCM)** with evidence-based behavioral approaches and intrapreneurial strategies.

- **Organizational Change Management (OCM)** refers to the practice of helping an organization move from their current state to a desired state, often oriented around a specific, timebound change, but extending beyond that narrow scope and timeframe.
- **CoE's Innovation Adoption practice** layers innovation practices and intrapreneurial practices in with traditional OCM methods to uniquely position change as a market-focused shift in providing new products and services.
- **IA also leverages evidence-based disciplines outside traditional OCM**, such as behavioral science, infusing greater rigor and more modern techniques into a transformation challenge.
- **IA at the CoE brings knowledge of Federal communities** so we can partner with the right stakeholder and 'helpers' inside and outside our partner organizations.





Understanding Culture is the First Step.

It is foundational to getting on the right track for successful change.

- **The CoE IA Practice utilizes the C3 framework (Culture, Conditions, and Capabilities)** as part of its Change Readiness Program to understand which factors in the organizational environment help or hinder your modernization initiative, then address the most important factors to improve the likelihood success of your initiative.
- **Each element of the framework is connected, and helps you understand different aspects of an organization's environment.** Understanding culture is the first step in the C3 framework because it is so powerful and permeates the entire ecosystem of work.
- **The Culture Pre-Assessment Guide is designed to help you prepare for a useful culture assessment.** We show you how culture connects to Diversity, Equity, Inclusion, and Accessibility (DEIA), what artifacts (data and information) to gather, why it is important, examples, considerations, where to find them, how to identify your key stakeholders, and how to use this information to move forward.

Change Readiness Approach: C3 Framework

Our approach includes an assessment of the following change readiness factors:





Culture Pre-Assessment Guide

Use this guide to understand change readiness and culture.

Section 1

Identify your change position: Find yourself and your organization on the technology change curve and determine your readiness for change.

Pages 9 - 14

Section 2

Pre-determine your culture challenges and culture type: Identify your organization's culture challenges and understand why they are important. Review scenarios to determine your organization's culture type.

Pages 15 - 27

Section 3

Prepare to assess your culture: Build the foundation for a strong culture pre-assessment by identifying key information and stakeholders in your organization. See **Artifact Collection and Review** on pages 28 - 32 and **Stakeholder Identification** on pages 33-40.

Pages 28 - 55

Section 4

Get ready for next steps: Guidance on the next steps in the culture assessment process, our advisory support model and additional resources.

Pages 56 - 59



Identify, Prepare and Act.



This guide will help you make preparatory decisions and take pre-assessment actions. In each section you will be able to:

Section 1

- Determine where you see yourself when it comes to adopting new technology and new ways of working.
- Assess where you believe your organization is (leadership, team, IT office) when it comes to change.
- Describe key factors that might help or hinder your organization's ability to be ready for coming change.

Section 2

- Identify your organization's key culture challenges.
- Select the culture type scenario that aligns best with your organization's current state.
- Describe the key considerations that apply to your organization and the impact they may have.

Section 3

- Collect and review key artifacts to help you understand your organization's culture.
- Identify key stakeholders who should be engaged in your full Culture Assessment data collection effort.

Section 4

- Learn about optional support services and resources that will be beneficial for you.

Section 1

Identify your Change Position.

Understanding your change readiness is very specific and tailored to your organization.

This section includes concepts to help you consider three key questions. In relation to IT modernization ...

How ready are you for change?

How ready is your organization for change?

How does culture impact change readiness for your modernization initiative?



Introducing the Change Curve

Different factors impact how people experience change.

Adopted from the Diffusion of Innovation Theory by Rogers (1962), the change curve is one way to understand how ready an organization is for change. It can also be used to inform where you may need to target attention during the assessment phase. The following factors might impact where you and your organization are on the change curve:

- Current state of dissatisfaction with a technology, tool, process, or way of working
- Most prominent memories about prior change efforts
- Level of leadership and staff engagement in past and current change efforts, and level of change fatigue
- Trust in who is delivering the change and change message
- The degree or distance between the current state and the proposed future state; incremental change vs. radical change
- General attitudes about change from leadership, staff and union members



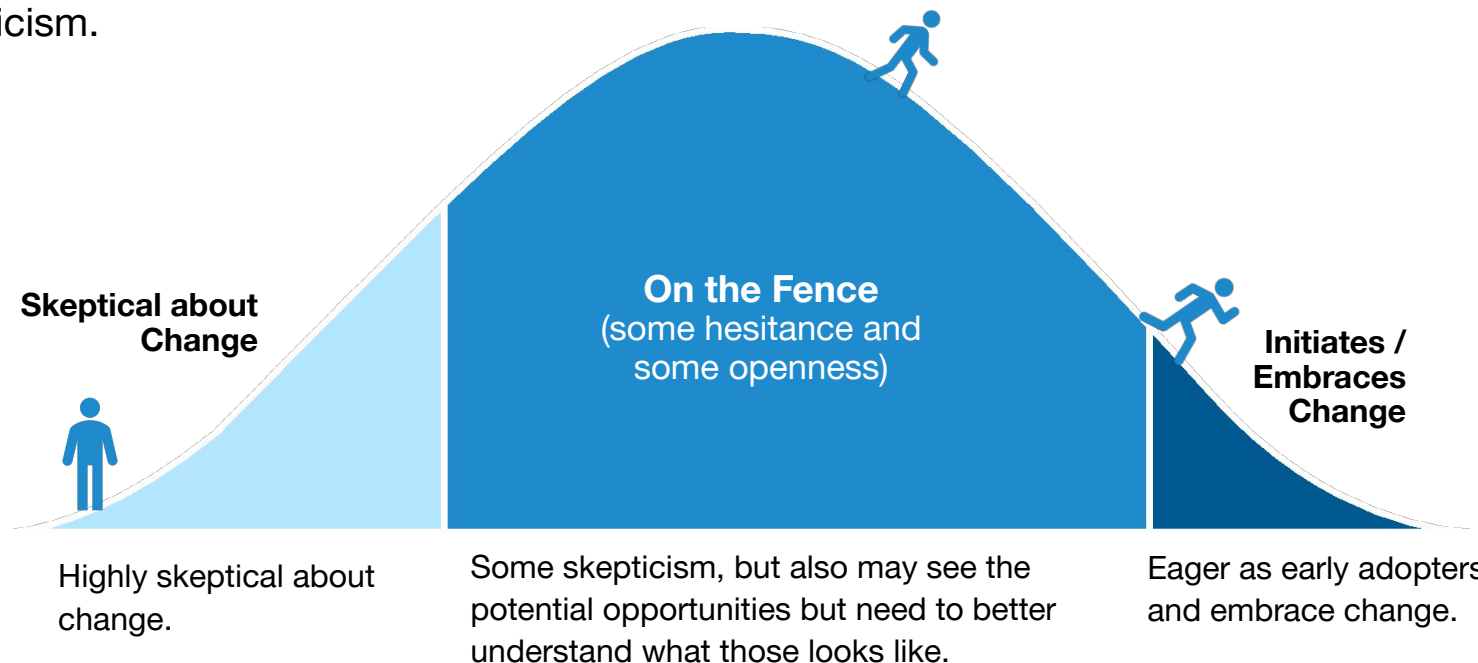
Change Curve: You

How willing are you to adopt new and modern technology?

First, identify your position on the Change Curve* below. Your attitude towards change may impact your approach, experience and appetite for change. This guide will help you ask questions and interpret data. The curve is a spectrum. While the most common reaction to change is skepticism, there can be varying degrees of skepticism.

Where do you see yourself on the change curve?

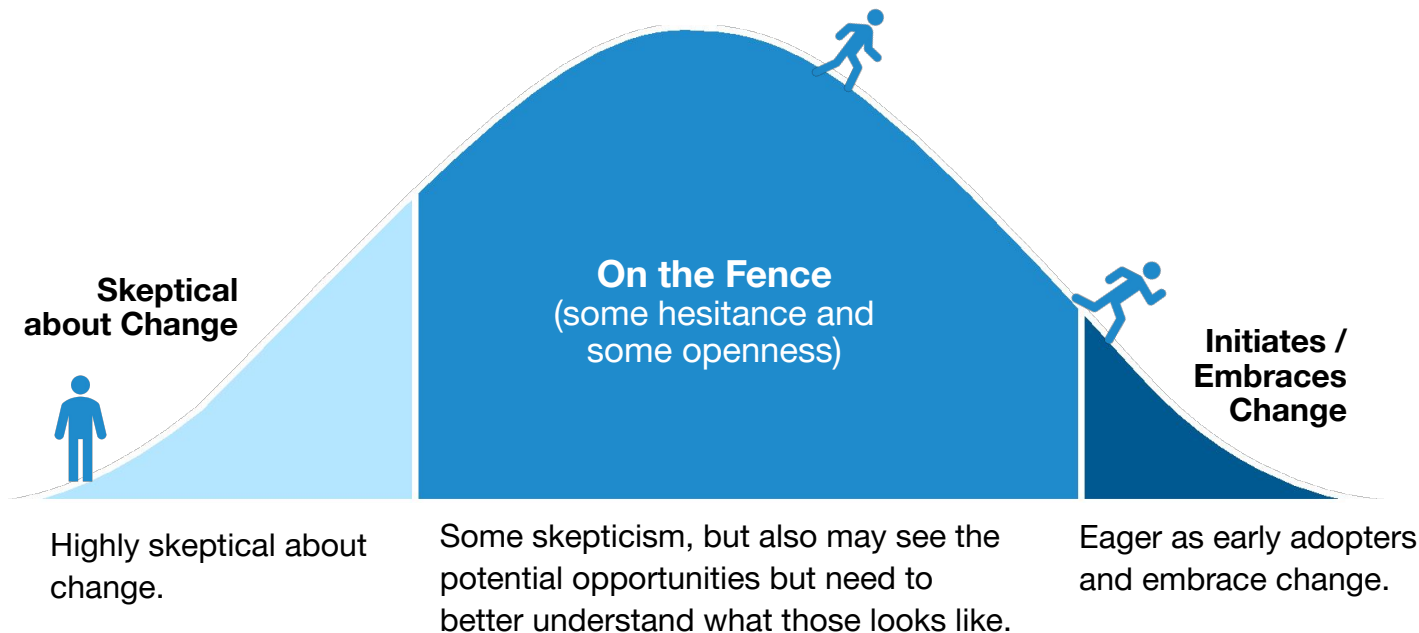
**Change curve adopted from the Rogers diffusion of innovation theory*



Change Curve: Your Organization

How willing are people in your organization to adopt new and modern technology?

Next, identify your organization's position on the Change Curve* below. Remember, the curve is a spectrum, and the most common reaction to change is skepticism, but that degree of skepticism may be different.



Where do you see your division on the change curve?

Where do you see your IT/technology office on the change curve?

Where do you see your organization** on the change curve?

**Change curve adopted from the Rogers diffusion of innovation theory*

***Organization may be defined as your agency level, component agency level, program office, or bureau level. Please select the position that best represents your organization.*

Is your Organization Equipped for Change?

The tools and support available impact the success of modernization efforts.

Check the box that best completes the sentence. Three or more checkmarks in the middle and right columns may indicate a more mature level of readiness and support structure. More on the left may indicate a need for additional resources to support the initiative.

When it comes to having...

1. ... an appetite for change...

- ☐ staff generally resist.
 ☐ staff are undecided.
 ☐ staff embrace new ways of working.

2. ... Organizational Change Management (OCM) methodology and tools...

- ☐ we have none.
 ☐ we have some.
 ☐ we incorporate OCM Methodology in all Modernization projects; we use the OCM Toolkit.

3. ... change management staff available...

- ☐ we have none.
 ☐ we have some.
 ☐ we have a dedicated OCM lead with communications and training support staff.

4. ... leadership engagement and sponsorship for change efforts...

- ☐ we have none.
 ☐ we have some.
 ☐ our sponsor “walks the talk” and advocates for OCM.

5. ... IT managers with a deep understanding of our work environment...

- ☐ we have none.
 ☐ we have some.
 ☐ we have managers with extensive knowledge.

Key Decisions and Actions – Identify your Change Position

You learned about the change curve, made some initial assessments about change for you and your organization, and are now ready for the next steps.

You reviewed...

- ✓ Your position on the technology change curve.
- ✓ Your organization's position on the change curve.
- ✓ How well positioned your organization might be for change.



You identified...

- ✓ Where you see yourself when it comes to change and adopting new technology and new ways of working.
- ✓ Where you believe your organization is (leadership, team, IT office) is when it comes to change.
- ✓ Key factors that indicate your organization's current level of support.



Next steps...

- ✓ Pre-identify challenges in your organization's culture.
- ✓ Validate your assumptions and decisions to identify what's true for your organization.
- ✓ Complete section 2 and 3 in this guide to confirm your initial assessment and assumptions.

Section 2

Pre-determine your Culture Challenges and Culture Type.

This section will help you answer the following questions:

In relation to IT modernization ...

What is culture?

What are its impacts on change?

What are our main culture challenges?

What is our culture type?



What is Culture?

Assessing culture means assessing:

- **What people think**
 - How embedded is the vision and how connected do staff feel to the Vision
 - How staff see Values play out in their work
- **How people work**
 - Practices
 - Relationships
 - Language
 - Psychological Safety



“The sum of values and rituals which serve as ‘glue’ to integrate the members of the organization.”

— Richard Perrin

Understanding the Impact of Culture

There are six core elements of culture that most impact change and modernization.

Knowing more about them will help you understand your culture and reveal important data points throughout the course of the assessment. Refer to the following definitions and examples of what they look like at GSA.

1. Vision

The aspirational North Star
– serves as a foundational element of its culture.

2. Values

Fundamental beliefs – serve as guidelines on the behaviors and mindsets needed to achieve the vision.

3. Practice

Operating principles, norms, workplace expectations and assumptions on how an org lives up to its values.

4. Relationships

Interpersonal and group dynamics
– how people function with the hierarchy trust, and how information is shared.

5. Language

Connects people and ideas, from formal business writing to informal messages and oral communication.

6. Psychological Safety

Shared belief held by members of a team that others on the team will not embarrass, reject, or punish you for speaking up.



Critical Components of Organizational Culture

The focus of this guide is on elements of an organization's culture that may impact, help, or hinder IT modernization efforts.

This guide will not provide a comprehensive view of your culture. Rather, this guide focuses on elements of culture that most impact your organization's modernization efforts.



Viewing the process through the lens of DEIA is essential to ensure that the data collected around modernization culture is inclusive and reflective of diverse perspectives across your organization.

Opportunities to focus on DEIA in this Pre-Assessment Guide include:



Considering IT modernization cultural challenges

- How might DEIA impact or influence modernization culture challenges?



Ensuring your stakeholder assessment is inclusive and representative of the diversity of thoughts and perspectives.

- How are you identifying key stakeholders?
- Who might be missing or not represented?
- How are you considering accessibility needs with your modernization?

Critical Components of Organizational Culture

DEIA at TTS is defined as follows:

Accessibility considers ability to access the tools and capabilities that allow for equal and full participation

At TTS this means providing reasonable accommodations, training for best practices and manual testing, developing and procuring accessible software, supporting the Section 508 team and their responsibilities and flexible work schedules.

[More on DEIA approach and initiatives at TTS](#)

Diversity centers the representation of voices and experiences. At TTS, this means org-wide and leadership demographics, career progression, and programming. TTS plays a key role in developing the government's digital products and services. It is imperative that the diversity of our team reflects that of our country.



Equity implores us to examine the impacts of the structures and systems that govern our policies, processes, and decision-making

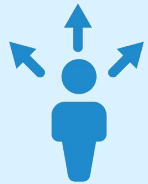
At TTS this means special opportunities and awards, promotions and pay, and performance reviews.

Inclusion belonging focus on the culture of the workplace environment. At TTS this means offering special opportunities and awards, promotions and pay, performance reviews.

Impacts of Culture on Change

Understanding the impact of culture informs change strategies and sets the stage for successful technology user adoption.

It can either hinder modernization efforts, or help move it forward and create sustainability. Culture...



affects involvement

and how receptive users may be to modernization efforts.



informs deployment

and the structure of the teams delivering IT modernization.



drives behavior

and impacts the organizational environment.



reinforces and encourages

behaviors that sustain modernization efforts.

Challenges in Culture



Based on our experience and research, there are eight common cultural challenges that occur most frequently in IT modernization initiatives.

A. Resistance to change/new ways of working

B. Lack of confidence in the IT office by customers/ lack of positive customer experience

C. Lack of empowerment of staff at all levels

D. Reactive vs. proactive responses to modernization

E. Unclear mission/vision for modernization effort/unclear expectations for staff

F. Silos that prevent effective collaboration

G. Lack of CIO department/Program Office understanding user needs

H. Lack of Change Management strategy and resources aligned to initiative

How do these challenges apply to your organization?

Using the statements to the left, write-in your organization's cultural challenges in order of highest (1) to lowest (10), and add any others that may not be on the list.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____



Culture Type Scenarios

Keep your organization in mind as you answer the questions in this section.

Now that you have considered your change position on the technology change curve, this activity will help you think about change from a culture lens.

This assessment may reveal a blend of behaviors (differing degrees of skepticism and openness for change) in your organization. The scenario that resonates with you most will support your initial culture assessment. type.





Culture Type: Highly Skeptical of Change



Place a checkmark next to any statement that reflects your organization, then tally the total.

The organization is...

- ☐ Slow to change, and when it does happen it is only a partial change rather than the full solution or shift.
- ☐ The organization tends to resist change, and key influencers disengage when change is mentioned.

In the environment, people...

- ☐ Do not embrace change efforts.
- ☐ May be fatigued by change.
- ☐ May feel lost during change as they have not been actively engaged.

Previous modernization efforts....

- ☐ May have been unsuccessful.
- ☐ Have not been grounded in agile practices, human-centered design and customer experience.
- ☐ Were ones where change happened to staff, and staff had no viable ways to be engaged in change efforts, leading to adoption failure.

Total # of Checkmarks =





Culture Type: On the Fence



Place a checkmark next to any statement that reflects your organization, then tally the total.

The organization is...

- ☐ Aware of and talks about change intentions either formally or informally.
- ☐ Open to experimenting with change in certain portions of the organization.
- ☐ Not pursuing large-scale change efforts.

In the environment, people...

- ☐ Seem to spend more time studying and planning than doing.
- ☐ Spend significant time gathering robust data before taking action.

Previous modernization efforts....

- ☐ May have been executed successfully, particularly major technology modernizations.
- ☐ May have been guided by agile, human-centered design, customer experience, and organizational change practices.
- ☐ May not have embedded these approaches in day to day work.

Total # of Checkmarks =





Culture Type: Initiates/Embraces Change



Place a checkmark next to any statement that reflects your organization, then tally the total.

The organization is...

- ☐ Actively investing in new-to-market solutions and emerging best practices.
- ☐ Shifting how it works with relative speed and agility.

In the environment, people...

- ☐ Usually gather just enough data to initiate action and generate ongoing improvements.
- ☐ Are open to failure, failure is not punished, and consistently document benefits from their experiences to learn and improve.

Previous modernization efforts....

- ☐ Have been undertaken successfully while embracing agile, human-centered design, customer experience, and organizational change practices.
- ☐ Have thrived on implementing and learning about new technologies.

Total # of Checkmarks =



Culture Type: Results

To prepare for a culture pre-assessment, enter the total number of checkmarks from pages 23-25 and review the considerations for the scenario with the most checkmarks.



Highly Skeptical of Change

Total # of Checkmarks = _____

- In organizations that are skeptical of change, it is important to create a space where individuals feel heard and can give candid feedback.
- Understanding where skepticism is coming from and how prevalent it is will help analyze artifacts and background information around your organization's culture.
- As you think about stakeholders, you'll want to identify those who may be advocates for change or may be close to becoming advocates.



On the Fence

Total # of Checkmarks = _____

- In organizations that are on the fence about change, it is important to identify change champions (staff that embrace and are advocates for change), and to open discussion and dialogue about concerns around change.
- Some skepticism to change is healthy – it's important to review your organization's artifacts and behaviors to make this assessment.
- In reviewing artifacts and identifying stakeholders, you will learn more about whether your specific cultural elements will help or hinder change and by how much.



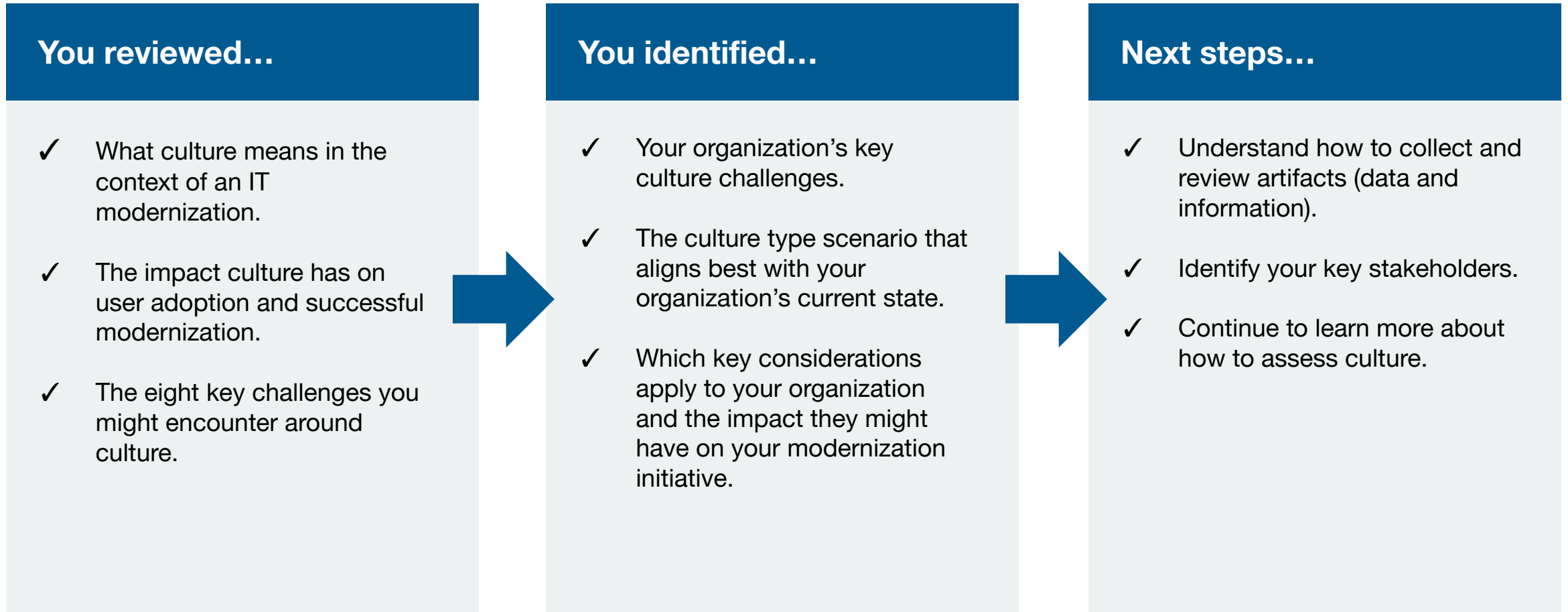
Initiatives/Embraces Change

Total # of Checkmarks = _____

- Ensure that you are able to access key artifacts around how your organization works, approaches change, and plans for modernization.
- Observations will require you to attend meetings to observe behaviors and relationships that foster successful technology adoption.
- Understanding what makes change efforts succeed in your organization from a variety of stakeholder perspectives will be important.

Key Decisions and Actions: Determine your Culture

You learned about culture, identified your organization's culture challenges, and are now ready for the next steps.



Section 3

Prepare to Assess your Culture.

Check your assumptions and begin your culture pre-assessment by identifying key artifacts and stakeholders.

Use this section to answer the following questions:

How much effort does it take to get ready to assess culture?

What information do I need to collect before I get started?

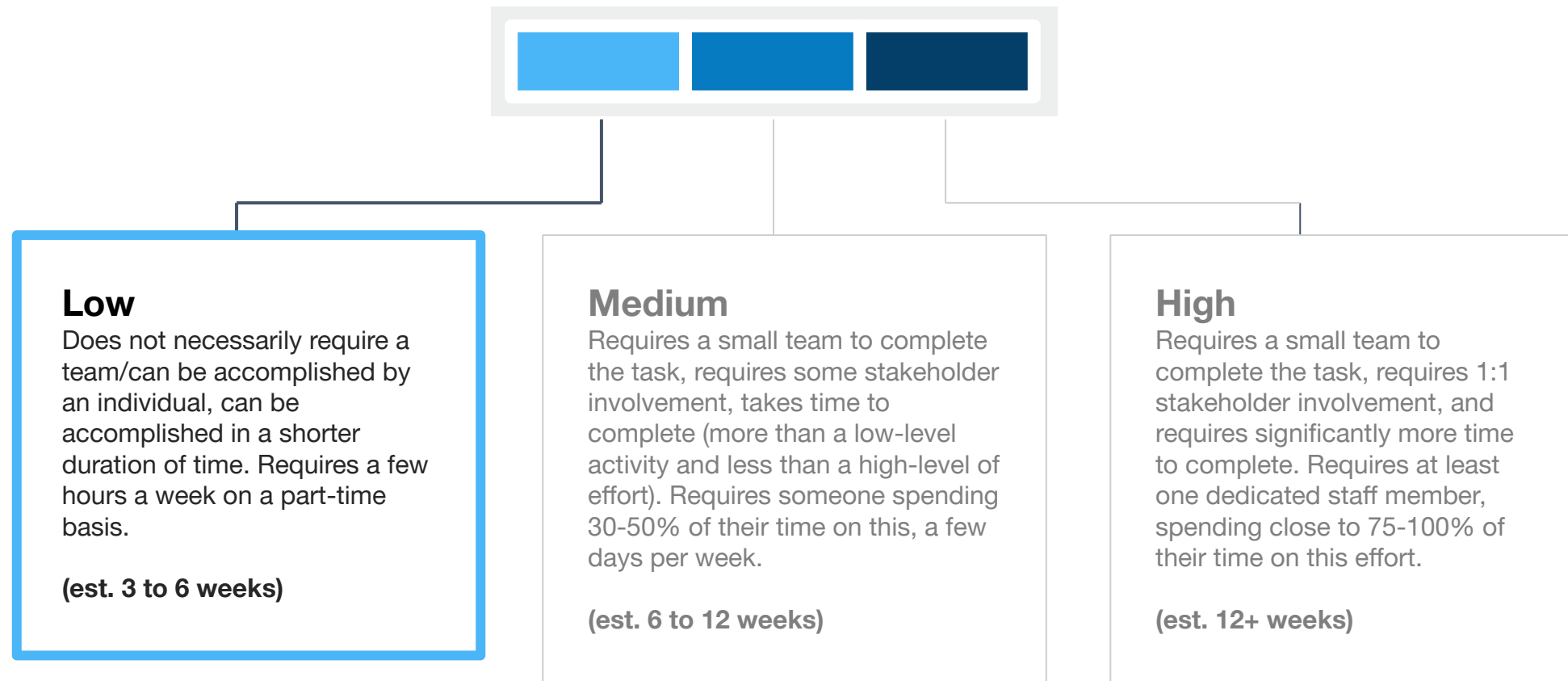
Who are my stakeholders?



Levels of Effort

How much time will it take?

Assessing and understanding culture requires various levels of time commitment – from a few hours a week to having a dedicated staff. We have identified low-effort activities to help you start the process of assessing your organization’s culture.





Why Collect and Review Artifacts?

It is important to identify and collect data to quickly assess and understand your organization's culture.

Key collection artifacts include: the Federal Employee Viewpoint Survey (FEVS), Mission and Vision, Values, Telework or Remote Work Options, Recognition Programs, Orientation, Onboarding and Training, and Union Presence.

In this activity, you will consider a variety of artifacts you can collect to help you understand your organization's culture. You will follow a set of steps for each artifact so you are prepared for your analysis. You may also identify other artifacts unique to your organization that provide insights into your culture.

We recommend that you create and use the following structure to keep your artifacts organized: **FEVS data spreadsheet, mission/vision/values document, and organizational information document.** You can create each of these documents and save them in folders with their relevant artifacts to help you stay organized as you review and get ready for analysis.



Pros

- Minimal financial burden; only requires time.
- Since data is generally available, you can collect and review it to make an initial assessment.
- Many types of data are available.
- When well organized, documents are easily accessible for you and key stakeholders.



Cons

- Too much data may cause analysis paralysis.
- If using FEVS data, low response rates and access to current results may result in minimally useful data.
- Personal observations or supervisor feedback may not be accurate since that is only one person's perspective.



Federal Employee Viewpoint Survey (FEVS)

What is it?

An annual survey administered by the Office of Personnel Management which measures federal employees' perceptions of whether, and to what extent, conditions characterizing successful organizations are present in their agencies.

Why is it important?

The FEVS serves as a tool for employees to share their perceptions in many critical areas including their work experiences, their agency, and leadership. Culture and perception are inextricably linked, because it is through people's own culture that they view and perceive themselves and others in their organization.

What should we consider?

- Ensure you have the most up-to-date FEVS report.
- Low participation may skew results.

What does this look like at your agency?

Sample Question – *My work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals.

Sample results:

2015 = 69%

2016 = 71%

2017 = 77%

2018 = 86%

Trending up year-over-year.



Collect and Review Federal Employee Viewpoint Survey (FEVS)

During collection of this artifact, ensure that you are following these steps:

Action	Result
Locate and save your organization's most current FEVS report as well as the report from the prior three years. The data is available in excel format from OPM's website for analysis and manipulation. If you cannot download an Excel spreadsheet, simply create a FEVS spreadsheet file, and save it in a dedicated artifacts folder.	<p>You can review trends such as employee engagement when you are ready for analysis.</p> <p>We recommend collecting and reviewing at least three years of data to identify trends and see changes over the time on your organization's core culture questions.</p>
<p>Review overall employee satisfaction scores from the most current FEVS (Q12 - Agency Goals, Q27 - Work Unit Skill Level, Q29 - Skills to Accomplish Goals, Q40 - Good Place to Work, Q47- Employee Development, Q56 - Goals, Q68 - Training, and Q71 - Overall Satisfaction).</p> <p>Highlight these questions in the full FEVS report or pull these specific questions into your own Excel spreadsheet for a deeper dive analysis during the assessment phase.</p>	<p>By bringing the data from these questions into a single spreadsheet, you can quickly access all relevant data when it is time for analysis.</p>



Mission and Vision Statements

What is it?

Mission is an organization's business, objectives and approach. Vision is an organization's aspirational North Star.

Why is it important?

The goal is that employees are aligned and inspired by them, thus creating a culture towards a shared purpose and should improve an organization's capacity to excel.

What should we consider?

- The age of the mission and vision statements – enduring and long-lasting vs. consistently updating.
- The places where the vision and mission statements can be found – easy to find in multiple places.
- The workforce can easily communicate and is eager to share the mission and vision with others.
- The workforce is engaged and enthusiastic about their work and understands what the mission and vision looks like in their day-to-day.

What does this look like at GSA?

GSA's mission is to use expertise to provide innovative solutions for our customers in support of their missions, and by so doing, foster an effective, sustainable and transparent government for the American people. **GSA's vision** is 'GSA drives a high-performing, sustainable government.'



Access and Review Mission and Vision Statements

During collection of this artifact, follow the steps and take notes on your mission, vision, and values document.

Action	Result
Locate your organization's mission and vision information by reviewing orientation materials, intranet, internet, or by asking your supervisor. Specify definitions and where to access this information.	These statements serve as a “North Star” for your organization and it's important to understand if/how your change effort fits in with the broader mission and vision.
Highlight the “keywords” in your organization's mission and vision. Keyword examples may include inclusive, innovative, passionate, agile, collaborative, creative, fast-paced, etc.	Reviewing and identifying key words in your organization's mission and vision will help you understand the alignment between mission/vision and change effort.
Access your FEVS spreadsheet and review the results for FEVS, Q39 – Accomplish Mission. Note whether your FEVS score has trended up, down, or stayed the same.	Documenting and reviewing trends over time will help you understand employee sentiments around the mission, and will help when you are ready for full data collection in the full assessment. By bringing data from these questions into a single spreadsheet, you can quickly access all relevant data when it is time for analysis.



Values

What is it?

Values are the fundamental beliefs that serve as a set of guidelines on the behaviors and mindsets needed to achieve the vision.

Why is it important?

The values are the foundational element of culture. Data collected around modernization culture should be inclusive and reflective of diverse perspectives.

What should we consider?

- The way people talk about the organization.
- The way people talk about their work.
- The way senior leaders and supervisors demonstrate values in their actions and communications.
- Their clients' perceptions about how the organization interacts with them.

What does this look like at GSA?

GSA's guiding values are Accountability, Customer Focus, Excellence, Innovation, Integrity, Quality, Responsiveness, and Results-Oriented.



Values

During collection of this artifact, follow the steps and take notes on your mission, vision, and values document.

Action	Result
Locate your organization's values by reviewing the intranet, internet, or by asking your supervisor. Note definitions and where where you can access this information.	The values are the foundational element of culture.
Review each of your organization's values. Consider these questions: Which values connect with my initiative? Does my initiative conflict with any values? How can my initiative support our organization's values?	When you are implementing your solution, you can incorporate and assess how well your initiative is in alignment to your values. The higher the alignment, the higher the likelihood of user adoption.
Access your FEVS spreadsheet and review the results for FEVS, Q3 – New Ways of Doing Things, Q8 – Do Job Better, Q48 – Listens, Q49 – Respect, Q51 – Trust, Q54 – Honesty and Integrity, Q59 – Collaboration, Q61 – Respect. Note whether your FEVS scores has trended up, down, or stayed the same.	Documenting and reviewing trends over time will help you understand employee sentiments around the values, and will help you when you are ready for full data collection in the full assessment. By bringing the data from these questions into a single spreadsheet, you can quickly access all relevant data when it is time for analysis.



Telework or Remote Workplace Options

What is it?

Telework is working from home, a satellite office, or shared space rather than commuting to a nearby office. Remote work is working from home, a satellite office, or shared space regardless if an office exists in close proximity to you.

Why is it important?

Workplace location options have different impacts on the workforce and organization's culture. Some organizations embrace these flexible options, while others discourage it. Regardless, it says a lot about an organization's culture. For those that encourage the options, it is essential to implement technologies to improve telework and remote workforce experience.

What should we consider?

Understand the nuances of the work schedule options from union to management, role exceptions, locale and equipment requirements, etc.

What does this look like at TTS?

TTS has historically embraced a telework friendly posture. Many TTS employees were on a telework agreement prior to the COVID-19 pandemic. Following the pandemic, TTS leadership defined future position categories and worked with office-level leadership and supervisors to make initial decisions on position categorization, ranging from onsite to fully remote.



Telework or Remote Workplace Options

During collection of this artifact, following the steps below and document your answers to the questions on your organizational information document.

Action	Result
Identify the telework/remote work status options for your organization and specify this information in an organizational information document. In addition to defining each option, identify key differences and associated training requirements. You can ask your Human Resource or Training Specialists for the applicable required training.	This information provides context for how your organization workplace options might impact your change initiative. It will also be important to help your understand how leaders and managers foster remote/telework friendly environments.
Access your FEVS spreadsheet and review the results for FEVS, Q73 – Telework. Note on your organizational information document whether your FEVS score has trended up, down, or stayed the same.	Documenting and reviewing trends over time will help you understand employee sentiments around the telework policies, and will help you when you are ready for full data collection in the full assessment. By bringing the data from these questions into a single spreadsheet, you can quickly access all relevant data when it is time for analysis.



Recognition Programs

What is it?

Employee recognition programs are one way an organization acknowledges the outstanding contributions of its members.

Why is it important?

Recognition is important because it increases employee satisfaction and satisfied employees are more productive than dissatisfied employees.

What should we consider?

Understand that there are various way to acknowledge employees and as such employees may appreciate different types of acknowledgements than their peers. Validate a comprehensive list of recognition programs, from organization to supervisor level.

What does this look like at TTS?

TTS believes that recognizing employees is a key part of the performance management process. As a part of this process, TTS employees participate in awards and recognition programs including offered by GSA.



Recognition Programs

Collect and document your organization's recognition programs on your organizational information document. During collection of this artifact, ensure that you are following these steps:

Action	Result
Denote award types (time off, monetary, etc.), special act awards, agency specific awards, leadership awards, and other programs that offer individuals recognition. For each award, include requirements and audience. Your Human Resource Specialist and Supervisor can help you identify these programs. They may also be available on your intranet.	Consider how these formal programs impact your organization's culture. Think about how many people are eligible for receiving rewards and recognition.
Access your FEVS spreadsheet and review employee satisfaction rate about awards and recognition from the FEVS, Q5 - Awards, and FEVS, Q65 - Recognition. Note in your organizational information document whether your FEVS score has trended up, down, or stayed the same.	Documenting and reviewing trends over time will help you understand employee sentiments around recognition programs, and will help you when you are ready for full data collection in the full assessment.



Orientation, Onboarding, and Training

What is it?

Orientation and Onboarding provides new employees the opportunity to learn about the company and their job responsibilities in orientation; onboarding is an ongoing process of engagement, from first contact until the employee becomes established.

Why is it important?

Organizations that have a comprehensive orientation and onboarding program understand the impact on setting the tone for their culture. Training programs offer professional development to employees. Organizations may have standards for mandatory and/or optional training. A culture of lifelong learning could potentially have a positive impact on your modernization project.

What should we consider?

- Organizations that have a comprehensive orientation and onboarding program understand the impact on setting the tone for their culture, and the way supervisors train, communicate, and support new staff should reinforce the organization's culture.
- Buddies and mentors reinforce the culture by serving as guide for new employees as they learn to navigate the culture.

What does this look like at TTS?

TTS has a formal orientation and onboarding process that includes an orientation to TTS culture, various TTS offices, technology assistance, and mandatory training and optional classes. Additional formal and informal training, including virtual coffees and meet and greets are typically scheduled by individual program offices to welcome new employees to teams.



Orientation, Onboarding, and Training

During collection of this artifact, following the steps below and capture notes in your organizational information document.

Action	Result
Identify your Learning and Development Specialist(s) and note their contact information. Set up an initial meeting to ask them about technology training offered, including how training is delivered and how often content is updated.	This information will provide additional context about how to deliver and disseminate training. It will also be important to actively engage your Learning and Development specialist during the full assessment.
Review buddy or mentor programs that support new employees during onboarding, and denote offerings in your organizational information document. Document the formality of programs (formal vs informal), program length, and how mentors are identified.	This information will help you understand the formal and informal relationships that might exist in the organization, and how you might use these networks to support your initiative.



Unions and Bargaining Unit Presence

What is it?

Union and bargaining unit presence is the visibility and degree to which an organization partners with union organizations to ensure employee's rights are being considered and upheld. Unions serve in the capacity of negotiating benefits, mediating disputes and collaborating with an organization on various aspects of employee's vocational experiences.

Why is it important?

It is important to understand the impact of a change on employee jobs and roles. The union and bargaining unit will need to be actively engaged during any change effort to assess impact to existing bargaining agreements.

What should we consider?

In leading a modernization effort, do not contact union or bargaining unit officials. You must work with a Labor Relations Specialist. Keep in mind that union and bargaining units are key stakeholder and can have a very impactful outcome for user adoption.

What does this look like at an agency?

OPM maintains a database of collective bargaining agreements submitted by executive departments and agencies. This database is regularly updated, but may not contain all active agreements.



Union and Bargaining Unit Presence

During collection of this artifact, following the steps below and capture notes in your organizational information document.

Action	Result
<p>Identify the Labor Relations Specialist(s) in your organization. Denote their information on your organizational information document.</p> <p>Set up an initial meeting with them to build a relationship and to ask about what you need to consider when implementing a change that may impact union and bargaining unit employees and how and when you should be including them in your change effort.</p>	<p>You will come back to this information when you are ready for the full culture assessment.</p> <p>Remember, do not contact union or bargaining unit representatives; only a Labor Relations Specialist should do that.</p> <p>The Labor Relations Specialist(s) can help provide insight into how to engage the union and bargaining unit and potential levels of resistance to modernization that may be encountered.</p> <p>Additionally, Labor Relations Specialists can help provide contextual information and considerations for engaging employees during the full culture assessment data-collection efforts.</p>



Artifact Template Checklist

Use this table to organize your information and keep track of your data after collecting artifacts. This will be helpful when you are ready for analysis.

Artifact	Link to Artifact	Date Collected
Federal Employee Viewpoint Survey (FEVS)		
Mission and Vision Statements		
Values		
Telework or Remote Workplace Options		
Recognition Programs		
Orientation, Onboarding, and Training Programs		
Union Presence		
Other		

Once you have collected and reviewed your artifacts, the next step is to identify your key stakeholders.





Who are Stakeholders?

Stakeholders are individuals whose interests may be positively or negatively affected as a result of project execution or successful project completion.

Stakeholders either create or are influenced by the culture. Stakeholders can be both internal to your organization and also external (such as customers or end users). Assessing stakeholder support or opposition regarding the technology modernization initiative is key to its success.

In the pre-assessment, you should identify all individuals who will play a key role in the change effort and who will be impacted by the effort. Some of these individuals may become advocates for your change effort.

The goal is to identify who in your organization should be included in data collection efforts during the full Culture Assessment process (interviews, focus groups, surveys, etc.).



Pros

- Building relationships and gaining stakeholder buy-in will help with user adoption.
- Stakeholders can allocate resources to support the project, identify risks and provide potential mitigation strategies.
- When roles and responsibilities are clear, so is their impact on the project (RASCI).
- Identifying those impacted by change (including customers and external stakeholders) will ensure that you capture a diversity of perspectives in the full assessment.



Cons

- The project can be hampered if any key stakeholders are left out.
- If a stakeholder does not embrace change or does not agree with the solution, they may block or sabotage the project.
- Getting access to key stakeholders may be challenging.
- Too many stakeholders with different perspectives or requirements may cause scope creep.



Stakeholder Identification

What is it?

Stakeholder Identification is the process of identifying all stakeholders who should be involved in a change effort and will be impacted by a change effort.

Why is it important?

Having a comprehensive understanding of stakeholders and how they may be impacted by change helps to inform how you may collect data from them in the full Culture Assessment (i.e., through interviews, focus groups, or surveys).

What should we consider?

As you consider stakeholders, think about who possesses what information, what information do you need to be able to understand culture from a variety of perspectives, and how people at different levels of the organization may be impacted by change. It is important to identify stakeholders early on, both to understand their ability and power to influence others, and to build a strong relationship with them from the start.

What does this look like at an agency?

Before deploying any technology change, agencies may use many different methods to identify all impacted stakeholders and identify key stakeholders who need to be involved in the modernization effort with a RASCI chart.



Stakeholder Identification Steps

These are actions you need to take to identify stakeholders who will be actively involved and impacted by your change initiative. The stakeholders you identify will be engaged in the data collection effort during the Culture Assessment in either interviews, focus groups, or surveys.

Action	Result
Define the scope and context of your change, including what is changing.	By defining the scope and scale of your change effort, you will be able to identify who might be most impacted by change.
Identify internal and external stakeholder groups who will be impacted by the change.	A comprehensive list of stakeholders will be necessary to begin data collection in the full Culture Assessment.
Validate selected stakeholder groups using project subject matter experts and determine your criteria for stakeholder identification and selection.	Establishing criteria for selection will ensure that you are considering multiple perspectives in your Culture Assessment.
Begin to identify specific points of contact in each of the positions. While an organizational chart is a reference, it will not sufficiently identify all stakeholders who should provide data in your Culture assessment.	Key points of contact can help you when you are ready to begin data collection for the Culture Assessment.
Initiate a draft RASCI chart (pages 49-50) based on the known stakeholders.	You will use this RASCI to ensure all key stakeholders remain actively engaged in the initiatives.



What is a RASCI?

RASCI is an acronym derived from the five key and typically used: Responsible, Accountable, Supported, Consulted, and Informed.

The RASCI matrix is a tool used to assign roles and responsibilities of key stakeholders for a project or business process. It outlines the people or teams who will be assigned tasks and deliverables.

- The matrix clarifies and defines roles and responsibilities in cross-functional or departmental projects and processes.
- Some organizations use an alternative model, such as the RACI, which excludes the support responsibility.

R	Responsible	An “R” is a role that performs the work. There can be more than one R, but re-evaluate if there are too many.
A	Accountable	An “A” is the role ultimately accountable for the decision being made. There can only be one A in each row.
S	Support	An “S” is anyone who is informed after a decision is made, usually supports and advocates for change and is on board with the decision. There may be multiple S’s in each row.
C	Consult	A “C” is a subject matter expert or a functional leader whose team will be affected by the decision/action, and must be consulted prior to a decision being made or a task completed. There may be zero or multiple C’s in each row as appropriate, but too many can cause analysis paralysis.*
I	Inform	An “I” is anyone who must be informed after a decision is made or work is completed. There may be multiple I’s as appropriate in each row.

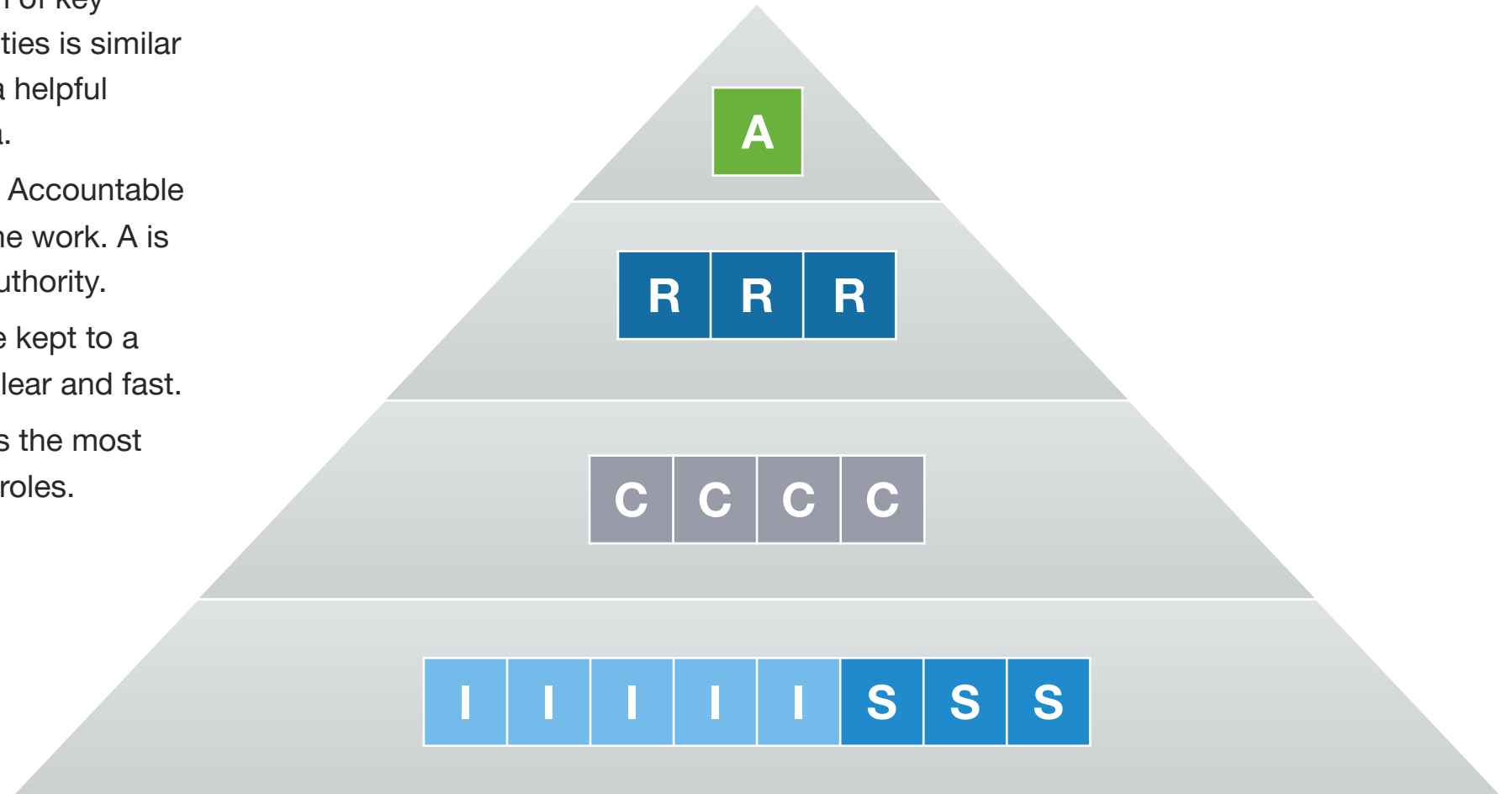
**The quantity of those that require consultation may vary from a few to numerous, depending on the size and complexity of the project.*



RASCI Pyramid

This visual pyramid representation of key stakeholder roles and responsibilities is similar to an organizational chart and is a helpful reminder about the RASCI criteria.

- There can only be one person Accountable or one person to sign off on the work. A is designated with the highest authority.
- Responsible parties should be kept to a minimum to make decisions clear and fast.
- The base of the pyramid offers the most Support, Consult, and Inform roles.

R = Responsible**A** = Accountable**S** = Support**C** = Consult**I** = Inform



Stakeholder Identification Example

This sample shows common stakeholder groups and roles.

1. Change Initiative Leads

- Advisor
- Project Manager
- Chief Information Officer
- Change Management Lead



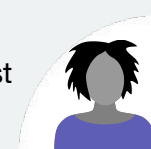
2. Technology Team

- Technology Lead
- Security Officer
- Privacy Officer
- Help Desk Manager



3. Supporting Functions

- Communications Director
- Learning and Development Manager
- Innovation Adoption Network Lead
- Finance Director
- Legal Manager
- Labor Relations Specialist
- DEIA Specialist



4. Workforce Leadership

- Managers and Supervisors



5. Customers or Users

- End users
- Customers
- Impacted user groups





RASCI Matrix Example

R = Responsible

A = Accountable

S = Support

C = Consult

I = Inform

This sample matrix shows common stakeholder groups, roles and related RASCI responsibilities.

Stakeholder Group	Name	Role	R	A	S	C	I
Program Leadership	Joe Smith	Advisor	✓				
	Laurie Hernandez	Project Manager	✓				
	Umaiza Dean	Chief Information Officer		✓			
	Gabriella Burgess	Change Management Lead	✓				
Technology Team	Brodie Wilkins	Technology Lead	✓				
	Salahuddin Lake	Security Officer				✓	
	Kady Kaye	Privacy Officer				✓	
	Dion Welsh	Help Desk Manager			✓		
Workforce Support Team	Jake Mendez	Labor Relations Specialist				✓	
	Sakina Bowes	Learning and Development Manager				✓	
	Alexander Becker	DEIA Specialist				✓	
Supporting Resources	Taha Poole	Communications Director			✓		
	Izabella Underwood	Innovation Adoption Network Lead			✓		
	Tashan Allman	Finance Director					✓
	Tyriq Wheeler	Legal Manager					✓
Workforce Leadership	Yousuf Paul	Leaders & Supervisors			✓		



Build Your Own RASCI

R = Responsible **A** = Accountable **S** = Support **C** = Consult **I** = Inform

Using the sample on page 52 as guidance; customize your own RASCI chart on page 54. Leadership may need to review and/or support teams with this important task.

Checklist:

- ☐ Review and/or update key stakeholder groups in the far left column on page 54.
- ☐ Enter key stakeholder names and roles.
- ☐ Review definitions on page 49 and paste a checkmark in the appropriate columns.
- ☐ Keep in mind this matrix when communicating and meeting with stakeholders throughout the project lifecycle.
- ☐ Use the RASCI Matrix to capture all key stakeholder groups and clearly understand core responsibilities regarding the change initiative.
- ☐ Include all external stakeholders (i.e., individuals outside of your direct team, organization, including potential users across the organization) in the matrix.



RASCI Matrix Template

R

= Responsible

A

= Accountable

S

= Support

C

= Consult

I

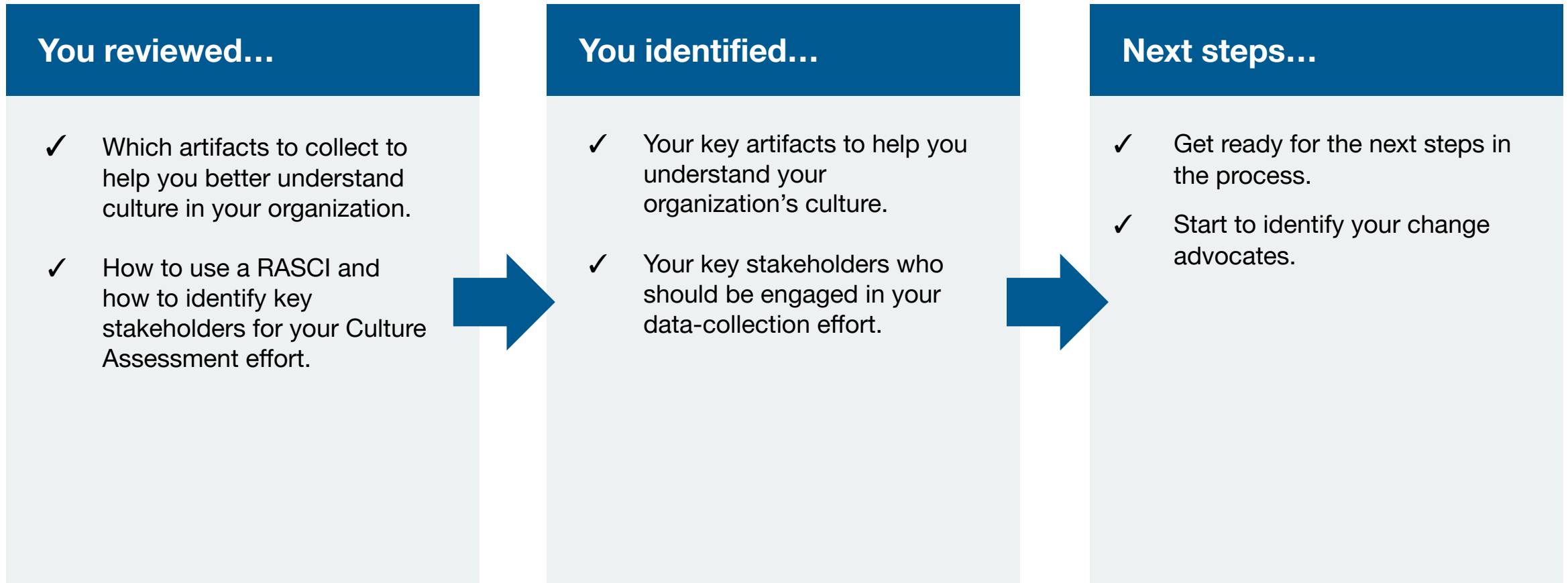
= Inform

Fill in this matrix with the groups, roles and responsibilities for your project.

Stakeholder Group	Name	Role	R	A	S	C	I
Program Leadership	Add name	Add role					
Technology Team							
Workforce Support Team							
Supporting Resources							
Workforce Leadership							

Key Decisions and Actions – Pre-Assessment Approach

You learned about artifacts and stakeholder identification, considered what artifacts you should collect, which stakeholders are important in your change effort, and are now ready for the next steps.



Section 4

Get Ready for Next Steps.

Preview the next steps in the Culture Assessment process and our advisory support model.

Use this section to answer the following questions:

What happens after I complete the pre-assessment?

How can I get more support?



You've Completed the Pre-Assessment, What's Next?

Here's an overview of what happens next in the Culture Assessment process.

Remember that the C3 framework consists of Culture, Conditions and Capabilities, and comprehensive recommendations will be informed by all three parts of the framework.



Plan for your Culture Assessment

- Analyze your artifacts. Look for trends over time.
- Inform your stakeholders and leadership about the culture assessment process.
- Determine the resources you need to start your culture assessment.
- Start planning for which assessment methods (interviews, focus groups, surveys) you will leverage to collect data.



Conduct Culture Assessment

- Select the tools you will use to collect data from stakeholders.
- Schedule and conduct interviews and focus groups.
- Deploy a survey.
- Collect data from stakeholders.
- Analyze data, identifying trends and differences based on stakeholder group.
- Document key learnings about culture.



Prepare to Assess Conditions and Capabilities

- Begin to plan to assess conditions and capabilities.
- Begin to identify potential change champions who can help support your assessment efforts.
- Identify resources you will need to conduct conditions and capabilities assessment.

Remember, actively engaging leaders, change advocates, and staff secures buy-in and sets the foundation for adoption.



CoE Workshop Series and Optional Office Hours

This guide is a culture pre-assessment your organization can do on its own.

But, you don't have to! Our interactive workshop series compliments this guide and offers peer support. If interested in participating in an upcoming workshop series, email us at connectcoe@gsa.gov.

Workshop 1

Prepare. Introduction to Culture

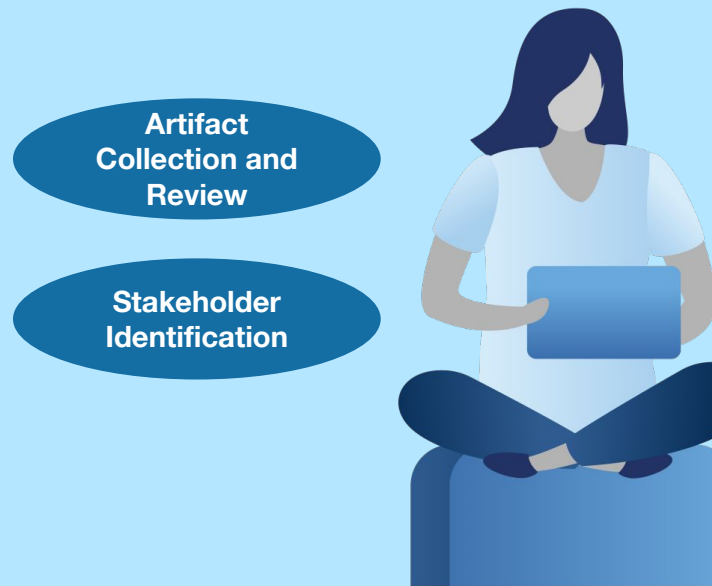
Learn key elements of culture and its role in the change that comes with IT modernization initiatives.



Workshop 2

Start. Culture Pre-Assessment

Apply specific techniques of the culture pre-assessment, using information already at your fingertips.



Office Hours

Refine. Learn more about your Culture Pre-Assessment

Subject Matter Experts will be available to address questions on artifact collection, stakeholder identification, and any other inquiries on your culture pre-assessment.



Thank you.

To learn more, or to find out about our Culture
Pre-Assessment workshops, email us at
connectcoe@gsa.gov.



Centers of Excellence
Resources & Advisory Support