



# Transforming Government through Change Management: The Role of the State CIO

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## I. Introduction

This research brief is a summary of a white paper by the NASCIO Enterprise Architecture Committee on the subject of Organizational Transformation. This report and the related white paper are not related directly to change management from an infrastructure perspective. Rather, significant organizational transformation will be reviewed with the intent of gleaning “take aways” for the state CIO.

Why should states care about change management and organizational transformation? First, there is an immediate opportunity facing states with the transitioning processes now underway. Second, as Bill Eggers had presented in the November, 2006, issue of *Governing's* Managing Insights, if change is going to happen, it will most likely happen at the state level.<sup>1</sup> According to Eggers – a rare opportunity now presents itself. He recommends that states not reform – rather **transform** – in order to address major issues such as:

- An education system that is **out performed** by foreign competitors
- **Under-funded** public pensions
- \$1.6 trillion in infrastructure **deficits**
- Medicaid costs that are **out of control** – affecting 53 million Americans
- An **Aging** population
- **Globalization**

## II. Change – Fast and Continual

State government is facing a number of dramatic changes from Medicaid reform and burgeoning regional health organizations (RHOs), an aging workforce, *an aging population*, more and more need to do more with less, changing expectations from citizenry, more collaborative relationships with federal government. Change is the norm and its velocity is increasing. How is significant change / transformation, or *organizational transformation*, achieved?

In order for government to fulfill *its* role, it must continually *transform* itself within the bounding of the constitution to deliver on its mission within an environment that is more and more uncertain. Macroeconomics are continually transforming the landscape. These transformations have secondary and tertiary effects on the lives of every citizen. What are these effects? Can we continue to operate effective government in increasingly uncertain times? This uncertainty is reflected in national defense, the war on terror, global economics, environmental protection, public health, healthcare, and the quality of life.

The state CIO has risen to and must be seen within state government as a *change leader* who leads and facilitates government organizational transformation



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<sup>1</sup> *A Window of Opportunity for New State Leaders*, by Bill Eggers, *GOVERNING.com*, November 22, 2006, retrieved from <http://www.governing.com/manage/mi/6ins1122.htm> on February 28, 2007.

efforts in support of and in coordination with the agenda of the governor, the state legislature and the state judiciary. Therefore, the state CIO must acquire and continually hone skills in *leading* change and organizational transformation initiatives. More than any other skill, the change leader must be a *communicator*.

### III. Kotter's "list of 8"

Among the premier experts in change management is John P. Kotter. Kotter presents a culmination of practical experience in his book, *Leading Change*. Kotter originally published an article in the summer of 1994 titled "*Leading Change: Why Transformation Efforts Fail*." In this book as in his often cited Harvard Business Review article Kotter presents his experience in consulting with over 100 organizations that have launched transformation initiatives.<sup>2</sup> He states that many of these initiatives were successful and many were total failures. Based on this experience, Kotter developed an 8-step process for avoiding the errors he has observed.

Kotter also makes a strong case for properly sequencing these process steps. The process steps are listed below with further interpretation and summarization. Detail descriptions and anecdotes are presented in John Kotter's book, *Leading Change*.<sup>3</sup>

1. Establish a Sense of Urgency – Examine market forces facing the organization and the impact of these forces. Identify and discuss the impending crises.
2. Create a Guiding Coalition – Establish a team of leaders that are credible, have authority and expertise in the area of focus.

3. Develop a Vision and Strategy – Establish the target vision and strategies for reaching that vision
4. Communicate the Change Vision – Develop a communication plan to present and re-enforce the change vision.
5. Empower Broad-based Action – Identify and remove barriers to change.
6. Generate Short Term Wins – Plan milestone achievements.
7. Consolidate Gains and Produce More Change – Build on past successes so that change becomes permeated throughout the organization.
8. Anchor New Approaches in the Culture – This must be done after the prior 7 steps are completed.

Kotter begins with the necessity of creating a crisis without creating panic. The importance of this is presented by Burke, Shawn and Wilson in their study of *Highly Reliable Organizations (HROs)*.<sup>4</sup> In their research, they call this step "unfreezing" and it is characterized as a precipitous *jolt* to the organization. Something must occur to convince the organization that *business as usual is not working*.

It has been reported in many sources that the biggest barrier to change and indeed, organizational transformation, is the *organizational culture*. This was demonstrated in the NASCIO report, *PERSPECTIVES – Information Sharing: Calls to Action*.<sup>5</sup> John Kotter discusses the challenges and approaches for changing culture in Chapter 10 of *Leading Change*. According to Kotter, culture change is not what should be addressed first. Rather, "Culture Change Comes Last, Not First."

The rationale is that culture is *very hard to*

<sup>2</sup> Kotter, J.P., *Leading Change*, ISBN 0-87584-747-1, Harvard Business School Press, 1996

<sup>3</sup> Adapted from John Kotter's Eight Stage Process for Creating Major Change, *Ibid.*, page 21 and the foundational concept of the entire text.

<sup>4</sup> Burke, Wilson, Salas, "The use of team-based strategy for organizational transformation: guidance for moving toward a high reliability organization," *Theoretical Issues in Ergonomics Science*, Vol. 6, No. 6, November 2005, pp. 509-530.

<sup>5</sup> See <http://www.nascio.org/publications/>

*change*. Organizational culture has been *reinforced* through incentives, human resource policy, and management style. However, the strengths and capabilities that have made an organization successful in the past may become irrelevant or even *inhibitors* to future success.

That change requires new organizational models that better serve the public and government customers. *Successful transformation* demonstrates the *success of new approaches* – that are superior to old methods – or more appropriate given a new economic context. The challenge is: *culture does not change easily*.

#### IV. Culture Change – Requires New Incentives

Changing a culture must begin with *policies and incentives that drive behavior*. Incentives and human resources policy must align with new approaches that comprise a transformation initiative. One of the greatest challenges in implementing transformation is changing human resources policy. For example, establishing new job titles for new types of jobs can be so difficult, agency directors give up. The best situation is where the CIO encounters a director of human resources that is also a *change leader* that is not content with the status quo. Human resources should be an enabler, not a barrier.

#### V. Leadership and Management – A Balancing Act

Kotter goes on to report that what is needed in organizational transformation initiatives is more emphasis on *leadership*, and less on *management* – without abandoning good management. Leaders are visionaries. Managers are operationally oriented focusing on planning and budgets, organizing and staffing, controlling and problem solving. *Leadership* on the

other hand involves itself in establishing direction, aligning people, *motivating and inspiring*. The former produces *predictability* and the potential for *producing short-term results*. The latter produces *dramatic change*. Both are required for *organizational transformation*. But the ratio Kotter presents is 70 to 90 percent *Leadership* and only 10 to 30 percent *Management*. Kotter's final point is the need for an organization to continually learn, and adapt. This is the *Learning Organization*. This concept has its challenges as well.

#### VI. The Trust Organization – Connecting Associates and Partners

It is important to understand what transformation requires versus process improvements which only create more efficient execution of existing processes. Transformation as defined by Charles Garfield in his book *Second to None: How Our Smartest Companies Put People First*, is as follows:

**...[Transformation is an] ongoing process that permeates the entire organization, and represents a sharp break with the past. This break is a major difference between transformation and simple reform. While reform is an attempt to go down the same path more efficiently, transformation involves the development or discovery of entirely new paths.<sup>6</sup>**

This definition supports the idea of transformation and in most contexts the work of transformation as it is tied to *innovation*.

Dr. Steve Else embraces this definition of transformation as a foundational concept in his PhD dissertation on organizational theory. Dr. Else presents his observations and conclusions from a study of the U.S. Department of Defense Transformation initiative led by Donald Rumsfeld. A major conclusion in this study is that there are

<sup>6</sup> Charles Garfield, *Second to None: How Our Smartest Companies Put People First* (McGraw-Hill, New York, NY, 1991), 50. Referenced in Dr. Else's dissertation.

major *blind spots* in leaders or organizations due to a lack of understanding of this new *management discipline* – *Organizational Transformation*.<sup>7</sup>

Dr. Else describes the need for *establishing trust* within the organization as it goes through the transformation process – and the ongoing iterative transformations necessary to remain productive in an ever-changing environment. Trust must include openness and inclusion and is a necessary ingredient to cultivate an *innovative culture*.

## VII. High Reliability Organizations – Useful Lessons

Change must be seen as a continual, never-ending behavior. As NASCIO has stated in past publications – the enterprise must be viewed as a fluid moving through time. These are characteristics of the *agile enterprise*. How can an organization achieve this agility?

Some organizations are employing the team approach of High Reliability Organizations (HROs) in order to deal with unpredictable environments.<sup>8</sup> The objective here is to try to gain some insight from these highly successful organizations that can be gleaned to enable transformation initiatives in state government. So, what is an HRO? The most widely used example of an HRO is the US Naval aircraft carrier fleet. Operating conditions are extremely complex and unpredictable. Flight operations must be conducted under conditions that can change in a moment. There is a high rate of turnover in personnel, yet morale, productivity and team cohesion must be maintained.

There are five attitudes that prevail in an HRO. We'll examine each one briefly and offer suggestions for CIO action.

**Sensitivity to operations** – this is a

recognition that operations have *inherent error* – which are latent – and which will not appear until the organization faces the right combination of adverse events.

**CIO Action: ensure collaborative relationships and ongoing communication between architects and operations; strategy and operations; visionaries and implementers.**

**Reluctance to simplify.** HROs recognize complexity and embrace it. Too much simplification can limit creativity and innovation.

**CIO Action: create diversity on the CIO team; hire associates with non-IT backgrounds that can bring other perspectives to the team; employ job rotation to keep staff continually exposed to new situations while bringing diversity into other areas of the organization; maintain an environment of ongoing training.**

**Preoccupation with failure** – this is a strange term – but it refers to constantly evaluating errors – no matter how minor in order to fully harvest learnings.

**CIO Action: Change managers or performance managers should be tasked with carefully evaluating movement toward and out of control limits – discovering root cause for such movement; create an online solution knowledgebase that is available to the organization.**

**Commitment to resilience.** HROs recognize the absolute existence of the “unexpected.” In parallel with continually honing the predictive skills of proactive management, HROs recognize errors will still occur.

**CIO Action: create an environment that anticipates mistakes, problems, and unforeseen events; as much as possible, anticipate and have in place operating discipline for dealing with predictable**

“Guiding change may be the ultimate test for a leader.” - J.P. Kotter

<sup>7</sup> Dr. Steve Else's doctoral dissertation: Organization Theory and the Transformation of Large, Complex Organizations — Donald H. Rumsfeld and the U.S. Department of Defense, 2001-04 retrieved on January 10, 2007, from <http://www.public-private.org/>

<sup>8</sup> Burke, Wilson, Salas, “The use of team-based strategy for organizational transformation: guidance for moving toward a high reliability organization,” Theoretical Issues in Ergonomics Science, Vol. 6, No. 6, November 2005, pp. 509-530.

**events; but add to this operating discipline for action when the unexpected happens.**

**Deference to expertise** – in a nutshell this is essentially engaging the right expertise wherever it may reside.

**CIO Action: maintain a directory of expertise centers; establish relationships with expertise centers in advance so they can be engaged when needed.**

Sufficient for now, the CIO must communicate that change and continual transformation is now the norm. The extent and velocity of change will continually increase. And there are lessons to be learned from other organizations such as High Reliability Organizations that have already pushed many of the frontiers in managing change.

## IX. Transformation is Ongoing – Relevant Metrics

It is important to see transformation as an ongoing process rather than a one time initiative. Therefore, metrics created to help stimulate an organization toward change and to measure progress toward that objective must be continually reviewed for *relevancy*. In 1993 Joseph Dear was named assistant secretary of labor and also the head of OSHA. What he encountered as “measures of success” were metrics related to the *number of inspections made* and  *fines assessed*. Though these metrics may have had meaning at one time the contextual conditions that prompted those metrics had long since changed.

Frank Ostroff describes the need for the organizations to establish performance metrics that support the organization’s mission. NASCIO continually presents the need to evaluate actions, projects, programs and management initiatives based on ultimate outcomes. *Are citizens better off? Are*

*streets safer? Is there more economic opportunity for our citizens? Is our educational system providing what we need now?* In the case of OSHA, the ultimate outcome sought is “protecting worker health.” Metrics and incentives within OSHA must contribute toward that aim.

The Occupational Safety and Health Act was enacted by Congress to, “... assure so far as possible ... safe and healthful working conditions ...”<sup>9</sup> The intent of OSHA is presented in the preamble to the act and in the “general duty clause.” The challenge Joseph Dear presented to his organization was to determine what incentives and metrics must be in place to accomplish *that* mission within the *current contextual* environment. Metrics and performance measures must continually be evaluated against *current conditions*. When Dear arrived at OSHA, established metrics were out of sync with the current strategic intent of the organization. Frank Ostroff has described this scenario as being “captured by metrics.” Ostroff goes on to describe four more principles for managing change in government.<sup>10</sup>

Metrics must be seen as a necessary tool to assist in the implementation of change. Metrics will provide the control chart to ensure the outcomes sought are achieved, and will also help to defend or justify the change management initiative.

## X. Enterprise Architecture – the path to transformation

The General Accounting Office, GAO, conducted a survey of 27 major federal departments and agencies regarding transformation efforts and reported the results.<sup>11</sup> GAO makes the point in this report that enterprise architecture is the necessary discipline to employ in transforming organizations. The effectiveness of this

<sup>9</sup> Public Law 91-596, 84 Stat. 1590, 91<sup>st</sup> Congress, S.2193, The Occupational Safety and Health Act of 1970, General Duty Clause, retrieved on January 17, 2007, from [http://www.osha.gov/pls/oshaweb/owasrch.search\\_form?p\\_doc\\_type=OSHACT&p\\_toc\\_level=0](http://www.osha.gov/pls/oshaweb/owasrch.search_form?p_doc_type=OSHACT&p_toc_level=0)

<sup>10</sup> Ostroff, F., Change Management in Government, Harvard Business Review, Vol. 84, Iss. 5, ISSN 0017-8012, May 1, 2006

approach is dependent on how well the organization has embraced their enterprise architecture, and the capability of the organization to comply with that architecture.

NASCIO has presented this same perspective regarding transformation and the necessary employment of enterprise architecture. Enterprise architecture takes a broad view of the organization which encompasses every facet of strategy, research, operations, technology, human resources, and relationship management. Enterprise architecture is a comprehensive view of the enterprise. This view is essential especially during transformation and change leadership.

In order to avoid collisions, and ensure “all the parts fit together” when complete, a comprehensive plan must be established and followed. This point is made by Bruce Hallowell in an article published in *Healthcare Financial Management*. Hallowell states that many failed efforts to effect transformation can attribute that failure to not fully understanding or taking account of the “domino effect” change in one area will have on other areas within the organization.<sup>12</sup>

The GAO report summarizes the intent of the federal reference models for enterprise architecture.

*...These models are intended to facilitate government wide improvement through cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration, interoperability, and integration within and across government agencies.*

Enterprise architecture is not established for its own existence. It has a purpose in

the overall management of an enterprise. The intent of the Federal Reference Models is to facilitate movement toward an intended outcome as articulated in the above statement.

Change leaders have at their disposal this discipline for defining, organizing and executing on organizational transformation.

*Enterprise architectures are a recognized tenet of organizational transformation and IT management in public and private organizations.*

*Without an enterprise architecture, it is unlikely that an organization will be able to transform business processes and modernize supporting systems to minimize overlap and maximize interoperability.*

**-GAO August 2006<sup>13</sup>**

*An enterprise architecture is a blueprint for organizational change defined in models that describe (in both business and technology terms) how the entity operates today and how it intends to operate in the future; it also includes a plan for transitioning to this future state.*

**-GAO August 2006<sup>13</sup>**

Enterprise architecture must always be presented as an ongoing iterative process. It is never complete, and the organization is never done developing it. Even as the organization must see itself as a fluid – modifying itself continually – the enterprise architecture that describes it must also be fluid.

This GAO report was preceded by a July 2003 report titled *RESULTS-ORIENTED*

<sup>11</sup> *ENTERPRISE ARCHITECTURE Leadership Remains Key to Establishing and Leveraging Architectures for Organizational Transformation*, Government Accountability Office, Report GAO-06-831, August 2006, retrieved on January 19, 2007, from <http://www.gao.gov/cgi-bin/getrpt?GAO-06-831>

<sup>12</sup> [tips on transforming an organization](#). By: Hallowell, Bruce. *Healthcare Financial Management*, Jun2003, Vol. 57 Issue 6, p64, 2p; (AN 9973672)

<sup>13</sup> *ENTERPRISE ARCHITECTURE Leadership Remains Key to Establishing and Leveraging Architectures for Organizational Transformation*, Government Accountability Office, Report GAO-06-831, August 2006, retrieved on January 19, 2007, from <http://www.gao.gov/cgi-bin/getrpt?GAO-06-831>

*CULTURES: Implementation Steps to Assist Mergers and Organizational Transformations.*<sup>14</sup>

Suter has described enterprise architecture as the “blueprint” for organizational transformation.<sup>15</sup>

### **The Case for Enterprise Architecture**

Enterprise architecture enables the transformation of organizations into efficient users of capital, be it human/intellectual, organizational, or technical.

*It does so by identifying capability and resource requirements of the agency mission before resources are committed to development, thereby minimizing the risk of costly rework and schedule overruns; identifying reuse; and streamlining opportunities for technologies, processes, procedures, and information assets.*

## **XI. The soft side of transformation and change leadership - people**

All that has been presented here regarding transformation and leading change has as its most significant linchpin – *people*. Nothing gets done without people. And in the end, it is people that are served by state government. All the theories, modeling techniques, analysis, and technology will mean nothing if adequate attention is not given to the real authors and benefactors of change – people. Mutual trust must be established. Trust must be earned. In order to establish a *trust organization*, management must first be trustworthy. Management must create an organization that embraces open communication. This openness means that critics and supporters have equal voice in any transformation or change initiative.

The following quote comes from the Change Management Learning Center.

*Consider that when a group undergoes a change, it is not the organization that changes, but rather the behaviors of individuals. New behavior results, and different business outcomes are achieved. In other words, organizations don't change, people within organizations change.*

*The link between any strategy, process or system change and the associated business results is the collection of individual changes that occur one person at a time.*<sup>16</sup>

This description emphasizes the fact that effective change management is founded upon positive relationships with each individual that makes up the team, the department, and the enterprise. The *Change Management Learning Center* describes the process for implementation change using what is referred to as the ADKAR model.

*“No business survives over the long term if it can't reinvent itself.” - J.P. Kotter*

At the Association of Government Accountants' 13th Annual Leadership Conference, Washington, D.C., January 25, 2002, Comptroller General David Walker presented the basics of “what, why, who, how and when” regarding transformation in the federal government. He stated that *transformation* is basically an act, process, or instance of change in structure, appearance, or character; a conversion, revolution, makeover, alteration, or renovation. He described the case for transformational change in the federal government in terms of the government being on a “burning platform,” and he noted that “the status quo way of doing business is unacceptable.”<sup>17</sup>

Of the three components of holistic business transformation—people, process and technology—captured in the

<sup>14</sup> *RESULTS-ORIENTED CULTURES: Implementation Steps to Assist Mergers and Organizational Transformation*, Government Accountability Office, Report GAO-03-669, July 2003. Retrieved on January 19, 2007 from [www.gao.gov/cgi-bin/getrpt?GAO-03-669](http://www.gao.gov/cgi-bin/getrpt?GAO-03-669)

<sup>15</sup> *Securing Strategic Benefit from Enterprise Architectures*. By: Suter, R.. Defense & AT-L, Jan/Feb 2007, Vol. 36 Issue 1, p20-38, 3p

<sup>16</sup> Retrieved on January 19, 2007, from <http://www.change-management.com/tutorial-essence-of-adkar.htm>

<sup>17</sup> Walker, David M., “Transformation in Government,” Presentation to Association of Government Accountants 13th Annual Leadership Conference (Washington, D.C., January 25, 2002), accessed 6 July 2004; available at <http://www.gao.gov/cghome.htm>.

President's Management Agenda, Walker stated an agency's *human capital program* is the most important enabler for effective performance management.

## XII. The Learning Organizational Environment

Brian Fry and Samuel Griswold of South Carolina recommend pursuing a *Learning Organization* approach to change management.<sup>18</sup> Information technology advances have enabled organizations to make *rapid* and *continual change*. Challenges in *knowledge management* and *culture* are cited as the greatest barriers to effective change. The prescription put forth to manage effectively in an environment that is continually changing is to abandon the pursuit of *stability* and *predictability* and replace those organization characteristics with *experimentation* and *innovation*.

The *Learning Organization* continually challenges how things are done. Implementing this characteristic of *Organization Learning* within a government enterprise is going to be a significant challenge as was related in the case study described in their report. A Learning Organization is defined as,

"...an organization skilled in creating, acquiring, and transferring knowledge, and modifying its behavior to reflect new knowledge and insights."<sup>19</sup>

The case study presented by Fry and Griswold presents the following take aways. We've offered potential learnings from these recommendations. These learnings or *Potential Adjustments* to change management or transformation efforts are offered as reactions to the conclusions of Fry and Griswold.

### **Lesson 1: Change will take longer than one thinks.**

**Potential Adjustment:** Manage change in discrete steps with intermediate deliverables. Establish communication plans. Test the effectiveness of communication plans. *Think Enterprise*, but implement at the team level.

### **Lesson 2: Technology (and Training) have limitations as a catalyst for change.**

**Potential Adjustment:** Learning must first occur at the level of the individual. Communication must be two-way. Listen to associates to understand the basis for behaviors and attitudes.

### **Lesson 3: Grand strategies versus small steps.**

**Potential Adjustment:** The authors described three strategies for creating a *Learning Organization*. Possibly the best approach is not to make a large campaign. Rather employ good management practices without stating explicitly that "we're now going to create a Learning Organization."

As the authors recommend – make changes in small steps – i.e., Kaizen – continuous and incremental.<sup>20</sup>

The point has been made a number of times in this report that change must be *continual*. This concept is embraced in what has been termed a *change competent organization*.<sup>21</sup> At the state of Delaware's Department of Technology and Information (DTI), there is an established change management team that works with the project managers on all projects. DTI employs a defined methodology. Its success can be attributed to competent change leaders and top leadership support

<sup>18</sup> Fry, Brian R.; Griswold, J. Samuel., *Defining and Implementing the Learning Organization: Some Strategic Limitations*, Public Administration Quarterly, Fall 2003, Vol. 27 Issue 3, p311-335, 25p

<sup>19</sup> Garvin, David A. (1993). "Building a Learning Organization." *Harvard Business Review* 71 (July-August):78-91.

<sup>20</sup> See definition of kaizen, [http://www.google.com/search?hl=en&lr=&defl=en&q=define:Kaizen&sa=X&oi=glossary\\_definition&ct=title](http://www.google.com/search?hl=en&lr=&defl=en&q=define:Kaizen&sa=X&oi=glossary_definition&ct=title)

<sup>21</sup> "Building Change Competency"; The Change Management Learning Center. Retrieved on March 22, 2007 from <http://www.change-management.com/tutorial-change-competency-mod5.htm>

that requires consistent application across the entire organization.

As described by Pam Waters, Change Management Team Leader with DTI, this ongoing process can be quite painful at times – but it gets better – slowly but surely. Some roles that have previously dealt primarily, or even exclusively, with technology must now include additional skills – working with people. Gradually, associates are seeing the value of an organized change management discipline and its contributions to the success of project implementations.<sup>22</sup>

Delaware presents a success story for organizational transformation. The initiative was led by CIO, Tom Jarrett. In a recent interview, Jarrett highlighted some of the keys to success. He leveraged legislation that was passed just prior to his arrival which created his position as CIO and Secretary of Information and Technology. This legislation gave him the authority to transform the state department of technology and information. Jarrett maintains the significance of relationship management as a key skill for state CIOs. The transformation initiative was started and maintained through a partnership between his office, the governor, and the state legislature. Jarrett expanded the role and scope of the organizational transformation team from being restricted to ERP solution planning and implementation to include all technology projects. Jarrett highlights the fact that he hired staff with business acumen to assist him in establishing a business centric approach to managing the information technology department. He has successfully applied sound business practices such as risk management, a robust communication plan, and relationship management approaches to ensure all stakeholders are part of the process for identifying and prioritizing technology initiatives. Thus, stakeholders feel ownership for the projects that are either in process

or have completed.<sup>23</sup> Jarrett and Waters have worked collaboratively to cultivate a culture that embraces continual change – i.e., a *change competent organization*.

### XIII. Plan for incremental change – “short term wins”

In state government there have been multiple failed attempts to make change using the “big bang” approach. This has been consistently ineffective. Typically the next CIO coming in after one of these attempts is tasked with “smoothing things over” so everyone is working together again. State government is distinctly different from private enterprise. In many ways, it is far more complex in terms of organizational models, external relationships, motivations, and funding. This brings about certain *bounding* on how government establishes and implements strategic initiatives as well as operations.

Given the nature of state organizations, transformation efforts rely more heavily on stakeholder support than what may be experienced in the private sector. Stakeholders are primarily the agencies within the executive branch. Other critical stakeholder relationships include the governor and the legislature. Most stakeholders will provide support along the transformation path – however, a significant concern within state government is interruption of services, disruption to the organization, and lengthy initiatives that don’t promise results within the short tenure of some officials. A large transformation initiative therefore presents significant *risks* related to completion of the initiative within the short time frames relevant to policy makers, and the potential disruptions to operations that span administrations. Large transformation efforts may be viewed as too chaotic to gain sustained support.<sup>24</sup>

<sup>22</sup> Contributory writing from Pam Waters, State of Delaware, Department of Technology and Information. Pam’s contact information is presented with the list of contributors to this report.

<sup>23</sup> Interview with Tom Jarrett, CIO for the state of Delaware.

<sup>24</sup> From an interview with Steve Fletcher, CIO for the state of Utah.

These concerns and perceptions naturally drive transformation efforts in state government toward an incremental delivery process. This approach provides the capability to properly manage risk, expectations, and relationships, ensuring transformation efforts have long term success.

#### XIV. Conclusion – Calls to Action

State CIOs must see themselves as change leaders. In developing the strategies, and the management initiatives and projects that deliver on those strategies, the CIO will provide many of the enabling capabilities to deliver the goals and objectives of the governor, the state legislature and the state judiciary.

##### Summary of state CIO Calls to Action:

1. Develop knowledge and skills in organizational transformation and change management in both self and staff. Maintain an enterprise perspective. Work toward a Change Competent Organization.
2. Establish a process for managing transformation in incremental steps. Leverage program and project management discipline in planning and implementing change initiatives.
3. Establish collaborative relationships. Internal relationships must include the director of human resources that will enable the ongoing development of associates. The importance of specific stakeholder relationships will change

over time based on challenges, budget and legislative cycles, advent of innovation, etc. External relationships must include relevant expertise centers.

4. Emphasize leadership knowledge, skills and behavior in self and associates.
5. Create a “learning organization” that is continually adapting, learning from mistakes. Approach unforeseen events and even missteps like a High Reliability Organization – always seeing the learning value from such circumstances so the organization is always improving. Encourage innovation.
6. Cultivate trust throughout the organization.
7. Leverage enterprise architecture as the enabler of continual transformation. Maintain a perspective of enterprise architecture as a management discipline not simply a methodology for managing technology.
8. Partner with the state legislature on transformation initiatives – share the credit with the legislature when progress is made and initiatives are successful.
9. Stay in contact with peers within the NASCIO community to share ideas regarding what works and what doesn’t. Be aware of what is happening in other states. Continually collaborate with other CIOs in order test ideas.

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## Resources:

### NASCIO Publications

<http://www.nascio.org/publications/>  
*A National Framework for Collaborative  
Information Exchange: What is NIEM?*

*Building Better Government through  
Enterprise Architecture*

*Call for Action, A Blueprint for Better  
Government: The Information Sharing  
Imperative*  
<http://www.nascio.org/advocacy/dcFlyIn/>

*Enterprise Architecture Development Tool-  
Kit v3.0*

*Government At Risk: Protecting Your IT  
Infrastructure*

*Harmony Helps: A Progress Report on State  
Government Internet Presence*

*In Hot Pursuit: Achieving Interoperability  
Through XML*

*IT Procurement and Enterprise Architecture:  
Recognizing the Mutual Benefits*

*PERSPECTIVES: Government Information  
Sharing Calls to Action*

*Staying Connected to Your Customers:  
Strategies and Tactics to Grow Enterprise IT  
Services*

*We Need to Talk: Governance Models to  
Advance Communications Interoperability*

### NASCIO

[www.nascio.org](http://www.nascio.org)  
*Catalog of Collaborative Information  
Exchange*  
<http://www.nascio.org/nascioCommittees/EA/catalog/>

*List of NASCIO Committees*  
<http://www.nascio.org/committees/>

List of NASCIO Corporate Partners  
<http://www.nascio.org/aboutNASCIO/corpProfiles/>

Washington Watch  
<http://www.nascio.org/advocacy/washWatch>

### State Government related websites

State of Delaware  
<http://dti.delaware.gov/majorproj/changemgmt.shtml>

State of Oklahoma  
<http://www.youoklahoma.com/coreoklahoma/change.html>

State of Washington  
<http://isb.wa.gov/tools/pmframework/execution/changemgmt.aspx>

### Web References

Change Management 101: A Primer  
<http://home.att.net/~nickols/change.htm>

Free Management Library  
[http://www.managementhelp.org/org\\_chng/trnsform/trnsform.htm](http://www.managementhelp.org/org_chng/trnsform/trnsform.htm)

The Change Management Learning Center  
<http://www.change-management.com/>

### Books

*Change Management* by Jeffrey M. Hiatt and Timothy J. Creasey. Prosci Research, Loveland, Colorado. 970-203-9332. ISBN 1-930885-18-0 paperback; ISBN 1-930885-19-9 hardcover; Library of Congress Control Number 2003111671

*The Art of Transformation* by Newt Gingrich and Nancy Desmond. CHT Press. ISBN 1-933966-00-9. Available from The Center for Health Transformation, 1425 K Street, NW, Suite 450, Washington, D.C. 20005, [www.healthtransformation.net](http://www.healthtransformation.net)

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