

Management Consulting

An Introduction to the Methodologies,
Tools and Techniques of the Profession



CANADA

Management Consulting: An Introduction to the Methodologies, Tools and Techniques of the Profession
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Prepared by Schwenker & Associates, Halifax, Canada on behalf of CMC-Canada.



About the CMC Designation

The Certified Management Consultant (CMC) designation is the profession's only international certification mark, recognized in more than 40 countries. It represents a commitment to the highest standards of consulting and adherence to the ethical canons of the profession.

About CMC-Canada

CMC-Canada fosters excellence and integrity in the management consulting profession. CMC-Canada administers, and its provincial Institutes confer, the CMC designation in Canada. Our Association and members advocate for the CMC designation and are dedicated to advancing the profession and delivering the benefits of those efforts to the client community. CMC-Canada is a founding member of the International Council of Management Consulting Institutes (ICMCI).

CMC-Canada's membership is as diverse as Canada itself, with representation from virtually every industry, discipline and region of our culturally rich and geographically vast nation.

The Common Body of Knowledge for the profession in Canada includes this introduction to the practice of management consulting, the documentation of required knowledge in each of the six functional areas of management (Strategic Management, Financial Management, Marketing Management, Human Resources Management, Information Technology Management and Production/Operations Management), the Competency Profile of the Certified Management Consultant, and the CMC-Canada Uniform Code of Professional Conduct and its Statements of Interpretation (both the Competency Profile and Uniform Code of Professional Conduct are included in the Appendices of this document).



Foreword

The hallmark of a profession is a collection of shared principles and practices, an underlying set of competencies, and a commitment to ethical beliefs and tradition whereby members voluntarily assume an obligation to exercise judgement and self-discipline above and beyond the requirements of law. It is the endeavour of the authors of this document to provide such a set of commonly accepted management consulting principles for members of the Canadian Management Consulting industry.

Professional standards should be useful and practical to the conduct of management consultants, and be an integral part of the certification process for the profession. They should be valued by CMC-Canada members, the marketplace and other stakeholders. They should lend to a broader understanding of the management consulting profession. Their purpose is to assist in improving the comprehension and competency of both new and experienced management consulting practitioners and customers. Ultimately, they are meant to provide, for common and repeated use, rules, guidelines, tools and techniques for consulting processes or services with which compliance is not mandatory, but highly encouraged.

This portion Common Body of Knowledge (CBK) on Professional Practice is an ambitious survey of the basic elements that make up the shared set of principles and practices in Canada, but it cannot possibly elucidate every aspect it touches upon. For example, many common tools and techniques are identified, some are explained, and others are simply listed. (There are hundreds of books and articles on management consulting and consulting tools and techniques – see the bibliography attached which includes those that were consulted in the writing of this document). To use an analogy, a good management consultant looks upon tools and techniques as arrows in a quiver – the more arrows one has – and the more specialized arrows – the more one is able to target accurately, in more circumstances, to fully and expertly serve one's clients.

As in any survey document attempting to set out the breadth of a profession, someone reviewing the contents of this CBK - or taking the CMC-Canada course(s) based on the CBK - is meant to be exposed to an understanding of what the profession of management consulting is all about. But they will not be given all the answers. A professional management consultant will use this CBK to identify the gaps in their knowledge and practice, and set a path of continuing professional development to fill their quiver with more and more arrows.

Management Consulting: An Introduction to the Methodologies, Tools and Techniques of the Profession is about setting out the fundamental standards of the profession in Canada. If practicing management consultants want to be identified collectively as a profession, it is important that all share a common essential base of knowledge and skills, share consistent definitions of common consulting terminology and share a common professional approach to and process for all clients. It is anticipated that this CBK should set the standards and become a common denominator in our industry so that clients can see and experience the consistency expected of a profession.

CMC

Acknowledgements

The main source for the development of this CBK is the International Labour Office published book, Management Consulting, A Guide to the Profession (in English, the Fourth Edition, 2002 has been used, and in French, the Third Edition 1998) edited by Milan Kubr. This has been supplemented by extensive readings which are provided in the bibliography at the end of the document.

Invaluable assistance has been provided to this project by a team of exceptional management consultants who volunteered to act as an editorial sounding board. Their vetting and editorial comment during the writing of this CBK has resulted in innumerable improvements. Special thanks are extended to Greg Richards, CMC and a Management professor at the University of Ottawa, who edited and updated the section on Change Management just before publication.

Together, the members of the Editorial Board, along with the writing team, represent a highly competent and knowledgeable management consulting team with respect to the Canadian profession, the Essentials training program of CMC-Canada, and the CMC designation, as well as extensive national and international experience. As a result, it is hoped that this CBK will garner broad credibility in the industry and become accepted in the industry as a statement of Generally Accepted Management Consulting Principles.

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1.0 The Management Consulting Profession



1.1 Origins and Organizations of Management Consulting

Coincident with the dawn of the industrial revolution near the turn of the twentieth century, management consulting emerged as a viable industry. While Dr. Arthur Little of MIT is credited with opening the first management consulting firm in the 1890s, it is McKinsey and Company of Chicago that is considered to be the first and longest running strategic management consulting firm in the United States. Under the direction of James McKinsey and Marvin Bower, McKinsey & Company led the way for the management consulting industry by incorporating professional standards much like those of the legal and medical profession.

Following WWII, the economic boom in the USA and increased competition gave rise to the need for more analytic and strategic management consulting firms. Over the next three decades, management consulting organizations and business schools - such as the Boston Consulting Group and McKinsey & Company, and Harvard Business School - set the stage for today's management consulting industry by developing analytic tools for strategic decision making. At the same time, large accounting firms (i.e. the former Arthur Andersen) and information technology firms (i.e. IBM) developed their own consulting divisions giving rise to the diverse and formidable management consulting industry we experience today.

In Canada, the management consulting industry was born in 1939 when the accounting practice firm Clarkson & Gordon under the leadership of Walter Gordon formed a joint venture with the industrial engineering firm J. D. Woods Co. Ltd. Following WWII, this firm evolved J. D. Woods & Gordon Ltd. In the 1950s other major accounting firms such as Touche Ross, Coopers Lybrand, Ernst & Ernst (eventually to become Ernst & Whinney) and Riddell, Stead & Co. (eventually to become Thorne Riddell) also started to provide management consulting services, paving the way for a vibrant management consulting industry in Canada.

The Canadian Association of Management Consultants (CAMC) was officially created on July 4, 1963 as a result of formative meetings held by representatives of the major accounting firms in Quebec early in 1962 - Woods Gordon, P.S. Ross, Peat Marwick, Mitchell, Urwick Currie, Ridell Stead and Price Waterhouse. At a follow-up meeting in October, the original six were joined by four other firms that were independent of any audit connections - Stevenson & Kellogg, Leatham Simpson, AIC and PA Management Consultants and the group of ten tentatively agreed to establish a national organization of management consultants. When CAMC was born, it began as an association of firms, though its members agreed that it would eventually develop a means for individual membership.

The driving force behind the association was a desire to foster high standards of quality and competence in management consulting services, with strict rules of professional conduct and

ethical practice in the relations between management consultants and their clients, other members of the association and the public. The CAMC's objectives also included; the development of a common body of knowledge to underpin the profession, dissemination of information to the business community and the public regarding management consulting, acting as an authoritative spokesman for the industry, and the development of a set of standards for individuals wishing to be recognized as Professional Management Consultants.

The designation for individuals, the Certified Management Consultant, was issued shortly after the formation of the first professional Institutes in Ontario (IMCO) and Quebec (IMCQ) in 1966, and the first membership examinations in the world were introduced in Canada in 1968. Since professions are regulated provincially in Canada, eventually professional Institutes of Management Consulting were established in each province, with the Atlantic Provinces combining to form a regional Institute. Legislation was passed over the years in several provinces to officially protect the designation and the Institutes charged with regulating the profession in those jurisdictions.

Canada's Professional Management Consulting Organization Today – CMC-Canada

In 2005, the organization was restructured and re-named. Today, CMC-Canada is a federally incorporated non-profit association with individual and firm members. It is run by a national Board of Directors and collects professional fees paid by its members.

The **Mission** of CMC-Canada is:

To advance the practice and profile of management consulting in Canada through education and certification of consultants, promotion of ethical standards and professional competency, and advocacy for the profession in public and government settings.

In support of the Mission, CMC-Canada's 2007-2010 Strategic Plan focused on three strategic objectives:

- 1) *Connect* to our members and consumers of consulting services;
- 2) *Grow* our membership to 5,000 CMCs in four years; and
- 3) *Promote* the CMC brand to consumers of consulting services.

Provincial/Regional Institutes of Certified Management Consultants

The Certifying Institutes (British Columbia, Alberta, Saskatchewan, Manitoba, Ontario and Atlantic Canada) are duly constituted professional associations with exclusive mandates to govern the designation and professional activities of the profession on management consulting within their respective jurisdictions.

These Certifying Institutes have the sole legal power and authority to certify and regulate the practice of management

consulting and authorize the use of the Certified Management Consultant (CMC), Management Consultant or similar designation.

CMC-Canada encourages and supports the pursuit of professional certification by all individual members and supports the Certifying Institutes in ensuring integrity of the CMC designation.

All Certifying Institutes and the Ordre des Administrateurs Agréés du Québec – a legislated professional association – also has the legal responsibility to administer the CMC designation and govern the professional activities in Québec.

Membership

By virtue of their membership in a Certifying Institute, individuals are also members of CMC-Canada. At the conclusion of 2008, individual membership in CMC-Canada stood at 3000 members.

Local Chapters of Provincial/Regional Institutes

These entities are chartered by the Certifying Institutes and are responsible for nurturing membership growth, providing local professional development offerings and networking opportunities, and supporting the enrichment of the CMC designation.

National Certification Committee (NCC)

The NCC is a committee of the National Board; its mandate is to set and maintain professional standards. The NCC has representation from all Certifying Institutes and oversees the certification process. The actual administration of the certification process is managed by CMC-Canada's National Office, while the final right to confer the professional designation remains with the provincial institutes.

International Council of Management Consulting Institutes

Internationally, the growth of management consulting has been fostered by Canada. The Canadian Institute was one of seven founding professional institutes of the International Council of Management Consulting Institutes (ICMCI). In May 1987, thirty-two management consultants from ten countries met on the top floor of the Concorde LaFayette in Paris, France to explore the common ground between professional institutes which were known to certify individual management consultants. At the conclusion of two days of meetings the delegates proposed the formation of an International Council of Management Consulting Institutes to improve the certification of management consultants around the world.

By the May 1989 Congress in Copenhagen, the Council organizational structure including membership requirements and application processes were in place. Membership had grown to ten IMCs with four applications pending. The thirty delegates

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from eleven countries who attended this session ratified the structure and membership criteria, agreed to establish ICMCI as a Swiss Verein and approved the ICMCI Code of Professional Conduct. This ICMCI Code became the first, and still may be the only, international code of conduct of any profession.

The Copenhagen Congress also established the basis for reciprocity of CMCs between ICMCI member institutes. One year later in Montreal, Quebec, three IMCs (Canada, the United Kingdom and the United States) signed ICMCI's first official reciprocity agreement.

Today membership in ICMCI has grown to over 43 country IMCs. The world professional body undertook an international assessment process commencing in 2004, to ensure that the CMC Certification is based on a common standard and is visibly and credibly validated against the ICMCI standard in each member country. As a result of that process, ICMCI has established a firm basis for worldwide reciprocity of professionals holding the designation.

1.2 Trends in Management Consulting

As a derivative of the larger world of business, management consulting is susceptible to the same economic cycles. After experiencing double digit growth rates (in some years over 20%) in the 1980s and 1990s, the management consulting industry actually contracted after the turn of the millennium. The \$125B industry has stabilized, however, and realigned itself with the global business world with more moderate growth rates in the 3% range.¹

Internationally, there are three main types of consulting firms:

- Global solution providers serving a wide range of industries and offering a diversity of products and services;
- Boutique firms, large and small, that offer a more focused solution set and/or target a specific industry; and
- Local or regional firms that focus on solutions for their market.

As business concerns have become increasingly more global, the management consulting industry has responded by itself globalizing. Mergers and acquisitions have been the trend in the management consulting industry for the last decade.

In Canada, the management consulting industry employs approximately 17,000 practitioners in 5,000 organizations earning revenues of just over \$2B Canadian in 2003. An estimated 70% of all business and government organizations in Canada used services of a management consultant at least once

between 1996 and 2001². The strength of Canada's Small to Medium-sized Enterprise (SME) sector provides opportunities for an abundance of specialized sole practitioners and small and medium-sized niche practices in management consulting. Nearly one third of all management consultants in Canada work for firms with less than twenty employees and many of these consultants are sole practitioners.³

Notwithstanding the unique SME character of the Canadian industry, two thirds of the management consulting industry is considered to be controlled by the "Big Five" firms:

- Accenture;
- BearingPoint;
- Cap Gemini;
- Deloitte; and
- IBM BCS.

The key trends facing these and other smaller management consulting firms in today's business environment are:

- Business Process Outsourcing, which is fuelled by the offshore capability in the developing Asian and Eastern European countries, is quickly becoming a challenge for management consulting in Canada.
- More sophisticated and discerning buyers here in Canada and abroad require management consulting firms to continually upgrade the skills of their personnel, centralize their purchasing systems, improve information sharing and protect their experienced human resources from recruitment by business firms.
- The forecasted skills shortage due to the aging demographic, fall-out from downsizing and subsequent decrease in organizational loyalty exacerbates the human resource situation faced by consulting firms who will need to retain the best talent.

Given these trends, it is likely that mid-career hires will drive the next "war for talent". Senior, experienced consultants are estimated to make up the bulk of the industry which was previously populated mainly by junior consultants - the junior consultants having been led and managed by fewer experienced domain experts and senior consultants. With the new trend towards more senior 'experts', post-graduate business education combined with business experience will be key strategies for people interested in management consulting careers. That being said, management consulting will continue to be an attractive career for younger people as larger projects will continue to require leveraging with junior consultants.

¹ Adapted from, *Executive Summary: The Global Consulting Marketplace 2004-2006: Key Data Trends & Forecasts*, (Peterborough NH: Kennedy Information Inc. 2004), p. 1.

² Industry Canada – Strategis, <http://strategis.ic.gc.ca/epic/internet/inmanco-conge.nsf/en/home?OpenDocument>, (accessed on September 4, 2005).

³ Industry Canada-Strategis, http://strategis.ic.gc.ca/epic/internet/inmanco-conge.nsf/en/h_pu00000e.html, (accessed on September 4, 2005).

1.3 What is Management Consulting?

The common tenets underlying the definition of Management Consulting have been examined using academic research and literature from international and national professional bodies. The resulting consensus is that Management Consulting is an advisory service to an organization (whether public, private or non-profit) regarding management problems, challenges and opportunities. Further there are five key aspects integral to professional practice:

- An independent orientation; providing advice with objectivity and within the bounds of ethical behaviour;
- Special training and qualifications resulting in expertise in specific management functions and issues, plus an overall breadth of knowledge across functional management areas;
- Skilled in problem identification with the ability to apply diagnostic and analytic skills (and attendant tools and techniques);
- Skilled in problem solution with the ability to apply creativity and analytic skills (and attendant tools and techniques); and
- Ability to assist clients to successfully implement solutions.

In Canada the common definition focuses on those who view management consulting as a profession and have made this commitment clear through joining CMC-Canada, and/or going further by achieving the professional designation of Certified Management Consultant. The designation “CMC” is conferred in Canada by a provincial or regional professional institute under guidelines developed by the National Certification Committee, under the auspices of CMC-Canada’s Board of Directors.

The following definitions are provided in the legislation protecting the designation and governing the Institute of Certified Management Consultants of Atlantic Canada. It is reflective of similar definitions applicable to legislation in British Columbia, Alberta, Ontario, Quebec and New Brunswick. These definitions are also reflected in the governing professional Institutes of Management Consulting in the other provinces of Canada.

Certified Management Consulting means the services performed by independent and professionally qualified management consultants in investigating and identifying management problems related to the policy, organizational, operational, administrative and technical aspects of business, governmental and other enterprises, in recommending appropriate solutions to those problems; and in helping to implement them.

Certified Management Consultant means a person qualified by background and experience in the practice of management consulting, who arrives at his or her recommendations through

systematic analysis of facts and the application of independent judgement based on specialized knowledge and skill with due regard for the understanding of inherent human relations. He/she is required to have a wide breadth of knowledge in the following areas of business management (often including specialized proficiency and experience in at least one of these areas); Finance, Information Technology Management, Marketing, Strategic Planning, Human Resources and Production Operations Management.

Given the definitions above, it is important to also distinguish what is not management consulting. Generally the conduct of contractors differs from management consultants in that they provide temporary services that would normally be undertaken by a manager or other employee. Examples of contractor services which would not be considered management consulting includes; the provision of technical engineering on new products or machinery, continuous performance of actual management or employee duties, or clerical functions.

1.4. Professional Business Conduct

We are defined by our ethics. It is who we are, what we do and where we live as a person.⁴

Ethical Behaviour

A key characteristic of professional practice in management consulting includes a set of recognized ethical norms, shared and applied by members of the profession. The norms for Certified Management Consultants, and those who work with CMCs, can be found in the CMC-Canada Uniform Code of Professional Conduct (see Appendix 2). Together with the statements of interpretation, the Code clearly defines what is proper in conducting one’s business as a professional management consultant.

Many professional organizations such as those representing management consultants, lawyers, architects and engineers have a Code of Ethics and these Codes help the members put ethics into practice. In the practice of management consulting, ethics can best be defined as the voluntary assumption of an obligation to exercise judgement and self-discipline above and beyond the requirements of law. The norms laid out in the Uniform Code of Business Conduct demand more than respecting the law because behaviour that is perfectly legal may not always be considered perfectly ethical.

In many situations however, it is not always possible to refer to the letter of the Code or a formal declaration of norms by an employer to know what is truly professional and ethical behaviour. The management consultant therefore will be guided by a personal code of ethics and behaviour based on his or her own background,

⁴ Kevin Schwenker, FCMC, “Introduction to Professional Conduct”, Lecture Notes for The Essentials of Management Consulting, Sobey School of Business MBA Program in Management Consulting, Saint Mary’s University, October 2003.

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development and perception of what is proper or improper and what is beneficial to the community, the client and other stakeholders and what is not. It is incumbent on those in professional practice to hone their ethical barometer through practice, research and diligence.

At least four moral theories have evolved over the centuries and are relevant to the application of ethics in management consulting. While none of them is universally superior to the others, it is startling to see how much they agree when applied to common ethical problems. They are well worth studying by any professional.

Four Ethical Theories

Mill's Utilitarianism

Statement: An action is morally correct if it produces the greatest benefit for the greatest number of people. The duration, intensity, and equality of distribution of the benefits should be considered.

Conflict: A conflict of interest may arise when evaluating the benefits. It is important that a personal benefit be counted as equal to a similar benefit to someone else.

Kant's Duty-Based Ethics

Statement: Each person has a duty to follow those courses of action that would be acceptable as universal principles for everyone to follow.

Conflict: Conflicts arise when following a universal principle may cause harm. For example, telling a "white" lie is not acceptable even if the truth causes harm.

Locke's Rights-Based Ethics

Statement: All persons are free and equal, and each has a right to life, health, liberty, possessions, and the product of his or her labour.

Conflict: It is occasionally difficult to determine when one person's rights infringe on another person's rights.

Aristotle's Virtue-Based Ethics

Statement: Happiness is achieved by developing virtues, or qualities of character, through deduction and reason. An act is good if it is in accordance with reason. This usually means a course of action that is the golden mean between extremes of excess and deficiency.

Conflict: The definition of "virtue" is occasionally vague and difficult to apply in specific cases. However, the concept of seeking a golden mean between two extremes is frequently useful in ethics.

Management consultants in a number of countries have established voluntary professional associations to represent their common interests. These associations have played a leading role in promoting professional standards of management consulting, gaining the confidence of management and promoting the reputation of management consultants in society. Perhaps most importantly these organizations provide guidance for ethical practices as management consultants, and enforce their respective codes of professional conduct.

Professional Conduct

The CMC-Canada Uniform Code of Professional Conduct identifies those obligations that serve to protect the public, in general and the client in particular. The Code is also designed to clearly identify the expectations of members with respect to other members and with respect to the profession.

The following paragraphs summarize the content of the CMC-Canada Code, which is similar to other codes applied by professional management consulting organizations in other countries. The full Code and its Statements of Interpretation are an integral part of the Common Body of Knowledge for Certified Management Consultants in Canada.

Management consultants are required to consider their responsibility to the public. The purpose of this responsibility is to benefit the public by protecting the average person from harm by ensuring that management consultants act in accordance with the law and legislation of the land and do not speak on behalf of the profession without appropriate authorization.

With respect to the profession, the Code requires that management consultants maintain the dignity and prestige of the profession and not damage it by scandalous, dishonourable or disgraceful conduct; this includes reporting unbecoming professional conduct by another member. This requires that they keep informed of the applicable Code of Professional Conduct. Members are also expected to be conversant with the profession's Common Body of Knowledge and strive to keep abreast of developments in any area of the profession where specific expertise is claimed. Finally, anyone working under the leadership of the member, must act within the bounds of the Code.

Management consultants have a responsibility to other members, in that they must inform another member before undertaking a critical review of that member's work.

A member of the CMC-Canada shall act in the best interests of the client, providing professional services with integrity, objectivity, and independence. Among other responsibilities to the client are strictures regarding competency, ensuring clients are fully informed regarding how an assignment will be carried out and for what fees, clearly declaring any conflicts of interest, and ensuring utmost client confidentiality.

Disciplinary Approach used in Canada

Members of CMC-Canada shall comply with such standards as are prescribed in the Uniform Code of Business Conduct and the By-laws, Rules and Regulations of the Institute to which they belong. Each provincial or regional Institute has their own (but similar) disciplinary procedures which must be followed when a complaint is made about a member by the public, other members or a client.

Members shall be liable for suspension or expulsion from membership (or other penalties) where that member has behaved in a manner unbecoming to the profession, as judged by the discipline Committee and approved by the governing Council of the provincial or regional Institute.

For specifics on the process in Canada, members, the public, or clients are encouraged to contact the local provincial or regional Institute of Certified Management Consultants.⁵

Application of the Code in consulting assignments, issues that may arise during various stages in the consulting process

As defined in CMC-Canada Code of Professional Conduct, a member of CMC-Canada has a responsibility to a number of stakeholders related to the acts or omissions of a member that harm or could cause harm to the public, the profession, other members of CMC-Canada, and the client. In addition, when leading a team of consultants (and others) on a client project, the Member is responsible to ensure that all members under their direction adhere to the Code.

In order to protect the public, the profession, other members and the client organization, a consultant must understand those aspects of his or her work or public activities that could cause a breach in professional conduct and be aware of steps required to manage the risk of causing harm. Due to the complexity of the relationship and the requirement for due diligence on the part of the consultant, the Code's section on "responsibility to the client" is carefully detailed to guard against unethical or unprofessional conduct. Every step in the consulting process from entry to termination has issues that require the professional consultant to be cognizant of the Code's applicability.

With regard to the first contact with the potential client the consultant must be perfectly honest in presenting his or her level of competence and experience. As well, the client must be fully informed in writing as to assignment objectives, scope, workplan and costs.

During the diagnostic phase the consultant must present the findings as accurately as possible and make recommendations that are in the best interest of the client (the client specifically interpreted in the Code as being the organization as a whole).

With the assignment underway, the consultant must focus on the needs of the client and the public and, through openness, transparency and ongoing dialogue, avoid misuse of trust of the client and the employees. For example, the member is obligated to keep confidential, all of the information obtained during the assignment, including identifying employees who have provided critical information and even the name of the client, unless granted permission otherwise.

Brief comments on the specific sections of the Code of Professional Conduct which apply during each stage of the consulting assignment are explored below in Section 2.0 – The Consulting Process.

1.5 Roles of a Management Consultant

Management consultants choose their roles based on what's appropriate for the client, the situation, and the consultant's own style, skills and experience. The literature provides us with a variety of approaches with which to consider this question, of which several are presented herein.

Task vs. Process Orientation

One method to identify roles is to look at two different approaches known as the "task-oriented" (also called the resource, expert or content role), and the "process" roles. At one end of the continuum, the technical expert is expected to provide expert solutions to the client's problems based on the available data; they are brought in for their specific expertise. The expert model typically does not involve consensus building or work designed to create buy-in to solutions, and so the client assumes responsibility for the behavioural aspects of the change process in the organization.

At the other end of the spectrum is the Process Facilitator who facilitates a definition of the problem that includes attitudes and feelings as well as data. The Process Facilitator, often a business generalist, develops the client's capabilities so that they are able to come up with the solutions.⁶ This approach to consulting focuses on helping the organization solve its own problems by making it aware of organization processes, their consequences, and of intervention techniques for managing change.

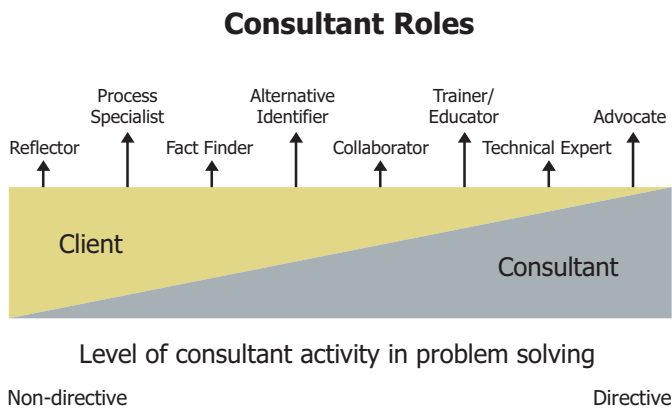
In practical terms, many consulting engagements require an approach that falls somewhere in between the two ends of the spectrum. It is often wise to have both types of orientation when working on complex projects which require significant change in an organization – the balance of task and process and the accompanying skill sets of these two polar types of roles are extremely useful.

⁵ Provincial contacts can be found on the CMC-Canada website, www.cmc-canada.ca, under the drop down menu, "Contact Us" on the main page.

⁶ G. Lippitt and R. Lippitt, *The Consulting Process in Action*, (La Jolla, CA: University Associates, 1986).

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Degree of Problem-Solving Activity



Lippitt and Lippitt defined another continuum to describe the consultant's role, this one in terms of the level of activity in problem-solving (see figure above).⁷ At one end, the reflector role has the consultant asking questions to stimulate the client's reflection. In the middle, the Alternative Identifier helps to identify possible solutions and resources and helps to assess the implications of choosing one or another of the possible options. The Joint Problem Solver increases the degree of activity by actually participating in the decision-making process. At the end of the model opposite to the reflector, the advocate's role involves proposing guidelines, or directing the problem-solving process.

1.6 Range and Scope of Management Consulting Practices

The range and scope of management consulting services is as wide and deep as the range and scope of business and organizational developments which are taking place in the increasingly complex, globalized world. The choice a management consultant makes with respect to roles, industry, sector, etc. are partly a function of personal interests, skills and life experience, and partly a function of where the clients are, both geographically and from an industry and sector point of view.

Roles Taken on During an Assignment

Management consulting assignments often require the consultant to take on more than one role. If it is possible, all the roles that a consultant will take on during the assignment should be identified in the proposal to the client as part of the scope proposed for the assignment. Once they are defined and agreed, the consultant's challenge becomes manifold: to make sure that the roles do not conflict, that there is enough time to fulfill the roles, and to ensure that the client is fully aware of the different roles and the differences between them.

Dealing with role changes during an assignment

Sometimes, there are role changes during an assignment; it may be the addition of a role, or a redefinition of a role to include more responsibility. The role change may have implications for fees, for time frames, or for resource allocations. When this happens, it is critical to discuss the necessity for a role change, make necessary changes to contractual arrangements and to make the changes known to all the stakeholders. If there are additional fees (or a change in timeframes required) that will result from the change in assignment, the change in fees must be documented in writing and agreed with the client.

There are risks associated with role-changing during an assignment. A role may come up that the consultant cannot fulfill which requires that additional expertise be brought in to the assignment. The consultant (or new expert) may not make the transition as quickly as required. The impact on other members of the team may be larger than anticipated; for example, there may be training required that was not planned for prior to when the change in roles was required. Management consultants are well-advised to engage their clients in a dialogue about the possibility of role change as soon as the necessity for the role change occurs.

Specialist versus generalist

There has been a debate about the pros and cons of generalists and specialists, with some arguing that a true management consultant is by definition a generalist. The counter to that argument is that in today's world of specialization, a successful consultant must be able to offer clients an in-depth understanding of the industry, sector, and environment, in which the client operates.

One of the strengths of the CMC designation is its insistence on individuals having a breadth of knowledge across the Six Functional Areas of the Common Body of Knowledge (Management in Strategy, Finance, Human Resources, Marketing, Production/Operations and Information Technology). While most CMCs specialize in one or two functional areas (such as strategy and human resources), their breadth of knowledge helps them recognize when a problem in human resources may be rooted in another functional area. It is essential to fix the root cause of the problem, rather than the symptom which is occurring in Human Resources. The CMC may not have the expertise to address the root cause, but can draw on the resources of the Association to bring in the right person for the job.

While the market demands that consultants possess or have access to specialist skills, even specialised management consultants have to be able to position the client's "problem" in the larger context. By the same token, a generalist must be prepared to acquire more knowledge about a client's industry – in other words, to specialize at least temporarily - if the consultant hopes to meet the client's expectations.

⁷ *Ibid.*, pp. 60-71

External versus internal

Most people assume that management consultants always come into an organization from the outside, providing the “objective third party view”. Lately, internal management consulting services have become more and more common in large organizations, in both the public and private sector. These in-house consultants should meet the requirements of external consultants in terms of their knowledge, experience and competence, and who can (notwithstanding their position in the organization) offer independent and objective advice. Many would argue that this independence and objectivity must be questionable if the person providing the advice is “on the payroll”. However, internal consultants, like internal auditors, can report outside the normal organizational chain of command in order to sustain quasi-independence over the long term. Even an internal consultant is external from the viewpoint of organizational units where he or she is supposed to intervene.”⁸

Types of clients

Clients come from all sectors, as illustrated in the chart below. It is clear that there are some sectors which have huge need and limited funds to spend, such as health care and education. It is a challenge for those running management consulting businesses to make the choices about what sectors to pursue and which ones to abandon.

Types of firms

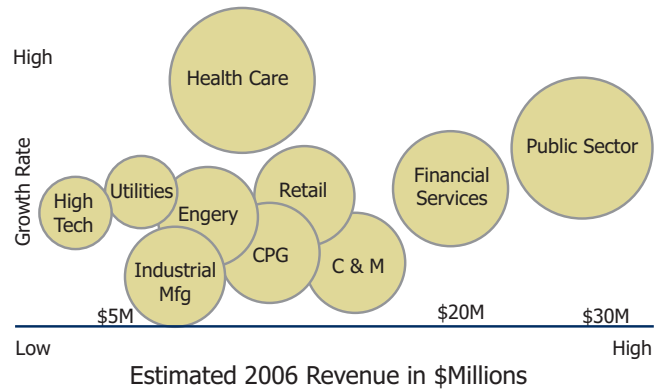
There are many firms operating in the Canadian marketplace, offering a variety of management consulting services to their clients. Here is a solid list, adapted from Kennedy Information (2004):

Accounting Firms	Big Consulting Firms	Technology Firms	Hardware Vendors	Strategy Firms	HR Firms
Arthur Andersen (no longer exists)	Accenture	Ajilon	Dell	A.T. Kearney	Aon
BDO Dunwoody	BearingPoint	CGI	IBM	Bain	Buck
Deloitte	Capgemini	EDS	HP	Boston Consulting Group	Hay
Ernst & Young	Deloitte	Fujitsu	Sun	Booze Allan (not in Canada)	Hewitt
Grant Thornton	IBM BCS	IBM	Unisys	McKinsey	Mercer Delta
KPMG		LGS		Mercer Management	Mercer HR Consultants
		Sierra Systems			Towers Perrin
					Watson Wyatt
					Roland Berger

As well as these firms, there are regional players such as: Myers Norris Penny, Public Sector Transformation Group, Turnkey Consultants and Western Management Consultants.

Clients come in all sizes, from the point of view of staff, revenues, geography, etc. Management consultants do well to think carefully about their target client bases when they are developing their unique value proposition. It is not helpful to have a great value proposition that no client can afford.

Anticipated Growth in Management Consulting 2004 - 2006



Source: Kennedy Information Inc. - The Global Consulting Marketplace 2004-2006: Key Data Trends & Forecasts.

The firms vary in their cultures, their structure, and their methodologies, their approaches to recruiting, retention, career development and compensation, among other things. Nevertheless, in Canada, there are many management consultants who find it more interesting and challenging to work as sole practitioners.

⁸ Milan Kubr, Ed., *Management Consulting, A Guide to the Profession (Fourth Edition)*, (Geneva, International Labour Office, 2002), p. 61.

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1.7 What makes an effective Management Consultant?

“Consulting is a human enterprise. Whether the specific problem being addressed by the consultant is a new accounting system or the need for strategic planning, the essence of consulting still centers on the human qualities of consultants interacting with human clients. No computer program or mathematical formula can replace a consultant for comprehending the varied symptoms of a client’s problem, formulating an accurate diagnosis, and devising an imaginative solution.

“As a result, the success or failure of a consulting project depends on the multi-faceted skills that a consultant brings to the client’s situation. If the consultant is not perceptive, does not communicate with sensitivity, or lacks up-to-date knowledge, the client’s problem will not be solved.... While consultants are no doubt partly born, they are mostly bred through intensive training and broad experience.”⁹

Where and how does one acquire the knowledge, skills and attributes of an effective consultant? The multitude of required skills alone should make it clear that a short training program or sheer determination is insufficient. Even many years as a successful executive does not necessarily make one an effectual consultant. The following sections will define the knowledge, skills and attributes required to become an effective consultant and the need for ongoing personal development to maintain the competency.

Knowledge – Education and Experience

First, there is formal education – the minimum requirement for a CMC is for a bachelor’s level degree from an accredited university. Often a graduate degree from a school of business or public administration is very advantageous: it is not a coincidence that a large number of consultants hold an MBA. This intensive training gives a generalist perspective across several disciplines, teaches the application of conceptual and analytical skills, and hones one’s writing and verbal abilities. No other experience can present these basic consulting skills in so short a time.

Another need for education is in a specialized discipline or functional subject area, such as finance or strategic planning. Specialized knowledge can be acquired in graduate school electives or MS and Ph.D. programs, periodic seminars sponsored by universities and professional associations, and staff assignments in major corporations.

Actual work experience beyond graduate school is highly desirable, gained either in business or a public organization. In fact, most top MBA programs require a minimum of three years work experience in advance of enrolling, but additional

experience is very useful. Formal education needs to be tested against the hard knocks of real-world responsibility. A healthy mark is left on a consultant’s developing analytical and behavioural skills by learning the intricacies of a particular business and industry, making difficult decisions, carrying out project assignments, rotating through a variety of business functions, and coping with organizational dynamics.

Of course, there is the invaluable learning that occurs on the job as a practicing consultant. Every beginning consultant is an apprentice, no matter what the prior experience or education. The best source of learning is to train under a senior consultant—one should seek to acquire a “role model” or mentor. Seeking out a variety of assignments will be more useful than will a repetitious look at the same industry or a single type of problem. One should seek both formal and informal feedback at appropriate points through the consulting engagement and at conclusion, and insure that learnings are incorporated into future work.

Finally, all consultants must recognize that learning is an ongoing process of continuing professional development if one is to remain effective. Knowledge is changing too rapidly for consultants to become complacent. But only the individual consultant can take primary responsibility for this re-educative requirement. The best “pros” in consulting remain students throughout their careers.

Knowledge and Skills - The CMC Competency Framework

The Competency Framework for Certified Management Consultants (Appendix 3) defines the knowledge, skills and behaviours that are requisite competencies for management consultants today. The competency framework contains a mix of technical, inter-personal and change management skills, required by management consultants in order to provide appropriate solutions to clients. These skills include:

- Technical and business knowledge;
- Business understanding;
- Change management skills;
- Ownership, management and delivery of solutions to client;
- Project delivery and risk management;
- Excellent interpersonal skills;
- Ability to transfer skills to others;
- Creative and analytical thinking; and
- Adherence to a code of conduct and ethical guidelines.

The CMC Competency Framework requires that a Certified Management Consultant have:

Market Capability & Knowledge: This includes the application of fact-based knowledge combined with technical skills, business understanding, sector insight and external awareness.

⁹ Larry E. Greiner, & Robert O. Metzger. *Consulting to Management*, (New York: Prentice-Hall, 1983), pp. 28-29.

Consulting Competence: Included here are the core consultancy skills, tools, and techniques that are essential in delivering consultancy services.

Professional Behaviours: These are the entry-level professional behaviours and attitudes which act as ‘enablers’ in achieving market capability and consulting competence.

Key Attributes of a Successful Management Consultant

Management consulting is a demanding profession. The following are nine essential attitudes that will allow the consultant to remain healthy while performing with consistent excellence.¹⁰

- a. *Ethical Standards.* Because consulting affects the vital interests of many stakeholders, the consultant will be under pressure to favour one group over another. The ethics of the consultant must therefore remain beyond reproach in performing a job that does not cater to one group or the other. Professional business conduct is required in all aspects of how a consultant comports him or herself.
- b. *Empathy and Trust.* Client employees are usually reluctant to reveal their private concerns and complaints to a complete stranger and they are especially suspicious of consultants hired by their senior managers. To bridge this gap of inherent mistrust, consultants need to communicate empathy (not sympathy) for others, to be understanding and respectful of different points of view. They must be seen as trustworthy and unwilling to reveal names of confidants or distort information.
- c. *Positive Thinking.* An “upbeat” attitude is essential for the client to feel confidence in the consultant’s recommendations. The client will also need positive reinforcement for taking uncertain steps into uncharted waters.
- d. *Self-motivation.* Because each consulting engagement requires daily adjustment to the need of the client, personal initiative is essential. Clients expect their consultants to be their own masters.
- e. *Team Player.* Close collaboration is required among consultants as they compare perceptions of a client’s problem and also as they relate to the client’s employees in determining a plan of action.
- f. *Self-fulfillment.* Consultants must learn to recognize their own sense of accomplishment and move on from their defeats.
- g. *Mobility.* Consulting is not a 9-to-5, Monday to Friday job. When a project is on the go, there are few limits on where, when and how much time a consultant puts in.

h. *Energy.* Consultants must be in top shape to survive the wear and tear on their emotional and physical well-being. Good consultants can burn out without preventative self-care.

i. *Self-awareness.* Clients want a consultant with a thoughtful demeanour acting with intelligence and reflection. Consultants must recognize their personal strengths and limits as well as the clients.

Clients want consultants to have¹¹:

- Depth of functional expertise;
- Understanding of client’s specific needs;
- Depth of expertise in the client’s industry;
- Strategic orientation;
- Proven performance;
- Reasonable price;
- Efficiency (speed) and on time;
- Reputation within industry;
- Breath of general experience; and
- Knowledge of proprietary products.

Management Theory Supported By Scholarly Research Findings

Too many clients (and even consultants) subscribe to myths that have been dispelled by subsequent research studies. For example, the canons of classical management have been found to have only limited applicability to stable marketplaces and simple technologies (e.g. pyramidal organization structures). Management fads are just that and a consultant must not be a slave to one theory or another. The consultant’s responsibility is to understand current management and business theory and assist the client in implementing only those solutions that are appropriate in the circumstance.

Consulting Knowledge Relevant to the Client’s Needs

Clients expect consultants to be up to date, even ahead of their own staff experts. Consultants must be in the forefront of knowledge in their fields of expertise. Book knowledge is not reserved solely for academicians. In addition, consultants are expected to keep up their knowledge of the CBK and in any area of functional, industry or other specialization that they claim to have, so life long learning is essential.

¹⁰ Larry E. Greiner, & Robert O. Metzger. *Consulting to Management*, (New York: Prentice-Hall, 1983), pp. 34-35.

¹¹ Bradford Smith, “Trends in Management Consulting”, Kennedy Management Centre presentation to a conference of the Canadian Association of Management Consultants, May 20, 2004.

1.0 The Management Consulting Profession

Applied Techniques in the Administrative Sciences

All specialist areas in consulting require expertise in the application of tools and techniques. These may include diagnosis, creativity and analytical skills and applied knowledge in such topics as modeling, questionnaire design, and statistics.

Informed and Articulate About Popular Management Techniques

If a client asks about the merits of “management by objectives” as a goal-setting technique, the consultant must be able to get to the root of the client issue that generated the enquiry, and be knowledgeable enough to thereafter direct the client to the appropriate sources of information.

Generalist Knowledge Across Many Fields

A general understanding of the basics of the six major functional areas of management - strategy marketing, finance, production, human resources, and information technology - is important to be able to communicate with executive management on terms they understand. It is also critical to rigorous diagnostic technique required of management consultants in getting at the root of client problems.

Specialized Areas For In-depth Knowledge

One of these six functional areas noted above is normally a functional discipline of a management consultant, such as human resources management. Consultants will be much more valuable to a consulting firm and to clients if they have both generalist and specialist skills. A firm that builds a staff with expertise in a variety of disciplines and topics can offer a broader range of services to clients.

Understanding the Impact of Macro-forces on the Organization

The organizations with which consultants work do not operate as autonomous entities in a vacuum. Consultants need to have a keen understanding and analytical skills to determine the impact of the environment in which their clients operate. PESTLE is one well known model for examining the political, economic, social, technological, legal and environmental forces which will impact on the success of a consulting intervention. These macro-forces act upon an organization and shape its strategic and operational challenges and opportunities. This implies that these forces will also shape how the consultant will have to intervene to help the client-organization achieve its success.

Continuing Professional Development

Members of CMC-Canada with the professional designation of Certified Management Consultant are required to undertake activities on their own initiative (i.e. not part of paid work), personally or in groups, that contribute towards the development

of their individual knowledge, awareness or capacity upon which they are able to base their advice, consultation and support to clients and others.

CMC-Canada has developed a reporting process that ensures Certified Management Consultants are maintaining their professional capabilities in line with the Continuing Professional Development (CPD) Policy and its Code of Professional Conduct. The reporting process recognizes the existing continuing professional development that members may be undertaking to meet their functional, industry and technical issues and areas specialization while at the same time ensuring that personal development includes professional consulting activities and contribution to the profession itself.

CMC-Canada recognizes that situations may occur that prevent completion of the designated professional development and have allowed for exceptions related to; newly certified members, periods of “leave of absence from work, periods of extended personal illness, and retirement. Such exceptions are required to be communicated to the Provincial/Regional Institutes of Certified Management Consultants for their review and/or approval.

Understanding Aspects of the Profession

Management consulting is not for everyone. Management consulting is about change and change can create stress for the people involved in the change process. Successful consultants are the ‘change agents’ that welcome change and are fit enough to handle it.

Hans Selye, a Montreal neurosurgeon spent 50 years of his life dedicated to stress related problems. Selye demonstrated the role of emotional responses in causing or combating much of the wear and tear experienced by human beings throughout their lives. He described two types of stress; 1) distress, or the focus on negative things which cause one to feel out of control, and 2) eustress, or a positive stress created by oneself in which one still makes decisions and feels in control. The latter has been felt by most people – it is the feeling one gets when a project is causing a lot of work, but it all seems (barely) under control and there is a euphoria in knowing that the work is going to get done well and done on time.

Almost every aspect of a consultants work can cause stress; it depends on the individual, but no one can survive in the industry without the ability to manage stress. The following is a summary of the aspects of the consulting that have or could have an impact on the consultant’s level of stress:

Travel - Given that consultants offer an independent, external service they must be prepared to travel to serve the needs of the client.

Variety of activities - Even within a specific consulting focus, there will be a variety of activities that the consultant must be able to plan for and execute successfully.

Challenge - Management consultants must welcome the challenge related to being a problem solver, detective, facilitator, coach and guide and constantly looked to by others to help solve their problems.

Influence - Consultants exist to intervene or influence change to achieve improvement on behalf of the client. This ability carries with it significant responsibility to serve the person and organization over which the consultant has influence.

Visibility - Consulting is a highly visible profession because as an independent external resource, the consultant can only succeed through others.

Variety of Clients - Because no two clients are the same, consultants must be prepared to respond to, and challenge the assumptions of each client or client team before the problem can be solved.

Milestones - Throughout a consulting assignment the consultant is under constant pressure to produce what was promised, done well and on time.

New People - A consultant is constantly meeting new people in the course of an assignment and from one client to the next, and at all levels of an organization requiring application of empathy and winning of trust on a consistent basis in order to be successful.

Uncertainty - The length of a management consulting project could be 2 weeks to 18 months with the average being something like 3 months; consultants never quite know what is around the corner. Also, for those in partnership or ownership positions in consulting firms, the uncertainty surrounding marketing success or managing the requirement to work and sell at the same time can be stressful.

One way to be aware of the stress in consulting is to make a list of things that cause stress and determine how to take control and manage the stress caused by these aspects of the profession. Determine to find a balance – your clients deserve your best!



2.0 The Consulting Process



"During a typical assignment, the consultant and the client undertake a set of activities required for achieving the desired purposes and changes. These activities are normally known as "the consulting process". This process has a beginning (the relationship is established and work starts) and an end (the consultant departs). Between these two points the process can be subdivided into several basic phases. This helps both the consultant and the client to be systematic and methodical, proceeding from phase to phase, and from operation to operation as they follow each other in logic and time... "[While there are] many different ways of subdividing the consulting process....we have chosen a simple five-phase model including the following major phases [or stages]; Entry, Diagnosis, Action Planning, Implementation and Termination."¹²

In general, a professional management consultant almost always goes through each one of these stages and produces the relevant deliverables during an assignment. Even if the consultant (consulting team) is working on a return engagement with an existing or former client, or moving into a second or third phase of a long term engagement; all stages should be (re)visited.

At the same time, in many assignments, the phases may overlap, or not seem as cut and dried as presented here; Implementation may begin before Action Planning is complete, detailed Diagnosis may have already been undertaken or be part of the proposal development. So, while the model cannot be applied without regard to context of a particular consulting assignment, it does provide a good framework for identifying what consultants actually do and for structuring and planning consulting work on assignments. (See the Schematic Diagram of the Consulting Process on the next page.)

2.1 Entry Stage

"Entry is the initial phase in any consulting process and assignment. During entry, the consultant and the client get together, try to learn as much as possible about each other, discuss and define the reason for which the consultant has been brought in, and on this basis agree on the scope of the assignment and the approach to be taken. The results of these first contacts, discussion, examinations and planning exercises are then reflected in the consulting contract, the signature of which can be regarded as the conclusion of this initial phase."¹³

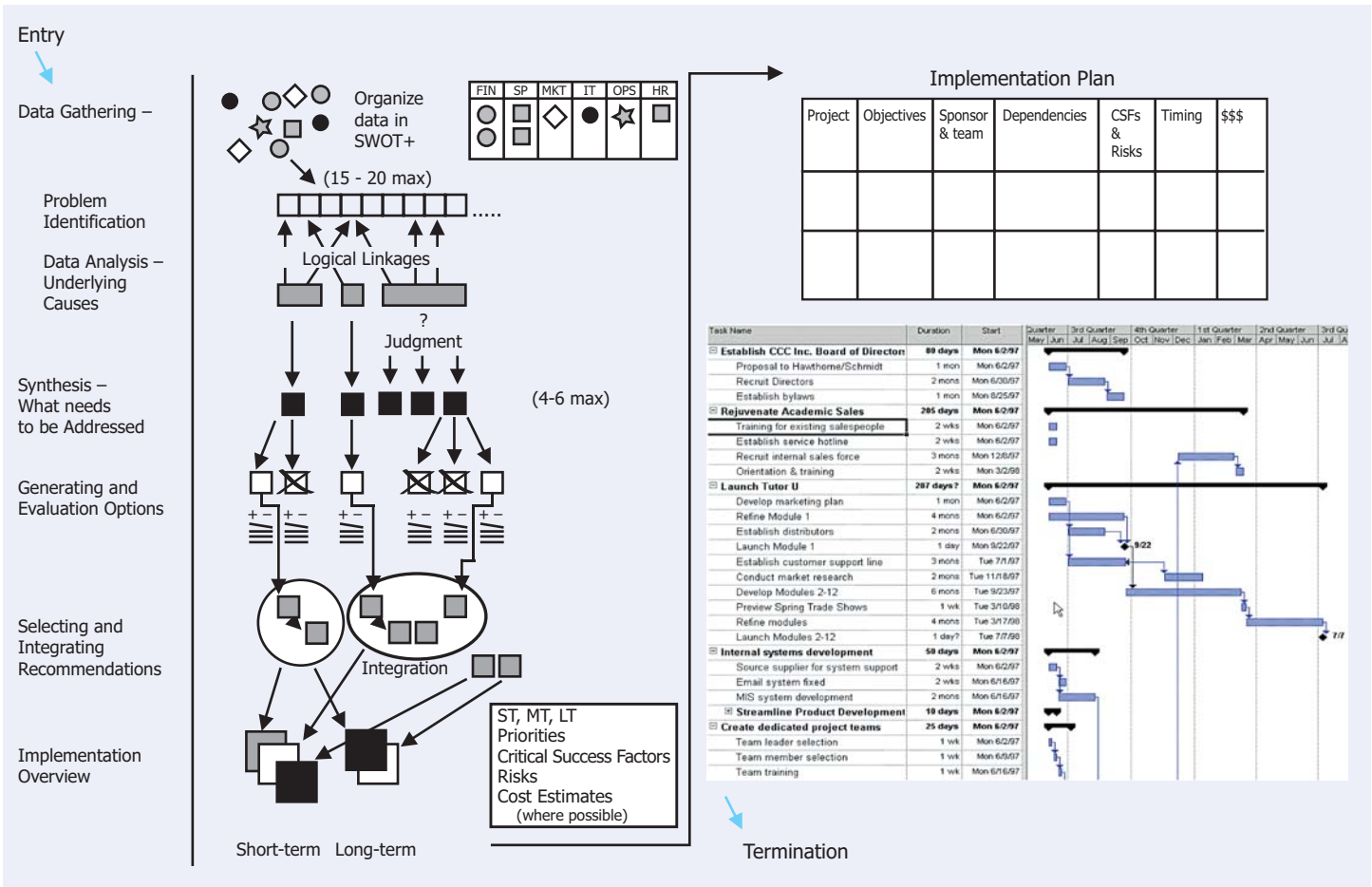
Activities

Entry is characterized by the following activities; making initial contact with the client, undertaking preliminary problem diagnosis, developing assignment strategies and plans, formulating a proposal, and obtaining a contract.

¹² Kubr, p. 21.

¹³ *Ibid.*, p. 153.

Schematic Representation of the Consulting Process



Source: Julia Gluck, FCMC, Ken Ainsworth, CMC and Kevin Schwenker FCMC, "Introduction to the Consulting Process" lecture slide in *The Essentials of Management Consulting*, © CMC-Canada, Toronto, 2005.

Purpose

Ultimately the goal of the entry phase is to secure the work. However, after the initial meeting consultants also have to determine if they want the work – whether it is right for them, their firm and/or if they are right for the client. An important consideration is whether the client is ready for the consulting intervention. Given that these questions are answered in the affirmative, a consultant uses the initial contact(s) to get agreement to submit a proposal and/or get agreement to proceed. If this results in the signing of a consulting contract the consultant's efforts have been productive and the entry phase is completed.

Initial Contact

In the Entry Phase of the consulting process, the consultant and client meet. The meeting may take place as part of a marketing initiative of the consultant, a request for information meeting extended by the client, or a referral. The meeting where consultants are invited to discuss a particular problem or set of

issues with the client is often called an investigatory interview. In any case, the meeting can be used:

- to find out about one another, establish rapport and begin building a relationship;
- to obtain a sense of whether they can work together productively;
- to subtly build credibility of your firm;
- to earn the client's trust and confidence, through using empathy and through modeling effective behaviour;
- to understand why the client has called the consultant in; to get a context of the firm and its issues; and
- to determine what issues/problems need to be addressed and agree on the scope of the assignment.

Before you meet the client for the first time, it is necessary to prepare. Winning a consulting contract is not that different from finding a career position. You need to do your homework before

2.0 The Consulting Process

you walk in to the client's office for the first time. You can prepare by reviewing Industry profile and issues, finding out about the nature of client's products/services, the nature of client's customers/suppliers, and the location of markets.

To prepare for an initial meeting and develop an understanding of the client and the client context a consultant can review trade journals, research through trade associations, use government publications (e.g. Stats Can, Industry Canada), review annual reports and company product or service brochures, speak with an internal company contact (care must be exercised here in terms of confidentiality and a clear understanding about who the contact is and how the information may be used), research public domain sources, especially the world wide web, and through industry experts and analysts.

The first impression you make is a lasting one and can possibly be the last – 'you never get a second chance to make a good first impression'. A consultant should go into such a meeting with a clear plan, a clear set of outcomes in mind as noted above, an agenda to achieve those objectives, an understanding of the roles of the client representatives in the meeting and those of the consulting team, and establish behavioural rules that will ensure that the meeting runs smoothly to meet the outcomes desired.

It is a consultant's responsibility to look at the client as a system. The client is always the organization as a whole; the entire company is one's client and it is your duty to act in its best interests¹⁴. During entry, a consultant is concerned with finding out who holds the power of decision making i.e. who is the client of record the representative who will hold decision making power during the assignment. Over the course of the assignment, the decision making power may shift, so it is good to think through the assignment with the client and determine who will be in charge at various points.

Within the client organization, who has the main interest in the success or failure of the project? What will a successful conclusion of the assignment look like? Who are the change leaders and who has a stake in the success of the assignment? Who will be the main supporters? Who may be opposed? Who are the stakeholders that need to be involved - who needs to be at the table as the assignment progresses? During initial contacts, it is important for consultants to keep their eyes and ears open to what is happening in the client organization in order to be best able to understand the milieu in which one is operating. Especially telling is an examination of how change projects have gone in the past.

Preliminary Diagnosis

The preliminary diagnosis is the crux of the entry phase. Preliminary diagnosis is establishing the hypothesis about

assignment purpose that one sets out to prove or disprove in the ensuing phases of the assignment – for it is on this basis that a consultant will proceed to formulate a proposal to win the business. Gathering and assembling information from the client is key to developing the preliminary diagnosis; open ended questions and active listening skills, paraphrasing and restatement are powerful process tools to use at this juncture. Be sure to look across all functional areas in the client's business to ensure that you understand the client context and don't miss a critical connection to the problem you have been called in to address. Often a problem in one area is rooted in a completely different functional area. Also, be sure to question the client's assumptions as they often have biases built in of which they may not even be aware.

In many assignments, the client has already prepared a Terms of Reference (also known as Statements of Work) which they send out in their call for management consulting proposals and these Terms often include a preliminary problem statement. These Terms of Reference (TOR) or Statements of Work (SOW) may have been developed internally, or can be developed by an outside consultant brought in for the express purpose of developing them. Consultants should be aware of how the TOR/SOW document was developed and consider carefully whether they are realistic or feasible. Requesting an investigatory interview to discuss the assignment with a client is advised.

TOR/SOW normally include the following minimum information:

- Description of the problem(s) to be solved;
- Objectives and expected results of the assignment (i.e. what is to be achieved, the final product);
- Background and supporting information (on the client organization, related projects and consultancies, past efforts to solve problems, etc.);
- Budget estimate or resource limit;
- Timetable (start and completion dates, key stages, and control dates);
- Interim and Final reporting (dates, form, number of copies, to whom, etc.);
- Inputs to be provided by the client (further information and documentation, staff time, secretarial support, transport, etc.);
- Exclusions from the assignment (what will not be its object);
- Constraints and Other factors likely to affect the project;
- Profile and competences of eligible consultants; and
- Contact persons and addresses.

¹⁴ "Members shall not accept or conduct work that is in the interest of any individual or group within the client organization (e.g., specific managers, staff departments) if the work would, in any way, be detrimental or not serve the best interests of the overall organization." CMC-Canada, Code of Professional Business Conduct, Statements of Interpretation (Toronto: Canadian Association of Management Consultants, 2001), Section 4.01.04.

There are three main types of calls for consultants to make a proposal and/or presentation to a client; a Sole Source Request, a Request for Proposals (RFP) and an Expression of Interest (EOI). The latter is usually a precursor to an RFP – i.e. it involves a two step process where formal proposals are the second step. The EOI is most often used to determine a short list of consultants who are qualified to move to the second step by their experience, subject or industry expertise, and other terms determined by the client. Usually, the EOI presents an overview of the issues at hand and requests that the consultant provide an overview of how their qualifications make them eligible and what strategies they might use (or have used in similar circumstances in the past) to tackle such a problem. The resulting short list is then asked to submit a formal proposal. Although in some situations, the client selects a sole qualified consulting firm and directly negotiates a formal contract – the process by which the contract is arrived at being very similar to the development of a formal proposal.

A Sole Source Request (also known as “Directed Business”) usually comes from a client who has worked with the consultant before (and was obviously pleased with the result), has heard of the consultant’s expertise (often on referral by another pleased client), and is not constrained by legislation or internal regulations that prohibit the awarding of a consulting contract without an open or selective proposal process.

The Request for Proposal (also known as an Invitation to Quote or ITQ) is very similar in content to a Terms of Reference – and in instances where a TOR has been developed it is normally provided as part of the RFP. Some background is provided on the client and the problem(s) at hand, budget, timetable and contact information are usually also the other minimum elements in the RFP. And, of course, a deadline for the submission of the proposal is indicated.

Developing Assignment Strategies and Plans

In developing a proposal, a consultant begins by plotting strategy and undertaking some assignment planning. Strategic issues are about the consulting approach that will be taken in the assignment. A large part of the approach taken will involve defining the role which the consultant is going to play – the resource role, or the process role, or some combination of both (see above, Section 1.5) The following issues are also part of the strategic calculation:

- How is the assignment going to be organized – how do the consultants get introduced to the organization, what are the consultant’s expectations of cooperation, who is doing what to ensure the assignment moves in an orderly fashion?
- Who are the stakeholders that are going to be involved?
- What activities are the consultants to carry out, what activities are the responsibilities of the client?
- What client data and documents will be available and organized by whom?

- What meetings, teams, project groups and other forms of group work will be used and who will be involved?
- What special training and information activities t will be necessary? and
- What shift in roles may occur as the consulting assignment unfolds?

Based on the strategy, the consultant then moves on to outline the assignment plan. Basic elements of planning include:

- *Statement of Objectives* – Using the data collected, the consultant sets out a description of the problem then outlines the objectives that are to be achieved with the solution of the problem (in quantifiable terms wherever possible describing benefits that will accrue to the client).
- *Deliverables* – As the project moves forward through each phase, the consultant has to indicate to the client what the outcome will be for each phase and the deliverables that will be associated with getting there.
- *Timing* – Should be attached to each phase and deliverable. The overall assignment timing depends on the desires of the client tempered with the availability of resources (both client and consultant), and the reality of the magnitude of change taking place especially as the project moves into implementation.
- *Roles and Responsibilities* - Roles will flow from the strategic consulting approach. It is necessary to define what roles the consultant will be playing over the course of the assignment in order to determine the resources required for the assignment. A key question that needs to be addressed is what resources is the consulting firm going to assign to this project and what resources are expected that the client will assign (sometimes spelled out in the TOR).
- *Fees and Expenses* – Associated with delivering the service.

Preparing Proposals

With the strategy considered and the assignment plan sketched out, the next step is the formal proposal. Proposals are selling documents – the client is in a buying mode and has not made a decision yet. This is the opportunity to sell the consulting services of the firm. A consultant may have a vision of how to solve the client’s problem(s) successfully; however, it must be communicated clearly in writing.

A professional proposal is usually organized in the following sections; Introduction, Understanding, Scope & Methodology, Qualifications, Professional Fees and Expenses, Engagement Terms and Conditions, and Conclusion. Different firms and individual consultants may not use these exact titles, and Terms of Reference can sometimes be very exacting in how a proposal should be organized for the issuing client, but the content of proposals should cover the following elements as a minimum:

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- *Introduction* – Should include a statement of interest in the assignment; thank the client for the opportunity to propose; and a brief overview of how the proposal is organized.
- *Understanding* – Sometimes called the ‘Background’, this section includes a short overview of the client’s situation or specific assignment context including a clear statement of problem(s) definition (preliminary diagnosis hypothesis), as well as the purpose and objectives (anticipated outcomes) of the assignment.
- *Scope and Methodology* – Sometimes called the Engagement Section, this is the place to introduce the strategic consulting approach that has been chosen; define what is in and out of scope; outline your work plan; identify deliverables or milestones (i.e. what will be produced, by when -and by whom if the assignment staffing has been fully completed), and assignment assumptions – i.e. what resources of staffing, office space, equipment, etc, that the client will be providing (This could also be identified in the Engagement Terms and Conditions Section below.)
- *Qualifications* – Of the firm and of the individual(s) assigned to carry out the assignment. This includes the name of the assigned consultants, their qualifications and their role(s) in the assignment.
- *Professional Fees and Expenses* – Fees are for the staffing and roles that have been defined and are dedicated to the consulting scope and methodology as laid out in the proposal. Be clear if specific fees cannot be provided for one phase of the assignment (e.g. implementation – cannot be estimated in advance of the diagnosis and development of solutions to the identified problems). Expenses should be defined in relation to the methodology which has been laid out in the proposal (usually broken down by major step in the work plan). You should also set out the expected terms of payment – usually linked to milestones or deliverables (sometimes this is included in the next section).
- *Engagement Terms and Conditions* – This is where the miscellaneous issues are gathered – how to document changes in scope, contracting terms (the consulting firm’s or the client’s?), ownership of copyright or intellectual property rights, applicability of the CMC-Canada Code of Business Conduct and client codes of conduct, liability issues, how termination may occur, dispute and arbitration issues, etc. (Sometimes qualifications, staffing, fees and expenses and the issues noted here are all included under the title Terms of Engagement.)
- *Conclusion* – A short statement thanking the client, inviting

the client to contact a specific person if there are any questions about the proposal, and a definitive statement on how follow-up is understood to take place (the consultant or the client will call the other on a specific date.) Also, the sections on assumptions (in Scope and Methodology) and the full section on Engagement Terms and Conditions are very important parts of the proposal. These should be clearly mentioned in the conclusion in terms that encourage the client to engage in conversation to clear up any missed assumptions, or errant terms or conditions.

Assumptions included in Scope and Methodology, and/or the Engagement Terms and Conditions (or sometimes set apart in their own section immediately following Scope & Methodology) have become increasingly important in light of market developments in Canada and elsewhere. For the past decade and more, management consultants have been encouraged by the client community to quantify intended benefits or results, or become involved in risk-sharing approaches where the total fees for the member will be related to the benefits or results realized. As a result, management consultants have to carefully spell out the conditions under which they will participate in such approaches.¹⁵

There are also alternatives to a full formal proposal, and these include the Letter of Understanding (LOU), the Letter of Engagement (LOE) and the Letter of Agreement. These three types of letters are designed to provide the requisite information which is required under the CMC-Canada Code of Professional Conduct; a professional consultant, before beginning any substantive work on a consulting assignment, will “reach a mutual understanding with the client as to the assignment objectives, scope, work plan, and costs.”¹⁶ They are addressed in the following section on contracting.

Contracting

The ultimate step in the Entry stage is getting an agreement to work with the client. There are four primary methods for sealing the deal; a Consulting Contract, a Letter of Understanding (LOU), a Letter of Engagement (LOE) and Letter of Agreement (LOA). In all cases the fundamental elements of assignment objectives, scope, work plan and costs must be addressed.

The Consulting Contract should cover the following checklist of items¹⁷:

1. The names of the consultant and consulting firm, and the client and client firm;
2. The assignment objectives, scope and timetable of the assignment steps, and milestones identified in the work plan;

¹⁵ “Members shall respond to client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum; a) The client’s responsibilities related to the intended benefits or results; b) Identifying the risks and assumptions associated with realizing the intended benefits or results; c) Identifying the measures to be used; and, d) Clearly communicating these elements to the client.” CMC-Canada, *Code of Professional Business Conduct, Statements of Interpretation* (Toronto: CMC-Canada, 2001), Section 4.01.07.

¹⁶ *Ibid.*, “Informed Client”, Section 4.04.

¹⁷ Adapted from *Ibid.*, “Informed Client”, Section 4.04.2, and Kubr, p. 176.

3. The deliverables for each milestone, a start date and a completion date;
4. Consultant and client inputs;
5. Fees and expenses (usually broken down by major step in the work plan);
6. Names, qualifications and role of consultants (and other staff assigned to the project by the consulting firm, including subcontractors);
7. Billing and payment procedures (including how all expenses, disbursements and applicable taxes will be handled);
8. Applicability of the Uniform Code of Business Conduct (deals with such professional responsibilities as confidentiality, conflict of interest, etc.);
9. Copyright and Intellectual Property Rights;
10. Liability (responsibility for damages and limitations);
11. Confidentiality, Warranties, and Indemnities (assumption of risk by the consultant);
12. Revisions procedures (changes in scope);
13. Termination (including consultant right to withdraw under Code of Conduct);
14. Arbitration (jurisdiction, handling disputes); and
15. Appropriate Signatures and date.

The Letter of Understanding is almost as detailed as a full formal proposal and generally contains all the same elements. An LOU is most likely an appropriate way to engage in mid-size assignments. Full blown proposals and contracts are often more formal, longer (in number of pages) and geared to bigger ticket projects. The LOU is made out in duplicate, has a place for the client to sign and send back a duly executed copy. The LOU acts as the consulting contract as do the following two “letters”

The Letter of Engagement is a fairly simple proposal/contract that sets out the fundamental elements in just a few pages. The client signs and sends it back similar to an LOU described above. This less formal type of contracting may be used in the case of repeat engagements, or projects requiring less detail than would require a formal proposal, contract or LOU – quite often this may be appropriate in long standing consultant-client relationships.

In addition the Letter of Engagement can also be used as a form of contracting whereby the client engages the consultant on the basis of the consulting proposal; in this case the LOE is written by the client indicating that the consultant is engaged on the basis of the consultant’s proposal (or the client may indicate agreed upon minor changes to the proposal).

The Letter of Agreement is perhaps the simplest contract and is used when a management consultant has been pressed into duty

quickly on a relatively straightforward and smaller assignment. It is incumbent that something in writing be provided to the client. It sets out the fundamental elements and indicates that the consultant has agreed to undertake the assignment as discussed with the client on such and such a date. LOAs can also be used to document changes in a contracted assignment – scope changes, changes in fee arrangements, resource assignments, etc. It is good practice to have a client initial or sign a copy if even just to acknowledge and confirm receipt.

Application of the Code of Conduct

The CMC-Canada Uniform Code of Business Conduct needs to be reviewed briefly here to identify the great number of issues that may come up during the Entry stage:

- 2.01 Knowledge – Responsible to keep abreast of any developments in any area of the profession where a consultant is claiming expertise;
- 2.03 - Responsibility for others – Everyone on the team proposed to the client has to adhere to the Code;
- 4.01 Due Care – In taking on an assignment the consultant must remember that they should not accept assignments that may put them at an advantage to the disadvantage of the public or the client and they are also to act in the best interests of the organization as a whole and avoid acting for one person or group within an organization to the detriment of the organization;
- 4.01 Due Care – Care must be taken not to guarantee specific quantitative results that are beyond the direct control of the consultant and should the client make a request for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized there are very specific conditions and details that the consultant has to specify;
- 4.02 Business Development – Contracts must be pursued in a professional manner;
- 4.03 Competence – A consultant should accept only those assignments, which s/he has the knowledge and skills to perform;
- 4.04 Informed Client – A consultant before accepting an assignment must reach a mutual understanding with the client as to the assignment objectives, scope, work plan, and costs and put this in writing;
- 4.05 Fee arrangements – Must be put in writing and agreed to before starting any substantive work on an assignment; and
- 4.08 Objectivity – Assignments with any terms or conditions that may affect a consultant’s objectivity should not be accepted and it should be stipulated in the contract that the consultant has the right to withdraw should such become the case.

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Clearly there are a lot of ethical considerations when taking on a new client and/or consulting assignment. Most Certified Management Consultants attach a copy of the Uniform Code of Business Conduct to their proposals to make the client aware of the ethical commitments of the consultant/consulting team, and further, take steps to ensure that the Code is written in as part of the consulting contract.

2.2 Diagnosis Stage

"The purpose of diagnosis is to examine the problem faced and the purposed purposes pursued by the client in detail and in depth, identify the factors and forces that are causing and influencing the problem, and prepare all information needed for deciding how to orient work on the solution to the problem. An equally important aim is to examine the relationship between the problems...and results achieved by the client organization, and to ascertain the client's potential to make changes and resolve the problem effectively."¹⁸

Activities

The activities of the Diagnosis Stage consist of the following; data gathering, data analysis and synthesis. These three activities often overlap and become iterative thus necessitating a high tolerance for ambiguity in this phase. It is extremely important in this phase not to form conclusions too quickly – a consultant must take the time to consider data and information from multiple perspectives. This is both a challenging and rewarding phase.

Purpose

The ultimate purpose of Diagnosis is to identify the critical areas in the client organization which need attention to achieve the purpose(s) and objectives of the assignment. Usually, there is a problem the client needs to solve, or an opportunity the client wants to pursue, and in some cases, consultants are there because there is a distinct possibility that the client may not survive if things don't change.

Data Gathering

Data Gathering is the logical first step but one that can create problems if a consultant doesn't stick to the facts and data. A consultant should identify factual symptoms and problems, and not begin analyzing the data or jumping to conclusions about causes or posing solutions. This does not mean that it does not happen, just that a consultant should not contaminate the facts with opinions, elements of analysis or ideas about solutions; such elements should however, be carefully noted for later use.

Data sources may be internal to the organization or external. Three main sources of internal information include:

1. Records which can be retrieved and studied include; written documents (such as files, reports, publications, relevant reports of other consultants), and electronic or other stored files (on computers, film, microfilm, tapes, drawings, pictures, charts, blueprints, etc.).
2. Events and conditions are activities which can be observed by the consultant and documented (such as factory or office layouts, work flows, methods and processes, working conditions, attitudes and behaviours, interpersonal and inter-group relations, management and work-team meetings, etc.)
3. Memories of the people who work for the organization or outsiders are a potent and unbelievably rich collection of facts, experiences, opinions, beliefs, impressions, prejudices and insights. They can only be collected directly and a consultant needs to go and ask people for their input.

External data may include statistical reports, data and opinions from others outside the organization including data on customers, competitors and the political, economic, social, technological, legal and economic environment in which the organization exists. In terms of external data, all of the above sources are applicable.

Comparative external data is particularly useful:

- well selected data from similar organizations is a powerful diagnostic tool;
- external comparisons may help to quickly orient the consultant to the organization's issues;
- use of external data is objective and can help to raise the client's awareness of the real situation in their organization; and
- clients often see great value in external data and seeing their own results in contrast.

Methods for gathering the data are varied and include; retrieval and study of records, observing events and conditions, direct interventions through questionnaires, interviewing, data gathering meetings, employee attitude surveys, and estimating. The consultant has to figure out which of the methods and sources are the best to use, considering the timeframes, the budget available, and the availability/accessibility of the records, events and people relevant to the assignment at hand.

There are four additional important considerations in the data gathering for diagnosis. First, management consultants must look at the breadth of functional management areas in the client organization. This means examining all six functional areas identified in the Common Body of Knowledge, including;

¹⁸ Kubr, p. 179.

Strategic Planning, Marketing Management, Human Resources Management, Financial Management, Production Operations Management and Information Technology Management.

For example, even if called in to undertake an assignment in human resources, it is important that the consultant review strategy (to ensure the proposed solution is consistent with the human resources strategy which in turn should nest within the overall strategy of the organization.) As well, the management consultant must be able to consider the root cause of the problem or symptoms they have been called in to diagnose – and it may well reside in any of the other functional areas. If one fixes the problem without reference to a broader cross functional understanding of the organization, one may well end up applying a band aid to the symptom or problem in Human Resources, while not getting at its root cause in Production. The band aid

simply covers the symptom, the root cause festers, and the problem will re-surface. This result will reflect poorly on the consultants and the management who called them in.

A second and very important consideration in any direct data gathering is sensitivity to cultural factors – whether this is due to the geographic location of the organization, the composition of its workforce, or even micro-cultures in different divisions, consultants must be aware of cultural norms of different groups of people with which they interact.

And thirdly, during data gathering a consultant should be attuned to an organization's external and internal strengths and opportunities in order to provide feedback on the client organization's potential to solve the critical issues it is facing. This data will also prove useful in building and supporting the recommendations which follow in the Action Planning Phase of a consulting assignment.

Questions to keep in mind while gathering and analyzing data:

- What and where are the problems?
- How and where do the problems manifest themselves?
- Do they manifest in more than one area?
- If so, does the problem look exactly the same everywhere, or are there differences?
- Is what you are seeing a real problem or is it a symptom?
- If it's a symptom, what is causing the issue to manifest?
- Could the problem you are looking at be caused by something happening in another areas – is it rooted in another functional area?
- Are there other problems that could be related to this one?
- What are the relationships between and amongst the problems?
- Out of all the problems you have identified, which do you think are the most critical? and
- What strengths have you found that give you confidence that the organization can solve its problems?
In other words, what about the organization makes you think they will be able to make the changes required?

Data Analysis

Data Analysis is the next step in diagnosis. Once the data has been collected it needs to be organized, edited for completeness, clarity, correctness and consistency, and is often classified. Now the data is ready for “crunching” as one popular vernacular puts it; it is ready go be analyzed to find common themes, logical linkages and causal relationships. It is important to recognize that there will always be more information to gather, however at some point, the consultant must move away from analysis and get on with synthesis. The client will not pay for analysis paralysis.

A number of common tools and techniques are available to be applied in this step of the Diagnosis phase are listed below:

- SWOT+ data gathering technique (data grouped in SWOT matrix by functional area)
- Management Survey;
- Problem characteristic analysis;
- Porter's Five Forces or a STEEP or a PEST or PESTLE Analysis;
- Kotler's 4 Ps: Price, Product, Place, Promotion, or the traditional 10 Cs;
- Flowchart/Process Flow Diagrams;
- Analysis of key financial ratios, pro-forma financial projections and other financial analyses based on your diagnostic findings, such as break-even and cost benefit;
- HR analysis – activities and effectiveness;
- IT analysis – systems and effectiveness; and
- Affinity Analysis.

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The SWOT+ is a particularly useful data gathering and sorting technique. It was designed specifically for CMC-Canada and modeled on the traditional SWOT analysis – but the analysis was not included; it all about organizing facts and data in preparation for analysis. A brief outline of how the SWOT+ technique is applied follows.

The SWOT+ Data Gathering Technique

1. Collect the facts and data into the traditional SWOT matrix table, however, separate them across tables for each of the 6 functional areas.
2. Remember, Strengths and Weaknesses are internal to the organization (i.e. the organization has control over these issues) and that Opportunities and Threats are external to the organization (i.e. exists outside the organization - this could include an outside owner or parent company over which the organization has no direct control).
3. Just the facts or facts that can be directly derived from the data (e.g. some basic financial analysis can be allowed to get meaningful ratios). Don't worry at this point as to what are symptoms and what are problems – that will come later as you begin to analyze the data.
4. Do not include your judgements at this point; any time you start to write “lack of...” or “there is no ... in place” you are starting to jump to conclusions, or analyze underlying causality. You just want to collect the data and organize it, before you begin to analyze. Place any analyses in a ‘Parking Lot’ and set up another ‘Parking Lot’ for potential problem solutions you come across.
5. Do not assume that the weaknesses in an organization are symmetrical – i.e. they are not equally spread over the 6 functional areas, nor are strengths or threats and opportunities.

Synthesis

Now that the data has been analyzed the next and most important step in the Diagnosis Phase is the synthesis – drilling down the problems that have been identified in the analysis to their root causes and summarizing these in clear statements of what this client needs to address to remedy its situation. A consultant begins the synthesis process during data analysis discovering relationships which are significant and not random; seeking out relationships, trends and causes and identifying underlying conditions or elements that need to be changed if a whole process or the organization needs to change.

Synthesis is much more difficult than purely analytical work which precedes it. It requires the rigorous application of tools and techniques, tempered with knowledge and experience. A diagnosis that has no synthesis is really unfinished work – a bulky set of analyses and a long list of problems results in client confusion or misunderstanding, and requires too many solutions

that do not necessarily solve the root causes that were causing the list of problems in the first place. Underlying root causes are what generate the issues and problems you have observed. The consultant is trying to get the client to agree on what lies behind the problems and issues. Root causes often cross the boundaries of functional areas.

Some of the most common tools and techniques for getting at root causes are:

- Horizontal and Vertical Causal Analysis;
- 5 Whys;
- Force Field Analysis; and
- Fishbone Diagram (Cause & Effect Analysis).

Using these tools and techniques, a consultant is working toward the conclusion of the diagnosis phase. A well crafted synthesis is generally provided in about 4-6 statements of “what needs to be addressed” (or WNTBA statements) and it will form the basis for the next consulting stage – Action Planning - where the consultant is engaged to actively create solutions.

Developing a What Needs to Be Addressed Statement

A What Needs to Be Addressed (WNTBA) statement results from an analysis of the causes underlying the issues and problems facing a company. Consultants are expected not just to identify the possible underlying causes of each problem (“horizontal causal analysis”), but also to then look through the list of all problems to see which underlying causes are recurring more than once (“vertical causal analysis”). The more frequent an underlying cause appears, the more likely it should be one of the key areas for the client's attention.

WNTBAs can also arise from a consideration of; the need to mitigate major risks and/or the opportunities that you believe the firm should take advantage of. A consultant has to use judgment to include a WNTBA on such items even if they do not fall out of analytical techniques such as vertical causal analysis. There may be a major risk which needs to be addressed or an issue that you recognize is, on its own, very critical for the organization to address to be successful and/or to achieve the strategic direction you have recommended. For example, a number of employees, key to the strategy, may be at risk of leaving for other opportunities, or a machine that is essential for production aimed at a target market key to the strategy is breaking down and must be replaced. These are clearly WNTBAs

Each WNTBA statement should endeavour to encompass the following three elements (or at least the first and one of elements 2 or 3):

1. the *area to be addressed* (e.g. “XYZ Company needs to address the serious staff morale issues in the parts division”);
2. the *threat or implication if it takes no action* (e.g. “or else, the productivity targets you have set cannot be met”); and

3. the *opportunity or benefit if it does take action* (e.g. “if addressed, the division has an opportunity to regain customers and industry respect lost due to these issues.”).

The WNTBA statements are “selling” (convincing) opportunities that should compel the client to (want to) take action; not unlike the consulting proposal, the report which comes at the conclusion of the diagnosis phase is a selling document. This is especially important if the working hypotheses upon which the proposal was based have been affected by the discovery of information during diagnosis that has undercut those hypotheses. If the Diagnosis is different from the preliminary hypotheses, and it may be a surprise to the client, so the logic must be strong resulting from the rigorous application of tools and techniques and a strong synthesis effort.

Ultimately, the diagnosis report will be produced with its conclusions section containing two essential elements that arise from the data gathering, analysis and synthesis undertaken in this phase. First is a list of 4-6 statements of critical issues or areas that need to be addressed to solve the issues for which the assignment was mandated. Second, is a compilation of the consultant’s insights on the organization’s capability to do something about the problems it is facing.

Some Final Issues

There are a few of final issues to raise before leaving the diagnosis stage. Throughout the consulting process, communication with the client is key – whether it is to deal with changes in scope, dealing with conflict, providing feedback, or working with the client management and staff, much of a consulting assignment’s success depends on open lines of communication.

An important outcome of any consulting assignment is that the consultant leaves the client functioning on a higher level than when the intervention began. So, beginning in Diagnosis (and throughout the rest of the consulting process), the consultant should use processes to involve the client management and staff. During diagnosis there are opportunities to generate a sense of problem ownership and to increase client problem solving capabilities. The tools and techniques in this section can be taught to the client staff for use in one-on-one or group situations. To whatever extent possible, get as much participation from organization stakeholders, so that the consulting intervention begins generating ownership of the outcome early in the consulting process.

Application of the Code of Conduct

Finally, there are a few ethical considerations to be aware of during the Diagnosis Stage; reviewing the CMC-Canada Uniform Code of Business Conduct here are the key issues:

- 2.03 Responsibility to the profession and for others – Everyone on the team has to adhere to the Code;

- 3.01 – Responsible to inform another member if the diagnosis should involve critical review of another member’s work;
- 4.03 Competence – There is a need for competencies on the team to address each functional area; and
- 4.07 Confidentiality – Interviewing/surveying stakeholders, keep their individual responses confidential.

2.3 Action Planning Stage

“This phase includes developing possible solutions to the problem diagnosed, choosing among alternative solutions, presenting proposals to the client, and preparing for the implementation of the solution chosen by the client... The continuity between diagnosis and action planning cannot be over-emphasized. The foundations of effective action planning are laid in excellent diagnostic work...[yet] despite this emphasis on continuity...the emphasis is not longer on analytical work, but on innovation and creativity.”¹⁹

Activities

The major activities in the Action Planning Stage include; getting ready to search for possible solutions, the application of creativity in developing solutions, and analysis of alternative solutions to prepare a recommended course of action to address the critical issues that were identified in the diagnosis. Also included in this stage are three other important components; preparing an implementation overview of the recommended solutions, assessing the change readiness and absorptive capacity of the client organization, and involvement of members in the client organization in developing, choosing and prioritizing solutions.

Purpose

The purpose of the Action Planning phase is to produce a set of recommendations, clearly linked to the areas identified as needing attention in the Diagnosis Phase, which the client can actually implement. Ultimately, this implementation may be done by the client with or without your help. If the client decides to proceed without the consultant, the Action Planning phase is sometimes the end of the consulting intervention; if it is, the Termination Phase follows immediately. However in most instances, the consultant is called upon to work with the client in helping to implement the chosen solutions.

Getting Ready

The first step in this phase is termed getting ready, beginning by searching for ideas and information on possible solutions to the critical areas that need to be addressed in the client organization. For the consultant, past experiences and knowledge gained from a

¹⁹ Kubr, p. 213.

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variety of sources can begin the search for ways of improving the client's situation. These include; past assignments and clients, the data base within the consulting organization, ideas from colleagues who have worked in similar situations, professional literature, producers of technical solutions (equipment, software, systems, etc.) related to the critical areas to be addressed, staff in the client organization and other (non-competing) organizations which may be prepared to share their experiences.

Other preliminary considerations involved in preparation include asking the following questions²⁰:

- What should the new solution achieve?
- How will the new situation differ from the present?
- Are the effects likely to last? What conditions are necessary?
- Where could solutions or ideas be found?
- What difficulties may arise?
- Who will be affected? and
- When is the best time to change?

Applying Creativity

Having gathered some ideas and prepared for the solutions finding exercise, the next step in this phase is to apply creative thinking to the critical problems facing the client. Creativity is about using expertise (technical, procedural and intellectual) and applying creative thinking skills (flexibility, imagination, tools and techniques), and tapping an inner passion to solve the problems at hand. Now it is time to generate ideas about “how to solve the big problems”, the WNTBAs which were synthesized in diagnosis. Some of the most common tools and techniques of creative thinking are listed below:

- Brainstorming, Reverse Brainstorming & Brainwriting;
- 4+s and a Wish;
- 20 answers;
- Attribute listing, forced relationships, morphological analysis, synectics;
- Affinity Analysis;
- Scenario Planning;
- Process Flow Diagrams;
- 6 Thinking Hats;
- Breakthrough Thinking;
- Lateral Thinking (Outside the Box); and
- SCAMPER technique.

Interestingly, many individuals have difficulty in letting their creative juices flow. Our memory system tends to function to create patterns, then to perpetuate them. Trying to find a solution to a client's problems without applying creativity and the many

common tools and techniques can actually be harder than simply letting go. Creativity is about changing systems and patterns to bring about restructuring and insights. Mechanisms, such as the mentioned tools and techniques engage your right brain, inspire lateral thinking which assists in changing staid thinking patterns. That is not to say that all client problems require radical new ideas, but all client situations are unique and simply dusting off a previously tried and true solution should never be an option – even the transfer and adaptation of an existing solution requires imagination and creativity.

In leading a creative exercise, consultants should set up the conditions needed to engender creativity and be aware of the major barriers to creative thinking. Both are summarized in the box below²¹.

Creating the conditions for creativity:

- Suspend judgement – rule out premature criticism of any idea;
- Free wheel – the wilder the ideas the better the results;
- Quantity – the more the better; and
- Cross fertilize – combine and improve on the ideas of others.

Barriers to creative thinking:

- Self imposed barriers – I'm not creative, it won't work;
- Belief that there is always one right answer;
- Conformity or giving the expected answer;
- Lack of effort and courage in challenging the obvious;
- Evaluating too quickly;
- Fear of looking a fool;
- Respect for authority;
- Success – locked into past methods and practices;
- Excessive individualism – failure to use teamwork; and
- Sacred cows.

Evaluating the Options and Making Recommendations

The next activity in the Action Planning Phase is to evaluate the creative options and alternatives that were generated. A consultant now switches gears and applies analytical tools and techniques to sort through the wide array of possible solutions generated, builds some strong alternatives, analyzes which ones make the most sense for the client's situation, examines the priority of the solutions and develops an integrated set of recommendations that will solve the client's problems and meet the assignment purpose(s) and objectives.

²⁰ See the detailed checklist of preliminary considerations in Kubr, p. 215-216.

²¹ Adapted from Kubr, pp. 220-221.

Here are some of the most common tools and techniques used in analyzing the options that have been generated and prioritizing solutions:

- Pro/Con;
- Force-Field Analysis;
- Multi-Voting;
- Nominal Group Technique;
- Prioritization/Decision Matrices;
- Financial Analysis & Projections; and
- Evaluation Criteria Development & Analysis.

Ultimately the consultant brings experience to bear and produces an integrated set of final recommendations that take into account the constraints of the client situation (including hard constraints such as finances and soft process considerations such as absorptive capacity for the level of change being recommended). This is where a consultant can demonstrate expertise and knowledge in formulating and presenting recommendations. It is also an opportunity to demonstrate wisdom and skill in justifying and integrating the recommendations.

After analyzing the alternative solutions and selecting a preferred course of action, it is important that the consultant detail the reasons for the recommendations made to the client. In a final presentation to a client in this stage, the consultant should also clearly identify processes used, those alternatives that were considered, and why and how the final set of recommendations fit together and will meet the client's needs. This makes clear the efforts that have been taken to produce recommendations that have been thoughtfully created and carefully crafted uniquely for the client's situation.

In justifying the chosen solutions and making a final set of recommendations consider the following:

- Make the recommendations pragmatic and practical; consider the company's available resources (e.g. human, financial) and the ability of the management team to act on and implement the recommendations. (However, recommendations should not necessarily be limited to what the organization can do today – if the organization cannot respond immediately to the preferred solution, then a phased approach may be needed, or perhaps they need to bring on someone to lead more dramatic change if transformational change is what is required to save the company.)
- If only one option was generated to solve a particular critical issue, it is important to justify why there was only one practical course of action explored and recommended.
- Justify each recommendation with a clear understanding and explanation of how and why they will help the client.

- Ensure that one recommendation in one area does not contradict or conflict with those in another area.
- The client should be apprised of the risks involved in the recommended solutions.
- What are the conditions that the client must create and maintain in order for the solutions to be implemented and sustained?
- When coming up with solutions, there may have been some stones left unturned (due to time or financial constraints). The client should be made aware of the tasks that could not be completed.
- The recommended solutions are based on some consideration of future developments and these assumptions should be spelled out. Wherever possible, when devising solutions for a client, the future should be considered (for example the scenario development tool is a very powerful way to integrate futures thinking into the creative process). But another concept of the future is the solution after next principle – where the “perfect” technical solution may not be able to be applied given the client organizations current state of change readiness or other capabilities. However, the organization could achieve a solution that could at some future point, be compatible with a path towards the “perfect” solution.

At the same time, it is the client who has to make the final decision on implementing the recommendations presented by the consultant. Sometimes the client prefers an alternative solution that did not make it to the final list of recommendations. Often a client will have strong ideas on the absorptive capacity of the organization and will suggest modifications to the consultant's recommendations or the timeline. Sometimes a client may put off the implementation or spread it out over a longer time period for the same reason – the organization may need more time and information to be ready to take on the full measure of changes being recommended by the consultant.

Change Readiness

This brings up another important component of this Phase – that of assessing the change readiness capacity of the client organization or its ability to absorb the changes being recommended. (This is detailed in Section 4 Change Management, below.) A consultant who has prepared this assessment can build recommendations that take this into account. The client will often ‘push-back’ at this stage in a consulting assignment – identifying one's problems, while never easy, can be accomplished with the assistance of an objective and impartial outsider. However, the next step is a plan for change, and that plan has just been presented. Resistance is normal and natural. Having assessed the organizations change readiness, the ability of the organization to absorb and work through the change can be presented to ease the fears of the client. This is also essential groundwork for the development of a comprehensive change management plan for the upcoming implementation phase.

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Implementation Overview

An equally important component of getting client buy in to the recommendations arising from the Action Planning Phase is the development of a high level overview of implementation. It is vitally important that the client have an understanding of the time, effort, resources, success and risk factors that are involved in the consultant's recommendations. This helps the client understand how the recommendations will work and what the client will be living for the next six months to two years. The following details should be presented in a high level implementation overview.

- Start with the major recommendations. Consider the sub-steps necessary to carry out each recommendation (i.e. identify enabling and supporting recommendations, or identify the follow-on steps). The idea is to provide a rough outline of the implications of each major recommendation.
- What's high priority - what needs immediate implementation? Indicate High, Medium, or Low Priority for the recommendation and each of its sub steps.
- Where are the quick wins that can build momentum for the overall project? Make these clear – even separate them out in a separate section to bring them to the attention of the client.
- What's the implementation time horizon? Use simple time frames and define these terms - e.g. Immediate (IM – 0-6 weeks), Short Tem (ST within three months) Medium Term (MT 3-9 months) and Long Term (LT- 9-18 months), and annotate each recommendation and sub step with a time frame.
- Identify resources and the requisite participation of the client's organization necessary to implement the recommendation and to ensure "buy-in". A detailed costing will be provided in the Implementation Report, however, provide and make clear any information you have on costs; one time costs – (such as recruiting human capital, software, hardware, production equipment purchases), and any long term additions to annual costs (such as salaries, marketing expenses, licensing fees, maintenance of equipment). If you provide any estimates, give a range within which costs may vary, and state clearly what factors may cause an increase or decrease.
- Identify where you expect that you as consultants will be involved in assisting the client with implementation and get the client commitment for your involvement.
- Identify the critical success factors.
- Identify the risks to be managed.

Involving the Client Staff

It is human nature for people to support what they have helped create. If people do not believe they have had a significant degree of input into planning a change, resistance usually increases.

- *What would be the benefit of using the techniques?* The major benefit is that the techniques help you structure the dialogue. They also help you to make any conflict a data point within the technique so it no longer is one person's position.
- *Why might it be difficult to use these techniques with your consulting colleagues and with the client?* Often because people think that process-driven work takes longer than working with a task focus. Using a structured technique, helps to manage the "process". The task will get done more efficiently and with more efficacy because people will have participated in generating the outcome and will be more inclined to own the results.
- *How did they do that?* This is the often the stage where the clients wonder how the consultants come up with their recommendations. The consultants must be able to prove that the process of arriving at recommendations is not magical but rather logical – a combination of preparation, creativity and analysis.

By using the techniques with the clients, it builds capacity in the client organization. It is a wonderful opportunity to model the kind of behavior the client can continue to use once the consultants have left

Application of the Code of Conduct

What issues if any might arise in Action Planning with respect to the Code of Professional Conduct?

- 4.01 Due care – Be careful not to raise unrealistic expectations;
- 4.02 Business Development – Care to be taken when quantifying benefits;
- 4.04 Informed client – With respect to potential benefits; and
- 4.08 Objectivity – Consultant must be careful to remain objective.

2.4 Implementation Stage

"Implementation...is the culmination of the consultant's and the client's joint effort [to this point]. To implement changes that are real improvements from the client's point of view is the basic purpose of any consulting assignment. The consultant, too, wants to see his or her proposals not only well received in meetings with the client, but put into effect with good results."²²

Activities

The activities involved in the implementation stage begin with integrating the feedback from the client at the conclusion of the Action Planning Stage; making the requisite changes to the consultant's recommendations, priorities and timing. Often a

²² Kubr, p. 229.

new contractual arrangement is required to cover the consulting work in this stage. Balancing Task and Process is an essential element in this phase. Regarding task, a project plan is devised which includes identification of the consultant's efforts to assist the client in implementing the plan. On the process side, a change management plan is also developed. Then there is the implementation itself which requires tools and techniques and attention to issues such as backsliding,

Purpose

The purpose of the implementation stage is to assist the client in implementing the changes which will result in meeting the purpose(s) and objectives of the consulting assignment; to implement solutions for the identified critical issues and leave the client in a more resilient position than at the outset, and with the capabilities to sustain the changes over time.

Contracting for the Implementation Phase

It is possible for the consulting assignment to conclude with the development of the Implementation Plan, and for that Plan, at the request of the client, to exclude the involvement of the consultant. This may occur in a relatively straightforward implementation with few anticipated complications. It could also occur if the client has been actively involved in each stage up to now and together the client and consultant determine that the client has the capabilities and change aptitude within the client organization to implement the change.

There are however, a number of very good reasons why the consultant should remain involved during implementation. There is often an implementation gap between the potential benefits that a client can gain from implementing the solutions proposed by the consultant, and what the client is actually capable of doing. The consultant recommendations are based on a conditional future model, one that relies on certain behaviours on the part of the client and certain internal and external conditions affecting the client organization. Should any of these alter during the course of implementation, it is useful to have the consultant on site and available to modify the plan to ensure results are achieved. The implementation of a complex project multiplies the number of conditions and the risk that conditions may change. The expertise of the consultant in making changes to the plan, combined with the client organizations need for new capabilities makes a strong case for continuing the consultant's involvement during implementation.

Prior to commencing implementation itself, a new contract is often required to cover the consultant's involvement in this phase. It is important that the consultant and client agree in advance on the definition of the anticipated results, how they will be measured, and the timeline in which the results are expected to be achieved. It is also important to clearly define what implementation roles the consultant is going to take on (and over what time frame), what roles the client will take on, the work

plan for the implementation and the costs. A plan for determining the early or eventual withdrawal of the consultant should also be considered at the outset to assure the client that the consultant will not prolong the assignment imposing higher fees.

Balancing Task and Process

Perhaps the most important aspect of this phase is the recognition that there are two equal parts to implementation – managing the project and managing change. Because all consulting interventions are essentially change assignments a change management plan is a fundamental part of making the project plan work. A properly planned implementation will recognize the necessity of balancing task and process.

The tasks of implementation are about making the changes in the organization to fix the critical problems – e.g. implementing a new financial system, making changes in organization structure, developing job descriptions, introducing new work processes. It is about paying attention to the details of doing the job, monitoring the plan, and adjusting the plan, and providing the people the tools and training they need to get the job done.

The processes of implementation are about building collaborative relationships, between consultants and members of the client organization and between members of the client organization themselves. All changes must be carried out, and carried on, by the people in the client organization. Process is about how to manage the people part of change; paying attention to resistance, how people are interacting with each other, how they are doing the job, how decisions are being made, and providing feedback in a timely and non-threatening way.

The Tasks of Project Management

Project Management is at the heart of the task side of implementation. This is the management of all the small details which make up the technical side of implementation. As a first step it involves thinking through the implementation of the accepted recommendations and setting out an overall project plan by breaking down each recommendation into bite sized manageable projects. For example, sub-steps and supporting recommendations would be their own 'projects'. For each project, the details listed below should, as a minimum, be included:

- A description of the initiative project and its objectives;
- Name of the project sponsor (remember that a sponsor must be someone who has the authority to sanction or legitimize the proposed change);
- List of the team members (who will make up the team addressing the change, ensuring that there is good stakeholder representation on teams);
- Additional resources that the team may need, e.g., consulting support;

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- Dependencies/linkages on other initiatives/projects (e.g., identify what other deliverables will feed into this project);
- Critical Success Factors (CSFs) – in other words, what has to go right if the project is to be successful e.g., development of a communications strategy;
- Where possible, identify any internal/external risks that may arise which must be managed or mitigated for the project to have success;
- List of the activities involved in the project;
- List of the deliverables expected from the project;
- Timing; and
- The costs including fees for consultants if involved, investments in soft costs, human capital, software, hardware, production equipment, etc.).

The Process of Managing Change

The process side of implementation planning is about recognizing the fundamental fact of human nature when faced with change - it is a natural human instinct to resist it. Managing change is about managing relationships. Consultants can help clients understand the common challenges of making significant changes and the expected impact on individuals and the client's operations, and what can be done to mitigate these impacts. While a full discussion of change management can be found in Section 4 below, some insights on the change process in implementation will be mentioned here.

Clients tend to hold on to the old – it's a natural human inclination, just like resistance. Even when they know they have to change (the Diagnosis has made it very clear – they know they are having problems) and they have an intellectual understanding of the change that is coming (clearly presented in the Action Plan), they may not yet be prepared to grab the new system and move into their new future. This is the emotional state that our client's staff is in and it is a key focus in implementation to pay attention to the process that helps them through it.

It is the consultant's responsibility to take on the role as a change advisor. This role starts with making the client aware of the natural resistance to change, and providing a change model for use in implementation. This will provide the client with an understanding of how their people have to move through change and thereby move the organization through the transition. The recognition that change management is an inherent part of solving an organization's critical problems has been growing rapidly since the 1980s as have the number of options for change management approaches. Due to a consultant's important groundwork in Diagnosis (identifying factors supporting change) and Action Planning (assessing of change readiness and absorptive capacity), the consultant should be able to understand the climate in the client organization and be able to recommend an appropriate change management strategy.

The management you have been working with have already prepared themselves to some extent; they have seen/accepted the necessary outcomes based on your diagnosis and action plans and are ready for the new beginning. However, some staff may not be there, they may not understand and are still in the ending stage and are resistant to the changes being proposed. So there is a push/pull happening. That is why it is so important to have a good communications plan, but it also reinforces earlier discussions about involving the client's staff in the stages of Diagnosis and Action Planning. By using the common consulting tools and techniques with the client staff and getting them involved in those phases, they are more likely to understand and support the necessary changes in the company.

Implementation Tools and Techniques

Peter Block has said that 'techniques are not enough', however they are important and a number of commonly accepted tools and techniques are used in the implementation phase. These are listed and briefly discussed below:

- *Project Charter* – Begins with statement of the overall project objective or mission statement. Then includes all the project management details presented above as well as process issues such as communications plans, documentation of changes in the plan. It is important to keep this charter up to date as changes do take place and **must be documented**.
- *Documentation and Version Control* – clear documentation of new procedures, processes, memorandum and other documents related to the overall project. Keep track of changes to ensure current document version is in use. At end of project ensure all old documentation is destroyed and everyone using the newest, final versions.
- *Communications Plan* – people need to know what is going on. The objective of creating a communication plan is to educate, inform, energize, and engage all of the constituents and stakeholders in the client organization, about the need for changes going on in the organization, the process by which the changes will be made, their role in the changes and the support that they will be given to participate.
- *Knowledge Transfer Strategies* – Building the capacity of the client's organization is a hallmark of professional consulting interventions. People in the organization need to know that they are going to be provided with the right tools and support to get them through the transition. This also ensures that organization staff can take over with the ability to sustain the change when the consulting team leaves.
- *Training and Development* is a particularly important knowledge transfer strategy. As new attitudes and work habits take some time to form, a tactical approach to training and development should be applied. Training in new techniques will be used as one example. A number of approaches can be used, from training by the consultant or other specialists,

to training the client's trainers to deliver the training. A best method for a new technique should be determined creating a conformed approach, rather than allowing a wide range of individualized approaches to be used at the outset. Spaced repetition is an excellent tactic for ensuring top results in training. Rehearsal or applied practice should be scheduled to coincide with the conclusion of each training session. As people learn at different rates, it is important to respect absorptive capacity (the mind can only absorb what the bottom can stand). Finally, when change is complex, the training plan needs to be reinforced by programs aimed at behavioural change.

- *Gantt Charts* – Devised in the middle of the last century by management consultant Henry Gantt, these charts can range from fairly simple (e.g. providing an overview of the project timelines at a glance) to very detailed and complex.
- *Monitoring and Feedback* – Processes built into the implementation plan to garner regular and frequent assessments of how the implementation is progressing. The purpose is to determine if everything is on track and accomplishing objectives and to recognize early if there is a need to change tactics, projects, etc. The project plan is not immutable; it must be adjusted for the reality of the implementation.
- *Prolcon, Force Field, For/Against Tools* - Sometimes changes need to be undertaken in process and these changes should be analyzed. *Tree Diagrams* can also be useful in decision making.
- *Flow Charts* – Useful in capturing the way a system is working, identify blockages and changes necessary, used in documenting process changes, useful in understanding flow through (or through-put) time e.g. charting dependencies.

Establish realistic expectations where task and process are concerned. Backsliding will occur – people often go back to what they did before the change. Ensure there is flexibility or built in contingency in the implementation time frame, along with monitoring procedures to recognize and allow for supportive corrections to any backsliding behaviour. Build spaced repetition training into knowledge transfer strategies. Ensure there is a version control process on any paperwork dealing with operating standards, new processes, etc.

Remember not to be punitive when backsliding occurs, but bring empathy and compassion to the situation. Control procedures are important, but people do not react well when chastised for doing something wrong. Rather the approach should be to catch them doing things right and providing praise, while providing timely, compassionate feedback and appropriate tools and support when caught doing something incorrectly.

'Begin with the End in Mind' is a visualization technique that a consultant can use to appreciate balancing task and process in

implementation. Visualize the completed project – see the skills and abilities that will be in place in the fully functioning new paradigm. See the people in the client's organization with greater capabilities to carry on by themselves. Think of the state of the organization at the outset of the assignment. A consultant can then design skills development plans with these two states in mind and determine how the transition will take place. What will the staff need in order to ensure they continue moving forward? Don't just focus on tasks and getting the work done, but on the processes, relationships and necessary skills building that will ensure that the change 'sticks'. In that way a consultant enables the client to not only exist in the new state but empowers the staff with the capacity to continue building capabilities through supportive relationships.

Final Issues

Here are some final thoughts on the Implementation Stage:

1. This is where the proverbial rubber hits the road and as a result in the Implementation Phase, there are different factors at work. People are under pressure to change, and there will be emotion as well as logic to deal with.
2. Make sure that you have team members with both project management and change management skills sets.
3. Build some flexibility and contingency into the timetable to allow for possible changes in the plan, or inevitable behavioural issues such as people needing extra time to absorb changes and backsliding.
4. Dialogue, as always, is critical. In Implementation, this means communicating the tasks and managing the change processes carefully and letting the client know when things are not going as planned.

Application of the Code of Conduct

During the Implementation Stage the consultant has to maintain awareness about potential business conduct issues:

- 2.03 Responsibility for Others – If additional team members are brought on during this stage, they must adhere to the Code of Conduct;
- 4.01 Due Care – Care must be exercised to keep all stakeholders involved in the implementation and ensure that impartiality is maintained, not allowing any one stakeholder group to exert undue influence on the implementation process;
- 4.04 Informed client – A new contract is often required at this stage;
- 4.05 Fee Arrangements – For the new contract must be confirmed in writing; and
- 4.08 Objectivity – Always need to keep aware of maintaining objective independence even if involved in the thick of it during implementation.

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2.5 Termination Stage

"Termination is the fifth and final phase of the consulting process. Every assignment of project has to be brought to an end once its purpose has been achieved and [or] the consultant's help is no longer needed.... It is not enough to execute the assignment in a professional manner. The disengagement also has to be fully professional: its timing and form have to be properly chosen and all commitments settled to the mutual satisfaction of the client and the consultant."²³

Activities

The activities in the Termination Phase include; preparing a termination report for the client (including providing the client with some options for follow-up), completing an evaluation of the assignment (assessing both task and process results), undertaking internal procedures to document the assignment and deal with working papers, and wrapping up the contractual side of the arrangement, including final billing.

Purpose

The purpose of the termination phase is to end as professionally as the assignment began, undertaking an orderly withdrawal, reminding the client of what has been accomplished (and how it happened or the process be improved in future), and conscientiously wrapping up final details of the assignment, while also looking for future opportunities.

It may be tempting to ease off at the end of a consulting assignment, as one often feels that the 'real' work has been done; but real and important consulting work does get done in the termination stage and both the consultant and client must realize that it is an integral part of the engagement.

Termination is a phase that always takes place in a consulting assignment and it can happen at any time - after or even during any one of the earlier stages. Withdrawal can be precipitated for three major reasons; 1) the assignment has been completed, 2) the project will be discontinued, or 3) the project will be continued without the consultant's further assistance.

The reasons for termination should be discussed with the client to see which of these three applies, and the determination if the assignment was a success, a failure or something in between should be jointly made. It is a good practice to have regular times in a consulting assignment where the work plan is discussed with the client and the issue of how much longer the consultant will remain on the job and what remains to be done prior to completing the assignment.

Assignment completion is straight forward - the objectives for which the consultants were hired are achieved. Project discontinuation may occur after Diagnosis and the client decides to work on identification of solutions internally: or after Action Planning and the client decides to implement the solutions on their own. Alternately discontinuation may occur because the client organization has been impacted by external or internal changes which have made the project unnecessary or irrelevant. Or the client does not have the resources to continue. During implementation, termination may occur because expected benefits or new capabilities have not materialized, or unintended results are determining that the project will not add value overall. Finally, the client organization may take over the project themselves at any point, having, or having developed, the necessary capabilities to carry on the project without the services of the consultant.

In addition the consultant may withdraw for issues related to the conduct of the project. It is a difficult decision to walk away from an assignment, but one that a professional management consultant must make from time to time to preserve integrity and reputation.

Some examples of why a **management consultant** would terminate an assignment

- The situation may develop where the client is unwilling or unable to accept the recommendations or other counsel of the consultant.
- The client organization is not prepared for the level of change or does not have some other key competency in place that is required by the implementation route chosen and the assignment will likely fail if it proceeds. (There is always the option of putting an assignment on hold while the organization develops its capacity for absorbing change or other critical competency or requirement identified by the consultant.)
- A business conduct issue may arise, such as conflict of interest on the consultant's part, or the client has requested the consultant engage in activities that go against the CMC-Canada Code of Conduct.
- A client is not providing the level of resourcing support, agreed to in advance, that is necessary for the assignment to proceed and succeed.

²³ Kubr, p. 245.

As noted in the box above, there are a number of possible scenarios where it is better for the consultant to walk away than to risk a failed project that will damage the client organization and the reputation of the consultant. Such withdrawal requires tactful, but frank discussion with the client regarding why the consultant is terminating his or her involvement in the project. In all assignments a consultant should make a client aware of the CMC-Canada Code of Professional Business Conduct in advance of taking on any substantive work on an assignment, and also ensure that a clause covering withdrawal from an assignment is included in the written contract with the client.

Activities of a Professional Withdrawal

At the start of a consulting engagement, the consultant establishes the objectives and scope of the engagement. A consultant should take the opportunity at the start of the engagement to educate clients on what to expect at the end. Following is an annotated list of the key activities involved in the Termination Phase:

1. *Termination Report:* This is the final report to the client on the assignment and should be a clear summary of where the relationship started, what has gone on, and what has been achieved. Where a project is ongoing and withdrawal has been contemplated or agreed upon with the client, identify a clear process for the transition; moving all aspects of the project to full client responsibility including work in process and work outstanding.
2. *Follow-up Services:* A follow-up plan should be included in the Termination report describing follow-up services that would be of benefit to the client after the consultant has withdrawn and concluded the current assignment. Follow-up can be considered a menu of beneficial consulting service options which the client may take or leave, or selectively chose to pursue. It may suggest a retainer agreement which allows the client to call upon the consultant when needed to troubleshoot issues arising from the current assignment or new issues or opportunities that have been identified as a result of the assignment. It could include suggestions for some of the consulting team to return to provide assistance when key projects in an ongoing implementation take place in the future.
3. *Evaluation:* There are various processes, techniques and tools a consultant can use to evaluate the assignment from a client benefit point of view and the process by which the consulting assignment was carried out. (See further discussion of evaluation below.) Most consultants have an evaluation practice in their firm and it is quite useful to tell the client about the Termination evaluation process at the beginning of the assignment, In any case, a client should be informed that an evaluation will be carried out and what it involves so that the client can participate effectively.
4. *Client Feedback:* Termination provides the consultant with an opportunity to provide objective feedback to the client regarding such things as client capabilities and best practices in dealing with consultants (i.e. things that the client did or could do that make the consultant more effective. A consultant should also establish the protocol to be used regarding a reference from the client in the future (remember the issue of confidentiality in the Uniform Code of Professional Conduct). Finally, thank you notes to those people in the client organization with whom the consultant worked closely should be sent.
5. *Team Debriefing:* This is the time when a consultant should codify what the consulting team has learned. Conduct a formal debriefing about the team's process: evaluate the team's experience of working together and evaluate the team members against the objectives set at the beginning of the project. In other words, the team members should get feedback on their performance from the project team leader, and possibly from other team members, on how they carried out their roles and responsibilities. Once again, in order to be able to do this, a consultant should establish protocols at the beginning of the project.
6. *Internal Records:* When an assignment is over, it is a good idea to produce an internal report. This report would include such things as:
 - A summary of the context of the engagement;
 - A list of the contacts in the client organization;
 - Any future needs the client may have;
 - The follow-up plan that was proposed (is there an LOU to be written for any work already identified and accepted by the client?) including suggestions for possible future marketing meetings with the client indicating the time to bring the file forward;
 - Internal financial analysis (Especially, was the assignment profitable?); and
 - Best practices used on the assignment (adding to the consulting firm's knowledge data base).
7. *Working Papers:* Ensure the working papers are in order, paying attention to confidentiality issues (e.g. interview notes with individuals). Electronic versions/paper versions of the working papers should be properly filed and archived (policies may vary from firm to firm on how long these need to be kept). Return any client documents to the client. Clarify copyright/ownership issues arising from the project (usually set up in advance in the contract). Finally, make sure the client has the latest versions of all documents that they should have. A common practice is to take all reports, processes, key meeting notes and burn them onto a disk for the client.
8. *Final Billing:* Send the final invoice, with fees, expenses, disbursements, and taxes.

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9. *Celebrate!* Take a moment to celebrate with the client and other team members. This provides a refreshing closure to the consulting assignment.

Additional Thoughts on Evaluation

Just as it is important to educate the client on the important activities of the termination phase, it is useful to establish how the engagement is going to be evaluated to ensure that the right data is collected throughout the engagement. It gives everyone the “heads-up” they need and can provide important information that can be relevant during any progress meetings during the engagement.

Whether the engagement ended as planned or in an unplanned fashion, evaluation of a consulting intervention is an essential exercise. In fact, it may be even more important when the engagement ends in an unplanned way, or if the engagement

has been a long one and memories of the state of the organization at the outset and early wins and accomplishment are waning. A consultant should be prepared to give and take both reinforcing and constructive feedback; an ability to do this is the hallmark of a real professional.

One side of evaluation documents the beneficial results for a client organization and attempts to answer whether or not the purpose(s) and objectives of the assignment have been achieved. (There should be some attention also to what expected results could not be achieved and what unexpected and/or supplementary results may have occurred.) The other aspect is evaluating the process of the consulting intervention; to identify how the process affected the results and what behaviours might in future be improved by both parties in the client-consultant relationship. Some suggestions on evaluating outcomes and process are noted in the box below.

Evaluating Outcomes and Process²⁴

Evaluating Six Dimensions of Benefit to the Client

In a typical consulting assignment, there are six areas of results that should be addressed in evaluating the benefits to the client organization:

- *New Capabilities or Skills* – Diagnostic, problem solving, communication, change management, technical managerial, serving customers, ability to take action, creativity, entrepreneurial spirit;
- *New Systems* – Production processes, manufacturing/service quality control, MIS, HR recruitment and retention, appraisal, maintenance, budgeting and project cost controls;
- *New Relationships* – With suppliers or consumers; new strategic alliances, subcontracting arrangements, consortia, just in time chain;
- *New Opportunities* – Identified or uncovered as a result of the change assignment;
- *New Behaviours* – Improved interpersonal relations, new safety measures, teamwork; and
- *New Levels of Performance* – In individuals, group/unit/team, organizational, how all the benefits identified impact on economic, financial, social or other performance measures.

²⁴ Adapted from Kubr, pp. 249-252.

Evaluating the Consulting Process

Changing behaviours and other aspects of a client organization to produce the desired results are dependent on the consulting style and intervention methods used by the consultant. Principal dimensions of evaluating the consulting process include answering the following questions:

- *What was the design of the assignment?* – What were the purpose and goals of the assignment, were they realistic, unrealistic, too simple. How did they change over the assignment to meet the needs of the client?
- *What were the quantity and quality of inputs?* – Did the consultant provide a team that was useful in carrying out the assignment, did the client provide all the resources needed to aid the assignment and the right/enough people to work with the consultants?
- *What style of consulting did the consultant use?* – What was the relationship between the client and the consultant, did the consultant style adapt to the needs of the assignment and client, did the consultant behave ethically during the assignment? and
- *How was the management of the assignment by the consultant and the client?* Were levels of support appropriate, reporting, communications, knowledge transfer? How can both sides improve?

Application of the Code of Conduct

What elements of the Code are applicable to the issues regarding termination and during the stage itself?

- 4.03 Business Development – Providing optional follow-up services that are in the best interests of the client, without any pressure;
- 4.06 Conflict – Remember to be careful about soliciting employees of the client to come and work with the consulting firm;
- 4.07 Confidentiality – Negotiate the terms of the client providing a reference – all client information is confidential, therefore permission must be received in writing to even mention their names, or the type of assignment which was undertaken; and
- 4.08 Objectivity – A member may withdraw from a consulting assignment where the consultant feels that the terms and conditions of their service to the client is impairing their independence and objectivity.

3.0 Effective Communication



A review of management consulting practices suggests that on assignments, approximately 30 per cent of the time is spent on problem analysis and related matters on an individual basis, whereas 70 per cent is spent in communicating with others²⁵. Thus, for the consultant and the client, communication represents a large slice of the available time and effort in a consulting relationship.

Listening is considered to be the single most important component of effective communication, accounting for 45 per cent of the total communication time. Next in importance comes speaking (30 per cent), reading (16 per cent), and writing (9 per cent).²⁶ A quick glance at these figures reveals that three-quarters of management's time involves person-to-person communication – listening and speaking. Considering that the consultant has to provide functional expertise coupled with its application, it is inevitable that considerable emphasis should be placed on training in this form of communication.

Communication is a vital part of the synergy phenomenon, which explains why the collaborative efforts of members of a team are often more effective than the individual efforts of those same people. Finally, it stands to reason that ease of communication facilitates comprehension and acceptance of new ideas which is, after all, the main purpose of the consulting assignment.

3.1 Developing and Maintaining the Client Relationship

People buy from people that they like and trust. Building rapport is an essential first step, in making that first impression that could also be the last if rapport is not established. Edgar Schein has summarized the factors affecting an individual's ability to “build, maintain, improve, and, if need be, repair face-to-face relationships”, in the following nine points²⁷:

1. Self-insight and a sense of one's own identity;
2. Cross-cultural sensitivity – the ability to decipher other people's values;
3. Cultural/moral humility – the ability to see one's own values as not necessarily better or worse than another's values;
4. A proactive problem-solving orientation – the conviction that interpersonal and cross-cultural problems can be solved;
5. Personal flexibility – the ability to adopt different responses and approaches as needed by situational contingencies;
6. Negotiation skills – the ability to explore differences creatively, to locate some common ground and to solve the problem;

²⁵ H. Roodman and Z. Roodman, *Management by Communication*, (Toronto: Methuen Publications 1973), p. 146.

²⁶ *Ibid.*, p. 46.

²⁷ Adapted from E.H. Schein: “Improving face-to-face relationships”, *Sloan Management Review*, Winter 1981, pp. 43-52.

7. Interpersonal and cross-cultural tact – the ability to solve problems with people without insulting them, demeaning them, or destroying their “face”;
8. Repair strategies and skills – the ability to resurrect, to revitalize, and to rebuild damaged or broken face-to-face relationships; and
9. Patience.

Questioning Client Assumptions

Beginning in the Entry phase an effective consultant takes the opportunity to examine the client’s assumptions; to ensure that the client and the consultant do not look differently at the problems facing the client organization and that both the expected outcome and the ways of carrying out the assignment are clear. Throughout the assignment a consultant will continue the dialogue with the client, probing client assumptions and ensuring that clients are told what they need to hear, not necessarily what they want to hear.

First, the reason the consultant was brought in needs to be well defined. A manager who brings in the consultant for assistance should not merely recognize a need for such help, but define the problem as he or she sees it, as precisely as possible. However, before accepting the assignment, the consultant must be sure that he or she can subscribe to the client’s definition of the problem because the consultant’s definition of the problem may differ from that of the client.

Comparison of the client’s and the consultant’s definition of the problem lays down the basis of sound working relations and mutual trust for the whole duration of the assignment. Both the consultant and the client should be prepared to make corrections to their initial definition of the problem and to agree on a joint definition.

Once the assignment has started, detailed diagnostic work may uncover new problems and new opportunities, and impose a redefinition of what was originally agreed. Again, it is incumbent on the consultant to engage the client in a dialogue on how this may affect the course of the assignment, and agree on any scope changes that may be required to effectively solve the client organization’s problems.

Secondly, the consultant and the client should clarify what the assignment should achieve and how this achievement will be measured. Again, client assumptions on the purpose(s) and objectives of an assignment should be carefully probed. This may require an exchange of views on how each party regards consulting, how far the consultant should continue working on an agreed task, and what his or her responsibility to the client will be. Clear purpose, objectives and measurement of what assignment success will mean are important elements in a smooth relationship between client and consultant.

Thirdly, the consultant and the client must determine how the assignment will be conducted. The client may have some preconceived notions of how consultants work and take on tasks in an assignment – it is best to engage the client in a dialogue around these issues. Answering the following questions is a useful starting point:

- What roles will the consultant and the client have?
- What will be their mutual commitments?
- Who will do what, when, and how?
- Does the client want to obtain a solution from the consultant, or develop his or her own solution with the consultant’s help?
- Is the client prepared to be intensely involved throughout the assignment? and
- Are there specific areas that the consultant should cover without trying to involve the client? And vice versa?

Being Introduced in an Organization

It is of vital importance that a consulting assignment starts with a briefing session for those people in the organization that will be affected by, or have an affect on, the change and the work of the consultant. This briefing session by a senior executive or the person responsible for hiring the consultant will reduce the tension and resistance normally present at the start of a change process and increase the buy-in and willingness to participate in the change.

As described later in the communication plan the client representative should:

- Describe the change proposed and the impact expected to be achieved;
- Define the change process and the roles and responsibilities of the organization’s staff working on the initiative;
- Introduce the consultant (or consulting team) and define their roles and responsibilities; and
- Be clear on the expectations of cooperation with the consultant.

Involving Client Staff in the Assignment

Creating and maintaining a true collaborative relationship with the client is essential. While the degree and form of client-consultant collaboration will differ from case to case, there should always be a strong spirit of collaboration, characterized by an understanding of the other’s technical and process roles and by a shared desire to make the assignment a success. Involving the client staff in an assignment will build trust and respect, and engender support for the change initiative.

Peter Block notes that, “the consultant needs to be very conscious of building internal commitment all during the consulting

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process. Effective consulting skills are those steps and behaviour that act to create internal commitment²⁸. The tools and techniques of diagnosis, action planning and implementation can all be applied in group settings with client staff. This requires effective facilitation skills on the part of the consultant (which are described in Section 3.2 below).

Using the consulting techniques described in the consulting process (Section 2 above) helps to structure the dialogue; it also makes any conflict a data point within the technique so it no longer is one person's position. Often it is felt that process work takes longer than working with a task focus in mind. However, using a structured technique helps manage the "process". The task will get done more efficiently and because the organization's people will have participated in generating the outcome, they will be more inclined to own it.

There are two other important outcomes of using the tools and techniques with the client. First, clients often wonder where consultants come up with their ideas. A lot of information is provided, and then the consultant goes away and turns this information into recommendations through some mystical and powerful 'black box'. Working with client staff helps the client understand the logic of consultant recommendations.

Secondly, it is always a consultant's goal to leave an organization stronger than one finds it. By using techniques with the clients, it is a wonderful opportunity to model the kind of problem solving, creative and follow-through behaviour the client can continue to use once the consultants have left.

Communicating Change

A communication plan is necessary to educate, inform, energize, and engage all of the constituents necessary about the change initiative in order for the consulting intervention to work. Without adequate communication from the time the assignment begins and throughout the planning process, the consultant runs the risk of creating a fabulous plan that never has the opportunity to be implemented. Communications must also continue throughout the implementation process as well.

The communication plan should begin at the point where the implementation team is assembled and the implementation of change is about to begin. Be sure that the leadership or key representatives from each of the constituent groups are informed about the planning effort right from the start.

With a strong communication plan, the consultant and the client can start to develop a broad base of support for the implementation team and the change efforts.

Communicating with all of the potential constituencies will help to identify issues and opportunities early in the process, potentially improving the change initiative by helping to avoid pitfalls or missed opportunities. Making full use of technology is an important part of communicating change; E-mail, online

chats, E-newsletters, E-newsflashes, even blogging will keep employees in the loop and help them understand and even offer opportunities to participate in what is happening.

Steps to Creating a Communication Plan

1. Identify the people to be informed about the change projects:
 - Internal groups such as committees and employee groups;
 - External groups such as the top clients and suppliers; and
 - Reach everyone who will play a role in implementing the plan. Additional constituents identified partway through the implementation process, should be included.
2. Decide who is responsible for reaching each person or group:
 - Select someone to be responsible for communicating with each constituency. Often it makes sense for this person to be the representative from the constituent group; and
 - Identify with this person the objectives of each communication. Is it to get approval, to get feedback, or simply to inform them about what is happening?
3. Determine when and what communication needs to take place – identify each communication step within the projects:
 - Ensure that there is communication with the various constituent groups at each stage of the implementation process. In addition, keep everyone apprised of the progress throughout the implementation process. Let people know as each goal and milestone is reached.
4. Identify the communication vehicles available and any communication vehicles to be created:
 - Different communication strategies are required for different groups. Newsletters, feedback forms, councils or committees, advisory task forces, an internet site, local media, and public meetings are all useful vehicles for communication.
5. Use the communication plan:
 - It's important to include communication as a vital step in each stage of the planning process. News about the efforts and progress must be shared with all of the players involved.
 - A time line with milestones for each of communication steps right from the beginning must be produced.
 - A member of the planning team should be assigned responsibility for the communication plan, and charged with ensuring that each of the steps are carried out.
 - The following information should be tracked and circulated weekly, or as soon as changes are made to the plan. A few examples have noted under each of the headings.

²⁸ Peter Block, *Flawless Consulting (Second Ed.)*, (San Francisco: Jossey-Bass Pfeiffer, 2000), p.20.

Type of Communication	Status Update	Working Group Meeting
Schedule of Communication	Weekly, Day and Time TBD	As Needed
Mode of Communication	Face-to-face	Email
Who Initiates Communication	Project Sponsor	Consultant
Comments	Standard Status Meeting with pre-arranged agenda (OARR)	Should be conducted in the afternoons to accommodate time zones

6. Pay attention to any feedback:

- It's not enough to tell people what is planned; they must be allowed a mechanism to give input and feedback in order to realize the full value of sharing the process with them.

Providing Feedback

Giving feedback provides the client with information that can:

- Tell the client something new and meaningful about his or her organization;
- Make the client aware of the approach taken by the consultant and the progress made in the investigation;
- Increase the client's active contribution to the assignment; and
- Help the consultant to stay on the right track, or reorient the investigation if necessary.

Feedback should be given at moments when it can serve a specific purpose and given to those from whom the consultant expects further help, more information, or some action related to the issue involved.

The consultant should be selective, sharing information that is meaningful, about which the client is likely to be really concerned, to which he probably will react, and which will activate him.

The need for careful preparation of the data and of the form of feedback to be used cannot be overemphasized.

Many consultants like to use feedback meetings where oral or written reports are made to various groups in the client organization. These meetings can provide valuable additional information and help the consultant to focus the investigation on key issues. They invariably reveal attitudes to the problem at hand and to the approach taken by the consultant.

Dealing with conflict

In planning and implementing change, conflict may develop because of:

- Poor communication;
- Disagreement on objectives and results to be pursued;
- Disagreement on intervention methods used;
- Differences over the pace of change;
- Resistance to change;
- Fear of losing influence and power;
- Competition for resources;
- Non-respect of commitments;
- Refusal to cooperate;
- Personality and culture clashes; and
- Poor performance and inefficiency.

The principal methods of interpersonal and conflict resolution were summarized by Gordon Lippitt²⁹ in the following terms:

Withdrawal: Retreating from an actual or potential conflict situation. Withdrawal avoids the issue, but the solution may be only provisional; it may be used as a temporary strategy to buy time or allow the parties to cool off.

Smoothing: Emphasizing areas of agreement and de-emphasizing areas of difference over areas of conflict. Smoothing may not address the real issue, but permits the change process to continue at least in areas of agreement.

Compromising: Searching for solutions that bring some degree of satisfaction to the conflicting parties. Compromising helps to avoid conflict but tends to yield less than optimum results.

Forcing: Exerting one's viewpoint at the potential expense of another - often creates competition and win-lose situations. Forcing uses authority and power and can cause considerable resentment; however, it may be necessary in extreme cases where agreement obviously cannot be reached amicably.

²⁹ Gordon Lippitt, *Organizational Renewal*, (Englewood Cliffs, NJ: Prentice-Hall, 1982), pp. 151-155.

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Confrontation: Addressing a disagreement directly and in a problem-solving mode - the affected parties work through their disagreement. Confrontation is generally regarded as most effective, owing to its problem-solving approach involving an objective examination of alternatives that are available and the search for an agreement on the best alternative.

Confrontation is generally regarded as most effective, owing to its problem-solving approach involving an objective examination of alternatives that are available and the search for an agreement on the best alternative.

Negotiating Scope Changes Over the Course of an Assignment

It is difficult to plan for every contingency when designing a consulting intervention and writing the proposal, therefore it is rare that an assignment will start and finish without a change in the scope. Most often the change is minor and can be absorbed without cost or inconvenience to either the consultant or the client. When the change is significant as determined by the client and/or the consultant, then it must be formally addressed with the appropriate client representative as soon as it is identified.

Consultants must be very sensitive to the impact the proposed scope change will have on the client. A change that will reduce the cost to the client or increase the benefit will be welcomed and demonstrate the concern that the consultant has for the client. Changes requiring additional cost or burden on the client require that the consultant prepare a thorough analysis based on the existing scope and clearly demonstrate the need for the change. Any change should be documented in writing and, especially for those requiring a change in professional fees, an amendment to the written contract must be undertaken.

Maintaining Relationships

There are four reasons to maintain a relationship with a client:

- Ensuring that the change that took place is sustained and the client continues to reap the benefits of the intervention;
- Continuing to serve the needs of the client in dealing with issues arising from the consulting assignment;
- Being available to provide additional services –either those opportunities that arose during the course of the consulting assignment, or new issues and opportunities; and
- Being able to use the client and the consulting assignment as a reference for potential clients.

While the consulting assignment should always include a change process and knowledge transfer strategies that will ensure the sustainability of the change, there are many factors that may negatively impact on the change initiative (a change in the client's operating environment, a critical success factor or risk which occurs, etc.). Given the consultants knowledge of the client organization and of the factors that affect sustainability, the

consultant may be in a good position to provide the client with advice on how to address such issues.

It is much easier to obtain more business from an existing client, provided the need exists, than to find a new client. By maintaining the relationship, the consultant has improved his or her chances of being in the right place when the client has the need for additional consulting services.

Finally, the relationship that a consultant has with a client is confidential and even the name of the client cannot be used as a reference without the permission of the client.

An integral part of the Termination Report to the client is a section on new opportunities discovered as a result of the assignment and another with a 'menu' of potential follow-up services that the consultant may offer after withdrawing from the assignment. These can provide the basis for the consultant to keep in touch. There are many ways to maintain a relationship with a past client including telephone calls, E-mails, newsletters, sending articles that the client would be interested in as well as inviting the client to participate in events of interest.

3.2 Meeting Techniques

Meetings – can't live with them and can't quite do without them. An incredible number of meetings are held in the course of the year in any organization for a variety of reasons – learning, planning, negotiating, problem solving, decision making, adjudicating, socializing. And a management consultant in the course of an assignment is likely to be involved in meetings for every one of these reasons. A consultant therefore needs a set of tools and procedures for making meetings more involving, stimulating, enjoyable, productive, exciting, motivating and satisfying.

This section will provide some insights into meeting management, facilitation skills and meeting debriefing techniques essential for consultants.

The OARR Model and Meeting Management

No one likes meetings that waste their time; the kinds that don't seem to have a clear purpose, drone on endlessly and end up not achieving anything. Clients and consultants do not have the time to spend spinning their wheels in those types of meetings. Below is a model that can be used as a means to navigate meetings successfully. It is called the OARR Model.

Outcomes (or Learning Objectives) – these are the objectives one wants to leave the meeting having accomplished. Very specific goals are established for the outcome.

Agenda - agreed upon in advance where possible and reviewed for additions or updates at the meeting. The agenda is the roadmap for achieving the Outcomes.

Roles - these are the roles members of the group will be taking on in the meeting. It is important that the affected stakeholders - that is, anyone who is affected by, can influence, or is necessary to successfully achieving the meeting Outcomes - should be in the meeting

Rules - negotiate at the outset as a behavioural contract - this is how those attending the meeting agree to act and to treat each other in this meeting.

Facilitation

Consultants can be involved in meetings in either the content or the process role. In the content role the meeting leader provides expertise and opinion with the intent of influencing the outcome of discussions and the meeting. A process role is what facilitation is all about.

The facilitator is the neutral servant of the group. Facilitation is a way to provide leadership without taking control; it is the facilitator's responsibility to get others to assume responsibility and take the lead. Here is a list of what facilitators do:

- Coordinates pre- and post-meeting logistics;
- Focuses the energy of the group on a common task;
- Generally does not evaluate or contribute ideas, but provides feedback to group members helping them assess their progress and make adjustments;
- Suggests alternative methods and procedures so members use their time efficiently to make high quality decisions;
- Protects individuals and their ideas from attack;
- Encourages all to participate;
- Manages decision making through consensus;
- Helps the group find win/win solutions;
- Keeps accurate notes, reflecting the ideas of meeting participants (sometimes through the use of a recorder); and
- Fosters leadership by sharing responsibility, teaching and empowering others to facilitate.

In carrying out the task of facilitation there are core behaviours and a number of process tools for managing a meeting. The following behaviours need to be constantly and consistently applied by an expert facilitator³⁰:

Stay Neutral – Focus on the process and do not be tempted to take over, offering opinions and expertise.

Listen Actively – Focus on the person speaking, encourage them to speak with attentive body language (nods of head, 'c'mon' hand gestures, looking them in the eye, etc.), ensure that their comments are captured on the flipchart or by the recorder.

Paraphrase to Clarify – Repeat what people say, describing in your own words what you think they are trying to convey to ensure you are hearing them correctly; ask clarifying questions to capture their ideas.

Ask Questions – Asking clear probing questions to get to the heart of a single issue is a talent. Challenge participants to stimulate thought, ask for clarification, get at the who, why, where, what, how of an issue.

Use the Flip Chart – Keep track of ideas and decisions. Be brief, and ensure you capture the essence of what the speaker is saying (not your interpretation of it). Don't lose ideas; post the completed notes in logical order around the room so people can remember what has gone before.

Keep Time – Establish time guidelines for each item on the agenda. Agree on length of time an individual can speak. Have a visible time piece, or a member of the group keep time and call out marks to keep individuals focused and the meeting on track.

Use the Group – deflect questions and comments back to others in the group to get the group interacting and keep everyone involved. This can be used to build on ideas as well.

Test Assumptions – Encourage members to make their assumptions clear – get them into the open and clarify them so all understand. Challenge assumptions, sometimes it is necessary to clear the air before the group can move on.

Synthesize – Get others to paraphrase and add to another's thoughts. This way, ideas that are recorded are the results of collective input, building consensus and commitment.

Engage Everyone – Note from time-to-time the non-participation of some members of the group who have not said anything, or have drifted off – try to draw these individuals into the discussion.

Summarize Periodically – Offer a concise and timely summary when discussion is lagging, needs to be revived, or as the discussion seems to be coming to an end and a decision is required.

Identify Wrong Turns – Be firm, but clear when a group appears to be heading off course during a discussion. The group needs to know, and then must decide if the sidetrack is to be pursued, or if they wish or need to get back on track.

Use a Parking Lot – Put the sidetrack and other off-topic issues on a flip chart paper clearly labeled, 'Parking Lot'. These items may be pursued if time permits, or put on the agenda of a future meeting. A classic tool of a skilled facilitator, a parking lot allows the group to keep ideas that may be important later, but keeps them on track to meet the established, existing outcome.

³⁰ Adapted from, Ingrid Bens, *Facilitation at a Glance! A Pocket Guide of Tools and Techniques for Effective Meeting Facilitation*, (Goal/QPC, 1999), pp. 6-10. (Available through www.goalqpc.com).

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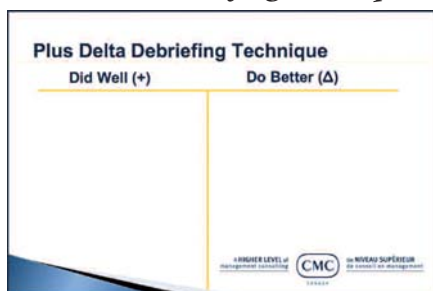
Common Facilitation Process Tools³¹:

- Visioning;
- Sequential Questioning;
- Brainstorming;
- Anonymous Brainstorming;
- Force Field Analysis;
- Gap Analysis;
- Multi-voting;
- Root-Cause Analysis;
- Decision Grid;
- Troubleshooting;
- Survey Feedback;
- Priority Setting;
- Needs and Offers Negotiation; and
- Systematic Problem Solving.

There are a number of skills that a facilitator needs to develop in order to be effective. Assessing the situation being entered, knowing your participants and preparing session design notes are necessary for proper planning and implementation. Skills for creating participation, effective conflict management skills, and encouraging effective decision making are at the heart of implementing an effective facilitation. And a toolkit of common process tools and techniques arms the facilitator to achieve just about any meeting objective.

There are a number of techniques which a consultant can use to great advantage after a meeting as well. Techniques that assess how a meeting went, how individual members of the team contributed, and what can be done in the future to improve results when faced with challenging situations that always tend to arise when working with a client organization.

Plus Delta Debriefing Technique



Source: Julia Gluck, FCMC and Ken Ainsworth, CMC, "Entry Post Client Meeting" lecture slide in *The Essentials of Management Consulting*, © CMC-Canada, Toronto, 2005.

Also known as the 'Did Well-Do Better' technique it is meant to focus a group's attention on improving performance. The first focus is on what went well. An inevitable human reaction to a meeting is to focus on what went wrong; who didn't hold up their end, who missed a cue, who was unable to answer a question, etc. But this technique requires an initial round robin contribution from each team member on the positives – what did we do well?

Each member must contribute a plus about how the meeting went. Additional positive feedback is encouraged first. Then attention turns to what the group would improve the next time by posing the questions – what could we do better? What did we learn from our mistakes that we would correct in the next meeting? Again, each team member contributes a "do better".

This technique can be applied after any first time meeting with clients or with teams, or in any other situation where the objective is to improve performance and engender learning.

The Meeting Assessment Survey

The Meeting Assessment Survey form consists of six rows, each with a statement on the left and a 1-5 scale in the middle. The statements are: 'Outcome was not clear.', 'Outcome was clear.', 'Discussion direction unclear.', 'Discussion was orderly.', 'Some dominated the discussion.', 'We all shared the floor.', 'Disagreeing produced defensive reactions.', and 'Disagreed without defensive reactions.' The CMC logo is at the bottom right.

Source: Julia Gluck, FCMC and Ken Ainsworth, CMC, "Diagnosis Post Client Meeting" lecture slide in *The Essentials of Management Consulting*, © CMC-Canada, Toronto, 2005.

This debriefing technique can be useful in a meeting where the consultant is putting forward ideas which may be new to the client, and therefore somewhat unsettling.

For example, when presenting the Diagnosis, there may be a tendency for people to want to go off on tangents on a particular item, and for some people to be very vocal while others remain silent.

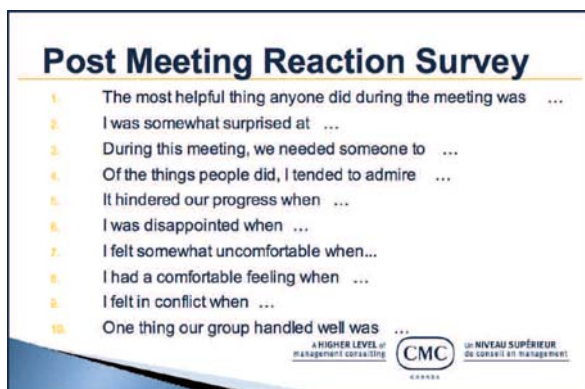
The meeting assessment survey, with questions such as those in the diagram, allows for the consultant to reflect on how the meeting went.

Each participant privately rates the questions on the scale indicated, and then shares their answers with the group. (The survey questions should always be relevant to the situation, whatever it is.)

Then each is asked to discuss the reasons for choosing their responses. Again, a key objective is to improve performance, so the discussion should be steered to what could be done better in a future meeting.

³¹ These tools are explained in *Ibid*, pp. 127-170.

Post Meeting Reaction Survey



Post Meeting Reaction Survey

1. The most helpful thing anyone did during the meeting was ...
2. I was somewhat surprised at ...
3. During this meeting, we needed someone to ...
4. Of the things people did, I tended to admire ...
5. It hindered our progress when ...
6. I was disappointed when ...
7. I felt somewhat uncomfortable when...
8. I had a comfortable feeling when ...
9. I felt in conflict when ...
10. One thing our group handled well was ...

A HIGHER LEVEL OF
MANAGEMENT CONSULTING CMC UN NIVEAU SUPÉRIEUR
DE CONSEIL ET MANAGEMENT

Source: Julia Gluck, FCMC and Ken Ainsworth, CMC, "Implementation Post Client Meeting" lecture slide in *The Essentials of Management Consulting*, © CMC-Canada, Toronto, 2005.

The post meeting reaction survey is particularly useful as a debriefing technique after a particularly emotional meeting or one where participants may have an unpredictable reaction. During the consulting process this might apply to the Action Planning presentation meeting, as clients now have to face the changes necessary to address their major problems.

When the clients see the kind of investment they are going to have to make to address the areas of concern (investment of both time and dollars), they often react strongly and bring up new objections, or simply begin to wonder about their capacity to actually get the work done.

This survey helps deal with the manifestation of those emotions, with some of the questions actually using words that are associated with emotions.

Each participant is to choose one of the statements to finish and the statements should be recorded. Everyone should contribute to the first round, and a second round should continue for additional reactions. It's not important that all the statements are used. Once having dealt with the emotions of the meeting, participants can review their statements and again, focusing on the positive concept of learning from experience and looking to improve, the group should discuss what might be done differently next time.

3.3 Written and Oral Reports

Reports refer to both written and oral reports, and reports which contain the results of the consulting work being done as well as reports about progress. Reports are, typically, part of every stage of a consulting assignment, and management consultants should be able to develop reports that are meaningful to the client, whether they are being submitted in written format, or they are being presented orally.

Consulting Stage Written Reports

The nature of the report (often included in the list of "deliverables" in the consulting contract) depends on the type of consulting work being done (e.g. process vs. expert), what functional area the consultant is working in (e.g. strategy, operations, etc.), the nature of the problem being addressed, to name a few. A discussion should take place in the Entry stage as to what the client's expectations are generally with respect to reports; what are the client's needs and preferences? This discussion should continue throughout the assignment to ensure that each report meets the client's needs, as well as the consultant's. In general, there should be a written report to the client for each stage in the consulting process.

Consultants should always ask themselves the following questions when about to write a report:

- Why is the report necessary?
- What is the message the report must deliver?
- What will the report achieve?
- Is there a better way of achieving this purpose?
- Is now the time for this report to be delivered? and
- Who is likely to read the report and make use of it?³²

Reports should be readable, manageable and succinct; the consultant should develop the Table of Contents for the report far in advance of the actual writing of the report. That helps to ensure that the data required will in fact be collected and analyzed, so that it can be reported back to the client in a meaningful way.

Charts, graphs, and tables are excellent ways to highlight and summarize data in a meaningful way, and small ones can be inserted into the body of the report to break up the monotony of text. However, detailed data supporting the major findings and recommendations in the report should appear as appendices; clients can then read the details at their leisure without having to miss the major points being presented in the body of the report.

It takes time and planning to write a clear and focused report; that is why many reports are often long and rambling. When writing, remember the old axiom, "I would have written a shorter report, but I didn't have the time."

Status Reports

Status reports are generally filed at milestones agreed during the Entry Phase. At a minimum, the status report should include:

- achievements in the period being reported on;
- impact of achievement/non-achievement of milestones for the remainder of the assignment;

³² Kubr, p. 890.

3.0 Effective Communication

- budget report (planned expenditure, actual expenditure and deficit/surplus);
- issues which are arising which will require action/decision on the part of the client;
- milestones for the next reporting period; and
- recommendations that are appropriate in light of the current status of the assignment.

In the Implementation Phase, the Status Report takes on a larger role, and is a major strategy for maintaining strong communication with the client.

Deliverables

The notion of deliverables is introduced in the Proposal, Letter of Understanding or whatever document has been used to enter into the contract between client and consultant. Deliverables come in many shapes and sizes, as it were, depending on the nature of the consulting assignment. What is important to note is that Deliverables are often reports, which require time and effort to prepare.

Working Papers

Working papers are your proof of an assignment done in a complete, professional and ethical manner. Well-organized documentation is useful in helping other consultants on the team familiarize themselves with what has gone on in the assignment, and it can serve as a defence of your work if there were a requirement for that (either a disciplinary review of your assignment by the investigating Institute committee, or in the case of legal action, by the client).

What constitutes working papers is whatever is agreed to or delineated in the consulting contract. There should be some identification of what Working Papers will be available to the client during the assignment; for example blank interview guides, surveys, project admin documents, letters & memos, but not completed interviews, surveys or notes containing protected individual comments or that which in any way can identify the individual respondent. Many other detailed items are better off staying on file in your office, with access being available to the client upon request.

Effective Presentations

Management consultants are expected to have good communication skills, and this includes the skills required to make effective presentations. There are two aspects to effective presentations, just as there are two aspects to effective written reports.

To make effective presentations, consultants need to develop their materials in such a way that they can persuade the client to agree with their conclusions and to want to act on their recommendations. In that sense, the presentation is similar to the written report; the consultant must organize the data in such a way as to build an irrefutable case. However, it is not enough to have the information structured in the appropriate way. The consultant must also be able to present the information in a manner which engages the client and maintains that engagement; the consultant also must be able to answer any questions that could come up as a result of the information being presented.

Consultants who make effective presentations first establish the purpose of their presentation, do some audience analysis, and then begin the work of developing the messages they want to deliver. These messages drive the development of the content from then on, and should allow the consultant, if necessary, to deliver the presentation in a much abbreviated timeframe if required. An effective rule of thumb is one presentation slide is one minute and there should always be time at the end of the presentation equal to the length of the presentation, to get feedback, answer questions, and engage the client in discussion towards achieving the objectives of the meeting.

4.0 Change Management



"Organizational change is the implementation of new procedures or technologies intended to realign an organization with the changing demands of its business environment, or to capitalize on business opportunities."³³

4.1 Every Management Consulting Assignment is a Change Assignment

In an environment that is continually changing, an organization's ability to adapt has become a fundamental condition of success and survival. The axiom that 'every management consulting assignment is a change assignment' requires that consultants acquire the skills to plan and implement change in client organizations. Consultants need to be aware of the complex relationships involved in the change process. They must know how to approach varying change situations and how to help people cope with change. More specifically, since consultants are sometimes called upon to help their clients develop change plans and also to assist with implementation of change, consultants should be aware of the following:

- a) the overall process of change;
- b) individual reactions to change;
- c) models of change;
- d) key elements of effective change;
- e) the concept of change readiness; and
- f) common change management techniques.

4.2 The Overall Process of Change

The type of change being introduced directly influences the potential difficulties that may arise in the change process. Todd Jick and Maury Peiper³⁴ have proposed the following categories of organizational change:

1. Developmental: an organization implements changes such as, for example, a new email system. These changes, while they could have wide ranging impacts, tend to be categorized as developmental because they do not substantially change the nature or purpose of the organization.
2. Transitional: the organization changes structures, systems and/ or processes as a result of organizational growth. Depending on the stage of the organization's lifecycle, change could be broad or narrow in scope.
3. Transformational: the organization is going through renewal. Changes are broad in scope and affect many different functions in the organization.

³³ Definition by ODR®, a consulting firm, as quoted by Peter Drucker in, *Management Challenges for the 21st Century*. (New York: Harper Collins, 1999).

³⁴ Todd Jick and Maury Peiperl, *Managing Change: Text and Concepts* (2nd Ed). (Toronto: McGraw-Hill, 2002).

4.0 Change Management

Consultants who understand the category of change implied by a particular assignment can help clients anticipate the scope and pace of the attendant change management effort.

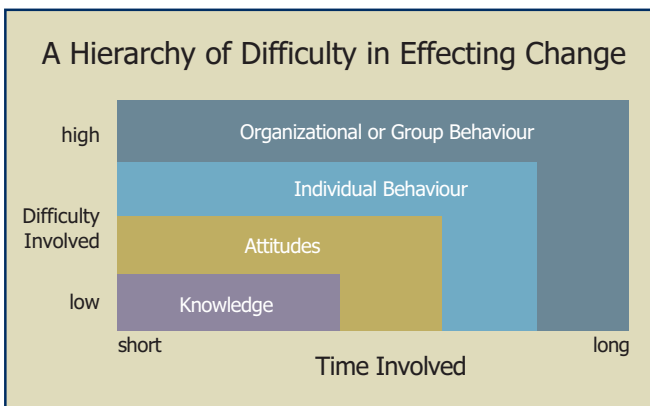
4.3 Individual Reactions to Change

It is people in the organization whose behaviour ultimately determines what organizational changes can be made and what real benefits will be drawn from them. People must understand and be willing and able to implement changes that will affect the working conditions, interests and satisfaction of many other people.

Traditionally, change starts at the top – senior managers involved in the decision to proceed with the change process must change themselves in order to affect change in others. That is, managers who want the members of their organization to change must be prepared to assess and change their own behaviour, work methods and attitudes. This axiom applies to modern organizations as well where change can be stimulated at different levels in the organizations. Change agents must model the new behaviours if they are to be seen as credible leaders of change.

Change requires people to acquire new knowledge, absorb more information, tackle new tasks, upgrade their skills, give up what they would prefer to preserve and, very often, modify their work habits, values and attitudes to the new way of doing things in the organization.

As shown in the chart below, change in a particular person takes place at three levels, taking varying amounts of time and encountering varying degrees of difficulty. The three levels of personal change include; i) the knowledge level (information about change, understanding its rationale), ii) the attitudes level (accepting the need for change and a particular measure of change both rationally and emotionally) and, iii) the behavioural level (acting in support of effective implementation of change). Aggregated individual change leads to group/organizational change.



Source: P. Hearsey and K.H. Blanchard; *Management of Organizational Behaviour*, (Englewood Cliffs, New Jersey: Prentice-Hall, 1972), p.160.

Knowledge is the easiest level of change to put into effect and can be accomplished in the shortest amount of time. Changing attitudes takes longer and is more difficult to achieve; but a change in attitude will often lead to individual behavioral change.

In a world where technological, social and other changes are occurring at an unprecedented pace and frequency, people and organizations are in need not only of change, but also of relative stability and continuity. Striking the right balance between change and stability, and helping the client to maintain this balance throughout the organization, is one of the vital tasks of a management consultant.

Resistance to Change

While some people seek out and embrace change, others resist and try to avoid change because they believe it will leave them worse off than they are now; even if the proposed change is neutral or beneficial to the persons concerned there may still be resistance. The following are some of the key reasons people resist change:

- Fear of unknown;
- Personal stakes involved – skills obsolescence;
- Power shifts;
- Loss of security;
- Having to learn new ways of doing things;
- Fear of inadequacy and failure;
- Fear of change itself – set in one's ways;
- Chaos – disorganization of transition;
- Resources – cost and time – I don't have time;
- Communication problems – why are we changing? (Again!);
- Change fatigue;
- Past experiences with change;
- Lack of trust in person promoting change, or the process; and
- Changing for the wrong reasons – lack of belief.

Overcoming resistance is a core theme in change management theory. Often, the recommended approach is through continuous communication and education to influence people's attitudes and behaviours. Coercive tactics can also be used to overcome resistance. The use of coercion can lead to compliance but lasting change is only achieved through commitment. Commitment is achieved through education and sharing of information.

4.4 Models of Change Management

Consultants should be aware of the history of change models. At the core of most change models is Kurt Lewin's 'Freeze Phases Model' from the early 20th century. While Lewin's initial model is a well known, respected and still relevant theory of social change, modern frameworks add useful "how to" information that can enable consultants to counsel clients on the key steps to be taken to successfully implement change.

Lewin's model identifies three stages of change referred to as "unfreezing", "changing" and "refreezing"³⁵.

Unfreezing: Conditions that enhance the unfreezing process usually include a more than normal amount of tension leading to a noticeable need for change. Examples include an absence of sources of information; removal of usual contacts and accustomed routines; and a lowering of self-esteem amongst people. In some instances, these preconditions for change are present before the consultant arrives on the scene. In other instances, the need for change is not perceived and has to be explained if unfreezing is to occur—for example, by making it clear what will happen if the organization or the person does not change.

Changing Takes place when both management and employees start practising new relationships, methods and behaviours. Changing involves two elements: identification and internalization. Identification occurs when the people concerned test out the proposed change.

Internalization takes place when individuals translate the general objectives and principles of change into specific personal goals and rules. This process may be quite difficult, usually requiring a considerable effort by the person in the change process, and a great deal of patience, creativity and imagination is required on the part of the consultant in assisting the change, to convert the external (general) motives to internal (specific and personal) motives for accepting the change proposed.

Refreezing: Occurs when the person concerned verifies change through experience. This requires a conducive and supportive environment (e.g. approval by responsible management) and organizational systems and processes (reward and recognition policies for example) aligned with the new behaviours required of people.

Modern change management models elaborate on these three phases. As an example, John Kotter's³⁶ model is shown below within the context of the Lewin model.

- Unfreeze:** Define the urgency for change
Build a guiding coalition of people who want the change to occur
Define the vision for change
- Change:** Share the vision through communication, education and modeling of new behaviours
Empower people to act
Celebrate short term wins
Consolidate and keep moving
- Refreeze:** Anchor the change in organizational systems and processes

Consultants who understand the generic 3 stage model as well as modern approaches that add more detail and implementation methodologies can provide invaluable assistance to clients throughout the change management process.

4.5 What makes change work? – Key Elements of Effective Change Management

The two models mentioned above are a small sampling of the many change models available in the literature. As mentioned above, many of these models reflect the core principles defined by Lewin. From these models a number of key elements can be extracted.

Articulate a Clear and Compelling Reason for Change

A clearly articulated and communicated vision can provide a focus for the organization and a rallying point for employees. Senior managers should provide leadership in communicating the rationale, risks and responsibilities involved in the change. This leadership is necessary even if an important role in the change process is assigned to a consultant and if the approach taken is highly participative.

It is true that organizations need to develop the infrastructure necessary to plan, implement and sustain their respective change strategies. Often, however, a lot of emphasis is put on the tasks of the change initiative such as setting up the project office, assigning a project manager and so on. Managing the rationale for the change processes is often forgotten – with project failure often the result. Engaging people in the vision for change and explaining the longer term benefits for them and for the organization will facilitate the change process as much as putting the infrastructure in place.

³⁵ A handy summary of the Lewin model can be accessed from: http://changingminds.org/disciplines/change_management/change_management.htm.

³⁶ John Kotter, *Leading Change*. (Boston: Harvard Business School Press, 1996).

4.0 Change Management

Engage the Right People

A successful start in the change process depends on having the 'right' people engaged: the innovators and change agents who support the change. These are the people with critical and innovative minds, who enjoy experimenting, can visualize the future, believe that change is possible, and influence others; not by talking about change, but by demonstrating what can be achieved. These "innovators" or "champions" as they are sometimes called, may be in managerial jobs, but they could be anyone: design engineers, marketing specialists, project coordinators, work study technicians, experienced workers and supervisors, or other staff members.

John Kotter points out that in addition to engaging these change champions, change across an organization must involve the middle layers where the fundamental work of the organization is accomplished. Unless a certain percentage of these people actively support the change, it will fail. Therefore, engaging the champions, who in turn, enroll others in the change process, is a critical element for successful change.

Overcome Resistance to Change through Communication and Education

Resistance to change can often be traced back to management's failure to consult and inform people, explain why change is essential, to seek alternative solutions, and to implement change in ways that minimize hardship to people in the organization.

Managers or consultants should help those concerned with change to express their doubts or apprehensions by formulating and analysing objections which may point to weaknesses of the proposed scheme. In this way, the consultant can work with the client to better respond and adapt the change process to recognize valid concerns from people in the organization.

4.6 Assessing Change Readiness

Assessing the readiness of an organization to undertake change is usually done in the Action Planning stage of a consulting assignment. It is essential to understand how much change the organization can undertake and absorb when working on solutions to the problems it is facing. An organization that is not ready, or does not have sufficient capacity to absorb change, is not an organization that can undertake radical restructuring or other major change initiatives. Either the plan has to be adapted to the reality of the current situation, or it must be put off while the organization prepares for the change. In this case, the "solution after next" principle can be applied – adopting a solution that moves the organization in the right direction, while building change readiness for the next solution to be implemented.

Some typical questions addressed in planning for change include:

- How urgent and important is change perceived to be?
- Is the change anticipatory? (E.g. What changes should be considered in order to achieve development objectives, improve performance, increase market share, and take advantage of an opportunity?)
- Is the change reactive? (E.g. What changes are occurring in the environment? What will be their implications for the organization?)
- Is the change in response to a crisis? (e.g. What undesirable changes will occur in our organization if we do not take timely steps to prevent them - without change the organization could fail.)
- What are the payoffs and consequences?
- What information is lacking?
- What sort of and how much change are we able to manage?
- What sort of and how much change will our people be able to absorb and support? How should we help them to cope with the change?
- Should we implement change in stages?
- What will be the relations between various changes that we intend to make? How will they be coordinated?
- Where and how should the change process be initiated?
- What should be our time horizon and timetable for implementing change?
- Are resisters and supporters identified and the reasons why they feel that way toward change? History of change(s)?
- Are the top management team and key players on-side?
- Are change-agents (champions) in place?
- Will people make this a high and enduring priority? and
- Are there sufficient resources to make the change?

Change Readiness is a fairly simple concept – how much change can the organization go through and over what period of time? How much change can the individuals involved in the change reasonably be expected to take on at one time? Does the organization have the mechanisms (e.g. communications, training, change agents, resources) in place to support its people during the change? Answering the above mentioned questions will enable the consultant to better advise clients on implementable solutions.

4.7 Common Change Management Techniques

Change Management is an integral component of the Implementation stage of the consulting process. It is the yin to the task orientation of yang. The following are some examples of popular techniques that are common elements in many change management strategies and models.

Team building

The team-building approach focuses on how the team functions, rather than on the content area of the team. During a consulting intervention, team building can be used to clarify change targets and reduce resistance to change by involving change participants in defining the process and outputs of change. Teams need to be in what the Tuckman model identifies as the 'norming' or 'performing' mode³⁷ in order to effectively take on the challenges inherent in a change initiative. Therefore, the focus is on accelerating the development of a team so that it is exhibiting the characteristics (feelings, behaviours, needs and leadership style required) of a high performing group. The change initiative problem or task can be introduced into the team after work on interpersonal relationships has indicated that the climate of cooperative teamwork is appropriate for moving on to confront the challenge.

Confrontation

Confrontation requires a lot of listening, healthy debate and testing of options. In the confrontation a disagreement is tackled directly using a systematic problem-solving mode. A consultant can often be helpful in the role of neutral facilitator in assisting affected parties work through their disagreement with the goals of ensuring relevant information is shared, to assist in fostering trust and collaboration and to achieve a win-win solution. After the confrontation, members should all be able to say, "I can live with the decision."

Confrontation meetings normally employ a structured approach in which selected staffs are exposed to:

- historical and conceptual ideas about change and organizations;
- a prepared list of significant problem-areas in their own organization or unit;
- stated problems classified into categories;
- development of plans of action to remedy problems;
- comparison and analysis of the action proposals developed; and
- planning for implementation.

Feedback

Many people in an organization do not receive sufficient feedback to enable them to assess their own performance or the performance of the organization as a whole. Giving feedback on individual, group and organizational performance can help to bring about desired changes in individual or group behaviour; hence feedback can be extremely helpful in a change initiative.

Care should be taken with both the process and the content of the feedback. Research and experience has shown that it is important that raw data may be meaningless, or worse, misunderstood if not combined with structured feedback that provides analysis of the data - e.g. when an attitude survey is used. A consultant should plan feedback sessions so that there will not be an information overload; and deliver feedback diplomatically, so that individuals do not feel under attack.

Coaching and counseling

This technique is often used in process consultation where the client or members of the client team seek help in improving his/her/their own task performance or interpersonal relations skills. The consultant role is to observe and review individual performance, listen to the client, provide feedback and assist the client to reflect on problems or behavioural patterns that hinder operating effectiveness and inhibit change. The objective is to identify specific action plans to overcome performance-related challenges. This in turn is intended to help the individual to gain self-confidence, acquire new knowledge and skills, and behave in a ways required by the changing nature of the job and the organization.

Training and developing people

In the current context of rapid technological, social and other changes, training and learning are critical change techniques. Change Management workshops can be used to sensitize managers and staff to:

- the need for change;
- environmental trends and opportunities;
- various change options available to their organizations and to them as individuals; or
- benchmark performance and other standards already reached elsewhere.

Training can help people to develop the skills and abilities for coping with change effectively such as; diagnostic and problem-solving techniques, planning, project management and evaluation techniques, or communication and group work skills.

³⁷ Phil Lohr and Patricia Steege, "How to Move a Team from Stage to Stage", in Mel Silberman (ed). *The Consultant's Tool Kit: High-Impact Questionnaires, Activities, and How-to Guides for Diagnosing and Solving Client Problems*. (New York: McGraw-Hill, 2001), pp. 204-209.

4.0 Change Management

Choosing the Intervention

A fully competent consultant is flexible in choosing the appropriate change management strategy or model and applying a variety of change-assisting techniques. The more change management strategies, tools and techniques with which the consultant is conversant, the better able a consultant will be to select the right combination for the client. Often this may even require combining elements of several interventions as appropriate or switching to new techniques if the original approaches appear to be ineffective. Two criteria are more important than any other:

1. The overall strategy or intervention model chosen should be compatible with organizational culture and, if it is not, great care should be given to explaining why the approach had to be chosen and how it will be used. This is true too of the common techniques described above. Adaptations of the strategy or technique may be required during application.
2. The consultant and the managers responsible for the change programme should feel comfortable with change model and supporting techniques and be able to use them effectively.

It is knowledge and practical experience in choosing an appropriate approach and employing it in a live situation that set the consultant apart from the academic theoretician. The techniques may be acquired in part by studying research, reviewing documented field work applications, or working with a more experienced colleague.

Change management is an essential part of managing a consulting assignment. Ultimately, the consultant must field test and apply the best available technique or combination, observe the impacts, and be prepared to adapt.

5.0 Teamwork



5.1 The Proliferation of Teamwork and the Rise of Virtual Teaming

Globalization and the attendant increase in competition in the world economy will force organizations in the private and public sectors to search for greater effectiveness and efficiency in the workplace. It will become more and more apparent that the primary distinguishing factor in performance lies with the untapped potential of the workforce. Organizations who want to adapt to change quickly and effectively know that using the collective brain power of all employees and empowering them to make decisions may be one of the best ways to help achieve the agility they seek. This is teamwork.

But teamwork has been a feature of the modern workplace for years. Team-based problem solving (e.g. quality circles) has been accepted for a long time as a way to increase the possibility of innovative and creative thinking. This approach has required organizations to develop their staff's ability to work collaboratively, whether it is in customer service, product development or information systems.

The trend to teams has affected the workplace in a variety of ways. For example, workplace systems and physical spaces have been redesigned to enhance collaboration. Team-centred software (such as Lotus Notes) allows people to share information more easily without being face to face. And, as globalization has become a reality, co-located teams are not enough, and "virtual" teams – made up of people who are at distance and who must work across time zones – are becoming a standard. Since technology has evolved quickly, providing a plethora of tools for people who want to work in this new way, it is likely that "virtual teaming" will continue to grow.

According to recent research, virtual teams have their own "new" sociology, a brief description of which is below³⁸:

- Team members have to adopt and adapt to new technologies;
- Members must be more adaptive – "resilient" to a changing variety of assignments and tasks during the life of any particular team;
- Team membership more dynamic with changing tasks and responsibilities;
- Roles will be more dynamic because virtual teams are more flexible regarding organizational responses to market needs;
- Members are required to have superior team participation skills; team membership is fluid requiring team members who can quickly assimilate into the team (the responsibility for assimilation is primarily with the new member);
- Virtual teams will have to repeatedly change membership without losing productivity; little time will be available for team members to learn how to work together;

³⁸ Adapted from, http://www.managementhelp.org/grp_skill/virtual/defntion.pdf, accessed September 4, 2005).

5.0 Teamwork

- Technology such as intranets can streamline socialization of new members by allowing them to come up to speed quickly with archived written information, video, and audio recordings; and
- Employees will have to learn to join teams and accept new members without the benefit of time-related socialization. Norms and role expectations must be expressed explicitly to new members who must quickly acculturate.

Many executives report that employee turnover is greatly reduced when they implement a team culture, because it improves the overall workplace environment and morale.

5.2 How Teams Develop: Five Stages, Leadership and Conflict Management

One of the best-known models of team development, known as the 'Orming Model', was first published by Dr Bruce Tuckman in 1965. The model's four stages, Forming, Storming, Norming and Performing, were added to in the 1970's, when Tuckman added the "Adjourning" stage.

Tuckman's theory is an elegant and helpful explanation of team development and behaviour. The model explains that as the team develops maturity and ability, members establish meaningful relationships, and produce good work. The model also demonstrates that as the team moves through the stages of development, the leader has to change leadership styles to ensure the needs of the team are met appropriately, and to allow new leadership to emerge. Tuckman's notion that teams need conflict and have to learn to manage it in order to mature is a concept that is fundamental to the success of people brought together under the banner of a common goal.

The phases are described below, with leadership and conflict management embedded into the descriptions.

Stage 1: Forming

In this stage, people are polite but untrusting, preserving formalities and treating each other as strangers. There is a high dependence on the team leader for guidance and direction. Individual roles and responsibilities are unclear, and team members look to the team leader to answer many questions about the team's purpose, objectives and external relationships. In this stage, processes are often ignored, as the team members test the tolerance of the system and the leader. It is unlikely that overt conflict will erupt at this stage, although the team leader must be on the watch for this.

To move the newly formed team through this phase, the team leader should add structure to team meetings, develop a team charter, clarify task assignments, and help to define team roles. It is important that the team leader watch for dominant behaviour in this stage, and invite all to participate equally,

keeping in mind that different people participate in different ways. Effective team leaders will encourage learning within the team, and ensure that the members understand the nature of team development.

Stage 2: Storming

The Storming stage is the testing stage. Clarity of purpose increases but uncertainties persist. Team members vie for position as they attempt to establish themselves in relation to other team members and the leader. Team members may have feelings of incompetence and confusion and may second-guess their ability to do a good job. Frustration may arise because of the amount of time required to get things done, especially as the team leader directs team members to deal with the interpersonal and relationship issues which naturally arise in a team. Cliques and factions may form and there may be power struggles. Attitudes toward the team leader and/or other team members may turn negative.

The team leader needs to facilitate dialogue, so that all the "sacred cows" are put on the table. The team leader needs to coach the team members through conflict situations, and facilitate their learning so that they develop some competence in using conflict to their advantage instead of it leading to hostility. The team leader needs to be the moderator between dissenting voices around the table, and the facilitator of the problem-solving and decision-making efforts the team is making. The team is vulnerable at this point, due to the difference in opinions and the emotions associated with finding one's place and building trust. The team leader should reaffirm the vision and purpose of the team, run interference with outside groups, and make sure that there are adequate resources to do the job. If the team leader does not do this, tensions will build amongst the team members and hostility is a likely consequence.

If a team does not engage in storming consciously, conflict will continue to occur and remain unresolved. While the team members may produce the required results, they will likely not do their best work, and at some point, the team will have become a group of people with no common goal other than getting off the team. Models such as the Thomas-Kilman theory of conflict management may be helpful here, and the team leader will do well to use the storming situations which arise as the "learning laboratory" for the team members. The team leader who takes a proactive role as a coach can ensure that people are educated on how teams work and have the opportunity to develop the skills required to get along effectively with others. Teams thus managed will be able to move through this stage, get the required "team work" done and progress to the next stage, where they can focus on achieving the results they have committed to producing.

Stage 3: Norming

This stage is marked by people get used to working with one another, and begin to feel they are part of the team. They will cooperate instead of competing, realising that they can achieve

more if they acknowledge that others' viewpoints may be different from their own. There is growing flexibility based on growing trust among the team members, and there is increased comfort in giving and receiving feedback. When conflict occurs, the team members are able to develop consensus and come to agreements, with some facilitation by the team leader. Roles and responsibilities are clear and accepted. Big decisions are made by group agreement, while smaller decisions may be delegated to individuals or small teams within the group. Commitment and unity is strong, and the team may well begin to engage in fun and social activities.

The team leader needs to let the team gain its independence, trusting the team members in order to help build their trust in each other and their leader. If the team leader has been holding off expressing opinions in order to encourage dialogue amongst the team members, this is the time to begin to share those opinions; the team should be able to handle this type of input, seeing it as a contribution instead of specific direction. It is important for the team leader to be able to consciously delegate, and do that effectively. That means continuing to monitor the resources required to do the job, and managing the external relationships to the extent required.

An important development in this stage is the discussion the team has about its working style and processes. Having developed some skill in managing conflict, for example, the group may find that they need to adjust their approach in particular situations or for particular people. This type of discussion about the team process may lead to changes in style and processes. The team leader should encourage this dialogue.

In this stage, then, the team maintains its general respect for the leader while at the same time becoming less dependent on the leader to motivate them to produce their best work. Leadership will begin to be shared, and as the team moves through this stage, the team leader can reduce the amount of direction given to the team accordingly.

Stage 4: Performing

When they are in the performing stage, the team works in an open and trusting atmosphere where flexibility is the key and hierarchy is of little importance. team is more strategically aware; it knows clearly why it is doing what it is doing. The team has a shared vision and is able to stand on its own feet with no interference or participation from the leader. There is a focus on over-achieving goals, and the team has a high degree of autonomy, making most of the decisions using criteria agreed with the leader.

In this stage, disagreements occur but now they are resolved within the team positively and necessary changes to processes and structure are made by the team. The team is able to work towards achieving its goals, and also to attend to relationship, style and process issues along the way. Team members look after each other however may look to the leader for assistance with personal and interpersonal development.

What the team requires from the leader is full delegation of tasks and projects, with oversight provided as needed

Stage 5: Adjourning

Adjourning is also referred to as De-forming and Mourning. Adjourning is arguably more of an adjunct to the original four stage model rather than an extension - it views the group from a perspective beyond the purpose of the first four stages. The Adjourning phase is certainly very relevant to the people in the group and their well-being, but not to the main task of managing and developing a team, which is clearly central to the original four stages.

This stage signifies the break-up of the group, and it is hoped that this will happen only when the task is completed successfully, and the team's purpose fulfilled. From this point, team members move on to the next project or assignment, feeling good about what has been achieved both personally and as part of the team. It is important to note that if the members of the team have been particularly close, they will likely experience a sense of insecurity and possibly some feelings of grief from this change.

5.3 Understanding Your Behaviour in Groups and Teams

Given that teams are a standard fixture in the workplace, a management consultant must develop an appreciation for how s/he behaves when in a group or on a team, and an ability to observe others' behaviour when they work in groups or teams.

In human interactions, including groups and teams, there are two major ingredients: getting the work done and getting along with others. The former requires people to have the subject matter expertise and experience to support producing the desired result, or achieving the desired outcome. It is most often the case that most, if not all, members of a group or a team will put their focus of conscious attention on the work they need to do.

The second ingredient in human interactions – process – is concerned with what is happening between individuals and to group/team members while the group/team is working to complete the task. Group or team process can further be broken down into two components, those being task and relationship.

The task component of process deals with such things as timekeeping, making sure the group stays on topic, and summarizing. The relationship component of process deals with such items as participation, conflict, cooperation, and so on. The relationship component is usually the focus of unconscious attention.

For a group or team to be efficient and productive, the members must have the skills required to do the work and be able to maintain and strengthen the team process. Since most people

5.0 Teamwork

have a tendency to focus on task or relationship, it is important for a group or team to understand what the members' tendencies are so that they can achieve the right balance. The most successful groups and teams have members who are able to work together to make sure that both aspects of process – task and relationship – are covered.

5.4 Authority, Resources, Support and Logistics

Who has what authority when is a question that members of teams ask constantly. The management consultant leading the team has several challenges in answering that question. The first is: Whose authority are you talking about? Is it the authority of the team leader that you are interested in knowing about, or is it your own authority as a team member you want more information about (perhaps so you can compare it to others' authority). The classic challenge for the consultant revolves around being expected to produce results for the client without having authority over their staff.

It is important that, to the extent possible, the team leader has the authority requisite to executing the responsibilities of the role. This means they have the authority to allocate resources as appropriate, to schedule and organize the work to line up with the time the team members have available (especially if they are not seconded full-time to the engagement), and to decide (at least at the high level) how the work is going to be done.

Effective teams have work processes that are flexible yet structured to ensure that responsibilities are clear, that time frames are respected, and that the management consulting process is carried out in a way that is professional and productive. This means having protocols for running meetings, delegating, communicating with the client about the progress of the work, escalating issues with the client when necessary, and standards for the production of deliverables when necessary.

Once the team members have found their stride, the team leader may give them the authority to make decisions at a lower level; they may be able to decide how and when they are going to do the work they need to do to produce their deliverables, but they have no authority to change deadlines, the nature of the deliverables or anything else that has to do with time and money.

Effective teams have the appropriate physical and technological resources and support available to them to allow them to work efficiently, even if they are working at distance and across time zones. The team leader, as mentioned earlier, needs to “run interference” to ensure that resources, support and logistics are in place and do not get in the way of the team members getting their work done. At the same time, the team leader must monitor the process the team uses as well as their progress in producing the work, so that the resources are always being used as efficiently

and effectively as possible. This means that workloads may vary, deadlines may become tight, and the team leader must keep an eye on the “team health” to maintain momentum and quality.

6.0 Professional Practice Management



6.1 Fundamentals of Consulting Firm Management³⁹

Managing a consulting firm is similar in many ways to other types of business:

- Management consultancies sell services and get revenues;
- Management consultancies have expenses; and
- Management consultancies expect to make a profit between revenues and expenses.

Because their service is somewhat intangible, management consulting firms must be able to demonstrate that they are delivering a high quality product. In addition to this preoccupation in the exercise of the profession, managers of a professional service firm have four other major concerns:

- obtaining mandates;
- fulfilling mandates;
- ensuring the profitability of their professional activities; and
- remaining at the vanguard in their area of professional expertise.

Firm Strategy, Structure and Management

There is no precise and unique nomenclature for all consulting firms; however the organizational structure of firms is relatively similar:

- The junior consultant collects and analyses data that would lead to the formulation of the recommendation;
- The senior consultant supervises junior consultants and manages client relations. S/he takes part in formulating the recommendation;
- The manager finalizes the recommendation and usually presents to the client. S/he also responds to request for proposal notices; and
- The director/associate is responsible for the development of the firm: s/he manages the firm and carries out client prospecting.

Services and Products

The services and products offered by management consulting firms differ and will be aligned with the needs of the market(s) they have chosen to serve. The marketplace today changes more quickly than in the past, and consultancies have had to focus – like their clients – on maintaining a degree of flexibility and agility in order to remain competitive.

³⁹ This section is provided as a primer introducing the concepts of professional practice management. A more substantive discussion is contained in Kubr, “Section IV, *Managing A Consulting Firm*”, chapters 27-38, pp. 607-833. Other references are also provided in Appendix 1. It has been included in the CBK due to the large percentage of CMC-Canada member consultants who are sole proprietors, or partners or managers in small consulting firms.

6.0 Professional Practice Management

With consultancies specializing in a variety of functional areas, business sectors and market segments, it is difficult to present an exhaustive list of the services and products they offer; moreover, as soon as the list is published, it is effectively obsolete. One important thing to note is that choosing these services and products is a key role for the management team of any consultancy. A second thing to note is that any management consulting firm who becomes known for a “product” must be careful not to be seen as a “solution looking for a problem”.

Managing Profitability

Here are some basic metrics that consulting firms use to manage their profitability:

- Billing Realization Rate;
- Collection Realization Rate;
- Efficiency of Production;
- Billing Turnover Rate; and
- Collection Turnover Rate.

Billing Realization Rate

Billing Realization is the percentage of the recorded billable hours that is actually billed to the client. Bills get written down for any number of reasons. Improving it can be achieved by determining the causes of the billing write-offs and eliminating them.

Collection Realization Rate

Collection write-offs are bills that are submitted to clients and never paid. At some point, when collection seems unlikely, the firm takes a bill out of its receivables column and it becomes a collection write-off. A faster billing and a strong collection policy reduce the write-offs and add profits to the bottom line.

Efficiency of Production

Most consultants can improve the efficiency of their practice. The more efficient and productive the consultant, the more hours during the day are captured as billable hours. One additional hour of productive time a day can make a huge difference in revenue. The goal is not to have consultants spend more time on duty, but rather to make better use of the time they are on duty. Consultants tend to lose a fair percent of their potential billable time through poor time-management skills or inadequate support.

Billing Turnover Rate

The billing turnover rate is the average time it takes from the time the work is performed until it is billed. It is usually stated in terms of months, such as 2.1 months. If the firm can improve the time by a half a month, in this case to 1.6 months, then the firm benefits from faster revenue collection equal to one half of a month's receipts.

Collection Turnover Rate

The collection turnover rate is the average time it takes from the time work is billed until it is collected. If the firm can improve the time, then the firm will benefit from a surge of revenue.

Quality Management and Assurance

Management consulting firms must be able to demonstrate that they are delivering a high quality product, especially in the current market. This is a particular focus in a globalized marketplace.

The following tables explain the main characteristics of providing professional services and the main aspects to consider when considering how to ensure that quality is demonstrable and consistently being delivered.

CHARACTERISTICS OF PROVIDING PROFESSIONAL SERVICE

Intangibility	Experimenting before purchase is impossible
Simultaneous production and consumption/ use of the service	The provider has nothing in inventory
Variable co-production	The client and/or his staff are involved in the process of providing the service
Difficulty to establish service provision standards	The personality of the professional has a direct impact on the service delivered
Importance of human behaviours	Opportunities for meeting the client (or his staff) are numerous
Difficulty for the client to assess the service provided	The client does not necessarily have the essential technical know-how

HOW CLIENTS SEARCH FOR QUALITY IN THEIR MANAGEMENT CONSULTANTS

Image and reputation of firm and/or professionals	Recommendations from other clients; from third parties (suppliers, banks, etc.); information on associates of the firm; list of the current clients.
Technical know-how of the firm	Reputation in the market; involvement and prominence of the professionals
Quality of the professionals	Relationships between the professionals of the firm and the client's staff; expertise of the team; general value of the firm's staff.
Availability of professionals	"Physical" and "intellectual" availability
Quality of service	Commitment to deadlines; working methods; quality standards
Results	References from previous clients
Scope and extent of services offered	Variety of services offered; "personalized" services for a given sector
Cost of services	Value of service delivered as compared to the dollar price paid

A Commitment To Use Adequate Means

Traditionally, consulting firms have been committed to use all adequate means to satisfy the client's needs, and to do that, they have used a variety of different elements. For instance, a proposal for a market survey may not guarantee the results of the recommendations that will ensue from it, however, the firm will commit to use a methodology tested by experienced professionals.

Here are typical ways for ensuring the quality of the services offered.

Confirming the credibility of the service providers:

- Professional reference files (mandates implemented);
- Implementation of a professional code of ethics; confidentiality; transparency; competency;
- Membership in professional organizations;
- Observation of norms and standards (specific to the firm, nationally or internationally accepted); and
- Certification of professional qualifications (of persons or legal entities).

Internal procedures and instructions aimed at ensuring quality:

- Professional independence;
- Conditions for obtaining mandates;
- Preparation and presentation of proposals;
- Distribution of duties among the professional staff;
- Planning, control and supervision of mandates;
- Form and content of reports or communications; and
- General orderliness of files.

Internal procedures and instructions aimed at firm's output quality:

- Time management and billing;
- Assessment of the work of the professionals; and
- Staff development programs.

In addition the "traditional" commitment to use adequate means, clients are now asking for a commitment to deliver the service based on specific contract terms (deadline, formats, technical specifications, etc.).

6.2 Marketing of Consulting Services

In order to market their services, consultancies have to define their markets, the clients within those markets whom they wish to serve, and the needs those clients have. Having done that, the consultancies must decide what services they want to offer and how they want to offer them. Then they must deliver those services in a fashion that satisfies the client and ensures that the client stays with them.

Identifying Client Needs and Requirements

Marketing, then, is not so much a separate function as it is an integral part of every stage of the consulting process and every aspect of the client/consultant relationship. Since the client's needs, wants and interests may be in conflict with each other, it is important for consultants to be able to distinguish the differences between them. It will be critical to have established the level of trust required for a consultant to be free to tell the client what they need to hear and not what they want to hear about their requirements for consulting services.

Moreover, since the clients are always reacting to their own marketplace, management consulting firms must make sure that they are in touch with the changes taking place in those markets, so that they can understand their clients' changing needs.

6.0 Professional Practice Management

Marketing the Firm

There are many ways to market the firm, including but not limited to the following:

- Getting referrals;
- Advertising, including web pages and branding initiatives;
- Publishing in trade journals and business publications;
- Giving seminars and workshops;
- Doing volunteer work;
- Targeted mailing of promotional materials; and
- Joining professional associations and being listed in professional directories.

Since most consultancies have a “personality”, they choose marketing activities to reflect that personality in the marketplace. The challenge is to measure the efficacy of the approaches they have taken in order to ensure that they are getting the right return for their marketing dollar, which in many cases is effectively the time their people spend in marketing activities.

Marketing Consulting Assignments

This is very similar to marketing the firm (and in small consulting practices is almost one and the same) – the consultant has to find clients and market their services to them. A variety of approaches are available:

- Cold contacts, visits, mailings, telephone calls with the goal of getting an appointment and conducting the equivalent to a Request for Information Meeting or Investigatory Interview (addressed in Section 2.1 – Entry above);
- Contacts based on qualified leads or referrals from current clients;
- Responding to RFPs;
- Marketing new business to existing clients and keeping in touch with former client;
- Marketing during the entry phase to get the contract; and
- Marketing during the termination phase, by offering a menu of follow-up services.

6.3 Costs and Fees

Principal Fee Setting Methods

Traditionally, most management consulting firms have billed on an hourly basis. They have seen their profit margins tightened, meaning they have to bill more hours to stay even. Using other value-based billing methods allows a firm to better leverage its expertise and its investment in technology to achieve an improved profit margin on each project.

Clients are increasingly in search of real added value services or a transfer of knowledge or expertise. Some clients lure consultants

to tariff structures that take into account generated cost reductions and extra income. This may cast doubts on the independence of the consultant and raise ethical issues.

Here are several different ways in which consulting assignment fees could be structured:

- an hourly rate;
- a fixed price contract where deliverables are paid for without reference to the time involved;
- a retainer where, for example, a consultant is engaged on a monthly fee for as long as needed; and
- a success-based fee, for example, where the consultant receives a percentage of the cost savings resulting from the assignment.

Hourly Rates

This is the most traditional method of budgeting for a consulting assignment. A time budget in hours is calculated for the consulting team, usually at a fairly detailed level. This is then multiplied by the hourly rate for each consultant in the team. These rates can vary widely, with fairly modest rates for a junior consultant to very high costs for an internationally renowned consultant.

Generally, the hourly rates for consultants are made up of three elements: (a) the recovery of the salary paid to the consultant by the consulting firm, (b) the overhead costs of the firm, and (c) a profit element for the firm. Where consultants have special or very high-level expertise, a premium is usually added to their hourly rates. Too many juniors in a team is not good because they may not have the necessary expertise, too many seniors may make the project unnecessarily expensive.

Fixed Price Contract

This is the most common type of contract used in management consulting and relies heavily on the estimating capabilities of the consultant. The costs for the consulting team to undertake each element of the workplan are estimated as well as any associated costs for the assignment and these professional fees and expenses are communicated in the proposal. The assignment contract is then based on this total fixed price. This contracted amount is normally not subject to any revisions unless certain provisions are included in the contract (e.g. changes in scope, or redetermination based on price changes in key supply components). It provides maximum incentive for the consultant to control costs and perform effectively and imposes a minimum administrative burden upon the contracting parties.

Retainer

Where special skills or additional person-power is required for a limited but unknown period, it usually makes sense for consultants to charge on a retainer basis. This should cost less than if they were engaged at their normal hourly rate.

Success-based Fee

A success-based fee or a risk-sharing approach to fees, where the total fees for the consultant will be related to the quantification of intended benefits or results realized has become popular where there is a clearly measurable outcome. For example, consultants who undertake organisational restructuring on the basis that this will reduce costs may only be paid if this outcome is achieved. The advantage of this approach is that the consultant carries the risks of not delivering. It does, however, depend on having clearly defined outcomes which can be measured and verified.

The consultant may end up receiving a large fee. Even if this is a win-win situation, this type of fee must be carefully approached in order to be acceptable in terms of ethics and independence.⁴⁰

Costing & Pricing an Assignment

The professional life of a consultant is often split in two important parts: billable and non billable hours.

Consultants are billable when they can charge a client for their work and non billable when they can't. Consultants prefer to be as billable as much they can; being "on the bench" is not seen as conducive to career development. To be billable, of course consultants have to get projects. So part of the consultant's time must be spent on non billable time in order to find new contracts. They may also have to spend time on administrative work (such as billing or collecting from the clients).

Time Chargeable to a Client

The time chargeable to a client is the time which should theoretically be billed to a specific client. Normally, all the time spent working for a client should be billed and are thus chargeable a priori. This is, however, not always the case. In certain situations, a decision to bill this time or not may be made, and this should always be a management decision taken only by those responsible for billing. Individual consultants, unless in this position of authority, should not make the decision on whether to bill their time or not.

By accurately entering the chargeable time in the time sheets, the consultant will enable the firm to:

- meet all the possible client demands;
- record the real time required by a specific activity;
- establish the difference between the projected time and time spent;

- establish the bill in accordance with the understanding arrived at with the client; and
- build data bases for subsequent service offerings.

As time is of the essence for consultants one main question always remains: Is all direct time being properly charged to the projects by the consulting teams (from junior to partner consultants) or are some project budgets being "protected" by charging direct time to overhead?

Time Not Chargeable to a Client

The time not chargeable to a client is time that may not, a priori, be billed to a specific client. This "overhead" includes planning and overall management of the firm, business development and preparation of service offers.

6.4 Assignment Management

Terms of Reference

Terms of Reference have been described fully in Section 2.1 – The Entry Stage above. From a firm management viewpoint, the TORs (or Statements of Work) are the documents which drive the project; they are the basis of the consulting proposal and the assignment contract. Once a project is under way, any changes to the terms of reference in the contract must be documented and agreed to by both the consultant and the client in writing.

Structuring & Scheduling an Assignment

An assignment must be structured and scheduled in such a way as to effectively exploit the resources available in order to achieve the client's objectives. It is important for consultancies to put in place the appropriate delivery teams, including assignment managers who will be as concerned with the way the service is delivered as they are with the quality of the work itself.

Since clients must continue to run their organizations at the same time as the consulting assignment is happening, management consultants must be sensitive to the need to adapt to the realities of their clients' situations. This may mean that the original structure of the delivery team has to be modified, especially when there is a major gap between the acceptance of the proposal and the beginning of the assignment. It is the responsibility of the consultancy to ensure that the skills required by the assignment are available as they are needed, and this is indeed one of the major challenges most management consulting firms face on an ongoing basis.

⁴⁰ Under the section related to Responsibilities to the Client (Section 4.1 Due Care) in the *CMC-Canada Uniform Code of Professional Conduct and Statements of Interpretation*, the following is provided as interpretive guidance: "Members shall respond to client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum:

- The client's responsibilities related to the intended benefits or results;
- Identifying the risks and assumptions associated with realizing the intended benefits or results;
- Identifying the measures to be used; and,
- Clearly communicating these elements to the client.

6.0 Professional Practice Management

Preparing for an Assignment

Aristotle said “Well begun is half done”. The preparation a consulting team does prior to the assignment will inevitably pay off, and this is especially the case for the operating consultants who are normally brought into an assignment just as they are wrapping up their previous assignment.

Preparation for an Assignment Includes, and is not Limited to, the Following:

- Providing context for the team of operating consultants;
- Introducing the consulting team to the organization; and
- Acquiring office accommodation and any other infrastructure required to support the team of operating consultants.

Another old adage says “An ounce of prevention is worth a pound of cure”. This holds true in management consulting as well, and the challenge most consultancies face is convincing the client that the preparation activities are worth the time and money they spend on them.

Time Sheets and Expense Accounts

There are two basic tools used in the management of an assignment, indeed in the management of a consulting firm: time sheets and expense accounts. Both time sheets and expense accounts make it possible to:

- bill services to clients as accurately as possible;
- pay consulting staff the time, wages and expenses due to them; and
- update a management information and billing system.

As such, the care with which such documents are filled out and the respect of submission deadlines are vital for the financial health of a firm.

The expense account describes two types of expenses incurred in the course of the firm’s professional activities:

- expenses chargeable to a client – travel, purchasing of supplies, and other expenses directly related to fulfilling the contract; and
- expenses not chargeable to a client – the overhead borne by the firm for internal activities or business development activities.

Separating Fees from Expenses

Separating fees from expenses in managing an assignment is necessary to control costs effectively. It is often difficult to give a clear idea about how much to allow for travel and subsistence costs because the nature, place and costs of assignments and the expertise involved may differ widely.

When out-of-town, consultants may claim their living costs (that is, accommodation, meals and incidentals) on the basis of actual costs or on a per diem basis. The difference between these two is that an actual cost claim would detail all costs, supported by invoices.

In the case of a per diem-based claim, an amount per consultant per day would be agreed to up front and this is what would be paid out, regardless of their actual subsistence costs. The per diem is a good way to avoid problems. Determining an appropriate amount for a per diem subsistence allowance will depend on the nature of the consultant’s work, the assignment budget, the town or country where they are working, and so on. As a rule of thumb it might be useful to use the official per diem allowed by institutions such as the Canadian Treasury Board or the World Bank, when consultants do not know exactly the cost of living for a specific assignment abroad.

Closing an Assignment

The best practice activities for closing an assignment were described in Section 2.5 – Termination above. Some of those activities with key relevance to firm management are the additions to the firm’s knowledge base, and the data on follow-up, including when to bring forward the file to ensure follow-up activities are properly planned, and executed, or for a future marketing call.

6.5 Developing Management Consultants

Many consider a career in management consulting of interest. As discussed above in Section 1.7 (as well as throughout this document) there are a number of factors which make for an effective consultant - education, experience and skills, key competencies, desirable attributes, and knowledge relevant to the client’s needs, as well as methodologies, tools and techniques of the profession. A manager needs to recruit, onboard, and train those who would wish to be professional management consultants, with all these elements in mind.

Careers in Management Consulting

In the exercise of their profession, consultants have four major concerns:

- obtaining mandates;
- accomplishing mandates;
- ensuring the profitability of their professional activities; and
- remaining at the vanguard in their area of professional expertise.

Training of New Consultants

There are three categories of skills a consultant should have in order to deliver service in a professional way: technical skills, client-consultant relationship skills, and the skills required by the consulting profession.

Technical Skills to Accomplish Mandates:

- sectoral or industry expertise (financial services, iron and steel works, food industry, etc.); and
- functional and operational expertise (marketing, human resources, data-processing, ERP, etc.).

Skills Specific to Build Client-consultant Relationship:

- mastery of overall consultancy process;
- maintaining efficient and useful contact with client;

- problem identification and analysis;
- problem resolution and assistance in solution seeking; and
- participation in improving the situation or working out a new situation.

Skills Required by the Consulting Profession:

- personal management of time;
- capacity to perform assigned tasks when required and within budgetary constraints;
- capacity to supervise professional staff (other advisers, subcontractors);
- capacity to manage and carry through a mandate; and
- initiative to improve work processes.

The consultants will gradually acquire and master these skills as they advance in the profession. They will have also to cope with a very specific lifestyle, including but not limited to the following:

- travel and living conditions;
- handling concurrent problems;
- occupational stress;
- constant interaction with the environment;
- negotiations; and
- stress management.

Continuing Professional Development

As a knowledge worker, the currency that a consultant offers is that they are up to date experts – both in technical task terms, and in process terms. Consultancy is a profession with very high added value. As such, training is a key element in the professional development of a consultant, whether a beginner or a seasoned consultant. Each level in the hierarchy of a management consulting firm corresponds to a skill that must always be optimal. That is why training should be regular and should be a concern of all management consultants.

For those committed to the profession, a week of training should be considered a minimum investment each year. Continuing professional development should be planned, scheduled and fully supported by the firm management. However, the wrong message is sent when a consultant is pulled from a training session that was approved and booked and assigned to a project. Managers in a professional service firm should be actively encouraging their colleagues to improve their skills regularly, set development goals annually and support their achievement.

Performance Measurement & Management

The specific characteristics of the management consulting business suggest (require) a double level of performance reviews: at the end of each assignment and another one on a more global perspective generally on a yearly basis. The table below describes the main aspects to consider in these reviews.

<i>Assignment Objectives and Review</i>	<i>Development Plan and Performance Review</i>
<ul style="list-style-type: none"> • Assignment Objectives • Terms of reference • Client Relationships • Budgeted fees, utilization • Report writing • Development of skills • Business Development • Overall Performance rating • Strengths and Weaknesses on Assignment 	<ul style="list-style-type: none"> • Personal Development Plan for the Year • Training related to Weaknesses noted in previous Performance Review • Broadening or career goals related to Development beyond present role or level • Non-Fee earning activities or responsibilities • Activities and Time allotment • Sales and development • Public relations • Training given • Training received • Vacation • Administration • Time available for fee earning • Summary of Assignment Reviews • Assignment ratings • Summary of strengths and weaknesses identified • Overall Assessment for Review period • Potential for Increased Responsibility or Advancement

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Code of Professional Conduct Statements of Interpretation

At its October 1994 meeting, the Board of Directors of the Institute of Certified Management Consultants of Canada formally approved these Statements of Interpretation for ratification and adoption by every Affiliate Institute. The Board approved further amendments in October 1996.

The Statements of Interpretation furnish guidelines to help Members of CMC-Canada in general and CMCs in particular understand the requirements of the Code. The Statements elaborate on, and are more specific than, the related Section of the Code. They should assist Members in determining how to apply the Code to particular circumstances - and so to act knowledgeably in compliance with it.

With the passage of time, the evolution of professional thought and the gaining of experience with the Code will produce a need for added or modified Interpretations.

1.0 RESPONSIBILITIES TO THE PUBLIC

1.01 LEGAL

A member shall act in accordance with the applicable legislation and laws.

STATEMENTS OF INTERPRETATION

- 1.01.1 Members are bound by all legislation and laws that govern their professional, other business activities and personal affairs. Applicable legislation and laws include those from the following jurisdictions:
- Federal;
 - Provincial (including legislation pertaining to the use of the Certified Management Consultant (CMC) designation);
 - Local or regional; and
 - Countries other than Canada.
- 1.01.2 Members shall be aware of, and comply with, applicable legislation and laws at all times.
- 1.01.3 Members shall not cause any person or persons to contravene applicable legislation or laws at any time.
- 1.01.4 Members shall not serve or act on behalf of any person or persons who cause(s) or will cause them to contravene applicable legislation or laws at any time.

1.02 REPRESENTATION

A member shall make representations on behalf of provincial, regional or national Institute members only when authorized.

STATEMENTS OF INTERPRETATION

- 1.02.1 Members shall not make public statements on behalf of the Institute's members unless authorized to do so.
- 1.02.2 Members asked by another person or party to make a representation on behalf of provincial, regional or national Institute members shall, as appropriate, either:
- Refer the request to a designated spokesperson(s) of the Institute; or
 - Ask the Institute for authorization.
- 1.02.3 Members who wish to speak on behalf of the Institute's members shall secure the proper authorization before doing so.

1.03 PUBLIC PROTECTION

A member shall be liable for suspension or expulsion from membership where that member has behaved in a manner unbecoming to the profession, as judged by the Institute.

STATEMENTS OF INTERPRETATION

- 1.03.1 Given the public's right to confidence in members (individually and collectively), any actions that mitigate such trust will be considered unbecoming, including:
- Violation of any applicable legislation or laws;
 - Breach of the Code of Professional Conduct; and
 - Actions inside or outside of the context of consulting that may be, or may be perceived to be, detrimental to the profession.
- 1.03.2 Members shall ensure that their behavior does not threaten their responsibility to the public interest, in perception or reality.
- 1.03.3 In the interest of public protection, members who are found to have acted in any manner unbecoming the profession shall be liable for suspension or expulsion from membership.

2.0 RESPONSIBILITIES TO THE PROFESSION

2.01 KNOWLEDGE

A member shall keep informed of the applicable Code of Professional Conduct and the profession's Common Body of Knowledge.

A member shall strive to keep abreast of developments in any area of the profession where specific expertise is claimed.

STATEMENTS OF INTERPRETATION

- 2.01.1 Members shall maintain their knowledge and understanding of the Code of Professional Conduct and the Common Body of Knowledge, including any amendments or updates.
- 2.01.2 Members shall develop their skills and knowledge beyond the fundamentals described in the Common Body of Knowledge, particularly in their area(s) of preferred practice, to a level that is consistent with the needs of their clients and comparable to the services provided by other consultants in the same field.

2.02 SELF DISCIPLINE

A member shall recognize that the self-disciplinary nature of the profession is a privilege and that the member has a responsibility to merit retention of this privilege. Therefore, a member shall report to the Institute unbecoming professional conduct by another member.

STATEMENTS OF INTERPRETATION

- 2.02.1 Members shall strive to discipline themselves to maintain the high standards of professional and ethical practice reflected in the Code of Professional Conduct.
- 2.02.2 Given that members have the right to trust that other members will conduct themselves appropriately, any actions which mitigate that trust will be considered unbecoming to the profession, including:
- Violation of any applicable legislation and laws;
 - Breach of the Code of Professional conduct; and
 - Actions inside or outside of the context of consulting that may be, or may be perceived to be, detrimental to the profession.
- 2.02.3 Members who behave in a manner unbecoming to the profession are subject to being reported to the Institute by other members.
- 2.02.4 In the interest of all members, members shall report to the Institute, and/or encourage those clients or members of the public affected to so report, the behavior of any member they perceive to be seriously and/or persistently unbecoming to the profession.

2.03 RESPONSIBILITIES FOR OTHERS

A member shall ensure that other management consultants carrying out work on the member's behalf are conversant with, and abide by the applicable Code of Professional Conduct.

STATEMENTS OF INTERPRETATION

- 2.03.1 In addition to being responsible for their own advice and actions, members shall ensure that any and all management consultants who work under their leadership on consulting assignments, be those consultants members or not, understand and comply with the Code of Professional Conduct.
- 2.03.2 Such management consultants include the member's peers, employees and/or subcontracted associates.
- 2.03.3 Members shall be responsible for any breach of the Code of Professional conduct reported to the Institute with respect to any member of his or her consulting team and will be liable to the same actions and consequences that would apply if the member alone failed to comply with the Code of Professional Conduct.

2.04 IMAGE

A member shall behave in a manner, which maintains the good reputation of the profession and its ability to serve the public interest.

A member shall avoid activities, which adversely affect the quality of that member's professional advice.

A member may not carry on business, which clearly detracts from the member's professional status.

STATEMENTS OF INTERPRETATION

- 2.04.1 Members shall ensure that their behavior is consistent with and reinforces a positive public image of the profession.
- 2.04.2 Members shall ensure that their behavior does not threaten their responsibility to the public interest, in perception or reality.
- 2.04.3 Members shall ensure that their activities will not conflict or be seen to conflict with their integrity, objectivity or independence.
- 2.04.4 Members shall ensure that their physical and emotional state is consistent with the requirements of client work, particularly when developing or providing professional advice.
- 2.04.5 Members shall ensure that all their business affairs are above reproach. That is, their business affairs as consultants and otherwise shall comply with all applicable legislation and laws as well as the Code of Professional Conduct. Additionally, members' business affairs shall not be, or be perceived to be, detrimental to the profession.

3.01 REVIEW OF A MEMBER'S WORK

A member who has been requested to review critically the work of another member shall inform that member before undertaking the work.

STATEMENTS OF INTERPRETATION

- 3.01.1 A member's work shall be deemed to be under critical review if a client, or the client's representative or advisor, asks another member to review and comment on any of the member's written reports, memoranda or working files.
- 3.01.2 Members shall not accept a request to conduct a review where they have a conflict of interest.
- 3.01.3 Members shall inform other members in writing whose work they have been asked to review.
- 3.01.4 The results of such a review shall be communicated with the member unless such discussion would be deemed to jeopardize client confidentiality.
- 3.01.5 At the request of the Discipline Committee, the Institute may request one member to review the work of another. In such cases, the Discipline Committee will establish terms of reference for the review.

4.0 RESPONSIBILITIES TO THE CLIENT

4.01 DUE CARE

A member shall act in the best interests of the client, providing professional services with integrity, objectivity and independence.

A member shall not encourage unrealistic client expectations.

STATEMENTS OF INTERPRETATION

- 4.01.1 Members shall recognize the interests of the client organization, overall, as paramount in every assignment.
- 4.01.2 Members shall not promote services, accept engagements, conduct work or provide advice to clients that are in any way to the member's advantage or potential advantage while to the client's (or the public's) disadvantage or potential disadvantage.
- 4.01.3 Members shall not accept or conduct work that is in the interest of any individual or group within the client organization (e.g., specific managers, staff departments) if the work would, in any way, be detrimental or not serve the best interests of the overall organization.
- 4.01.4 Members shall not accept or conduct work that is in the interest of any individual or group external to the client organization (e.g., suppliers, special interest groups) if the work would, in any way, be detrimental or not serve the best interests of the overall organization.
- 4.01.5 Members shall always provide objective and independent advice. Members must not allow their objectivity and independence to be influenced by any individual or group either within or external to the client organization.
- 4.01.6 Members shall not guarantee specific quantitative results, which are beyond their direct control (e.g., a 20% reduction in overhead expense, a 15% increase in profitability etc.).
- 4.01.7 Members shall respond to client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum:
- The client's responsibilities related to the intended benefits or results;
 - Identifying the risks and assumptions associated with realizing the intended benefits or results;
 - Identifying the measures to be used; and,
 - Clearly communicating these elements to the client.

4.02 BUSINESS DEVELOPMENT

A member shall not adopt any method of obtaining business, which detracts from the professional image of the Institute or its members.

STATEMENTS OF INTERPRETATION

- 4.02.1 Members shall not criticize other members, either directly or indirectly, in an attempt to secure business or in any other aspect of their professional work.
- 4.02.2 Members shall not participate in misleading advertising, pressure tactics, or other unprofessional methods of obtaining business.
- 4.02.3 Members shall respond to client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum:
- The client's responsibilities related to the intended benefits or results;
 - Identifying the risks and assumptions associated with realizing the intended benefits or results;
 - Identifying the measures to be used; and,
 - Clearly communicating these elements to the client.

4.03 COMPETENCE

A member shall accept only those assignments, which the member has the knowledge and skills to perform.

STATEMENTS OF INTERPRETATION

- 4.03.1 Members shall not present themselves as qualified to conduct an assignment without having both the relevant education and practical experience to do so.
- 4.03.2 Members shall not undertake assignments for which they do not have relevant qualifications (education and experience) even if a client, aware of this limitation, specifically request that they do so.
- 4.03.3 Members shall specify in writing their relevant qualifications and those of any and all other management consultants proposed for engagement.
- Members shall describe how their qualifications will be applied in the engagement as well as how those of each member of the consulting team will be applied.
- Members shall also describe their role in the engagement and the role(s) of each member of the consulting team.

Appendix 2 Uniform Code of Professional Conduct, Statements of Interpretation

4.04 INFORMED CLIENT

A member shall, before accepting an assignment, reach a mutual understanding with the client as to the assignment objectives, scope, work plan, and costs.

STATEMENTS OF INTERPRETATION

4.04.1 Members shall confirm in writing the terms of reference for an assignment.

4.04.2 Written terms of reference shall confirm:

- Assignment objectives;
- Steps, milestones and deliverables in the proposed work plan;
- Timeline of steps, milestones, deliverables and completion date;
- Names, relevant qualifications and role of each consultant proposed;
- Fees (usually broken down by major step in the work plan); and,
- Billing arrangements including how all expenses, disbursements and applicable taxes will be handled.

4.04.3 Members shall not begin an assignment until the written terms of reference have been accepted by the client.

4.04.4 Members shall take particular care with client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum:

- The client's responsibilities related to the intended benefits or results;
- Identifying the risks and assumptions associated with realizing the intended benefits or results;
- Identifying the measures to be used; and,
- Clearly communicating these elements to the client.

4.05 FEE ARRANGEMENTS

A member shall establish fee arrangements with a client in advance of any substantive work and shall inform all relevant parties when such arrangements may impair or may be seen to impair the objectivity or independence of the member.

A member shall not enter into fee arrangements, which have the potential to compromise the member's integrity or the quality of services rendered.

STATEMENTS OF INTERPRETATION

4.05.1 Members shall confirm in writing the budget and billing arrangements related to professional fees, expenses, disbursements and applicable taxes.

4.05.2 Particular care should be taken with client requests for quantification of intended benefits or results, or for risk-sharing approaches where the total fees for the member will be related to the benefits or results realized by specifying as a minimum:

- The client's responsibilities related to the intended benefits or results;
- Identifying the risks and assumptions associated with realizing the intended benefits or results;
- Identifying the measures to be used; and
- Clearly communicating these elements to the client.

4.05.3 should the terms of reference change during the course of the assignment, members shall ensure that any corresponding impact on fees, expenses, disbursements, taxes or billing arrangements are communicated to the client and agreed to in writing.

4.05.4 Members shall not permit, for budget or time management purposes, a reduction in consulting time or in senior consulting involvement in an assignment if, as a result, the quality of service will be below that described in the terms of reference.

4.05.5 Members shall not undertake assignments of a scale or magnitude where the proposed fee arrangements are such that they represent a substantial business risk for the client.

4.06 CONFLICT

A member shall avoid acting simultaneously for two or more clients in potentially conflicting situations without informing all parties in advance and securing their agreement to the arrangement.

A member shall inform a client of any interest which may impair or may be seen to impair professional judgment.

A member shall not take advantage of a client relationship by encouraging, unless by way of advertisement, an employee of that client to consider alternate employment without prior discussion with the client.

STATEMENTS OF INTERPRETATION

4.06.1 Members shall not accept assignments with their clients' competitors or with other organizations with interests that compete with their clients', without the permission of all the organizations involved.

4.06.2 Members shall disclose to a client (or prospective client) any personal, professional or other business interests that may jeopardize the client's confidence in their integrity or objectivity or their capacity to provide independence.

4.06.3 Members shall follow the instructions of a client, within applicable legislation, laws and the Code of Professional

Conduct, with regard to the client's interests; otherwise, members shall withdraw from the assignment.

- 4.06.4 Members shall not recruit to their own firm, or refer to other firms, any employee of a client unless the client has been informed and has granted endorsement in advance.

4.07 CONFIDENTIALITY

A member shall treat all client information as confidential.

STATEMENTS OF INTERPRETATION

- 4.07.1 Members shall not disclose any confidential client information without the specific consent of the client.
- 4.07.2 Members shall store the information in such a fashion that through diligence and normally accepted administrative practices it is possible to safeguard the information. If, for example, information is stored on magnetic media, any member involved must be cognizant at all times of the location of such media, including back-up material. Any and all printed notes, drafts and reports must be destroyed or made unintelligible before being discarded.
- 4.07.3 Members must treat any and all information obtained from a client as confidential unless otherwise directed by the client. This rule does not apply to information that can be obtained through public inquiry.
- 4.07.4 Upon terminating an assignment, members shall offer to return to the client any and all material pertaining to the engagement.
- 4.07.5 If confidential client information that has been obtained by a member is, at any point in time, exposed to individuals beyond the member's direct authority to control, the member shall inform the client immediately and take appropriate action to protect the client's interests.
- 4.07.6 Members shall encourage clients to classify sensitive information and, if at all possible, shall refrain from taking possession of sensitive information.
- 4.07.7 Members shall keep the client informed as to the location and condition of storage of any and all information that has been deemed to be confidential.
- 4.07.8 Members shall refrain from making public statements that may directly or indirectly lead to the disclosure of confidential client information.
- 4.07.9 The rules pertaining to confidential client information shall not apply to exchange of information with a recognized investigative body or compliance with a validly issued and enforceable subpoena and summons.

4.08 OBJECTIVITY

A member shall refrain from serving a client under terms or conditions, which impair independence and a member, shall reserve the right to withdraw from the assignment if such becomes the case.

STATEMENTS OF INTERPRETATION

- 4.08.1 In advance of undertaking assignments, members shall ensure that they do not accept any terms or conditions that may affect their objectivity.
- 4.08.2 When events or circumstances arise that affect a member's objectivity, or perceived objectivity, the member shall either:
- Discuss and attempt to rectify the matter with the client immediately; or
 - Withdraw from the assignment.

COMPETENCY PROFILE OF THE CERTIFIED MANAGEMENT CONSULTANT

All the tasks and skills enumerated in this document must be performed in compliance with the CAMC Code of Professional Conduct

The Certified Management Consultant must be able to ...

A. HELP CLIENTS TO ASSESS THEIR BUSINESS SITUATION, CHALLENGES AND OPPORTUNITIES

Critical skill: Exercise judgement (F1)

TASKS	SUBTASKS	PERFORMANCE INDICATORS ⁽¹⁾
1. Examine client's environment	1.1 Conduct environmental scan (e.g. SWOT, STEEP, etc.) <u>Make observations in areas other than one (those) in which one specializes:</u> 1.2 the strategy functional area 1.3 the financial functional area 1.4 the human resources functional area 1.5 the operations functional area 1.6 the technology functional area 1.7 the marketing functional area	<i>1.1 Demonstrate research skills (F6)</i> <i>1.1 Assimilate information quickly (F4)</i> <i>1.2 to 1.7 Use observational skills (F5)</i> 1.2 Make observations on elements such as: . the current strategic plan . roles and responsibilities in strategic management . the strategic planning process . strategy implementation practices . strategic controls and evaluation 1.3 Make observations on elements such as: . financial planning and control . organizational form and taxes . working capital management . investment decisions . capital structure . financing decisions 1.4 Make observations on elements such as: . human resource planning . staffing . appraising . compensating . training and development . industrial relations 1.5 Make observations on elements such as: . product design and capacity selection . capacity planning . facilities location and layout . organization and methods . equipment and facilities management . demand forecasting . production planning 1.6 Make observations on elements such as: . the link to the strategic plan . customers' needs . performance and needs of internal IT users . the IS management process 1.7 Make observations on elements such as: . the link to the strategic plan . the marketing management process . market analysis and research practices . marketing strategies . the management of marketing programs

(1) Two types of competency statements have been used as performance indicators : sub-subtasks (in regular fonts) and interpersonal or personal competencies (in italic).

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

A. HELP CLIENTS TO ASSESS THEIR BUSINESS SITUATION, CHALLENGES AND OPPORTUNITIES

Critical skill: Exercise judgement (F1)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
2. Diagnose the situation (*) (*) highly critical	2.1 Determine critical issues 2.2 Develop hypotheses 2.3 Subject hypotheses to confirmation 2.4 Draw conclusions	2.1 Perform an overall (multifunctional) gap analysis 2.1 Identify strengths, weaknesses, opportunities and threats that could have an impact on the company's future <i>2.1 Exercise judgement (F1)</i> 2.2 <i>Demonstrate problem solving skills (F10)</i> 2.2 <i>Demonstrate research skills (F6)</i> 2.3 <i>Demonstrate listening skills (E2)</i> 2.3 <i>Demonstrate research skills (F6)</i> 2.4 <i>Demonstrate synthesizing skills (F8)</i> 2.4 <i>Exercise judgement (F1)</i>
3. Convey findings and conclusions	3.1 Establish purposes of the communication 3.2 Develop communication strategies 3.3 Demonstrate the validity of conclusions	3.1 Identify target audience(s) 3.1 Clarify what the target audience(s) expect(s) to hear / to read 3.1 Set one's own objective(s) <i>3.1 Exercise judgement (F1)</i> 3.2 Define the content and style 3.2 Select the medium (media) 3.2 <i>Determine the time and place</i> 3.2 <i>Apply relevant methods, tools, techniques and technology (F7)</i> 3.3 <i>Demonstrate oral communication skills (E3)</i> 3.3 <i>Demonstrate written communication skills (E4)</i> 3.3 <i>Demonstrate presentation skills (E8)</i>

(1) Two types of competency statements have been used as performance indicators : sub-subtasks (in regular fonts) and interpersonal or personal competencies (in italic).

The Certified Management Consultant must be able to ...

B. HELP CLIENTS TO DEVELOP STRATEGIES FOR IMPROVEMENT

Critical skill: Demonstrate leadership skills (E5)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
1. Clarify client objectives	1.1 Establish priorities 1.2 Set objectives	1.1 Facilitate determination of criteria to set priorities 1.1 Facilitate criteria based priority setting <i>1.1 Demonstrate facilitation skills (E10)</i> <i>1.1 Demonstrate respect for client (E1)</i> 1.2 Apply the SMART standard <i>1.2 Demonstrate leadership skills (E5)</i> <i>1.2 Demonstrate analytical skills (F3)</i>
2. Generate possible solutions	2.1 Consult people 2.2 Conduct research	2.1 Determine whom to consult 2.1 Select format(s) and technique(s) <i>2.1 Demonstrate facilitation skills (E10)</i> <i>2.1 Apply relevant methods, tools, techniques and technology (F7)</i> 2.2 Survey / select printed information sources 2.2 Survey / select electronic information sources <i>2.2 Demonstrate research skills (F6)</i>
3. Assess solutions and their impacts (*) (*) <i>highly critical</i>	3.1 Develop evaluation criteria 3.2 Establish weighting and scoring scheme 3.3 Investigate solutions 3.4 Apply evaluation criteria and scoring 3.5 Finalize selection	3.1 Identify success factors (e.g. cost, time, efficiency, acceptability, etc.) 3.1 Convert success factors into criteria <i>3.1 Demonstrate analytical skills (F3)</i> 3.2 Assign values to criteria to reflect their respective level of criticality <i>3.2 Apply relevant methods, tools, techniques and technology (F7)</i> 3.3 <i>Demonstrate research skills (F6)</i> 3.4 <i>Demonstrate analytical skills (F3)</i> 3.5 <i>Demonstrate leadership skills (E5)</i>

(1) Two types of competency statements have been used as performance indicators : sub-subtasks (in regular fonts) and interpersonal or personal competencies (in italic).

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

C. HELP CLIENTS TO IMPLEMENT A RECOMMENDATION

Critical skill: Demonstrate coaching skills (E7)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
1. Develop an action plan	1.1 Establish objectives	1.1 Apply the SMART standard <i>1.1 Demonstrate leadership skills (E5)</i>
	1.2 Identify tasks	<i>1.2 Demonstrate analytical skills (F3)</i> <i>1.2 Demonstrate conceptual skills (F9)</i>
	1.3 Determine resources	1.3 Determine required human resources 1.3 Determine required equipment, material and supplies 1.3 Determine required facility (facilities) 1.3 Determine budget <i>1.3 Demonstrate negotiation skills (E6)</i>
	1.4 Establish schedule	<i>1.4 Apply relevant methods, tools, techniques and technology (F7)</i> <i>1.4 Demonstrate negotiation skills (E6)</i>
2. Secure resources	2.1 Locate resources	<i>2.1 Demonstrate research skills (F6)</i>
	2.2 Evaluate resources	<i>2.2 Demonstrate analytical skills (F3)</i> <i>2.2 Exercise judgement (F1)</i>
	2.3 Select resources	<i>2.3 Demonstrate decision making skills (F11)</i> <i>2.3 Demonstrate leadership skills (E5)</i>
	2.4 Finalize resource arrangement	<i>2.4 Demonstrate negotiation skills (E6)</i>
3. Coordinate project and activities	3.1 Monitor activities	<i>3.1 Use observational skills (F5)</i>
	3.2 Report progress	<i>3.2 Demonstrate oral communication skills (E3)</i> <i>3.2 Demonstrate written communication skills (E4)</i> <i>3.2 Demonstrate presentation skills (E8)</i>
	3.3 Resolve issues	<i>3.3 Demonstrate problem solving skills (F10)</i> <i>3.3 Demonstrate negotiation skills (E6)</i> <i>3.3 Demonstrate conflict management skills (E11)</i>
	3.4 Adjust plans	<i>3.4 Demonstrate flexibility (E14)</i> <i>3.4 Stay focused (F12)</i>

The Certified Management Consultant must be able to ...

C. HELP CLIENTS TO IMPLEMENT A RECOMMENDATION

Critical skill: Demonstrate coaching skills (E7)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
4. Build client capability (*) (*) highly critical	4.1 Assess capabilities	4.1 Compare client's current implementation practices to benchmarking standards 4.1 <i>Demonstrate analytical skills (F3)</i> 4.1 <i>Exercise judgement (F1)</i>
	4.2 Ensure development of strategy for knowledge transfer	4.2 Identify knowledge transfer "recipients" 4.2 Describe desired skills and behaviors 4.2 <i>Demonstrate conceptual / development skills (F9)</i> 4.2 <i>Apply relevant methods, tools, techniques and technology (F7)</i>
	4.3 Transfer knowledge	4.3 <i>Demonstrate coaching skills (E7)</i>
	4.4 Evaluate progress	4.4 Develop / administer evaluation tools 4.4 Facilitate debriefing meetings 4.4 <i>Use observational skills (F5)</i> 4.4 <i>Demonstrate analytical skills (F3)</i>
5. Evaluate results	5.1 Determine measurement / assessment strategies	5.1 Set selection criteria 5.1 Perform benchmarking analysis regarding measurement / assessment strategies 5.1 Apply selection criteria 5.1 <i>Demonstrate research skills (F6)</i>
	5.2 Conduct the assessment	5.2 <i>Use observational skills (F5)</i> 5.2 <i>Apply relevant methods, tools, techniques and technology (F7)</i>
	5.3 Interpret results	5.3 <i>Demonstrate analytical skills (F3)</i> 5.3 <i>Exercise judgement (F1)</i>
	5.4 Report findings	5.4 <i>Demonstrate oral communication skills (E3)</i> 5.4 <i>Demonstrate written communication skills (E4)</i> 5.4 <i>Demonstrate presentation skills (E8)</i>

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

D. CONDUCT A CONSULTING ASSIGNMENT

Critical skill: Stay focused (F12)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
1. Define client needs	1.1 Determine background and current situation 1.2 Identify client's preferred future 1.3 Capture client's current reality 1.4 Define the gap	1.1 Demonstrate interviewing skills (E13) 1.1 Assimilate information quickly (F4) 1.2 Demonstrate interviewing skills (E13) 1.2 Assimilate information quickly (F4) 1.3 Demonstrate analytical skills (F3) 1.3 Demonstrate synthesizing skills (F8) 1.4 Describe the discrepancy between the preferred future (optimal) and the current situation (actuals) 1.4 Demonstrate synthesizing skills (F8)
2. Define scope and risks	2.1 Determine functional areas to be included / excluded 2.2 Assess the complexity of the assignment 2.3 Enumerate risk elements 2.4 Establish risk scale 2.5 Apply risk scale to assignment	2.1 Demonstrate analytical skills (F3) 2.1 Exercise judgement (F1) 2.2 Demonstrate analytical skills (F3) 2.2 Exercise judgement (F1) 2.3 Demonstrate analytical skills (F3) 2.4 Demonstrate conceptual skills (F9) 2.5 Demonstrate analytical skills (F3)
3. Develop a proposal	3.1 Summarize client needs 3.2 Describe objectives and scope of mandate 3.3 Define deliverables 3.4 Identify critical success factors 3.5 Specify required resources 3.6 Communicate proposal	3.1 Demonstrate synthesizing skills (F8) 3.2 Demonstrate synthesizing skills (F8) 3.3 Demonstrate synthesizing skills (F8) 3.4 Exercise judgement (F1) 3.5 Demonstrate analytical skills (F3) 3.6 Demonstrate written communication skills (E4) 3.6 Demonstrate presentation skills (E8) 3.6 Demonstrate negotiation skills (E6)

The Certified Management Consultant must be able to ...

D. CONDUCT A CONSULTING ASSIGNMENT

Critical skill: Stay focused (F12)

TASKS	SUBTASKS	PERFORMANCE INDICATORS
4. Confirm assignment	4.1 Review content of proposal 4.2 Make adjustments 4.3 Develop action plan (or project charter) 4.4 Formalize contractual agreement	4.1 <i>Demonstrate analytical skills (F3)</i> 4.2 <i>Demonstrate listening skills (E2)</i> 4.2 <i>Demonstrate flexibility (E14)</i> 4.3 <i>Apply relevant methods, tools, techniques and technology (F7)</i> 4.4 <i>Demonstrate negotiation skills (E6)</i>
5. Manage assignment (*) (*) <i>highly critical</i>	5.1 Communicate scope and expectations to internal and external collaborators 5.2 Implement a decision making process 5.3 Implement a monitoring process 5.4 Control risks 5.5 Adjust plans	5.1 <i>Demonstrate oral communication skills (E3)</i> 5.1 <i>Demonstrate written communication skills (E4)</i> 5.1 <i>Demonstrate presentation skills (E8)</i> 5.2 <i>Demonstrate leadership skills (E5)</i> 5.2 <i>Demonstrate problem solving skills (F10)</i> 5.3 <i>Apply relevant methods, tools, techniques and technology (F7)</i> 5.4 <i>Exercise judgement (F1)</i> 5.4 <i>Demonstrate leadership skills (E5)</i> 5.5 <i>Demonstrate flexibility (E14)</i> 5.5 <i>Stay focused (F12)</i>
6. Conclude the assignment	6.1 Review conduct of assignment 6.2 Determine client satisfaction 6.3 Resolve outstanding issues	6.1 <i>Demonstrate analytical skills (F3)</i> 6.2 <i>Demonstrate listening skills (E2)</i> 6.3 <i>Demonstrate negotiation skills (E6)</i> 6.3 <i>Demonstrate flexibility (E14)</i>

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

E. DEMONSTRATE INTERPERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
1. Demonstrate respect for client	1.1 Respond to client expectations 1.2 Maintain / improve quality of services 1.3 Easily establish contact with clients 1.4 Maintain long lasting relationships with clients	1.1 Identify needs and expectations 1.2 Obtain information from client 1.2 Initiate action / address issues with a « client mindset » 1.3 -1.4 Demonstrate interpersonal skills 1.3 -1.4 Demonstrate listening skills 1.3 -1.4 Demonstrate professional competence
2. Demonstrate listening skills	2.1 Verify one's understanding 2.2 Interpret body language 2.3 Demonstrate empathy	2.1 Summarize someone else's opinion even when one disagrees 2.1 Use restatement 2.1 Use question techniques to validate one's understanding (also appropriate for 2.2 and 2.3)
3. Demonstrate oral communication skills	(Generally not required, this skill being relatively self-explanatory)	3. Give clear directions / instructions 3. Explain complex issues in plain written or verbal language 3. Demonstrate synthesizing skills (F8)
4. Demonstrate written communication skills	4.1 Write clearly and concisely 4.2 Organize complex information to facilitate understanding	4.1 Use appropriate vocabulary and terminology 4.2 Demonstrate synthesizing skills (F8)
5. Demonstrate leadership skills	5.1 Demonstrate a capacity to influence 5.2 Orient individual and team efforts	5.1 Express / promote ideas 5.1 Take a clear stand on issues 5.1 Make oneself understood and respected 5.2 Define / suggest / recall objectives 5.2 Follow up on tasks / deliverables 5.2 Adjust / modify objectives and / or conditions

The Certified Management Consultant must be able to ...

E. DEMONSTRATE INTERPERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
6. <i>Demonstrate negotiation skills</i>	6.1 <i>Create a positive climate</i> 6.2 <i>Persuade / argue</i> 6.3 <i>Find a win-win arrangement / settlement</i>	6.1 <i>Find appropriate time and place</i> 6.1 <i>Demonstrate listening skills</i> 6.1 <i>Demonstrate empathy</i> 6.2 <i>Present / defend one's position with emphasis on its benefits for the other party(ies)</i> 6.3 <i>Try to understand position of other party(ies)</i> 6.3 <i>Identify items / issues where a compromise is possible</i>
7. <i>Demonstrate coaching skills</i>	7.1 <i>Identify individual's requirements for coaching</i>	7.1 <i>Provide direction and feedback on a timely / regular basis</i> 7.1 <i>Provide guidance, instruction and assistance on a timely / regular basis.</i>
8. <i>Demonstrate presentation skills</i>	8.1 <i>Make one-on-one presentations</i> 8.2 <i>Make presentations to small groups</i> 8.3 <i>Make presentations to a large audience</i>	8.1 to 8.3 . <i>Explain complex issues in plain language</i> . <i>Demonstrate synthesizing skills (G8)</i> . <i>Demonstrate ability to "captivate" the audience</i> . <i>Demonstrate ability to persuade / to convince the audience</i>
9. <i>Demonstrate teamwork skills</i>	9.1 <i>Promote collaboration / cooperation and share one's experience and expertise</i> 9.2 <i>Earn team members' trust and support</i> 9.3 <i>Suggest ideas and adopt behaviors to optimize teamwork</i>	9.1 <i>Share information</i> 9.1 <i>Share ideas</i> 9.1 <i>Fulfill commitments to team members</i> 9.2 <i>Accept others' ideas</i> 9.2 <i>Praise contributions of team members</i> 9.2 <i>Be straightforward with team members at all times</i> 9.2 <i>Accept others' ideas</i> 9.3 <i>Demonstrate concern for interpersonal relations among team members</i> 9.3 <i>Refrain from « dominating » meetings</i>
10. <i>Demonstrate facilitation skills</i>	10.1 <i>Bring a group to jointly agreed actions</i> 10.2 <i>Ensure that a group plans effectively and realistically</i> 10.3 <i>Bring a group to achieve its objectives</i>	10.1 to 10.3 . <i>Use analytical techniques and tools</i> . <i>Facilitate / monitor process</i> . <i>Maintain neutrality</i> . <i>Handle group dynamics and personalities</i> . <i>Demonstrate sensitivity to well-being of group members</i>

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

E. DEMONSTRATE INTERPERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
13. <i>Demonstrate interviewing skills</i>	13.1 <i>Create a positive climate</i> 13.2 <i>Use interviewing techniques</i>	13.1 <i>Demonstrate listening skills</i> 13.1 <i>Demonstrate empathy</i> 13.2 <i>Ask open-ended questions</i> 13.2 <i>Ask close-ended questions</i> 13.2 <i>Use problem resolution techniques</i>
14. <i>Demonstrate flexibility</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	14. <i>Adjust plan as a result of an unanticipated situation or event</i> 14. <i>Maintain neutrality</i>

The Certified Management Consultant must be able to ...

F. DEMONSTRATE PERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
1. <i>Exercise judgement</i>	1.1 <i>Gain insight into a situation</i> 1.2 <i>Come to pertinent conclusions, act or adopt adequate behavior</i>	1.1 <i>Refrain from drawing conclusions in haste</i> 1.1 <i>Take time to gather information</i> 1.1 <i>Consider other people's opinions and ideas and consult with adequate resource persons</i> 1.1 <i>Distinguish between a fact, a perception and an interpretation</i> 1.2 <i>Generate more than one solution and analyze their respective implications and potential impact</i> 1.2 <i>Select / recommend most efficient and advantageous solution(s)</i>
2. <i>Work autonomously</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	2. <i>Perform a task or a series of tasks without help or supervision</i>
3. <i>Demonstrate analytical skills</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	3. <i>Gather relevant facts and data</i> 3. <i>Break down facts and data into simple elements</i> 3. <i>Identify the essential or most significant issues or challenges</i> 3. <i>Draw logical conclusions</i>
4. <i>Assimilate information quickly</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	4. <i>Demonstrate ability to practice fast pace reading</i> 4. <i>Demonstrate listening skills</i> 4. <i>Demonstrate ability to summarize / restate what one has just read / heard</i> 4. <i>Demonstrate ability to express an opinion or to draw conclusions based on what one has just read / heard</i>
5. <i>Use observational skills</i>	5.1 <i>Select a way of observing which will provide valid results</i> 5.2 <i>Record observations</i> 5.3 <i>Interpret observations</i>	5.2 <i>Demonstrate ability to gather details</i> 5.2 <i>Demonstrate ability to record the order in which things occur</i> 5.2 <i>Demonstrate ability to perceive both the forest and the trees</i>

Appendix 3 Competency Profile of the Certified Management Consultant

The Certified Management Consultant must be able to ...

F. DEMONSTRATE PERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
6. <i>Demonstrate research skills</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	<ul style="list-style-type: none"> 6. <i>Define research objective or mandate</i> 6. <i>Select information seeking strategy</i> 6. <i>Locate and access information</i> 6. <i>Analyze information</i> 6. <i>Report findings</i>
7. <i>Apply relevant methods, tools, techniques and technology</i>	<i>(remaining to be specified, if required)</i>	<i>(remaining to be specified)</i>
8. <i>Demonstrate synthesizing skills</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	<ul style="list-style-type: none"> 8. <i>Cluster and structure various elements</i> 8. <i>Classify elements in terms of their relative importance</i> 8. <i>Focus on the essential elements</i>
9. <i>Demonstrate conceptual / development skills</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	<ul style="list-style-type: none"> 9. <i>Recognize patterns, trends or causes of events</i> 9. <i>Identify and design / develop solutions</i>
10. <i>Demonstrate problem solving skills</i>	<ul style="list-style-type: none"> 10.1 <i>Identify and diagnose the problem</i> 10.2 <i>Identify possible solutions</i> 10.3 <i>Select solution</i> 10.4 <i>Develop and implement solution</i> 	<ul style="list-style-type: none"> 10.1 <i>Integrate information from different sources</i> 10.1 <i>Distinguish causes and symptoms</i> 10.2 <i>Consult and research</i> 10.3 <i>Determine criteria</i> 10.3 <i>Evaluate / compare possible solutions</i>

The Certified Management Consultant must be able to ...

F. DEMONSTRATE PERSONAL COMPETENCIES

SKILLS	SUBSKILLS	PERFORMANCE INDICATORS
11. <i>Demonstrate decision making skills</i>	11.1 <i>Make timely decisions</i> 11.2 <i>Make appropriate decisions</i>	11.1 <i>Readily address issues and problems under one's competence or authority</i> 11.1 <i>Quickly react to urgent matters / situations</i> 11.1 <i>Take calculated risks</i> 11.1 <i>Accept impact / consequences of one's decision</i> 11.2 <i>Whenever possible, take time to analyze the problem / situation</i> 11.2 <i>Rely on one's judgement or experience</i> 11.2 <i>Consult individuals trusted for their wisdom and practical experience</i> 11.2 <i>Accept impact / consequences of one's decisions</i>
12. <i>Stay focused</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	12. <i>Relate back to original objective and scope of assignment</i>
13. <i>Manage time</i>	<i>(Generally not required, this skill being relatively self-explanatory)</i>	13. <i>Prioritize tasks and assignments</i> 13. <i>Work effectively on several tasks or assignments at the same time</i> 13. <i>Work under pressure</i> 13. <i>Meet demanding deadlines</i>
14. <i>Maintain self-care and well-being</i>	14.1 <i>Have or develop a sense of humour and a positive attitude</i> 14.2 <i>Set priorities taking time constraints into account</i> 14.3 <i>Balance work and family time</i> 14.4 <i>Manage stress</i> 14.5 <i>Recognize one's own limits</i>	14.2 <i>Maintain focus on set priorities</i> 14.2 <i>Adjust plan to contingencies</i> 14.4 <i>Remain calm when interacting with others</i> 14.4 <i>Demonstrate listening skills under stress</i> 14.4 <i>Control one's emotions when facing resistance or hostility</i> 14.4 <i>Exert a regulatory (?) influence in crisis situations</i>

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