Leading and Supporting Improvement Projects

Minnesota Office of Continuous Improvement

http:/mn.gov/CI

Project Charter

A3 PROJECT CHARTER: < TITLE>

Date: <date>
Sponsor: <sponsor>

CONTEXT / ISSUES

VISION OF SUCCESS

GOALS

PROJECT MILESTONES & SCHEDULE

Project Milestones	Owner	Proposed Date	Actual Date
1. Set project scope and goals (prepare Project Charter, engage team, collect data)	Sponsor/Team Leader, Facilitator		
2. Understand the current situation	Facilitator/ Team		
3. Analyze the current situation (root causes)	Facilitator/ Team		
4. Define a vision of success	Facilitator/ Team		
5. Generate, evaluate and select improvements	Team/ Sponsor		
6. Implement changes and make adjustments	Team Leader/ Staff		
7. Measure performance	Sponsor/Team Leader		
8. Document standard work and lessons learned	Team		
9. Sustain improvement	Team Leader/Process Owner		

SCOPE (IN BOUNDS)

SCOPE (OUT OF BOUNDS)

CUSTOMERS/STAKEHOLDERS

TEAM MEMBERS
- Team Leader:
- Team Members:

CUSTOMER REQUIREMENTS (CTQ)

RESOURCES
- Time commitment for a 4 day Kaizen, excluding time to implement changes: Sponsor (6-10 hrs.); Team Leader (40 hrs.); Team Members (32 hrs.); Facilitator (40-50 hrs.)
- External Resources:
- Equipment:
- Materials:

An A3 Project Charter is a visual tool for communicating critical project information on one page. It helps ensure all parties working on the project are clear about what they need to accomplish and their role in the project.

CONTEXT / ISSUES

- What is the issue and why is it important to tackle now?
- What is the purpose, the business reason for the project?
- What are the anticipated benefits of the project to customers and staff?
- What performance measures need to improve?
- Have you been to the Gemba?
- What process/program/customer data do you have regarding the problem (time, cost, quality)? Show facts and processes visually using charts, graphs, maps, etc.
- When did the problem start?
- Where is the problem occurring?
- What is the extent or magnitude of the problem?

GOALS

- What specific, measurable, attainable, relevant, time-bound results do you want/need to achieve?
- Show visually how much, by when, and with what impact.
- NOTE: Be careful not to state a solution as a goal!

SCOPE (IN BOUNDS)

- What is the first step and last step in the process?
- What is the program and geographic area?
- NOTE: Be mindful of what you can realistically accomplish with available resources and time.

SCOPE (OUT OF BOUNDS)

- What is off the table due to resources?

- What are the givens or assumptions for the project?
- Record out of scope issues in a “Parking Lot”

CUSTOMERS/STAKEHOLDERS

- Who is the end-user customer?
- Who are other stakeholders who have a role or interest in the success of the process?

Team Members

- Team Leader:
- Team Members:

CUSTOMER REQUIREMENTS (CTQ)

- What do customers/stakeholders expect and require from the process? What are their critical to quality (CTQ) requirements?
- What legal requirements (laws, rules) govern the process?

VISION OF SUCCESS

- What outcomes or results do you want to see?
- What does success look like for our customer?
- What does success look like for other stakeholders (staff, partners)?

PROJECT MILESTONES & SCHEDULE

Adjust as needed the project milestones below and define an owner and proposed date for each item.

1. Set project scope and goals (prepare Project Charter, engage team, collect data)
2. Understand the current situation
3. Analyze the current situation (root causes)
4. Define a vision of success
5. Generate, evaluate and select improvements
6. Implement changes and make adjustments
7. Measure performance
8. Document standard work and lessons learned
9. Sustain improvement

RESOURCES

- Time commitment for a 4 day Kaizen, excluding time to implement changes: Sponsor (6-10 hrs.); Team Leader (40 hrs.); Team Members (32 hrs.); Facilitator (40-50 hrs.)
- External Resources:
- Equipment:
- Materials:

Roles and Responsibilities

Sponsor (project owner)

- Provide visible and vocal support for the project
- Provide resources (staff, budget, consultant, equipment, etc.)
- Approve project objective(s), scope, and team recommendations
- Lead kickoff meeting
- Attend check-in, report out, and project update meetings
- Support the champion, steering committee, and project manager

Champion / Process Owner (role that may be used; if not these duties are performed by the sponsor or project manager)

- Help obtain resources
- Make sure the right people are involved (engage facilitator, project manager, team)
- Remove barriers to the project
- Attend kickoff, check-in, report out, and project review meetings
- Attend team meetings, if needed
- Chair the steering committee, if needed
- Help the project manager and facilitator complete their responsibilities

Steering Committee (used for multi-state agency or complex projects)

- Represent senior leadership
- Approve project objective(s), scope, and team recommendations
- Remove barriers to the project
- Guide and direct the project

Project Manager / Team Leader

- Plan the project (project charter)
- Set up project meetings (kickoff, event, check-in, report out, project updates)
- Get approval of the project objective, scope, recommendations, plan changes, and deliverables from the sponsor, champion, and steering team
- Lead and focus the team
- Make sure the project objective is achieved and delivered in budget, on time, and within scope
- Make sure the team completes the action plan
- Negotiate with managers and supervisors for resources
- Coordinate communications, including leading check-in, report out, and project update meetings
- Refer difficult issues to the sponsor, champion or steering team
- Help the champion and facilitator complete their responsibilities

Facilitator / CI Coach

- Coach and educate the sponsor, champion, steering team and team members about continuous improvement methods and tools
- Determine the best method and tools to use for achieving the project objective
- Design the event agenda
- Provide for project supplies and materials
- Facilitate the event/team, including managing team dynamics
- Attend kickoff, check-in, report out, and project review meetings
- Help the project manager, sponsor, and champion complete their responsibilities
- Team Members
- Attend team meetings
- Be an active participant – share knowledge, experience, ideas and concerns
- Complete project tasks
- Seek opportunities to apply continuous improvement principles and tools
- Follow and sustain process changes/improvements

CI Project Types

Situation	Objective	Project Type
Unclear about work processes within a work area	Define and prioritize work processes	Discovery
Confusing, messy or unsafe physical or electronic work areas	Create clean, safe, orderly, high performing work environments	5S
Errors, defects, customer and staff complaints	Reduce complaints, costs and errors/defects	Problem Solving *
Unsure where to focus improvements	Define high level work steps, identify process challenges, and prioritize improvement ideas	WorkOut *
Inefficiency or inconsistent process, poor performance, errors, complaints	Reduce complexity, error and complaints; increase timeliness and productivity	Kaizen Blitz (< 5 days), Kaizen Event (5-100 days), Complex (> 100 days) *
No process or current process can't be adjusted to meet customer needs	Create a new process or redesign an existing process	2P or Design (> 100 days) *

* Technology is typically a component for these project types, so keep that in mind when defining the project goal and selecting the project team.

Seek opportunities for Quick Hits with all CI projects

Tollgate Process and Questions

Prepare for the Review

- Review team progress
- Review team documents
- Review questions for the appropriate step
- Check on the action list from the last review .
- Speak with the team leader, process owner, and green/black belt
- Make sure the appropriate people will be attending
- Prepare an agenda
- Prepare a strategic business update
- Anticipate pushbacks or problem areas

Conduct the Review

- Use an agenda and action list
- Review the agenda
- Make sure meeting roles are clear
- Make sure there is a recorder
- Get agreement on the decision making method
- Introduce those present if necessary
- Create a positive meeting tone
- Lead the team through the agenda
- Assume a learning and coaching role, not an inspector role
- Listen and encourage others to speak
- Assign actions when necessary
- Make sti.re points are clarified and everyone understands decisions
- Have references available and displayed·
- Make notes of issues, obstacles, lessons learned, e.tc.

After the Review

- Transfer knowledge gained to appropriate people
- Report review results to administration and other stakeholders
- Remove identified obstacles
- Follow-up on assigned actions
- Debrief with the process owner, team leader and green/black belt
- Possible Actions Following a Review:
    - Action to correct error
    - Investigation for more background
    - Stop some action
    - Do more of some action
    - New initiative and/or complete new theory about how things work (new leading indicator)

Define Phase Questions – *What results do we want?*

- Do the team members understand their roles?
- Has the team set expectation for working together?
- Is the process clearly defined?
- Does the high-level process map have the appropriate scope?
- What is the process purpose?
- Who is, or should be, the process owner?
- Have the customers been segmented?
- How did the team prioritize customers?
- Did the team validate high priority customer needs?
- Are customer requirements (CTQs) defined?
- What performance metrics did the team identify?
- Which of those metrics have data?
- How did the team define a unit, defect and defect opportunity?
- Has the defect level been stable over time?
- What data exist to support the problem selection?
- What potential quick hit opportunities did the team identify?
- What is the project objective?
- What will be the progress measure?
- Are there any historical data for the progress measure?
- Which CTQs are linked to the progress measure?
- Does the project objective include the process to be improved, the progress measure, the desired direction, a baseline and target, and a deadline?
- What financial benefits are expected?
- What portion of the benefits depends on adoption and usage?
- What percentage of this benefit will you get if no one changes how they do their job?
- What improvements obstacles does the team anticipate?
- What plans does the team have to overcome the .major ·obstacles?
- What are the key milestones and budget for the project?
- What are the business reasons for completing the project?
- Are those reasons compelling for the team? For the key stakeholders?

Measure Phase Questions – *Where should we focus?*

- What did the team learn by creating the integrated process map?
- Did the team identify potential quick hit opportunities?
- What steps of the integrated process map are currently standardized?
- To what extent is the process map followed?
- How is data being collected and displayed?
- What was learned from looking at the problem from the customer perspectives?
- When does the problem occur (time)?
- Where does the problem occur (place)?
- Does the problem occur in different types of products or services?
- What kinds of problems occur (symptom)?
- What strategies did the team develop?
- Does each strategy have a target and a deadline?
- What data was used to develop the strategies?
- How was the supporting data displayed?
- How are the strategies linked to the project objective?

- What strategy measures did the team develop?
- What data is currently available for the strategy measures?
- What was learned from the cost/benefits analysis for each strategy?
- What revisions did the team make to the charter?

Analyze Phase Questions – *What are the root causes of problems?*

- What method was used to brainstorm root causes?
- How did the team finalize the root causes?
- What data was used to verify the root causes?
- How are the finalized root causes linked to the strategies?
- Will the strategy measures be impacted if the finalized root causes are addressed?
- What measures can be used to determine if root causes are eliminated?
- Was a cost/benefit analysis conducted for each finalized root cause?
- What was learned during the cost/benefit analysis?
- Did the team identify any potential quick hit opportunities?
- What revisions did the team make to the charter?

Improve Phase Questions – *What solutions should we implement? Did our solutions achieve desired results?*

- What method(s) did the team use to brainstorm actions?
- What criteria did you use to evaluate particular actions?
- What was learned by doing a matrix analysis of potential actions?
- What did the team learn by conducting post/benefit analyses?
- Did the team develop an "Ideal" process map?
- What is the action plan?
- What if the plan does not achieve the desired results?
- Did the team identify the need for incentives, communication, or training in achieving the change?
- What issues or unintended consequences do you anticipate as a result of the change?
- How will you mitigate or resolve negative impacts?
- What communication or stakeholder engagement is needed?
- What training is needed?
- How will you measure performance and sustain improvements?
- Who has the authority to take each action?
- Who will monitor results and by what method(s)?
- What were the results of the small-scale implementation?
- What were the small-scale implementation difficulties?
- Were the strategy measures and progress measure impacted?
- Were all the strategies successful?
- What is the new process capability?

Filter Questions to Use in Evaluating Potential Solutions:

- Is the solution consistent with our mission and vision?
- Will the solution eliminate or minimize the root cause?
- Will the solution have a financial impact?
- Will the solution reduce risk?
- Will the solution improve customer satisfaction?
- Will the solution improve employee satisfaction?

- Will the solution improve safety? ·
- Will the solution be relatively easy to implement?
- Will the solution be relatively quick to implement?

Control Phase Questions – *What adjustments should we make? How will we sustain the improvement?*

- What were the results of the large-scale implementations?
- What were the large-scale implementation difficulties?
- What revisions should be made to the action plans?
- What changes to the process should be standardized?
- Does anyone else need to be involved?
- Do the standardizations require communication or training?
- Were process control plans created?
- What measures will continue to be monitored to assure the problem does not re-occur?
- Who will conduct on-going reviews of the measures?
- Who will continue to collect the data?
- What role will the process owner(s) play after the project?
- Has the team transitioned this project to the process owner?
- Where and by whom is the control plan maintained?
- What were the direct and indirect benefits of the project?
- What difficulties were experienced during the project?
- What acquired knowledge should now be transferred and to whom?
- What future plans did the team develop?
- Did the team create a storyboard to tell its story?
- To which people or groups should the team make a presentation?
- Was the project objective accomplished?
- What potential improvement projects were identified?
- How will you ensure ongoing PDSA?
- How will the team celebrate its efforts?

Decision Matrix

Decision	Accountable (Who will make the decision?)	Consulted (Who will provide input for the decision?)	Informed (Who should be informed about the decision?)	Responsible (Who will implement the decision?)

Leading and Supporting Change

Source: U of M CCE: *Successfully Leading Enterprise-Wide Change Management* by Norm Schultz., CPLP – Spring 2010

Conditions for a Successful Change Initiative

1. Active & visible executive sponsorship that sets a clear & compelling case for change and demonstrates commitment to change via words and actions;
2. Leadership that clearly communicates what's in it for me (*WIIFM*) and project expectations to customers and staff, manages resistance to change; and enforces positive and negative consequences for desired change behaviors;
3. Structured approach to manage the change and a concrete implementation plan;
4. Frequent, 2-way communications;
5. Dedicated resources and assurance that the skills, knowledge and tools are in place for the change; and
6. Engaging employees in the change.

Reasons a Change Initiative will Fail

1. Executive level sponsorship is ineffective
    a. Inactive or invisible
    b. Wrong level (not high enough)
    c. Poor alignment
    d. Wavering commitment
    e. Competing objectives
    f. Gated – no access
    g. Doesn't manage resistance
    h. Doesn't understand their role
    i. Poor continuity
    j. Does not hold people accountable
2. Resistance is not managed
    a. WIIFM is not clearly defined (What's In It For Me?)
    b. Tenured employees don't support change
    c. Loss of control (work flows, processes)
    d. Fear of future state and job security
    e. Resistant culture
    f. Change saturation (competing with other changes)
    g. Too comfortable with current state
    h. Employees have no input to the change process
3. Middle management doesn't "buy in"
    a. Conflict with their current operations
    b. Negative impact on their processes and people
4. Nobody is dedicated to managing the change
    a. Lack of planning (reactive state)

b. Subject matter expertise in change
c. Invited late in the game
d. Budget and time not allocated
e. Doesn't show up in the project plan (strategic plan)

Identifying Resistance

1. Lack of participation
2. Open emotions
3. Lack of attendance
4. Revert to old ways
5. Decrease in productivity
6. Unwillingness to sponsor change
7. Reluctance to provide resources and information
8. Arguing about the accuracy, expertise, or integrity of what you are saying
9. Interrupting you in a defensive manner when you are speaking
10. Denying the problem exists – unwilling to accept responsibility, cooperate or take advice
11. Ignoring and not following your advice/requests

Managing Resistance

20% will be resistant, 60% will be open to change, 20% will help navigate change – Goal is to keep the 60% from sliding into resistance!

1. Ask direct questions
2. Elicit expectations
3. Probe for concerns
4. State what you need
5. Manage mixed messages (do not jump to conclusions)
6. Balance participation
7. Be willing to postpone and re-plan if necessary
8. Get agreement to move ahead
9. Set expectations about shared responsibility
10. Get commitment for: involvement, education, communications, and leadership follow-up efforts