



Beyond Onboarding

An Accelerated Individual and Team Learning
Approach to Improving Senior Executive Transitions
and Achieving Sustainable Business Results

Book 1: An Introduction to Senior Executive Transitions

Book 1 of the Three Waves of Change™ ebook series.

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Book 1: An Introduction to Senior Executive Transitions



A Disturbing, Persistent Failure Rate



Why is the eighteen month failure rate of senior executives transitioning into a new role still 40%¹ or more? Why are these talented executives with a past history of success struggling to "take charge" in short order and realize sustainable, consistent business results? How can we improve the success rate?

Effectively Managing the First 100 Days is Necessary, but Not Sufficient

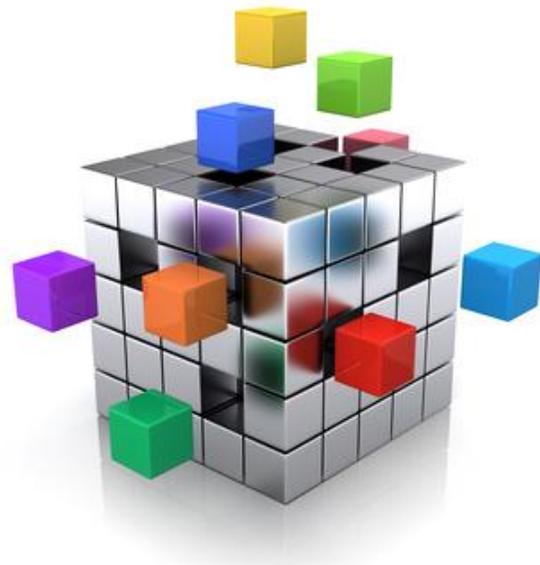
The popular business press has developed a fascination with the "first 100 days" of a leader's transition. Few recall that this arbitrary time line was invoked largely by the U.S. press to monitor FDR when he began implementing the "New Deal" and what he could accomplish through the U.S. government to pull the United States out of desperation and the depths of The Great Depression. Few, if any, businesses replicate those circumstances. The primary accomplishments of most U.S. presidents occur long after the first 100 days are a distant memory. But the concept has taken on a life of its own, focusing on "getting off to a good start" for "leaders at all levels." For senior executives, however, successfully navigating the entry into his or her new role is necessary, but not sufficient.

¹ "40%" has served as a good relative benchmark for the past fifteen or more years and was originally based on a Center for Creative Leadership study (as cited by Anne Fisher in "Don't Blow Your New Job" in Fortune, June 22, 1998). Other reported research or survey findings vary significantly by data collection methodology, sampling methodology (or lack thereof), the definition of "failure," the content of the samples of executives, or whether the estimate is simply based on accumulated experience of the report's author without any supporting data. Regardless, other sources report similar findings: Right Management Consultants (35%); Leadership IQ (46%), and the Institute of Executive Development (30% external hires, 21% internal transfers, with 34% of new executives gone from the organization within two years).

Center for Creative Leadership author Douglas Riddle proposes that the statistics about failure or inadequate success experienced by executives in new leadership positions are well known by now. He suggests estimates of outright failure in the first 18 months range from 38% to over 50%, and many more executives fail to be as successful as was predicted in the hiring or promotion phase. (Douglas Riddle. "Executive Integration: Equipping Transitioning Leaders for Success," Center for Creative Leadership, 2009).

The Expectation for - and Legitimate Authority to - Implement Change

Senior executive transitions represent a different category of challenges from the transitions of other executives and managers. They are expected to implement changes in the business and they have the legitimate authority to do so. They are either line executives or key functional organization heads. They have P&L responsibility for a definable portion of the business or responsibility for the capabilities and contribution of such important functions as Engineering, R&D, Supply Chain, Marketing, Sales, or Human Resources. Few are hired to "stay the course." The changes that are expected can range anywhere from incremental improvements, to the insertion of structures and processes into a business in the stage of "Unbridled Rapid Growth," to transformations of otherwise sleepy, declining mature business organizations, or to turnarounds of businesses in a death spiral. Effectively managing organizational change is an explicit expectation for the formula for success. Unfortunately, "change management" is also the category of leadership skills and competencies that few executives have been adequately trained in or excel at.



A Recent Snapshot of the Typical Senior Executive Transition Challenges

In 2014, McKinsey & Company surveyed 1,195 C-level executives reportedly representing the full range of global regions, industries, company sizes, and functional specialties. In response to this retrospective survey, nearly half of the respondents indicated that they were not successful at aligning others around their initial objectives, and more than one-third admitted that they had not successfully met their overall objectives for the role.²

In the following summary adapted from the McKinsey & Company report of its 2014 survey, the transition activities rated most important to the transition's overall outcome were (in descending order of rated importance):

² McKinsey & Company. *Ascending to the C-suite 2015*. McKinsey Insights, April 2015.

Table 1: Summary of the McKinsey & Co *Ascending to the C-suite* 2015 Survey Findings

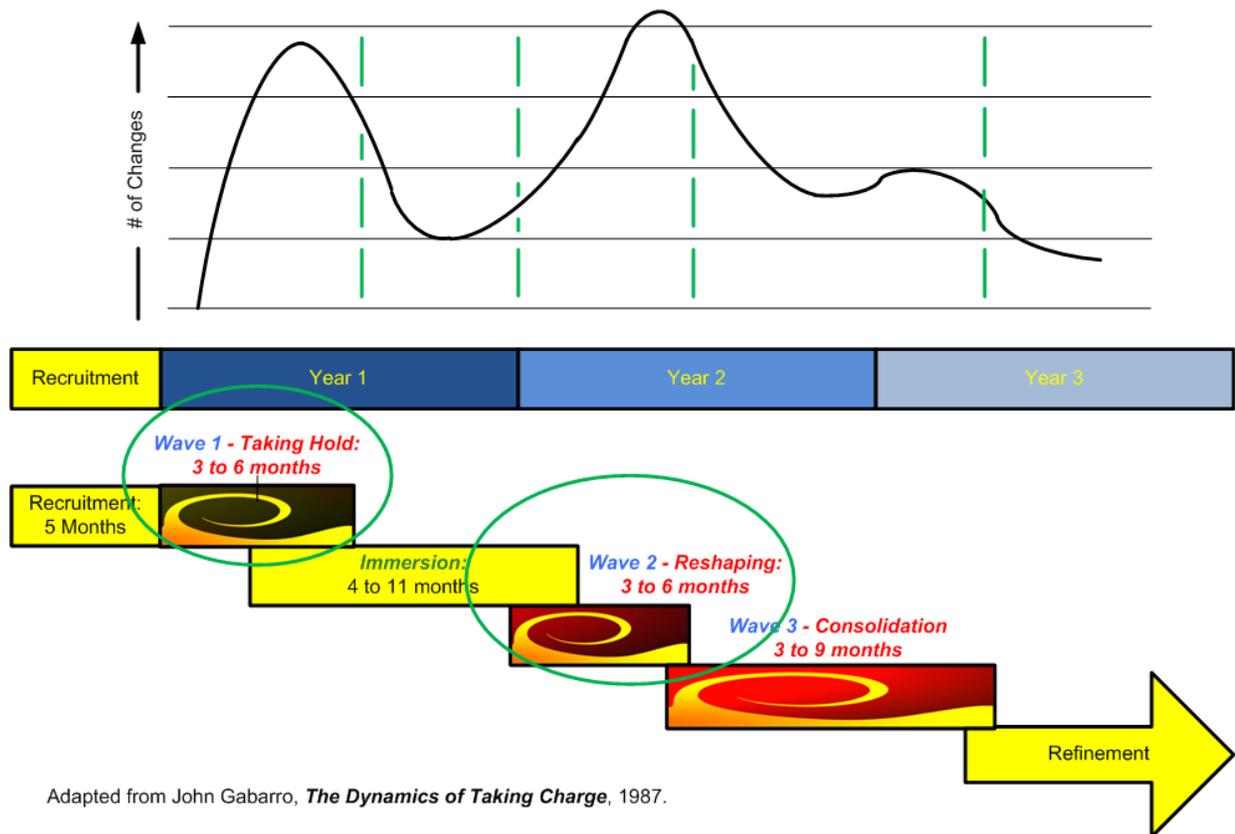
Performance Lever	Importance*	Related Findings
Strategic Direction - Shared Vision	1. Creating a shared vision and alignment around strategic direction across the organization: 87%	This was among the most difficult challenges: only 30% of all respondents (and 39% of successful transitions) reported this activity as easy.
Senior Team Performance	2. Mobilizing team to function as a high-performing group (i.e., a team with trust and efficiency): 86%	The respondents reported that they relied heavily on their inherited teams early in their tenure. (No recommendation was offered by the McKinsey authors for the best way to build trust.)
Strategic Direction - Prioritizing Initiatives	3. Identifying highest-impact business opportunities (i.e., what to do and what not to do) to set an optimal strategic direction. 82%	Successful executives were distinguished by their ability to clarify and communicate initial agenda priorities and initiatives, as well as which initiatives they would stop.
Senior Team Selection	4. Moving in a timely manner to get the right individuals on team of direct reports. 76%	74 % say at least 50% of their initial reports were still on their teams by the end of their transitions. The majority said their final teams were in place within the first year.
Assessing the Current Culture	5. Understanding and measuring the company's organizational culture. 67%	Rated "somewhat difficult" to "very difficult" by 65% of the external hires and 53% of internal hires.
Changing the Current Culture	6. Implementing material changes to organizational culture, as needed. 66%	Rated "somewhat difficult" to "very difficult" by 79% of the external hires and 69% of internal hires. This was rated the most difficult transition activity by the respondents.
Individual Development of Self	7. Adapting to the position through an optimal use of time to play a unique role in the company. 66%	Few organizations have established internal capabilities or ownership for the transition process. Only 27% reported their organizations had the right program or resources available to support their transitions. 73% did not.
Individual Development of Self	8. Identifying and building the skills needed in the new role, before assuming it. 59%	Most successful approaches blended in-class learning with personal coaching for 6 to 12 months.

* Percentage of respondents rating either "Extremely Important" or "Very Important." Adapted from: McKinsey & Company. *Ascending to the C-suite 2015*. McKinsey Insights, April 2015.

Beyond the Snapshot: The Previous Discovery of the "Three Wave Phenomena" of the Typical Senior Executive Transition Process

The research foundation for understanding modern senior executive transitions began with John Gabarro of Harvard University. In 1987, John reported the results of his multi-year, in-depth, longitudinal case studies and retrospective studies of a total of 17 senior executives. His findings indicated that "taking charge" for senior general and functional managers could take from two to two and a half years or longer. The second major finding was that the typical senior executive transition process was not a steadily increasing process of learning or action, but a series of stages that alternate between learning and action that is sequentially predictable: the "three wave phenomena." The third major finding was that largest number of changes occurred in Wave 1 and Wave 2, most of them after the first 100 days.

Figure 1. The Transitioning Executive Led the Most Organizational Changes in Waves 1 and Wave 2 – Beyond the First 100 Days



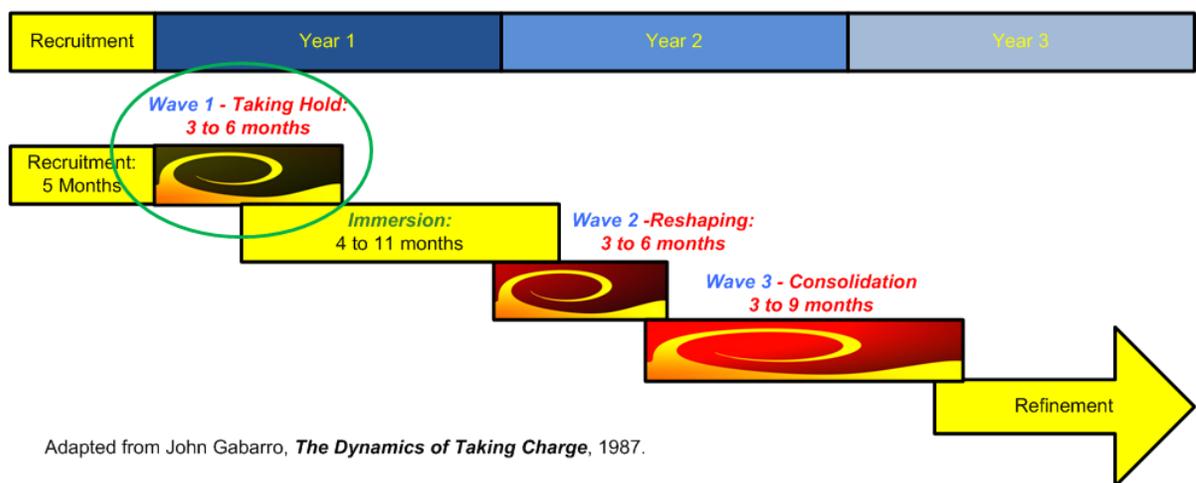
Adapted from John Gabarro, *The Dynamics of Taking Charge*, 1987.

Wave 1: The Taking Hold Stage

"Wave 1" includes the point of entry, the so-called "honeymoon period," and the management of "getting off to a good start" during the first 100 days (and longer). This period focuses on the executive addressing improvements in "low hanging fruit," priority "early wins" identified by the boss or other critical key stakeholders, and the initial assessment of the situation he or she has gotten him- or herself into. The transitioning executive needs to build some initial credibility with his or her immediate tribe³ (team) and with a growing network of other stakeholders (extended tribe or other tribes). Typically, the executive's reference points and lenses for assessing the business are based primarily on the executive's own frame of references, past experiences, and past successes. The transitioning executive will need to compare his or her entering mental models with those of his or her team. Gabarro found this period could last anywhere from 3 months to 6 months. Our experience in coaching executives during this stage confirms that it is a stage that is not strictly bounded by time, as different situations at this stage evolve at different speeds.

The fourth relevant major finding was Gabarro's discovery that at the beginning of their transitions in Wave 1, almost all of the new executives expected that within the first four to six months they would successfully diagnose the business and accurately identify the fewest levers of change that would achieve the desired business results, to be followed simply by implementation and execution.

Figure 2. Wave 1 Learning and Initial Changes



³ After 30 years of consulting experience I have come to use the term "tribe" to replace the often inaccurate attribution of a "team." Hopefully the value of this distinction will become even more evident when we discuss "culture."

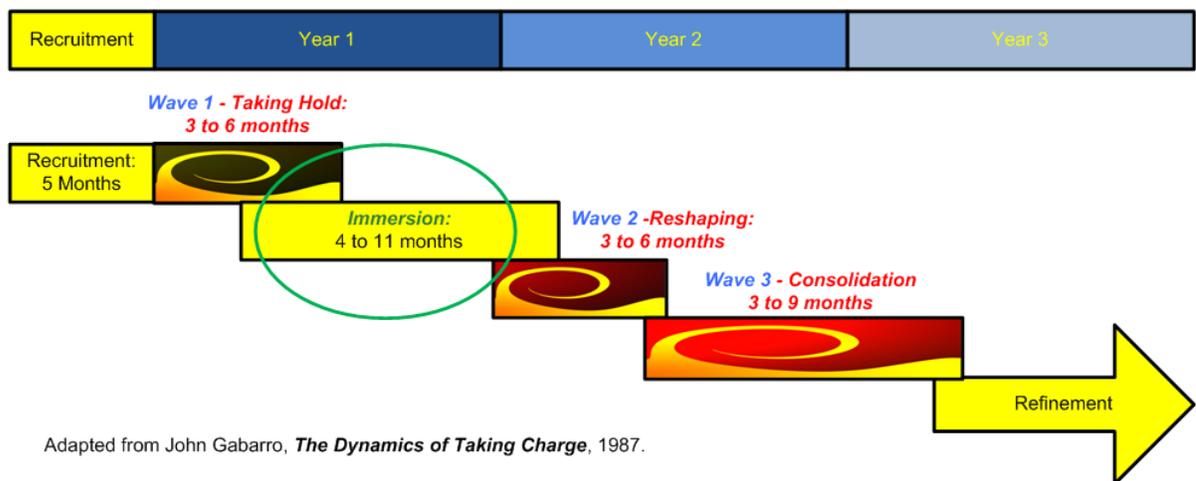
The "Wave 1 Oops!"

Instead, what the transitioning executives typically discovered at the end of Wave 1 was some successes, some sets of partial solutions or improvements, and unresolved challenges. The transitioning executives were perplexed by the discovery that some of the changes that they had anticipated would be difficult were in fact relatively easy, some of the easy changes were difficult, and the resistance to change in the organization was stronger, more pervasive, and involved more people than they first imagined. By making some significant changes in Wave 1, they also discovered other underlying problems they had not anticipated or detected before. The executive cannot solve the business' challenges alone, and soon she or he learns that their team also does not have all of the answers. In the humorous tradition of comedian George Carlin, I like to call this epiphany the "Wave 1 Oops!" The current mental models of the transitioning executive and his or her team only carry their change efforts so far. Some of the root causes for the continuing resistance to change remain ill-defined and elusive. Being adaptive learners, the more successful executives leave the Wave 1 stage and enter the "Immersion" stage, employing different approaches to organization diagnosis and change.

Immersion: The Deep Dive Diagnostic Stage

In the Immersion stage, the executive reaches out to other senior sponsors and key stakeholders outside of his or her tribe to participate in the organizational diagnosis process, identify root causes, and own the results. This is essentially a "deep dive" into the business

Figure 3: The Immersion / Deep Dive Diagnostic Stage



which is no longer primarily based largely on the executive's or his or her extended team's past experiences and mental models. Instead, the executive is focused more on enabling the key stakeholders in the existing business to take a fresh look at the larger organization's processes, practices, and its ability to change. This stage requires the building of a critical mass of stakeholders with a sense of shared ownership for the often multiple root causes of the resistance to change and the local solutions to address this resistance. Ideally, this diagnostic process will be engaged in by the executive's tribal members and key representatives of other tribes with the intention of mutual learning (vs. win/lose debate or competition of points of view).

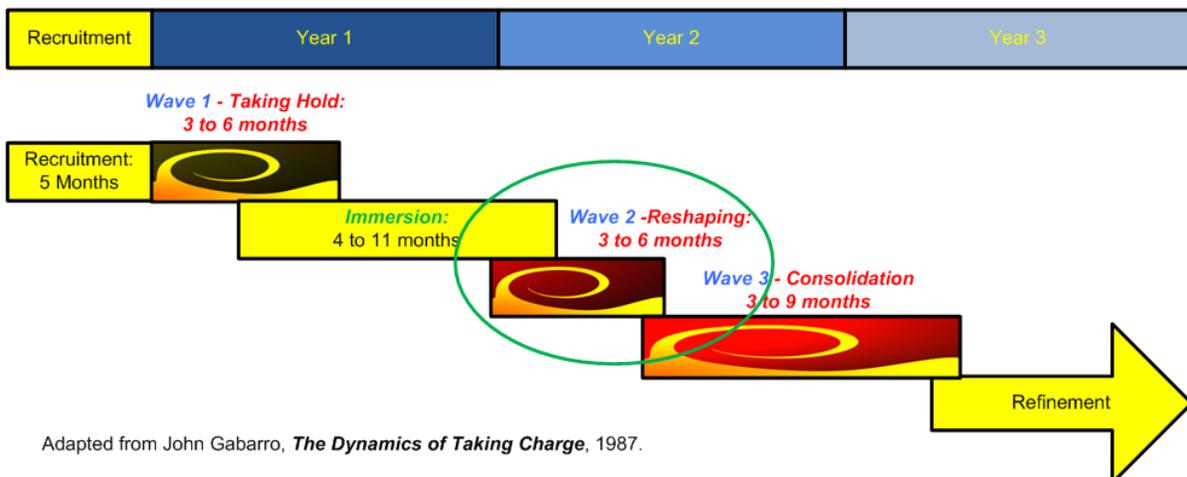
The Immersion stage of transition is a test of the transitioning executive's and his or her team's ability to influence, engage, and collaborate horizontally and vertically with stakeholders outside of his or her direct legitimate authority structure. In many larger businesses, this means influencing within a matrix organization and across national and regional boundaries. The Immersion stage is also a testing ground for the executive's own team members to demonstrate their ability to take a fresh look at their assumptions about the business, demonstrate diplomacy while pushing political boundaries, and leading what may be viewed by others as potentially threatening and disruptive change.

Gabarro's finding that the Immersion Stage often takes from 4 months to 11 months to complete is consistent with our field executive coaching and consulting experience.

The Immersion stage ends when there is a shared mental model among a broader set of stakeholders often outside of the transitioning executive's tribe about the root causes for the business' resistance to change as well as the identification and alignment of the high leverage changes that will be necessary to improve the business' performance.

Wave 2: The Organization Capability Reshaping Stage

Figure 4: The Wave 2 - Organization Capability Reshaping Stage



Adapted from John Gabarro, *The Dynamics of Taking Charge*, 1987.

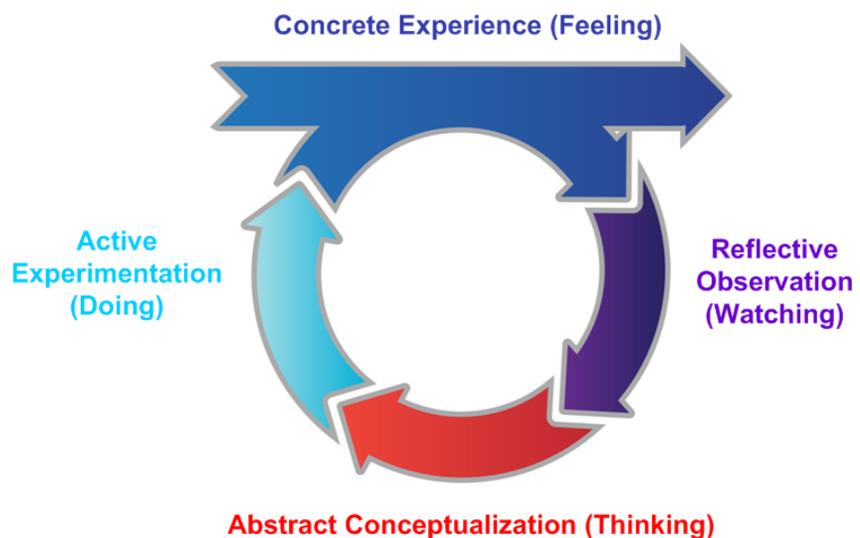
Following the Immersion stage, Wave 2 is the design, alignment, and implementation of the next set of significant changes, and as Gabarro found, it is often the largest number of changes of significant magnitude. By the beginning of Wave 2, the transitioning executive will have tested his team to determine who qualify as the key players to see the remaining changes through to completion. (Recall from the McKinsey survey that in 75% of the cases only half of the original team survived the executive's transition and the majority of the survey respondents had finalized their team only by the end of the first year.) It is only now that the executive can safely announce that "this is the team, and we will sink or swim together."

Wave 2 can last 3 months to 6 months and is followed by Wave 3. Wave 3 is a period of changes of smaller magnitude, usually of a continued incremental refinement and institutionalization of the changes implemented in Waves 1 and 2. If this is the definition of having "taken charge," it can take two to three years (or more) to complete.

The Senior Executive Transition Is an Iterative Learning Process

David Kolb's⁴ model of adult learning suggests that there are four major stages of learning: Reflective Observation, Abstract Conceptualization, Active Experimentation, and Concrete Experience. This is an individual learning process that is typically iterative. The cycle can become a spiral of learning. Revisiting current knowledge with new insights, these spirals lead to continuing improvements in the

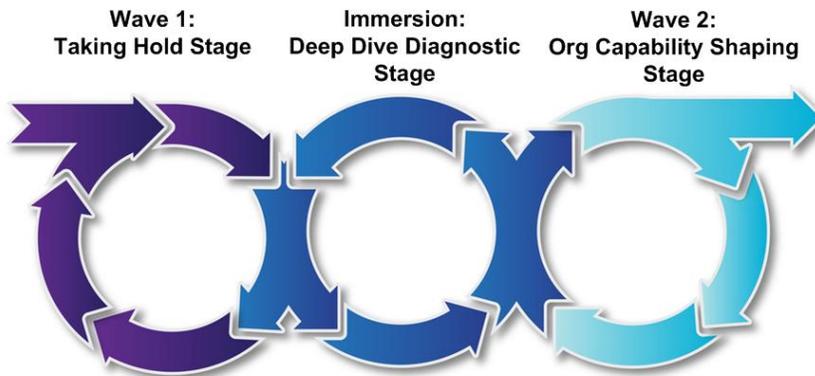
executive's capacity to manage change. Different people seem to exhibit a preference to enter the learning cycle at different points. For example, some jump right into the details and experiment with new possible changes (Active Experimentation) while others prefer to step back and thoughtfully observe what is going on in the new learning situation before they commit themselves to any significant direct action (Reflective Observation).



Adapted from: Kolb, D.A. (1984). *Experiential Learning*. Englewood Cliffs, NJ: Prentice-Hall.

⁴ Kolb, David A. *Experiential learning: Experience as the source of learning and development*. Vol. 1. Englewood Cliffs, NJ: Prentice-Hall, 1984.

The Most Valuable Opportunities To Accelerate Learning with an Executive Coach



While the entire transition journey during the first two to three years is a learning and mastery process, our experience suggests that an experienced executive coach with the right diagnostic and organizational change tools can be most valuable through the learning cycles of Wave 1, Immersion, and the successful launch of

Wave 2 changes. Most organizations are able to manage Wave 3 (Consolidation) and the Refinement stages without much additional coaching or consulting assistance. A high-level description of the possible coaching interventions at each of these three stages of the executive transition process follows.

The Effective Spiral of Learning for the Transitioning Executive and an Expanding Set of Stakeholders

Wave 1 typically consists of the transitioning executive and his or her team / tribe drawing from their past experiences to try to diagnose the opportunities for the organization's improvement of performance. The "Wave 1 Oops" suggests that these mental models, while highly relevant, are incomplete. There is a growing awareness that the processes and systems underlying the organization's performance involves stakeholders outside of their legitimate authority, but not outside their sphere of influence. Engaging others will require that the transitioning executive and his or her team / tribe modify their individual and collective mental models of the interacting and dynamic



components of the larger organization with new insights and perhaps new action alternatives to consider.

Perhaps the most descriptive model of the transition learning process for the executive, the executives extended team, and a growing extended set of other stakeholders, is "a spiral of learning." On their learning journey, they will return to similar points of diagnosis or alternative solutions, but with a more complete appreciation of the complexities of the presenting situation or even a reframing of how to think about it.

The Strength of the Three Waves of Change Phenomena Model

We have confidence in the validity of this model due to evidence of apparent convergent validity involving several of the key components of the model. Convergent validity is indicated when similar results and conclusions are realized by otherwise independent parties testing the same model. From a Public Relations perspective, Leslie Gaines-Ross⁵ of Burson-Marsteller applied the stages of Gabarro's model to the transition of new CEOs and their processes of building reputations. She found that Wall Street analysts, investors, and other key external and internal stake holders typically gave the CEO about five quarters before the CEO was expected to present his or her selected executive team and a definitive action plan to implement changes to improve the performance of the business. For these types of transitions, most of our coaching and consulting assignments have been intermittent but consistent engagements lasting five to six quarters, or more, once Wave 2 (Reshaping) is successfully underway and our assistance is needed less or not at all. The previously cited McKinsey & Company survey also appears to support the relative timelines for selecting the final team, the non-linear qualities of the process for building alignment around a new or revised vision, and the long, involved, and difficult process to attempt to change the organization's behaviors and corresponding culture.

Validation of the Three Waves of Change in Executive Transitions



⁵ Gaines-Ross, Leslie. *CEO capital: A guide to building CEO reputation and company success*. John Wiley & Sons Inc, 2003.

also,

Burson-Marsteller, Press Release regarding the CEO Capital Study: "CEOs Have Only Five Fiscal Quarters to Prove Themselves According to New National Study of Business Influentials:" 10/25/2001.

The Need to Provide the Requisite Support for the Senior Executives' Transitions

The previously cited 2015 McKinsey survey⁶ reports that only 27 percent of respondents believe their organizations had the right resources or programs in place to support their move into a C-level role. In the same study, executives who have made successful transitions (those who say they successfully aligned others during their transition and have successfully met their overall objectives) suggest that support has a role to play: these respondents are twice as likely as all others to say they received company support. Among the options for support McKinsey recommended as a conclusion from the survey: personal coaching for the first 6 to 12 months on the job. Our suggestions from more than 10 years of specializing in senior executive transition coaching and consulting experience has resulted in insights into what this type of support should be. These options are described in the remaining books of this ebook.

From an empirical study of 140 outsider CEO successions in 90 single business organizations over 30 years, Ayse Karaevli and Edward J. Zajac⁷ also recommend that boards of directors enable a well-managed, structured transition process to enable the CEO to connect with people, build a broad base of support, and balance the drive for immediate results with the time for a more thoughtful and critical evaluation of the company's business strategy, policies, and culture. They also conclude: "With so much emphasis on a newcomer's 'first 100 days in office,' it's easy to forget that outsiders are usually brought in for cultural change — which takes much longer.

Other observers suggest that organizations' and board of directors' omissions of providing the proper support to ensure senior managements' transition success is due to three mythologies: 1) senior executive transitions are routine experiences that require no special preparation or management; 2) the board and senior management's direct involvement in the transition is completed when the executive accepts the promotion or offer of

There's no question that future leaders will need constant coaching. As the business environment becomes more complex, they will increasingly turn to coaches for help in understanding how to act. The kind of coaches I am talking about will do more than influence behaviors; they will be an essential part of the leader's learning process, providing knowledge, opinions, and judgment in critical areas.

Ram Charan
The Coaching Industry: A Work in Progress
in
"What Can Coaches Do for You?"
Diane Coutu and Carol Kauffman
HBR Research Report
January 2009

⁶ McKinsey & Company. *Ascending to the C-suite 2015*. McKinsey Insights, April 2015.

⁷ Karaevli, Ayse, and Edward J. Zajac. "When Is an Outsider CEO a Good Choice?." MIT Sloan Management Review 53, no. 4 (2012): 15.

employment; and 3) the key stakeholders involved believe they can predict how the new incumbent will behave, perform, influence others, and enter the culture without a more formal or disciplined assessment of the executive.⁸

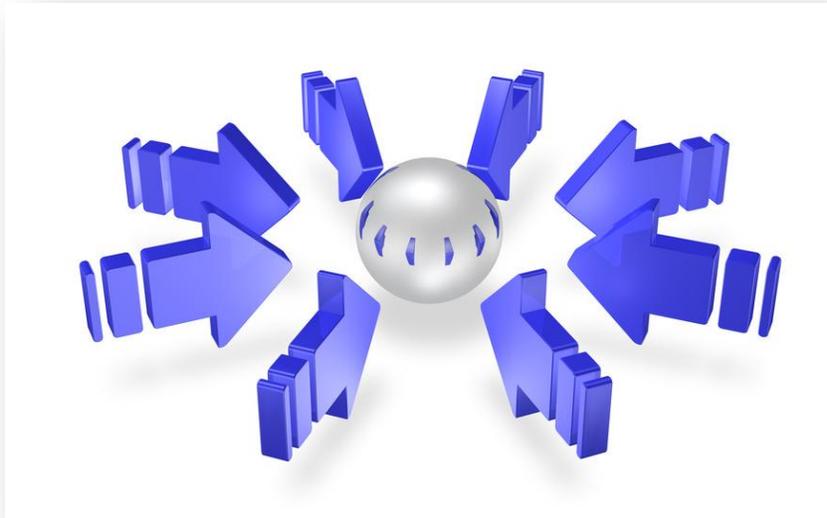
Redefining Senior Executive Transition as the Entire Senior Executive Team's Transition, Learning, and Alignment

Implicit in many discussions of senior executive transitions is a primary focus on the learning process for the individual transitioning executive. This is an appropriate emphasis. The transitioning executive needs to be cautious about making too many otherwise unjustified assumptions when entering the new situation and beginning to attempt to influence and improve the performance of the business or the key functional organization. There is also recognition that the transitioning executive leans heavily on his or her inherited team especially during Wave 1. In these discussions, the learning for the executive is how to evaluate the organization and initially adapt to the culture (without becoming fully acculturated) while the team learns to adapt to the transitioning executive's style and his or her fresh look at the organization.



Thinking in these terms may explain the typical frustrating realization that occurs at the end of the first four to six months of the transition: that the transitioning executive has yet to "take charge," identify the most potent

⁸ Ciampa, Dan, and David L. Dotlich. *Transitions at the Top: What organizations must do to make sure new leaders succeed*. John Wiley & Sons, 2015, p. 47-80.



levers for sustainable performance improvement, and has aligned the organization around the emerging components of an accepted plan for change. The "Wave 1 Oops!" should not just be an indication that the transitioning executive's mental model of the business

is not fully accurate and complete, but that the entire extended team's currently accepted shared mental model of the business is not fully accurate and complete. The entire tribe needs to be prepared to engage in a deeper learning process as part of the entire tribe's transition process. The transitioning executive and his or her extended team will need to examine, reflect on, and further test their mental models about the processes and systems that drive the performance or limit the performance of the organization. The team and its transitioning executive must be open to letting go of some of their strongly held points of view, revisit their assumptions with healthy skepticism, and be willing to entertain new insights and the possibility that their own actions and practices may be contributing to the very resistance they are complaining about.

If the transitioning executive and his or her extended executive team are ready to revisit their mental models and adjust them in response to new learning, they will be able to use the Immersion stage much more effectively.

Taking this perspective, as the senior executive begins to test the mental models and capabilities of his individual tribal members and the ability of the group to work together as a team, the coaching and consulting interventions will include both individual coaching of the transitioning executive as well as structured, facilitated learning experiences for the team.

Engaging in the Immersion Stage Requires Mutual Learning with Stakeholders Outside of the Tribe to Contribute to, Align with, and Own Their Portion of the Change Process

Once the transitioning executive and his or her tribe intentionally leave the focus on initial changes in Wave 1 and begin the deep dive diagnostic processes of the Immersion stage, the

transition begins to include a learning process for them and the stakeholders they engage. This is not just about influencing or imposing their mental models on other relevant stakeholders. This is a mutual learning process for both the transitioning tribe as well the stakeholders from other tribes. Transitioning executives who are familiar with more traditional approaches of transition orientations may find this reframing of the transition as including themselves, their extended team, and relevant key stakeholders outside of their team a foreign concept until they have their own "Wave 1 Oops!" experience. Then the necessity may become more apparent.

Can The Three Wave Phenomena Be "Reengineered" To A Single Long Wave of Progressive Linear Learning?

While in theory this goal may seem desirable, it seems to fly in the face of the evidence of how transitioning executives and their teams learn to take a fresh look at the business, identify opportunities for performance improvement, and effectively implement the necessary changes.

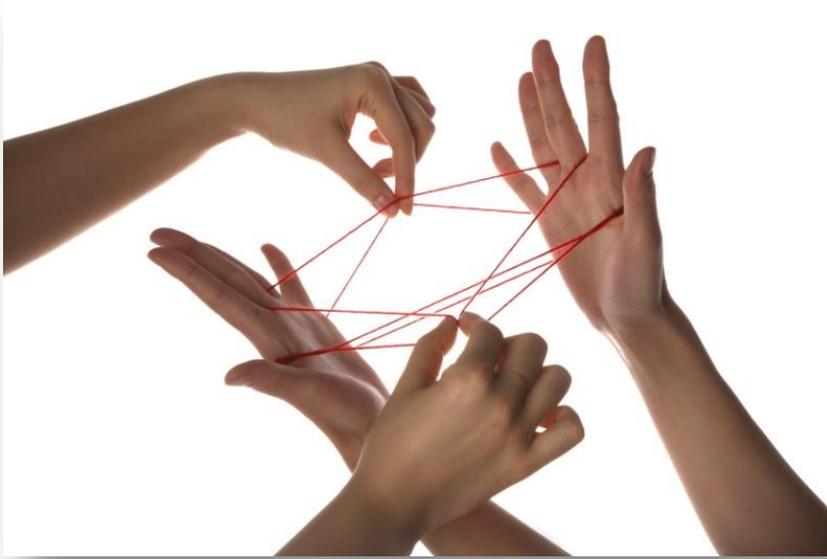
Readiness to Examine Current Assumptions

Particularly in Wave 1, both the executive and his or her team come with preconceived mental models about the current business situation as well as strong individual preferences for approaching the situation, which we will describe in the Three Waves approach as "Momentum." Included in this context is a shared set of values, beliefs, and expectations - the culture of the tribe - which can enhance or inhibit the tribe's performance. The research and consulting evidence seems to strongly suggest that until the strength of the relevance of the executive's mental model and his inherited tribe's mental models are exhausted in trying to change the organization in Wave 1, they will not be ready to set some of the elements of those mental models aside in order to learn new things or reframe how they are thinking about and addressing the changes to the organization. As will become evident in our discussion of culture, these perceptions are often strongly held because they are based on a perceived past history of success. The refrain often heard is, "We do these things this way because this is what got us to where we are today."

The Realities of Systems

The emergence of Systems Thinking⁹ has provided insights into why our thinking about behaviors and processes in business can be incomplete or limited. One of the characteristics of systems that often elude us is the subtle interconnections that can occur between inputs, outputs, processes, people, feedback loops, and outcomes. Like a "cat's cradle," the string you are pulling is in fact connected to, and pulls, multiple other strands, often in ways that are not immediately obvious.

⁹ Senge, Peter M. *The fifth discipline*. Doubleday Business, 1990.



A second characteristic of systems that appears to strongly influence the learning process is the effect of "lag time." The results of decisions, actions, and changes are often not immediately apparent. As a result, it may take some time before the executive and his or her team recognizes that some of the assumptions embedded in their mental models are incomplete,

inaccurate, or in need of reframing. It is not until you test the efficacy of your mental models in reality that one can see whether their conclusions, beliefs, or perceptions are accurate or adequate. The more reflective tribes may entertain the possibility that their actions are unwittingly contributing to the very resistances or undesirable, unintended outcomes that they are concerned about. Sometimes it takes time for the full consequences of our actions to become apparent. Only then can we realize we have gone down a dead end in our journey towards finding levers for performance improvement. This contributes to the iterative nature of tribal learning.

The Key Question: Can An Effective, Facilitated Senior Executive Team Transition Process Be Accelerated?

Our consulting and executive coaching experiences over the past 30 years show that an informed and structured but adaptive coaching, consulting and facilitated learning and change process can accelerate the transition process for both the executive and his or her tribe. This ebook will present disguised case studies based on syntheses of actual consulting assignments with the intent to demonstrate the value of investing and engaging in a facilitated executive team transition process at least through the beginning of Wave 2, and occasionally beyond. We will also present one or more case studies intended to demonstrate that even some derailing transitions can be corrected through careful remedial coaching.

Introducing the Three Waves of Change® Approaches to Addressing the Most Important Senior Executive Transition Challenges

Using the McKinsey C-Suite survey of executive's experiences of their transitions as a basic framework, allow us to introduce you to some of the essential components of a possible Three Waves of Change® coaching and consulting assignment. Below are the four categories of major findings by the recent McKinsey survey and some examples of Three Waves of Change® interventions correlated with each. Each will be briefly described in later sections of this ebook.

Table 2: Mapping Examples of Three Waves of Change® Coaching and Consulting Interventions to the McKinsey & Company Survey Results

McKinsey survey results - transition challenges.	Three Waves of Change® Examples of Intervention Options	Stage of Model		
		W1	IM	W2
1. Business				
<p>A. Creating a shared vision and alignment around strategic direction across the organization. 87%*</p> <p><small>* Percentage of respondents rating either "Extremely Important" or "Very Important." Adapted from: McKinsey & Company. <i>Ascending to the C-suite 2015</i>. McKinsey Insights, April 2015.</small></p>	A. 1. Review of the assumptions behind the elements of business strategy to evaluate whether they are still accurate, relevant, and understood.	X		
	A. 2. Begin with executive's team and then engage an increasingly extended network of other stakeholders to contribute to and take local ownership of the behaviors necessary to drive the vision.	X	X	
	A. 3. Expand the creation of the vision through dialogue and enable the local translation of the vision into behavioral priorities and normative expectations.			X
<p>B. Identifying highest-impact business opportunities (i.e., what to do and what not to do) to set an optimal strategic direction. 82%</p>	B. 1. Review of the assumptions behind the elements of business strategy to make sure they are still accurate. (See A. 1. above)	X		
	B. 2. Facilitated organizational capability assessment for the executive's extended tribe to identify competitive advantages in need of support, correction, or further development. This will include "retiring" some lower priority initiatives, projects, and investments.	X	X	
	B.3. Facilitated organizational capability shaping.	X		X

Table 2: Mapping Examples of Three Waves of Change® Coaching and Consulting Interventions to the McKinsey & Company Survey Results (continued)

McKinsey survey results - transition challenges.	Three Waves of Change® Examples of Intervention Options	Stage of Model		
		W1	IM	W2
2. Team				
C. Mobilizing team to function as a high-performing group (i.e., a team with trust and efficiency): 86%*	C. 1. Define the characteristics of a high performing team. Use them as a baseline to becoming more self-aware and self-correcting. Agree to ground rules.	X		
	C. 2. Go slow to go fast - make the individual and shared mental models and assumptions of the team members explicit early and revisit as necessary.	X	X	
	C. 3. Conduct gap analysis of the current vs. ideal culture for the tribe.	X		
	C. 4. Develop a learning team vs. a competitive debate team.	X	X	
	C. 5. Develop personal and social connections among tribe members.	X	X	X
D. Moving in a timely manner to get the right individuals on team of direct reports. 76%	D. 1. Ongoing assessments of each team member's ability to release old mental models, incorporate new information and learn, influence other stakeholders, and lead change.	X	X	
	D. 2. Confidential, private discussion with the transitioning executive of assessments of the "Tweener's" (see later description - middle of the bell curve for performance and contributions) and whether they need to be replaced with world class talent.	X	X	
	D. 3. Use supplemental individual executive coaching for tribe members as needed. (Finalize team prior to Wave 2.)	X	X	

* Percentage of respondents rating either "Extremely Important" or "Very Important." Adapted from: McKinsey & Company. *Ascending to the C-suite 2015*. McKinsey Insights, April 2015.

Table 2: Mapping Examples of Three Waves of Change® Coaching and Consulting Interventions to the McKinsey & Company Survey Results (continued)

McKinsey survey results - transition challenges.	Three Waves of Change® Examples of Intervention Options	Stage of Model		
		W1	IM	W2
4. Self				
G. Adapting to the position through an optimal use of time to play a unique role in the company. 66%*	<p>G. 1. Individual coaching can accelerate the reflective process of identifying the executive's strengths, insights, time and resources available; the emerging opportunities to contribute to constructive change; and the executive's continuing prioritization of his or her actions that constitute a unique contribution.</p> <p>G. 2. Later coaching will focus on influencing and engaging others in the extended tribe and other stakeholders (ongoing stakeholder analysis and influence plan).</p> <p>G. 3. Wave 2 coaching will focus on orchestrating multiple change actions and the alignment and coordination with other stakeholders.</p>	X	X	X
H. Identifying and building the skills needed in the new role, before assuming it. 59%	<p>H. 1. Facilitated "Momentum Assessment" and analyses of "The Presenting Situation" (described in later sections of this ebook in "Wave 1 - Entering the New Role" - Book 3).</p> <p>H. 2. Debriefing on the use of other subject matter experts and consultants as needed.</p>	X		
		X	X	X

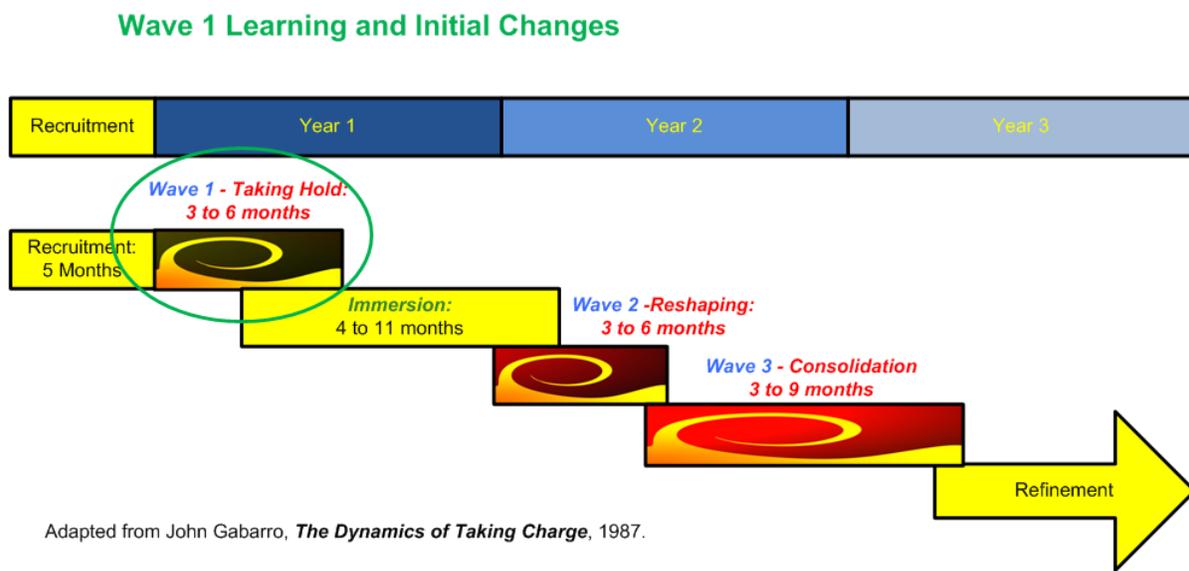
* Percentage of respondents rating either "Extremely Important" or "Very Important." Adapted from: McKinsey & Company. *Ascending to the C-suite 2015*. McKinsey Insights, April 2015.

The Three Waves of Change® Process is Adapted to the Transitioning Executive and His or Her Tribe's Emerging Needs

This is not a one-size-fits-all approach. We are careful to start where the executive and his or her tribe "is" and not "where we might like them to be." Not all transitioning executives have had successful coaching or consulting experiences and they approach these processes with at least healthy skepticism. They need to take the process one step at a time and feel like they are not over-committing to a relatively unknown process and unknown consultant and coach. Similar to the change process the executive and his or her tribe will be going through, the coach will need to build credibility and trust and demonstrate the value of the process early and often. As the learning process unfolds, the executive will be able to decide what her or she and their tribe is ready to engage in next. The scope and design of the project often evolves over time. The Three Waves model at least provides a high level map to anticipate what might be next.

Some executives want a little help. Others come to realize that they want a lot of help. The real test of their needs and conviction will come at some point when they and their tribe experience the "Wave 1 Oops!" Will they simply muddle on, experiencing recurring difficulty getting traction on organizational performance improvements, or will they begin the next stage of organizational learning?

A Recommended "Starter" Three Waves Coaching Process for Wave 1



There are a number of Three Waves of Change[®] coaching and consulting services which can be applied flexibly at any one of the three waves. However, for executives currently facing the challenges of Wave 1 and new to comprehending the entire possible Three Wave facilitated learning process, we offer the following recommended "starter" engagement as a means of practical introduction to the process.



Keep in mind that what distinguishes the Three Waves of ChangeSM processes are the different optional structured diagnostic learning experiences for the transitioning executive's immediate tribe in Wave 1, anticipation of the Immersion stage and the need to engage other stakeholders, the processes to develop alignment deeper and broader across the organization and organizational boundaries, and the facilitated planning of the change management process in Wave 2.

But first, let's focus on getting a start in Wave 1.

A Recommended "Starter" Three Waves Process to Facilitate the Successful Navigation of Wave 1

Three Waves Consulting and Coaching Services	Description
Organization Support and Preparation	
<p>1. The CEO, CHRO, and select Board members, and others become directly involved in coaching the transitioning executive (as a top executive team member).</p>	<p>1. A. While each situation is different, these stakeholders have responsibility for ensuring that once the offer for the position is accepted, that the new incumbent is fully apprised of their perceptions and insights regarding the organizational culture, politics, political dynamics, and expectations for the style with which they will enter and perform in the role. Given the common "three waves phenomena," they may need to recalibrate their expectations to be involved and monitoring the transition of the new executive certainly beyond the first 100 days and perhaps even to the confirmation of the change plan at the beginning of Wave 2.</p> <p>1. B. The CEO, CHRO, and others are also responsible for influencing multiple internal stakeholders and proactively creating a more receptive and tolerant social network that the executive will enter.</p>
Self	
<p>2. "Momentum" assessment of the transitioning executive.</p>	<p>2. A. Early assessment of the executive's strong preferences and predisposition that may enhance or derail his or her initial entry into the presenting situation. See Momentum Assessment Description.</p> <p>2. B. Later - A 360° progress evaluation of the transitioning executive's ability to engage with his or her immediate tribe, demonstrate credibility, begin to build trust, and engage others in taking a fresh view of the business / organization, and fully engage in the learning process.</p>

A Recommended "Starter" Three Waves Process to Facilitate the Successful Navigation of Wave 1 (continued)

Three Waves Consulting and Coaching Services	Description
Team Performance	
3. Initial assessment of individuals in the immediate tribe and the tribe's performance as a team.	<p>3. A. The initiation of the assessment of the individual immediate tribe (team) members. Strengths, weaknesses, "watch outs," personal demons, their perceived ability to contribute to the team, probable roles they might adopt, and the sources of their contributions to the team dynamics and learning processes.</p> <p>3. B. Assessment of team dynamics, behaviors, and performance compared with ideal or high performing team characteristics.</p>
Team Alignment	
4. Begin making the mental models of the business explicit and subject to examination and discussion.	<p>4. A. Assessment of the current validity and relevancy of the business / organizational strategy or strategic priorities and the assumptions behind the strategic choices we have made. Assess to what degree we are, by our actions, a strategically-managed company.</p> <p>4. B. Agree on overarching goals and direction and begin deeper examination of the organizational capabilities and culture necessary to pursue those goals.</p> <p>4. C. Engage the current tribe in assessing its culture, climate, and dynamics.</p>
Presenting Situation	
5. Assessing the larger context of the current state of the business / functional organization	<p>5. A. Big picture perspective: An assessment of the current business or functional organization's position in the Business Maturity Cycle. What are the overarching challenges that this organization faces, regardless of which strategies we choose?</p> <p>5. B. How effectively does our tribe interface with other key tribes we are either serving or interdependent with?</p>

A Recommended "Starter" Three Waves Process to Facilitate the Successful Navigation of Wave 1 (continued)

Three Waves Consulting and Coaching Services	Description
Setting Initial Priorities	
6. Clarify focus, roles, and delegations	6. A. Launch the process to conduct a continuing key stakeholder analysis involving the Board of Directors or the boss, if applicable. 6. B. Set initial priorities, dashboards to monitor the performance of the organization / business, and delegate all other non-critical tasks, accountabilities, and competing demands for time.
Initiating The Extended Stakeholder Analysis and Engagement Process	
7. Identifying, assessing, and influencing, key stakeholders and engaging in mutually learning with them.	7. A. Begin a continuing process of identifying key stakeholders who will need to be influenced and engaged for the purposes of diagnosing the performance of the current organization, mutual learning, and planning and implementing the necessary performance improvement changes.

These and other related interventions should enable the transitioning executive and his or her tribe through to the point where they decide to engage in Immersion. The initial engagement may be re-scoped then and again at the beginning of Wave 2, if desired.

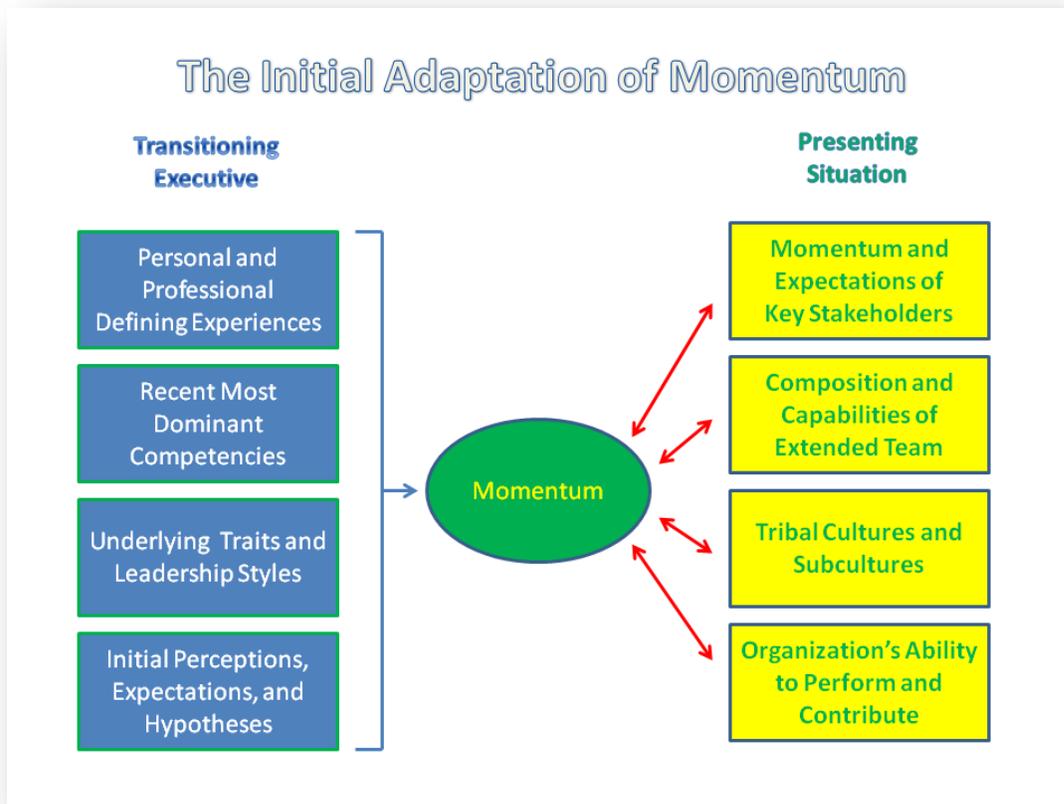
Segue.

The next book, **Book 2**, provides a quick overview of the first big picture assessment that will set the context for all of the other transition intervention decisions: The Business Maturity Cycle. While this is technically part of the Situation Analysis, this assessment is a primary early entry responsibility of the transitioning executive.

Assuming the reader's basic understanding and appreciation of the Business Maturity Cycle, **Book 3** presents many of the key transition issues and associated Three Waves of ChangeSM services to enable the transitioning executive to successfully navigate the typical challenges of Wave 1.

The Model for the Essential Transition Issues for the Wave 1 Stage and the Immersion Stage

Books 3 through 10 focus on the multiple issues that the transitioning senior executive needs to monitor, influence, and address primarily through the stages of Wave 1 and Immersion of the typical transition process. The transitioning executive brings with him or her "Momentum" as summarized in the blue boxes on the left hand side of the figure below. "Momentum" is the aggregate collection of defining experiences the executive has had, the most recent dominant competencies that were "pulled for" by his or her recent roles and situations and that he or she exhibited in their last role, the strong underlying personality traits and leadership styles that he or she prefers or characteristically demonstrates as a default approach to most situations, and his or her initial perceptions, expectations and "hypotheses to be tested" that will strongly influence the selective ways in which he or she interprets emerging information and events. The transitioning executive is challenged to adapt their Momentum to the Presenting Situation.



The Presenting Situation depicted in the yellow boxes on the right hand side of the figure above includes a number of key elements. While many of these key elements are inextricably related and intertwined in reality, it is often useful for the transitioning executive to consider them as separate elements to simplify how to assess and address each one. Each of the stakeholders the transitioning executive will encounter, and in many cases engage with, also have their own respective individual Momentums, expectations, and in many cases, agendas.

The transitioning executive will also be assessing his or her extended leadership team typically through the beginning of Wave 2 to determine their ability to assess the business or function with fresh, objective eyes, work collaboratively and in alignment with others, influence others, and lead change processes. The team is often not finalized until the early stages of Wave 2.

The transitioning executive will encounter multiple tribes, and stakeholders who sometimes identify with more than one tribe. Each tribe possesses its own variation of the dominant culture. The transitioning executive will need to assess, respect, influence, and even modify the multiple organizational levers over time that will result in a new commonly-shared set of expectations, norms, and beliefs that are correlated with improved business performance.

The transitioning executive will also be continually assessing the organizational capabilities of his or her organization to perform and contribute as well as the organizational capabilities of other organizations his or her organization interfaces with in order to accomplish its goals and mission.

Momentum is so important to manage as part of the senior executive transitioning process that we devote three books to the topic. **Book 3** discusses how Momentum can influence the success or failure of the transition process in Wave 1 and the Immersion stages. **Book 4** describes the foundations of Momentum and why some components may be easier to adapt or modify through the Three Waves coaching process and why others will be difficult to modify, but are often still able to be modified, often exclusively through individual executive coaching. **Book 5** describes a more formal, systematic, and disciplined approach to assessing the transitioning executive's Momentum. We will review the different processes and their implications of "assessment for selection" before the selection has been made vs. "assessment for development" after the selection has been made.

Book 6 shifts our focus to a model and methodology for analyzing and modifying an organization's culture. The Human Synergistics model and tools have been validated and field tested around the world, often under the radar of the popular business press.

Book 7 describes multiple methods for leading and facilitating the learning that results in better alignment and common mental models, first among the transitioning executive's team, and then among the extended team and the extended stakeholder network.

Book 8 presents an overview of the important discipline of conducting an ongoing stakeholder analysis as a means of effectively engaging with, learning from, building constructive relationships with, and influencing others outside of the executive's immediate sphere of legitimate authority.

Book 9 reviews the considerations for building a self-aware and self-correcting top performing team (or teams) over time. This book is more about team process than the more cognitive aspects involved in creating alignment discussed in Book 7.

Book 10 describes the challenges of influencing others and a willingness to be influenced during the mutual learning process intended in the Immersion stage.

Book 11 describes the challenges of leading a coalition to implement a large-scale change process or processes, typically in Wave 2.

Book 12 describes how to compress the time to engage others in the diagnostic and change management processes using large group interventions as an option.

Book 13 is a case study that presents one example of how the many elements of the Three Waves of Change® services can be customized to enable and accelerate the transition of a new CEO and his team.

Book 14 concludes with some additional observations about the implications of the three waves phenomena in senior executive transitions and for talent management.

We hope this ebook series provides you with new insights and opportunities for successfully completing senior executive transitions based on the research and publications of those who have gone before us and on our more than 30 years of executive assessment and senior executive transition coaching experience.

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