A non-linear model and framework for implementing transformative change.

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Abstract

To survive and thrive in today's business environment requires the ability to implement transformative change to meet market demands. However, the hidden and often mystical nature of implementing transformative change has scholars referring to it as a 'black box', with others highlighting the constant and significant failure rate at this stage, often pointing to the inability of linear methods to manage the environmental context.

The aim of this study is to explore the process of implementing transformative change in today's business environment. A conceptual framework guides the study to explore the 'how', 'what' and 'why' aspects, building off the real-world experience of change practitioners based across Australia and New Zealand. A mixed-methods approach is utilised, applying qualitative and quantitative analysis through semi-structured interviews and an online survey. The interviews provide in-depth insight from practitioners leading major transformation programs, whilst the online survey provides the ability to converge and corroborate findings.

The findings from this study highlight the need to move to a non-linear process that can manage the dynamic nature of transformative change in the business world today. Firstly, the need for the future state goal to be articulated as a 'Target Operating Model' (TOM), the fulcrum of the implementation process. Second, the necessity of the planning design to manage the 'Delta Effect', the impacts from the constantly changing environment. Finally, presenting a model that supports a non-linear process, providing a framework for implementing transformative change in today's business environment.

The model and framework from this study provide a practical contribution for those involved with delivering transformative change. For academia, the research builds on and extends further insights and knowledge into this significant process used extensively across our world today.

Student Declaration

'I, Tracey Penington, declare that the Master of Research thesis entitled *A non-linear model and framework for implementing transformative change* is no more than 50,000 words in length, including quotes and exclusive of tables figures, appendices, bibliography, references and footnotes. This thesis contains no material that has been submitted previously, in whole or in part, for the award of any other academic degree or diploma. Except where otherwise indicated, this thesis is my own work.'

'I have conducted my research in alignment with the Australian Code for the Responsible Conduct of Research and Victoria University's Higher Degree by Research Policy and Procedures. All research procedures reported in this thesis were approved by the Ethics Committee (Approval Number HRE21-035).'

Tracey Penington
6 Dec 2021

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Dedication

to Caroline, Mum and Dad. Your belief in me spoke volumes. This thesis is dedicated to you.

Table of Contents

LIST OF FIGURES

LIST OF TABLES

APPENDICES

DEFINITIONS

"Change Practitioner" refers to the practitioner leading the change for the project/program/transformation (Morris, P 2013).

"Context" in this study refers to the business environment within which the business transformation and implementation are being undertaken (Pettigrew, A & Whipp 1992; Pettigrew, AM 1985, 1992).

"Dynamic Capabilities" 'include the sensing, seizing, and transforming needed to design and implement a business model' (Teece 2018a, p. 43), with a focus on *understanding (sensing), assimilation (seizing)* and *managing (transforming)* elements.

"Implementation" relates to the activities and processes undertaken to deliver a defined business goal (Mintzberg & Waters 1985; Pettigrew, AM 1992; Tawse & Tabesh 2020) with the primary purpose of managing, planning, and implementing the desired change (Mintzberg & Waters 1985; Morris, P 2013).

"**Process**" relates to the methods, strategies, and implementation interventions and activities that are undertaken (Pettigrew, AM 1985, 1992; Stetler et al. 2007)

"Planned Strategic Change" and **"Transformation"** in this study refer to the creation of a 'new state or model' (Levy & Merry 1986; Mintzberg 1994; Mintzberg & Waters 1985; Teece 2018a), which is distinct from an evolving and adapting change and transformation. It takes its lead from Levy and Merry (1986), who noted it as a multi-dimensional, multi-level, radical organisational change involving a paradigmatic shift' (p. 5)

"Target Operating Model (TOM)" – relates to the detailed definition of the strategic goal to an operating model which will be implemented within the future-state context. (Amoo et al. 2019; Beckhard & Harris 1977; Dekker 2016; Mintzberg & Waters 1985; Morris, P 2013)

"**Transition**" refers to the process undertaken to move from a current state to a future state (Ackerman 1982; Beckhard & Harris 1977; Levy & Merry 1986).

CHAPTER 1: INTRODUCTION

1.1 Overview

To survive and thrive in today's business environment requires the ability to implement transformative change to meet market demands (Teece 2018a; Waddock 2020; Waddock et al. 2015). However, the hidden and often mystical nature of implementing transformative change has scholars referring to it as a 'black box' (Hutzschenreuter & Kleindienst 2006; Tawse & Tabesh 2020). Others highlight the constant and significant failure rate at this stage (Burnes & Jackson 2011; Tawse & Tabesh 2020; Trad & Kalpic 2016), with many pointing to the inadequacy of current linear methods to manage the dynamic and complex nature of implementing transformative change (Dekker 2016; Lowell 2016; Morris, P 2013; Teece 2018a; Waddock et al. 2015). This study seeks to address this gap within the academic literature, shining a light on the hidden process of implementing transformative change. It considers the main research question, '*What is the process of implementing transformative change in today's business environment?'*. This study explores this question via three significant elements that literature highlights as important to the implementation process; the definition of the strategic goal (Amoo et al. 2019; Foss & Saebi 2017; Mintzberg 1994; Mintzberg & Waters 1985; Morris, P 2013; Zott, Amit & Massa 2011), the planning design to support the transition (Amoo et al. 2019; Beckhard & Harris 1977; Cha, Newman & Winch 2018; Levy & Merry 1986; Morris, P 2013), and the mechanism required to deliver and operationalise the solution (Cha, Newman & Winch 2018; Morris, P 2013; Teece 2018a; Ul Musawir et al. 2017).

With businesses facing a constant need to transform (De Waal et al. 2014; Trad 2015; Waddock et al. 2015), the ability to implement transformative change is critical. Transformative change will often be preceded by strategic planning, which details the desired future-state vision and

goal (Amoo et al. 2019; Foss & Saebi 2017; Mintzberg 1994; Mintzberg & Waters 1985; Morris, P 2013). However, a well-formulated strategy means little if it cannot be implemented (Hitt et al. 2017; Tawse & Tabesh 2020; Ul Musawir et al. 2017), with scholars noting the challenges with this significant phase (Amoo et al. 2019; Andrews, Beynon & Genc 2017; Greer, Lusch & Hitt 2017). Some failure rates can often be higher than 70% (Burnes & Jackson 2011; Trad & Kalpic 2016), with industry-specific studies noting that 74 per cent of private-sector transformation fails, while the failure rate in the public sector is even higher at 80 per cent (McKinsey 2019).

Irrespective of these challenges, transformative change is an imperative for business in today's world (Elbanna, Andrews & Pollanen 2016; Morris, PWG & Jamieson 2005; Trad 2015). Guided by a conceptual framework adapted from Morris's (2013) 'Management of Projects', this study applies a pragmatic mixed-methods approach to the research. The study explores the real-world experience of change practitioners involved in transformational change across Australia and New Zealand. It presents new insights relating to goal definition, planning design and a framework that supports the process of implementing in today's business environment. The study reflects concern relating to the hidden, dynamic and complex nature of this process (Davies & Brady 2016; Lowell 2016; Morris, P 2013; Teece 2018a) and the inadequacy of linear methods applied to it (Davies & Brady 2016; Morris, P 2013; Tawse & Tabesh 2020). As Tawse and Tabesh (2020) urge:

A better understanding of the many factors that contribute to the implementation process should be at the centre of attention in future research. (p. 10)

1.2 Research Aim

Building on the call from Tawse and Tabesh, the aim of this study is to explore the process of implementing transformative change in today's business environment. A conceptual framework adapted from Morris, P (2013) 'The management of projects', will be utilised to guide the study, to explore the 'how', 'what' and 'why' aspects of implementing transformative change.

1.3 Research Questions

To achieve the research aim, the study focuses on the research question (RQ) '*What is the process of implementing transformative change in today's business environment?'*. This question will be explored via three sub-questions:

1. Goal Definition - What is the process undertaken to define the goal for implementation?
2. Planning Design - What analysis is completed to design the transition planning from the current-state model to the future-state model?
3. Delivery Management - What is the relationship of the identified elements to support and guide the implementation of the future state model?

1.4 Research Objectives

The following research objectives (RO) are outlined to meet the aim of this study and answer the associated research questions:

RO1 – Explore how change practitioners approach the goal definition for transformative change.

RO2 –Examine the process applied by practitioners to design the transition planning.

RO3 –Develop a framework to manage and implement the new transformative model.

1.5 Methodology

Supporting the research objectives and aim of this study, the overall methodology must align with the research question and the researchers own worldview (Creswell, John W. & Creswell 2018). Chapter five of this thesis details the background and approach to the research that leads to a pragmatic worldview being applied. As Creswell, John W. and Creswell (2018) note, 'Pragmatism has a focus on the consequences of actions; it is problem-centred, pluralistic, and real-world oriented.' (2018, p. 27) The pragmatic worldview supports the ability to consider the 'what', 'why' and 'how' of the research, leveraging various methods that may be employed to begin to answer this question (Creswell, John W. & Creswell 2018).

A mixed-methods approach, aligned with the conceptual framework, will be utilised to address the research questions and objectives. The study utilises the benefits of a pragmatic mixed-methods approach by applying both inductive and deductive analysis. The qualitative analysis is explored via semi-structured interviews, with the quantitative analysis via an online survey. The research design also provides the ability to triangulate the results. The participants involved with the study are change practitioners from across Australia and New Zealand who have consented to be part of this research.

1.6 Contribution of the Study

The process of implementing transformative change is still a new and emerging field of research (Foss & Saebi 2017; Morris, P 2013; Schwarz, Bouckenooghe & Vakola 2021; Zott, Amit & Massa 2011). Tawse and Tabesh (2020) reinforce this assertion calling on future studies to focus on the hidden nature of this process. Building on Morris's theoretical framework (2013; 1994) and acknowledging the call from Grewatsch, Kennedy and Bansal (2021) to apply systems thinking, this study presents new insights on this process to contribute

to the ongoing knowledge base of this field. The research also makes three practical contributions; providing insights in relation to goal definition, planning design and finally, a framework that supports the dynamic nature of delivering this process within today's business environment.

1.7 Thesis Outline

The thesis has been designed to follow a well-proven academic pathway to demonstrate the contribution and insights from this study. Chapter one introduces this study, the research aim, questions, and approach. Chapter two covers associated literature aligned with this study, providing background and insight into planned transformative change and the challenges associated with implementation. Through exploration of the literature, this chapter presents the current gap upon which this study is founded.

Chapter three discusses and introduces the theoretical framework within which the study will be designed. A conceptual framework is then developed and discussed in more detail in chapter four, building off this theoretical framework and associated literature. This chapter links the research questions and objectives with the framework, highlighting the significant elements that will be explored. Chapter five then discusses the background and current methodological issues relating to this field of study, implementing transformative change. It considers the various paradigms that implementation has been explored through, finally addressing the reason for a pragmatic worldview for this research. This chapter then elaborates on the research design, sampling, and approach to addressing the overall aim of this study, considering in detail the mixed methods approach to the analysis.

Chapter six discusses the overall results and findings from both the semi-structured interviews and the online survey. It aligns the findings within the conceptual framework discussing each element via the initial research objective, through the analysis from the interviews, the online survey results and then triangulation of these results. This chapter then concludes by addressing the overall research question and sub-questions, detailing the relationship of these elements into a framework that supports the implementation of transformative change within the business environment.

Finally, chapter seven concludes by summarising the overall research, findings, and conclusions. It addresses the limitations within this study along with identifying potential opportunities for further research building on these findings.

2.0 CHAPTER 2. LITERATURE REVIEW

2.1 Introduction

This chapter specifically deals with the literature that binds with this research. At the outset, acknowledgement is made for the vast array of literature available on the topic of this study. This chapter begins by exploring the complexity of implementing strategic and transformative change. It highlights that transformation is often preceded by strategic planning and introduces this subject area into the discussion to consider the influence on the implementation process. The discussion then moves from the complexity of implementing transformative change to the project management field, considering the various methods applied to this process. This is then further built on by considering major academic scholars applicable to this field and associated research. Finally, the chapter brings together the overall literature review to demonstrate the gap that scholars allude to, the hidden and often 'masked' aspect of the implementation process and the inability of current project methods to manage the non-linear nature of transformative change.

2.2 The Complexity of Implementing Strategic and Transformative Change

Implementing transformative change is well-acknowledged as an essential part of any business in order to cope with and respond to emerging threats and opportunities (Mintzberg 1994; Mintzberg & Waters 1985; Morris, PWG & Jamieson 2005; Tawse & Tabesh 2020; Teece 2018a). In today's business environment, the challenge is for organisations to continually adapt and transform in order to stay relevant for the consumer and the market requirements (Mintzberg & Waters 1985; Teece 2018a; Trad & Kalpic 2016). Any form of major transformation has often been preceded by strategic planning, which highlights the strategic goal for the transformation (Amoo et al. 2019; Foss & Saebi 2017; Mintzberg & Waters 1985; Schwarz, Bouckenooghe & Vakola 2021; Tawse & Tabesh 2020; Waddock 2020). A well-

formulated strategy however means little if it cannot be implemented (Hitt et al. 2017; Tawse & Tabesh 2020; Ul Musawir et al. 2017).

Mintzberg highlighted that 'planned strategy' has 'clear and articulated intentions, 'notably, it is only within this form of strategy that the distinction between 'formulation' and 'implementation' hold up (1985, p. 259). However, he also highlighted that 'planned strategy is found in an environment that is [was], if not benign or controllable, then at least rather predictable' (1985, p. 259). In contrast, today's business environment is anything but controllable and predictable (Davies, Dodgson & Gann 2016; Pellegrinelli et al. 2007; Pollack 2007; Teece 2018a); rather, as literature characterises, today's environment is dynamic and complex in nature (Davies & Brady 2016; Morris, P 2013; Tawse & Tabesh 2020; Teece 2018a).

Waddock et al. (2015), in considering the concept of implementing large scale transformational change, likens this complexity to the concept of wicked problems (Batie 2008; Dentoni & Bitzer 2013; Levin et al. 2012; Rittel & Webber 1973). They note the extant literature on this subject but the limited efforts to link the implications for organisational systems. Lowell (2016) highlights the complexity within this process, arguing for the need to use complexity theory to explore and guide transformative change., especially due to 'the unpredictability of change in organizations' (p. 149). Styhre (2002) also discusses the non-linear and dynamic nature of implementing transformative change and urges studies to integrate concepts of systems theory with complexity to understand the fluidity of the process.

There is no doubt that today's business context has led many scholars to focus on the complex and dynamic nature of the environment within which the change must take place (Davies &

Brady 2016; Lowell 2016; Morris, P 2013; Teece 2018a); however, implementation failure continues (Amoo et al. 2019; Cha, Newman & Winch 2018). This failure has brought scholars to question the appropriateness of the traditional linear based approach about implementing to a more dynamic non-linear methodology (Daniel & Daniel 2018; De Toni & Pessot 2020; Waddock et al. 2015). This has created a trend away from traditional project management methodology, such as PRINCE2 or PMBOK® (Project Management Body of Knowledge) (Edum-Fotwe & McCaffer 2000; Morris, PW 2010) towards the use of Agile methodology (Fernandez & Fernandez 2008; Uikey & Suman 2012). Agile, however, is still a new methodology, and there continues to be much debate in relation to its application for transformative change (Serrador & Pinto 2015), extending its use beyond the original intention of software development. Change management as a methodology has also experienced many similar findings to project management; high failure rates, the linear nature of the process, and the complexity of delivering within a dynamic environment (Cowan-Sahadath 2010; Lowell 2016; Schwarz, Bouckenooghe & Vakola 2021).

Irrespective of the method utilised, the literature highlights the importance of the implementation process (Amoo et al. 2019; Cha, Newman & Winch 2018; Mitchelmore & Rowley 2013; Tawse & Tabesh 2020); however, noting the hidden nature of this phase, likening it to a 'black box' (Hutzschenreuter & Kleindienst 2006; Morris, P 2013; Tawse & Tabesh 2020). Further highlighted is the inability of current linear methods to cope with the process (Trad & Kalpic 2016; Waddock et al. 2015). To explore this further, this study considers significant authors in this field, in conjunction with recent research and what scholars are now calling for.

2.2.1 Williams (1999)

Williams (1999) is well known in the field of project management, particularly as it relates to the complexity inherent within the process of transformation. He highlights the need to consider structural complexity (the number and interdependence of elements) and uncertainty relating to goals and means, leading to new paradigms for complex projects. He contends that projects are becoming more complex and that traditional project methods are inadequate to manage this complexity. He explores the concept of complexity, building off the work of Baccarini (1996) and Jones and Deckro (1993), concluding that complexity in projects 'can be characterized by two dimensions, each of which has two sub-dimensions (refer to figure 2.1) (p. 271). The first is structural uncertainty which relates to the number of elements the project must contend with and the interdependence of these elements. The second acknowledges the uncertainty in goals and, therefore, due to the movement and changes with the 'goals' therefore creates a challenge (and complexity) with the associated tasks and methods that must be used. Williams further notes that uncertainty in the goal (or goals) creates a further increase in complexity of the project due to the changes required 'structurally' and the 'modelling' complexity. For this very reason he questions whether classical project management techniques are suitable for dealing with these types of projects. He concludes:

What are needed, then, are new ways of looking at modern, complex projects, new models and techniques for analysing them, new methods for managing them-in fact, new paradigms to underlie our approach to them. (p. 272)

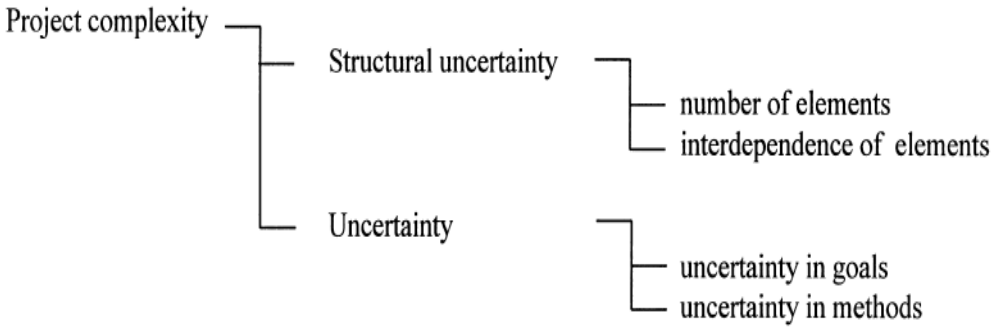

Figure 2.1. Project complexity (Williams 1999, p. 271)

2.2.2 Waddock et al. (2015)

Waddock also considers complexity, however, via the perspective of a 'wicked problem'. In considering the approach to large scale change (LSC), Waddock et al. (2015) liken the complexity involved to that of 'wicked problems'. They note that 'flexibility and agility have become a cornerstone of management theory in the twenty-first century', highlighting the increasingly interconnected and dynamic nature of this change. Large scale change (LSC), they note, 'involves multiple interrelated and connected organizations, institutions, norms and behaviors at individual, organizational, societal, and global levels' (p. 995). Wicked problems from a transformative change perspective can be 'defined by dynamic, interconnected issues that influence and are influenced by complex systems' (p. 997) in which organisations and institutions are actors within. They are also often known as 'meta-problems' (Ackoff 1974; Trist 2016; Waddock et al. 2015) and need to be considered holistically as they are dynamically complex, 'where the outcomes of changes can be seen in patterns, and/or change in the nature of the problem(s), but they are ultimately not predictable'. (p. 997)

They note that change management is only beginning to be appreciated in the context of broad systemic changes and highlight the need for this understanding to be broadened to support global changes that the world needs.

They distinguish LSC or transformational change from incremental and reform change, as detailed in Table 2.1. They note that incremental change operates within the current logic; reform allows for the revision of rules, and transformation brings in new ways of thinking, acting and relating, often involving changing the actual 'logic of organizations'. (p. 996)

Table 2.1. Types of change (Waddock et al. 2015, p. 995)

Type of change	Incremental	Reform	Transformation
Core questions	How can we do more of the same? Are we doing things right?	What rules shall we create? Who should do what? What are the rewards?	How do I make sense of this? What is the purpose? How do we know what is best?
Purpose	To improve performance	To understand and change the system and its parts	To innovate and create previously unimagined possibilities
Power and relationships	Confirms existing rules. Preserves the established power structure and relationships among actors in the system	Opens rules to revision. Suspends established power relationships; promotes authentic interactions; creates a space for genuine reform of the system	Opens issue to creation of new ways of thinking and action. Promotes transformation of relationships with whole-system awareness and identity; promotes examining deep structures that sustain the system
Action frames	Mediation	Negotiations	Visioning

In conclusion, Waddock et al. (2015) stress the need for organisational change management to recognize its position of influence in 'creating systems that support a flourishing future'. They highlight the need for change agents to expand their thinking to include broader models and systems and thereby support positive action for the future. They urge scholars and agents to

think through the cross-sectoral, inter-organisational, and transformative change dynamics involved in the types of LSC efforts' needed in today's world. (p. 1008)

2.2.3 Morris (2013; 2010; 1994)

Morris, P (2013), similar to Waddock et al. (2015), highlights the need for the perception of projects and the discipline as a whole to be expanded from how it is perceived today. He also argues that the challenges from a global perspective require new approaches to support the changes needed in society today.

In his seminal work on reconstructing project management, he reviews the background to this discipline and field of research. He argues that project management has been in existence since the beginning of time, with one only needing to look at the pyramids and other man-made examples. The late '60s and '70s saw the professional era of project management 'societies', with the mid-'80s and 1990s attracting 'a serious amount of research'. Since this time, there has been a large amount of work done on new tools and concepts to support this field. That said, he notes that 'all projects, without exception, follow the same generic development cycle' from concept to feasibility to design to execution to hand-over and Operations. A very linear process that distinguishes projects from non-projects. However, he argues that the simplicity of process phases in the project lifecycle 'masks' the criticality and challenges of the different stages.

Through the '80's more studies began to look at 'Critical Success Factors', all emphasising the need for the development of the front-end definition and a holistic, big picture perspective. In their earlier work Morris, PW and Hough (1987) looked at data on 1,653 projects and found similar sources of difficulty across projects. Amongst these were elements such as unclear

success criteria, changing sponsor strategy, and poor project definition. He notes that 'most, though not all of these factors fell outside the standard project management rubric of the time'. Based on this, they proposed that in the shaping and delivery of projects, they should be addressed as an 'organizational entity'. This, in turn, led to their work suggesting the discipline should be thought of as 'the management of projects' (Morris, P 2013, p. 8; Morris, PW & Hough 1987; Morris, PW & Morris 1994). The 'management of projects' paradigm was used as the framework for many of the project management associations today (refer to figure 2.2). The framework presented an enlarged view of the discipline, with a major focus on the shaping of project goals and front-end definition to support delivery of the project for stakeholder success. However, he also noted that 'success is a slippery word' (Morris, PW 2010, p. 140)

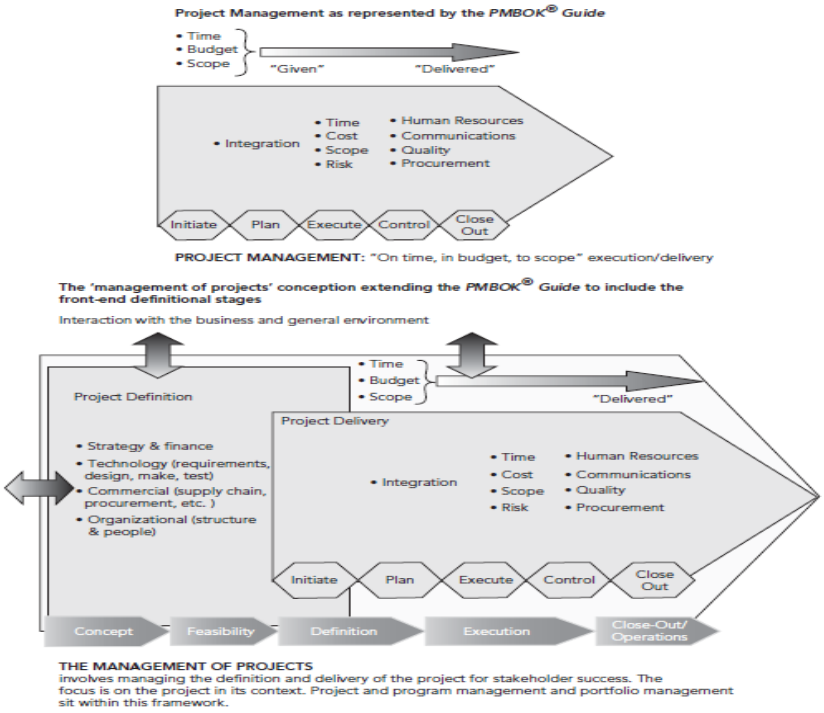

Figure 2.2. The Management of Projects (Morris, P 2013, p. 9)

Many changes have continued in this field of research, with Morris noting the influence of the 'Scandinavian School' highlighting the work of focusing on the 'actors' working on projects. Rather than studying 'what should happen, putting more focus on what is actually happening'

(Morris, P 2013; Packendorff 1995) and calling for more of this research. He also highlights the ongoing challenge of 'eliciting and managing requirements' for the project, noting constant changes within the business context create changes in the overall definition and goal scope.

In considering implications for the discipline, Morris calls for further research and work to be explored in this field, highlighting the global opportunity this presents to many of today's challenges, especially as it relates to addressing context. In shaping context, he highlights the malleable nature of project factors which can be explored by breaking the project into component parts, allowing for simplification of a complex perspective. Focusing on the next era, Morris questions the ethos of project management:

Put simply, is it to deliver on time, in budget, to scope, or is it to deliver projects successfully to the requirements of the project customer/sponsor? In essence, it has to be the latter. (p. 16)

2.2.4 Schwarz, Bouckenooghe and Vakola (2021)

Schwarz, Bouckenooghe and Vakola (2021) consider organisation change and transformation, but from the perspective of change failure. Their position stems from 'what happens when organizational change fails' (p. 159), arguing that change failure and change success are not mutually exclusive events. Taking a holistic approach to the question of process failure, they develop a framework that considers the phenomenon from three levels; the surface (context), intermediate and deep (refer to figure 2.3) to study the complexity and dynamic nature of the change. Noting that most previous research focuses on linear stage-based models of change.

Similar to Morris, P (2013), they 'define organizational change failure as an organization's deviation from goals and outcomes that are expected and desired from organizational change' (p. 162). They highlight the large array of literature on the success and failure of change but

note the lack of research that considers the complex interaction and dynamic processes that occur between the organisation, context and interactions within the process. Rather, that instead of focusing studies on 'one layer of change at a time', a framework, as presented in figure 2.3, highlights the opportunity to consider a complex phenomenon 'by focusing on the relationships and context of the elemental properties to one another' (p. 173). They ask scholars to consider using this form of approach to consider the understanding of process characteristics and the multiple dimensions of organisational and transformative change.

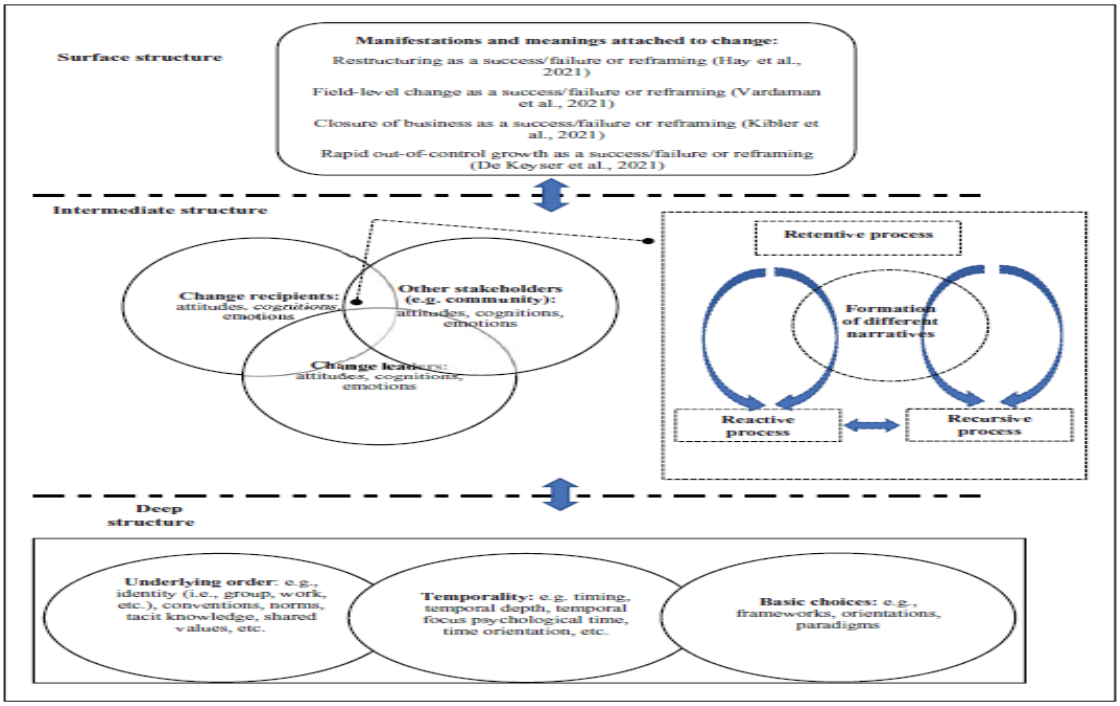

Figure 2.3. An integrative model framing the process or organizational change failure. (Schwarz, Bouckenooghe & Vakola 2021, p. 170)

2.2.5 Amoo et al. (2019)

Amoo et al. (2019) highlight the ongoing debate in relation to whether transformative strategic planning formulation and implementation should be separated or viewed together. Noting that irrespective of the standpoint, the activities that underpin these significant phases should be 'of interest to all', arguing the need to study, conceptualize and measure these albeit separately.

In considering the conceptualizing and measuring of strategy implementation, they highlight that most of the literature in this field has focused on strategy making even though implementation is considered the biggest challenge. Quoting Hambrick and Cannella Jr (1989), 'without successful implementation, a strategy (plan) is but a fantasy' (p. 445). Their research highlights the lack of comprehensive studies in this field, noting that implementation involves 'highly complex tasks' and the need to consider a 'multidimensional measure' to represent the construct. Building on the works of Hrebiniak (2006) and Noble (1999), they consider and conceptualise implementation 'as a complex and multifaceted organizational process'. They argue that applying a diverse array of variables to develop a construct supports 'greater breadth' and provides 'a holistic representation of complex phenomena' (p. 447). They position strategy implementation as:

The realization, execution, or putting into action of the organization's strategy through programmes, projects or tasks. Strategy implementation is concerned with the translation of strategy into organizational actions through organizational structure and design, resource planning and allocation, and the management of strategic change. (p. 448).

Their research, focusing on the conceptualizing and measuring of strategy implementation, highlighted the need to use multidimensional measures to provide greater insight into complex phenomena, especially organisational concepts. They also note that evidence from the study

shows that rather than seeing implementation as a 'response to an emerging strategy, organizations should recognise it as a 'set of activities on which they place higher emphasis' (p. 458). They call on scholars to further build from this model, noting its limitations to the variables included in the conceptual framework. They highlight that other factors would provide insights across more dimensions and call for more work in this field.

2.2.6 Tawse and Tabesh (2020)

Acknowledging the importance of strategic implementation, Tawse and Tabesh (2020) study undertakes a systematic literature review highlighting the critical nature of this process to support transformation and potential competitive advantage for organisations.

The focus of their research was to derive an integrative framework that considers three components of strategic implementation, considering

1. *Actions* of managers influencing the implementation
2. *Conditions* necessary for effective implementation
3. *Dynamic managerial capabilities* to enact the actions required.

They highlight that whilst research has highlighted the critical nature of implementation, it continues to remain a '*black box'* highlighting the hidden nature of this process and activity. They argue that strategy implementation has not received the same level of attention as strategic decision making and planning, also highlighting that 'there exists no consolidated explanation of the processes that link the broad range of managerial actions to strategic implementation' (p. 2). The highlight the increased call for attention to the topic (de Oliveira, Carneiro & Esteves 2019; Greer, Lusch & Hitt 2017) and that strategic implementation is now listed as one of the 'top emergent topics in strategic management and organization theory

literature' (Kastanakis et al. 2019). Their study notes the plurality of this field of research, highlighting the various paradigms that overlap with the strategic implementation process, including the temporal aspects of the process, organisational development and change, and organizational design theory. They conclude their study with a framework for strategic implementation, based on managerial actions, and capabilities, however they note the need for continued focused research in this field, stating:

A better understanding of the many factors that contribute to implementation process should be at the center of attention in future strategy process research. (p. 10)

2.3 Summary

This chapter focuses on the relevant literature that binds with this research. It highlights the many different paradigms that the subject of implementing transformative change has been viewed through, with more recent studies highlighting the need for the use of systems theory, acknowledging the complex nature of this process. The literature continues to depict the constant failure to implement transformative solutions (Amoo et al. 2019; Schwarz, Bouckenooghe & Vakola 2021; Tawse & Tabesh 2020), highlighting the complexity of the process, often noting it as a 'wicked problem' (Waddock et al. 2015; Williams 1999) whilst others point to the hidden and unpredictable nature of this process (Amoo et al. 2019; Morris, P 2013; Tawse & Tabesh 2020) and the dynamic nature of the environment within which it must be delivered (Morris, P 2013; Teece 2018a; Waddock 2020; Waddock et al. 2015). This has led us to explore this gap within the existing literature, focusing on the research question '*What is the process of implementing transformative change in today's business environment?'*.

CHAPTER 3 THEORETICAL FRAMEWORK

3.1 Introduction

This chapter considers and discusses the theoretical framework that will underpin this study. It begins by discussing the background to project management as an academic discipline and the various debates in relation to the main theoretical foundations. It considers the pluralistic nature of this field and recent research that should be considered when reviewing the theoretical nature of this study. This framework then becomes the 'structure and scaffolding' for this study (Merriam 1998; Rocco & Plakhotnik 2009).

3.2 Discussion

A theoretical framework and construct will help guide this study and support answering the research question. Implementing transformative change takes its initial roots from project management which has often been explored via organisational theory. While organisation theory is considered a new field, it has been built on by many different disciplines throughout the years, influenced by some of history's great thinkers (Hatch 2018). Project management has grown from a practitioner-driven domain in the 1990s to an academic discipline (Sydow & Braun 2018); however, the relatively short nature of existence has meant ongoing debates in relation to the main theoretical foundations that underpin this discipline (Morris, PW 2002; Oyegoke 2011; Packendorff 1995; Shenhar & Dvir 2007; Söderlund 2004). Pollack (2007) notes the continuing question of underlying theories and principles for project management and highlights that appropriateness in one context does not mean appropriateness in all (p. 270). Oyegoke (2011) and Söderlund (2004) conclude that 'project management seems to be a field with the potential for bringing different disciplines to focus on a focal phenomenon of study'. Morris, P (2013) reinforced this with his view that topic (project) focus is often considered

through various discipline areas, thereby leading to different theoretical views (refer to table 3.1).

Table 3.1. Project management topics (Morris, P 2013, p. 14)

Project Management Topic Area	Project Management Topics	General Discipline Areas
Governance and strategy	Goals, strategy [sponsor's/project's], portfolio management, program management, innovation, stakeholder management, reviews/audits, value management, risk management, quality management, learning	Strategy, law, psychology, risk, management
Technical definition	Requirements management/interface with systems engineering, design management, build, testing, [I]V&V, RAD, CAD/CAE/CAM, technology [maturity], R&D, manufacturing	Systems engineering, technology, ICT, engineering management
Commercial	Finance, joint ventures, acquisition and contracting strategy, partnering, contract administration, procurement	Finance, economics, law, management
Control	Scope (PBS, WBS), change management, configuration management, scheduling, critical path, fast tracking, concurrent engineering, estimating, resourcing, critical chain, last planner, cost management, performance measurement, benefits management, project management methodologies, ICT, Asset models	Cybernetics, General Systems Theory, economics, ICT
Organization	Project life cycle, RACI, integration/differentiation, project/functional/matrix structure, matrix swing, stage gates, concurrent engineering, PMO, organizational capabilities, maturity modelling, social/organizational network analysis, contingency theory, organizational learning, institutional theory	Social science, organization theory, psychology, management, engineering management
People	Teams, leadership, stakeholder management, culture, competencies, communications, trust, emotional intelligence, influencing and negotiating, conflict management, decision-making, delegation and empowerment, motivating	Social science, psychology, organization theory, management

As Söderlund (2004) notes, *'The professional field of project management today is diverse, multifaceted and contradictory' (p. 183).* They note the varied and cross-disciplinary character of this field of research, highlighting participants from 'psychology, pedagogy, business administration, organization theory, industrial engineering and sociology.' They argue that the field has the potential to bring these different disciplines together to 'focus on a focal phenomenon of study' such as projects.

As highlighted earlier with Williams (1999) and Waddock et al. (2015), approaching the study of projects via Complexity theory has become increasingly popular (Daniel & Daniel 2018; De Toni & Pessot 2020; Dekker 2016; Lowell 2016). Daniel and Daniel (2018) note that most project studies using complexity approach this via two perspectives, 'structural complexity and dynamic complexity' (p. 186). They also note that complexity science is often contrasted with Newtonian science, highlighting the 'contradictions between the 'old mind set' and 'new thinking'.

Padalkar and Gopinath (2016b), in their research covering *'Six decades of project management research',* consider the thematic perspective of the studies across four main elements: (1) Deterministic; (2) Seeking explanations; (3) Non-deterministic; (4) General themes. They highlight the diffuse and multi-disciplinary nature of this field. Their research questions focus on the themes that have characterized the project management research over the past decades, how the themes are reflected in research, current themes and directions for future research. Their findings highlight that from the early '60s, research has been 'characterized by deterministic theme's which has seen a peak during the early '80s and continues at a reduced pace' (p. 1308). Over 2000 – 2015, the major themes have focused on project strategy and knowledge management (refer to figure 3.1).

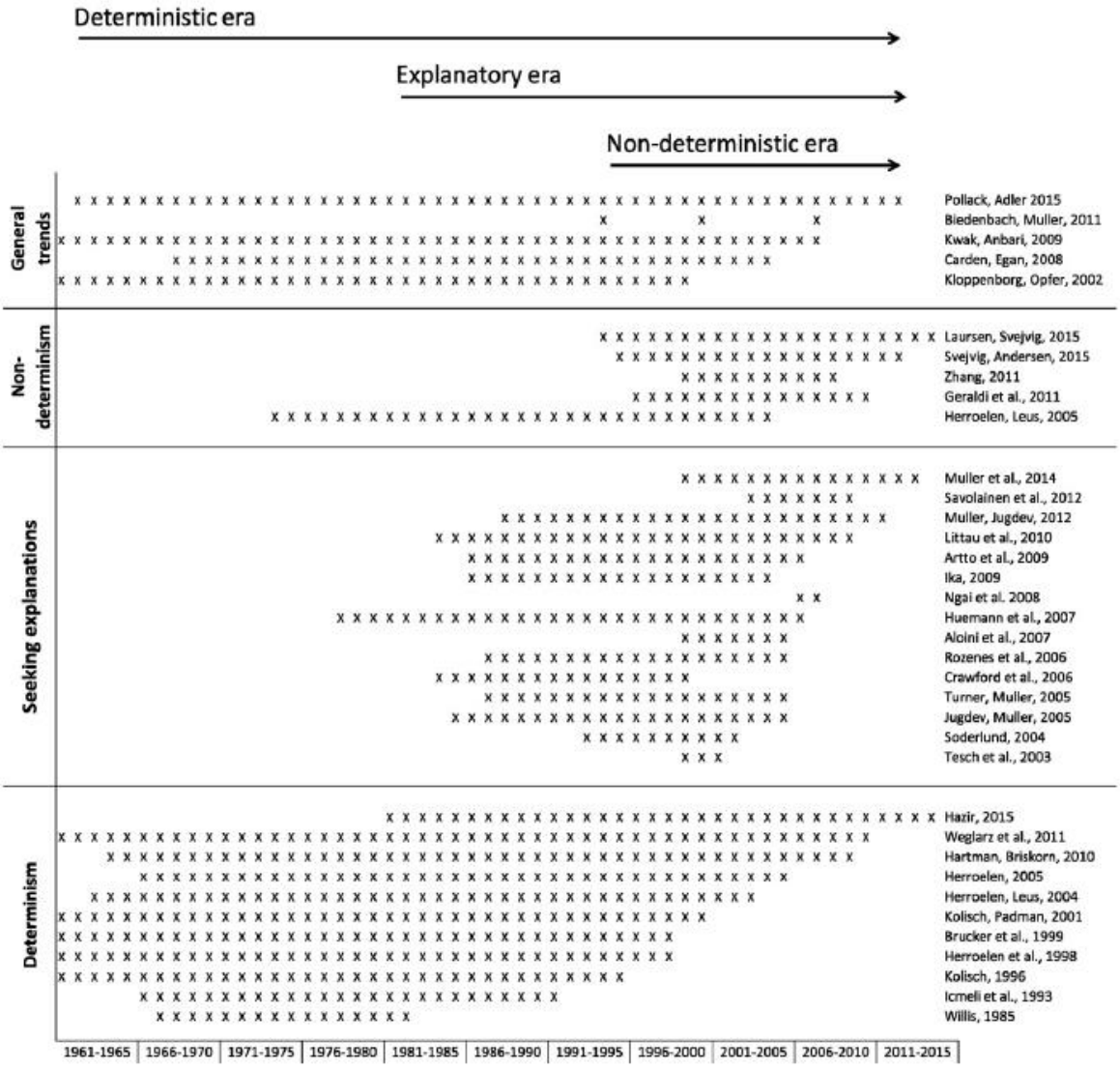

Figure 3.1. Timeline view of the literature reviews (Padalkar & Gopinath 2016b, p. 1309)

The mid-'80s shows a move towards more explanatory themes. Research under this perspective 'addresses a large number of themes such as success factors, performance management and project methods. They note the 'non-deterministic perspective is the smallest of the three' and predominantly deals with risk management, project complexity and project uncertainty' also highlighting that interdependence with project environments and external contexts are addressed under this perspective. They argue that 'theory building in project management requires the adoption of the non-deterministic perspective', calling for more

enquiry using this perspective, noting that this will offer 'more insightful results' (p. 1316). Morris's theoretical framework, 'Management of Projects', also acknowledges the non-deterministic nature of projects (2013; 1994), providing the ability to explore component parts whilst allowing for simplification of a complex perspective.

When considering organisational change failure and the associated process, Schwarz, Bouckenooghe and Vakola (2021) highlight the large array of literature on success and failure but note the lack of research that considers the complex interaction and dynamic processes that occur between the organisation, context and interactions within the process. Rather, that instead of focusing studies on 'one layer of change at a time', the phenomenon should be explored 'by focusing on the relationships and context of the elemental properties to one another' (p. 173). The recognition of the multi-dimensional nature of this process and the complexity inherent within it has now seen more scholars calling for the use of systems theory as a framework to help understand complex, dynamic, and in many ways 'wicked problems' (Grewatsch, Kennedy & Bansal 2021; Teece 2018b; Waddock 2020). Teece (2018b) notes that 'systems theory is an underexplored construct', further highlighting that it is a 'framework that was devised to enable a holistic approach to the investigation of phenomena across a range of disciplines' (p. 360). Its most obvious feature being the holistic view, does not remove the need to study individual elements that comprise the phenomena within its environment. Grewatsch, Kennedy and Bansal (2021), in relation to systems thinking, note the need to 'reduce complexity, focusing on the significant variables that explain the salient outcomes' (p. 1). They request scholars to widen their theoretical lens by (1) 'investigating co-evolutionary dynamics, rather than static models, (2) advancing processual insights rather than favouring causal identification, and (3) recognizing tipping points and transformative change rather than assuming linear monotonic changes' (p. 1).

Acknowledging the pluralistic nature of this field, the theoretical framework for this study is underpinned by Morris's 'Management of Projects'. It also acknowledges the more recent research calling for a focus on the non-deterministic perspective (Padalkar & Gopinath 2016b) and the investigation into elemental properties and component parts of the phenomena (Schwarz, Bouckenooghe & Vakola 2021; Teece 2018b). Finally, it recognises the call for more research using systems thinking (Grewatsch, Kennedy & Bansal 2021; Teece 2018b). Building off the Management of Projects framework, this study also explores the research question by integrating Grewatsch, Kennedy and Bansal (2021) framework, which highlights the dynamic nature of the process and recognises the non-linear nature of transformative change. It considers three significant elements that the literature highlights as important and their associated relationship, further building on the call from Schwarz, Bouckenooghe and Vakola (2021) (refer table 3.2).

Table 3.2. Overview of theoretical discussion and future focus request used for this research

Theoretical Discussion	Future Focus Request	Reference
A review of project management thematic studies over six decades.	More studies are required using a non-deterministic perspective. This will offer more insightful results	(Padalkar & Gopinath 2016a)
Management of Projects (MoP) theoretical framework	Ability to use MoP framework to explore component parts, allowing for simplification of a complex perspective.	(Morris, P 2013; Morris, PW & Morris 1994)
Considers the complex interaction and dynamic process that occurs in organisational settings.	Focus on the relationships and context of the elemental properties to one another	(Schwarz, Bouckenooghe & Vakola 2021)
The use of dynamic capabilities and systems theory within management systems.	The use of systems theory enables a holistic approach to investigate phenomena. The opportunity to study individual elements that comprise the phenomena within its environment	(Teece 2018b)
Provides a framework for investigating the dynamic nature of the process, considering the processual insights and recognizing the non-linear nature of transformative change	Use of systems thinking to reduce complexity and focus on significant variables that explain the salient outcomes. Calls for more research that investigate co-evolutionary dynamics, rather than static models, (2) advances processual insights rather than favouring causal identification, and (3) recognises tipping points and transformative change rather than assuming linear monotonic changes'	(Grewatsch, Kennedy & Bansal 2021)

3.3 Summary

This chapter focused on recent literature discussing the theoretical framework relating to project management and transformational change. It highlighted the pluralistic nature of this field and the diverse disciplines they span. The study will build off Morris's MoP framework to explore component parts of this complex field. At the same time, it also acknowledges and integrates the call for more non-deterministic perspectives in research (Padalkar & Gopinath 2016b) and the consideration of the use of systems thinking to reduce complexity and focus on significant variables that explain the salient outcomes (Grewatsch, Kennedy & Bansal 2021;

Schwarz, Bouckenooghe & Vakola 2021; Teece 2018b). As Rocco and Plakhotnik (2009) note *'a theoretical framework synthesizes existing theories and related concepts to develop a foundation for new theory development' (p. 127).*

CHAPTER 4: RESEARCH AIM AND CONCEPTUAL FRAMEWORK

4.1 Introduction

This chapter considers the overall research aim of this study and the associated research question. Building off Morris's 'Management of Project', a conceptual framework is presented that will support the study. As Miles and Huberman (1994) highlight, 'the goal of a conceptual framework is to categorize and describe concepts relevant to the study and map relationships among them' (p. 22). The sub-questions are then aligned with three themes that literature highlights as important when considering the implementation process, goal definition, planning design and delivery management. This chapter then brings together the overall foundation and construct for the research (Creswell, John W. & Creswell 2018; Rocco & Plakhotnik 2009).

4.2 Research Aim

The aim of this study is to explore the process of implementing transformative change in today's business environment. This aim reflects concern over the constant failures to implement and operationalise transformative change (Amoo et al. 2019; Cha, Newman & Winch 2018; Tawse & Tabesh 2020; Ul Musawir et al. 2017), often linked to the inability of current methods to manage the non-linear and dynamic nature of the environment, and the hidden factors involved in the process (Hutzschenreuter & Kleindienst 2006; Morris, P 2013; Tawse & Tabesh 2020). As Morris, P (2013) notes,

Many academic researchers are primarily interested in projects as examples of temporary organizations, rather than in questions about building a discipline for the delivery of goals (p. 6).

4.3 Research Question and Sub-questions

To achieve the research aim, the study focuses on the research question (RQ) '*What is the process of implementing transformative change in today's business environment?'.*

Building on Morris, P (2013) 'Management of Projects' framework, this question will be explored via three themes that literature highlights as important to implement transformative change; *Goal Definition* (Amoo et al. 2019; Foss & Saebi 2017; Mintzberg 1994; Morris, P 2013; Zott, Amit & Massa 2011); *Planning Design* (Amoo et al. 2019; Beckhard & Harris 1977; Cha, Newman & Winch 2018; Levy & Merry 1986; Morris, P 2013) and *Delivery Management* (Cha, Newman & Winch 2018; Morris, P 2013; Teece 2018a; Ul Musawir et al. 2017) (refer Table 4.1). As Bougie and Sekaran (2016) note:

A good theoretical framework identifies and defines the important variables in the situation that are relevant to the problem and subsequently describes and explains the interconnections among these variables. (p. 82)

Table 4.1. Characteristics of the three elements under investigation

Dimension	Description	Key references
Goal Definition	Articulating and defining the future-state goal is a significant element of any form of strategic or transformative change. In this study, we refer to the 'Target Operating Model' (TOM); recognising the 'target' is the defined goal, with the 'operating model', highlighting the need for the solution to be able to be operationalised at a 'system' or 'organisational' level.	(Amoo et al. 2019; Foss & Saebi 2017; Mintzberg 1994; Morris, P 2013; Zott, Amit & Massa 2011)

Planning Design	The planning element designs the pathway for implementing the transformative solution. It details the requirements and activities to move from a current-state model to a new future state.	(Amoo et al. 2019; Beckhard & Harris 1977; Cha, Newman & Winch 2018; Levy & Merry 1986; Morris, P 2013)
Delivery Management	Delivery management involves the activities required to ensure the implementation process can be executed to deliver the transformative solution, the future state model.	(Cha, Newman & Winch 2018; Morris, P 2013; Teece 2018a; Ul Musawir et al. 2017).

The research question will be explored via three sub-questions that are aligned with these elements:

RQ1. Goal Definition - What is the process undertaken to define the goal for implementation?

RQ2. Planning Design - What analysis is completed to design the transition planning from the current state model to the future state model?

RQ3. Delivery Management - What is the relationship of the identified elements to support and guide the implementation of the future state model?

RQ3 also considers the relationship of the elements with the null hypothesis (H0), being that there is no relationship between these variables. The alternative hypothesis (H1) considered is that there is a relationship across the elements.

4.4 Conceptual Framework

A conceptual framework (refer to figure 4.1) adapted from Morris, P (2013) 'The management of projects' will be utilised to guide the study. As Cha, Newman and Winch (2018) highlight, this framework involves the management of the definition and delivery of the transformation

with a focus on the context that it must be delivered within. The framework extends the model proposed by Morris, exploring the conceptualisation of the transformative goal, to a defined target operating model (TOM), then delving into the analysis and planning that supports the transition from the current state to the future state. This study builds on Grewatsch, Kennedy and Bansal (2021) theoretical framework, investigating the dynamic nature of the process, which considers the processual insights, whilst recognising the non-linear nature of the transformative change. It takes a holistic perspective to the implementation process, noting the need to consider the elements within this process from the viewpoint of the actors (practitioners) involved.

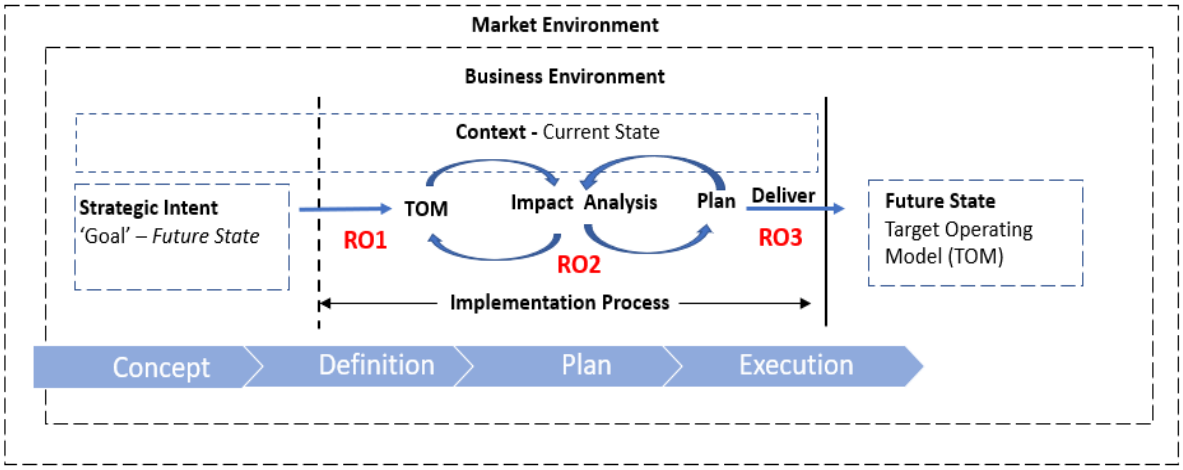

Figure 4.1. Conceptual Framework - Adapted from Morris, P (2013) 'The management of projects'

The conceptual framework aligns with Cicmil et al. (2006) study on rethinking project management, focusing on 'researching the actuality of projects'. They argue that while there is a great deal of research on traditional project management, very little is known about the 'actuality' of project-based working and management. They consider 'project actuality' to encompass the 'understanding of the lived experience of organisational members with work

and life in their local project environments' (p. 676). They note that this form of research provides the ability to understand the lived experience of project 'actors', to understand what is actually happening within the context of the project environment.

4.5 Research Objectives

The following research objectives (RO) are outlined to meet the aim of this study:

RO1 – Explore how change practitioners approach the goal definition for transformative change.

RO2 – Examine the process applied by practitioners to design the transition planning.

RO3 – Develop a framework to manage and implement the new transformative model.

Research objective one (RO1) explores the approach to define the new transformative state into a model that can be operationalised. This definition then becomes the detailed 'Target Operating Model' (TOM), the future state goal that considers all elements required to implement the new transformative state (Amoo et al. 2019; Dekker 2016; Mintzberg & Waters 1985; Morris, P 2013). The need to articulate the strategic goal to a definition that can then be operationalised is not something new. Mintzberg and Waters (1985), for example, noted that implementing (planned) strategic change relies on 'clear and articulated intentions'; with Morris, P (2013) noting the 'difficulty of eliciting and managing requirements' lies at the heart of managing change programs.

Research objective two (RO2) examines how the impact analysis between current-state and future-state is undertaken to support the transition planning design (Amoo et al. 2019; Beckhard & Harris 1977; Dekker 2016; Foss & Saebi 2017). It explores the impact of the environmental changes on the TOM and the need to constantly reassess planning based on

these changes (Dekker 2016; Levy & Merry 1986; Schwarz, Bouckenooghe & Vakola 2021; Teece 2018a).

Research objective three (RO3) considers the relationship of the elements under investigation, with a further focus on capability and governance. It explores the relationship between the TOM, planning and delivery aspects of implementing transformative change within the business context (Morris, P 2013; Schwarz, Bouckenooghe & Vakola 2021; Tawse & Tabesh 2020; Teece 2018a; Ul Musawir et al. 2017).

4.6 Summary

This chapter presents the overall research aim of the study, aligned with the research question. It establishes a conceptual framework that will support the study and associated research question, sub-questions and overall research objectives. This provides the foundation and constructs for the overall study, providing a reference point for the interpretation of the findings (Merriam 1998; Rocco & Plakhotnik 2009).

CHAPTER 5: METHODOLOGY

5.1 Introduction

The previous chapters have covered the literature relevant to this study, along with the theoretical and conceptual framework that the research has been constructed upon. This chapter considers the overarching methodology for the research considering the philosophical worldview that underpins the study. It introduces the background to project management from a methodology perspective. This section discusses the various views focused on 'hard' factors and 'soft' factors and the recognition that the field is often described as pluralistic. Following this, the associated design is discussed, detailing the methods used, the rationale for these methods and the associated application of this in relation to sampling, data collection and analysis.

5.2 Pragmatic Worldview

Important to any form of research, as Creswell, John W. and Creswell (2018) note, is the philosophical assumption that underpins the study. It helps inform the research design, connecting the worldview, research design and method (refer to figure 5.1).

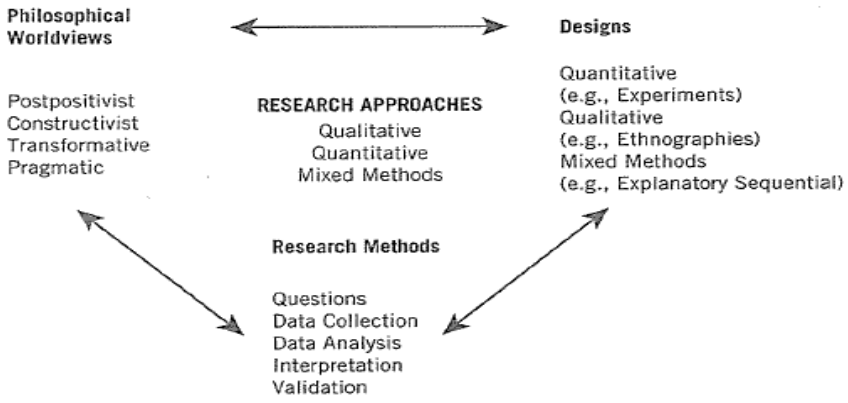

Figure 5.1. A framework for research – The interconnection of Worldviews, Design and Research Methods (Creswell, John W. & Creswell 2018, p. 5).

When considering the worldview for this study, previous scholarly work has been considered. Initial research in project management delivering transformative change focused on the traditional 'hard' factors, like the right methodologies and controls, but more recently, the 'soft' factors such as leadership have been gaining more attention (Davies & Brady 2016; Morris, PW 2010; Söderlund 2005). Pollack (2007) notes that project management is often approached via the problem solving and problem-structuring methodologies, which are often based on both the hard and soft paradigms. This is often researched via a functionalist paradigm (hard), the problem-solving approach, which 'is commonly associated with a positivist epistemology, deductive reasoning and quantitative or reductionist techniques' (p. 267). He notes that 'methodologies developed under the hard paradigm consistently assume clear and stable goals' (p. 269). Problem-solving approaches based on the hard paradigm do not generally address goal definition and require projects to be delivered in relatively stable environments (Pollack 2007). When the goals are not firmly defined and require problem-structuring approaches, the approach is often via the soft paradigm, which is commonly associated with constructive and interpretive epistemology (Morris, PW 2002; Oyegoke 2011; Pollack 2007).

There is no doubt that each of the various worldviews offers unique insights (refer to table 5.1). However, the Pragmatic Worldview, as Creswell highlights, has the ability to consider '*actions, situations, and consequences rather than antecedent conditions (as in post positivism)*' (2018, p. 10). They further note, '*Pragmatism has a focus on the consequences of actions; it is problem-centred, pluralistic, and real-world oriented*.' (2018, p. 27)

Table 5.1. Four Worldviews (Creswell, John W. & Creswell 2018, p. 6)

Postpositivism	**Constructivism**
• Determination • Reductionism • Empirical observation and measurement • Theory verification	• Understanding • Multiple participant meanings • Social and historical construction • Theory generation
Transformative	**Pragmatism**
• Political • Power and justice oriented • Collaborative • Change-oriented	• Consequences of actions • Problem-centered • Pluralistic • Real-world practice oriented

The Pragmatic Worldview provides the philosophical orientation for this research, noting the following elements adapted from Creswell, John W. and Creswell (2018, p. 10)

- Pragmatism is not committed to any one system of philosophy and reality. This especially relates to mixed methods research.
- Researchers have freedom of choice in the way they choose the methods, techniques and procedures.
- Pragmatists do not see the world as an absolute unity.
- Truth is what works at the time. In mixed methods research, both quantitative and qualitative data is used to provide the best understanding of a research problem.
- Researchers look to the *what* and *how* to research based on the consequences, ensuring a rationale for the reasons to mix.
- Research always occurs in social, historical, political and other contexts.
- Pragmatism, for the mixed methods researcher, opens the door to multiple methods, different worldviews and assumptions, as well as different forms of data collection and analysis.

This study follows a pragmatic mixed-methods approach, delving into insights from practitioners involved with transformative change.

5.3 Research Design

When considering the research design for this study, it was important to consider the overall research question being focused upon. As Creswell, John W. and Creswell (2018) highlight, qualitative research is helpful when a 'concept or phenomenon needs to be explored and understood', whereas quantitative methods may consider the factors that influence an outcome. Mixed methods however bring the benefits of both these factors, which in the case of this study provides deeper insight.

The implementation process (the focus of this study) is often considered hidden and masked. Therefore, exploring this phenomenon via a qualitative method supports the ability to delve deeply into the process to provide in-depth insights. The key elements of the process are known, but the quality of the inputs and relationship of the elements is not, thereby lending itself to quantitative research. Therefore, applying a mixed methods approach that utilises both quantitative and qualitative analysis will provide greater insights to this study and is appropriate for transformative change research (Easterby-Smith et al. 2018; Morris, PW 2002; Oyegoke 2011; Pettigrew, AM 1992). The mixed-methods approach supports the collection of both quantitative and qualitative data, with the ability to triangulate the overall results. This is a well-accepted approach for social science and business research (Creswell, John W. & Creswell 2018; Saunders 2011; Tashakkori & Teddlie 2010).

A concurrent transformative design was selected for this study (refer to figure 5.2). It provides the opportunity to use two different methods to then converge and corroborate findings (Creswell, John W 2008). The design is guided by the conceptual framework and provides the ability to concurrently compile quantitative (Quant) data from an online survey; whilst also

delving deeply into the ‘how’, ‘what’ and ‘why’ elements through semi-structured interviews; the qualitative (Qual) data.

A concurrent mixed methods study provides an ability to triangulate both quantitative (broad numeric trends) and qualitative (detailed views) data. As Creswell, John W and Clark (2017) highlight;

Triangulations can capture a more complete, holistic and contextual portrayal of the study. It can be used to examine the same phenomenon from multiple perspectives to enrich the understanding (p. 109).

Whilst there are strengths to this model, there are also limitations that must be recognised. These include the expertise required to study a phenomenon with different methods and the difficulty of comparing results using data of different forms (Creswell, John W & Clark 2017). To minimise these issues as much as possible, the methods chosen were selected to provide specific insights that could provide a comparison. The major input for the study is provided via the qualitative semi-structured interviews, which enables the ability to delve deeply into the ‘masked and hidden’ nature of the implementation process through the lived experience of the change practitioners. Whilst this information was gathered, an online survey was conducted to gather information in relation to the quality of articulation of the identified elements. This provides the opportunity to correlate the findings from the Quant study against the findings from the Qual study. The questions and alignment are driven by the conceptual framework guiding this study.

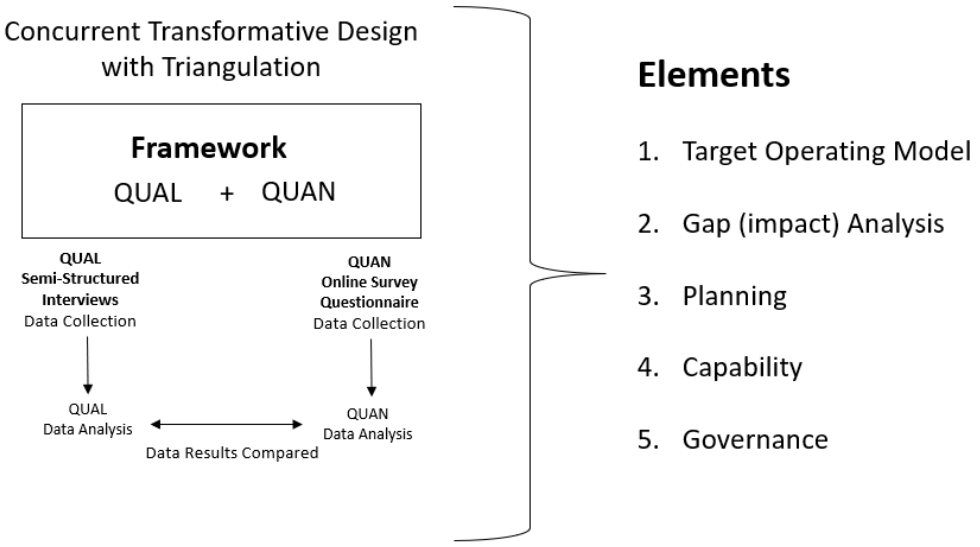

Figure 5.2: Concurrent transformative design with triangulation. Clark & Creswell (2008)

5.4 Sampling

The sampling technique applied to this study forms a significant step in the process, helping 'inform the quality of inferences made by the researcher that stem from the underlying findings.' (Onwuegbuzie & Collins 2007, p. 281) The steps involved in mixed methods sampling, however, is often more complex than other studies. As Onwuegbuzie and Collins (2007) highlight, there are 'seven distinct steps' this should follow. Firstly, the process begins with the initial goal of the study. This is then followed by the formulation of the research objectives, which helps determine the research purpose, which then leads to the research questions. From here the research design is applied which then informs the sampling design and sampling scheme (refer figure 5.3)

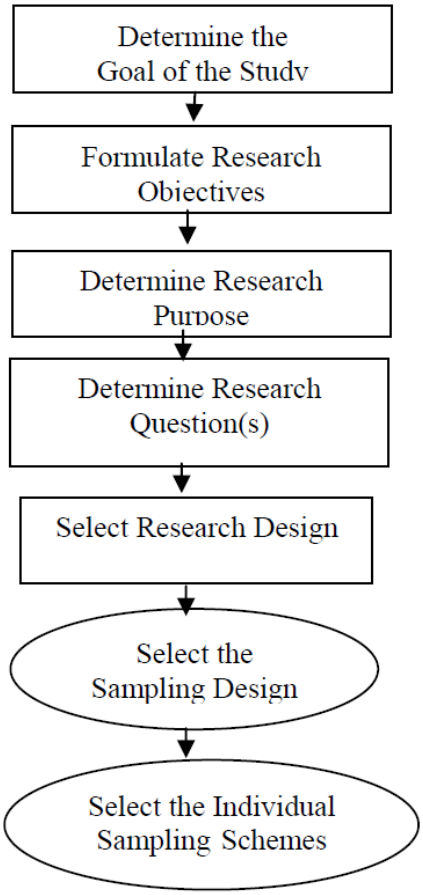

Figure 5.3. Steps in the mixed methods sampling process (Onwuegbuzie & Collins 2007, p. 291)

To determine the mixed methods sampling design, Onwuegbuzie and Collins (2007) note two criteria that should be applied. Firstly, the time orientation aspect is confirmed, which in this study is concurrent rather than sequential. Secondly, the relationship must be identified, which may be 'identical, parallel, nested, or multilevel' (p. 292). For this study the sample will be a parallel relationship, recognising the samples for the qualitative and quantitative components of the research are different, but drawn from the same population of interest. Applying their 'Two-dimensional mixed methods sampling model' (refer figure 5.4) supports the identification of the sampling scheme and sample size.

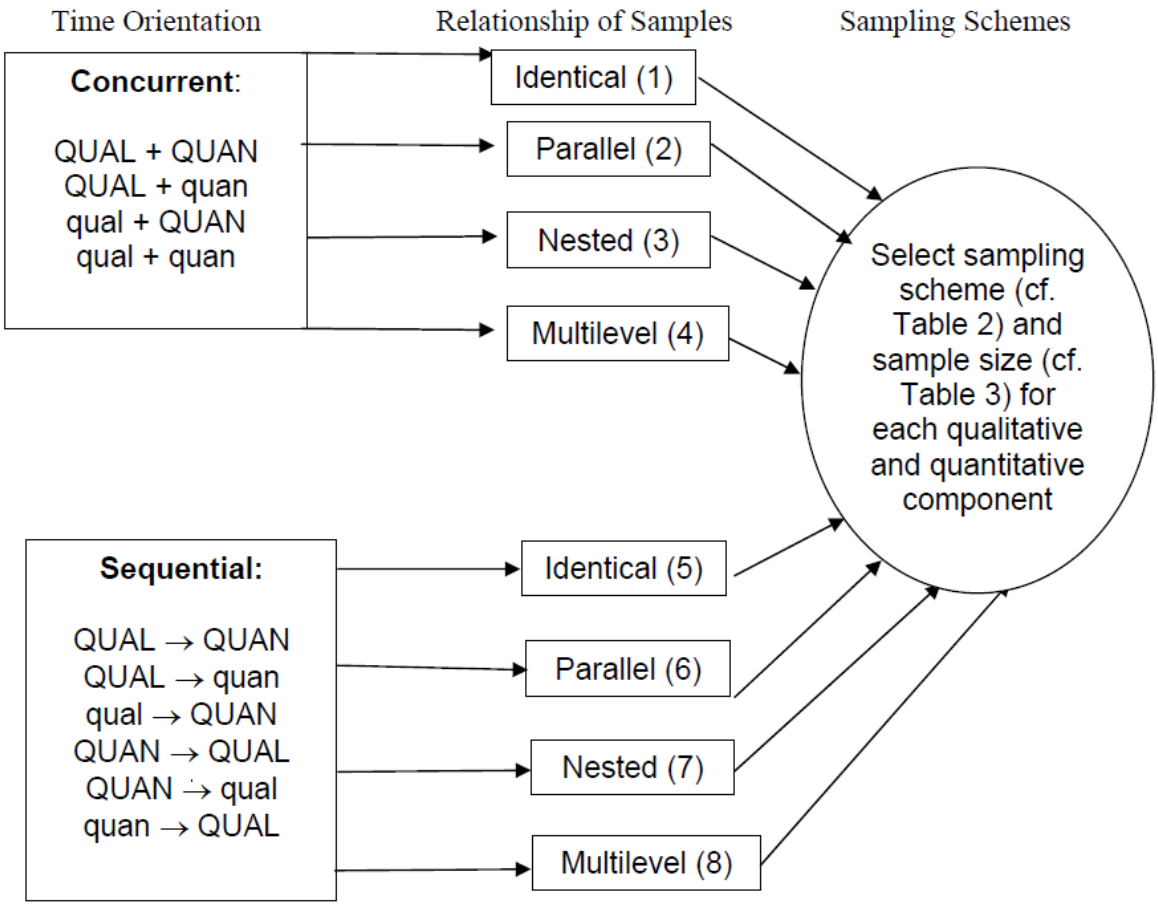

Figure 5.4. Two-dimensional mixed methods sampling model providing a typology of mixed methods sampling designs. (Onwuegbuzie & Collins 2007, p. 294)

In considering the sampling, Onwuegbuzie and Collins (2007) suggest that if the goal is to 'obtain insights into a phenomenon' then the 'researcher purposefully selects individuals, groups and settings that maximize the understanding of the underlying phenomenon' (p. 287). For this study, the sampling scheme involved 'convenience and snowball sampling' for the interviews. The online survey, however, used probability sampling that supports the ability to generalise the findings from the population; in this case, 'simple sampling' was used. The minimum sample size was then applied to the sampling scheme (refer table 5.2).

Table 5.2. Sampling Scheme and Sample Size

Sampling Method	Sampling Scheme	Description	Minimum Sample Size
Interviews	Convenience and Snowball	Convenience: Choosing settings, groups, and/or individuals that are conveniently available and willing to participate in the study. (Onwuegbuzie & Collins 2007, p. 285) Snowball: Participants are aksed to recruit individuals to join the study. (Onwuegbuzie & Collins 2007, p. 286)	< 10 Interviews (Creswell, John W 1999)
Online Survey	Simple	Every individual in the sampling frame (i.e. desired population) has an equal and independent chance of being chosen for the study. (Onwuegbuzie & Collins 2007, p. 286)	370 responses. (based on a confidence level of 95% and a margin of error of 5%) (Saunders 2011)

Onwuegbuzie and Collins (2007) highlight that there are often challenges to mixed methods research relating to representation, legitimation, integration and politics. Truthfulness and reliability are also aspects of sampling that must be considered as well. Within this study, we have done our best to reduce these challenges by recognising these with our approach to sampling (refer table 5.3).

Table 5.3. Minimising challenge impact.

Challenge	Minimising impact
Representation	Ensured that each of the sampling schemes had an appropriate and credible minimum sampling size.
Legitimation	By applying two modes of analysis, enables the ability to cross-reference aspects of the study. Each mode of analysis has also identified the threats to the validity within it.
Integration	Recognising the challenges with the integration of data, we have constantly referred this back to the overall research goal, objective and questions, aligning this also with the sampling design and schemes.
Politics	Recognising the tensions of combining both forms of analysis and potential conflicts, we believe that the sample design attempts to minimise this challenge as much as possible.
Truthfulness	Recognising the challenges with this aspect of analysis, the use of the convergent and triangulation method helps minimise this issue.
Reliability	The use of a constant and comparative method with the ability to converge and triangulate results helps reduce this issue.

5.5 Participants

To gain insight and knowledge on the implementation process and research questions, change practitioners across Australia and New Zealand were targeted. This was undertaken via an online survey of change practitioners across Australia and New Zealand, whilst concurrently semi-structured interviews were completed with practitioners involved in leading large-scale strategic and transformative change. The practitioners provide real-world experience and, as Cicmil et al. (2006) argues, insights into the 'actuality of projects and the associated processes'.

5.6 Method and Analysis

5.6.1 Qualitative Analysis – Semi-Structured Interviews

Eleven semi-structured interviews were completed with Change Practitioners to explore 'why', 'what' and 'how' they approached and managed strategic change and transformation. Convenience sampling was utilised for the interview with participants approached initially via email and LinkedIn with requests to participate in the study. They were specifically selected based on their background and experience in leading large transformation programs using LinkedIn search functions. A 'snowballing' technique was also used by asking the participants whether they knew of other practitioners that could be invited to take part in the survey. Of the eleven interviews, three practitioners were recruited using the snowball technique. Whilst the practitioners were based across Australia and New Zealand, many had global experience of leading strategic change and transformation programs.

The format of the interviews was adapted from Pettigrew, A & Whipp (1992) and Stetler et al. (2007) questionnaire focusing on the *Why*, *What* and *How* the transformative change was undertaken with a specific focus on the five identified elements and how these were approached

to support execution of the implementation process (refer appendix 5.1). The approach utilised both deductive and inductive methods within the questioning to delve deeper into specific areas whilst also gathering data across the themes that could then be correlated with the online survey. These questions provide an opportunity to delve deeper into each of the answers to provide even further insight and discovery across emerging themes. This is an appropriate approach to a semi-structured interview (Bluhm et al. 2011; Easterby-Smith et al. 2018; Saunders 2011).

Prior to the beginning of the interviews, all participants were sent information in relation to the study (refer to appendix 5.2) that explained the project and what the participant was being asked to do. The information also noted how the information would be used and any potential risks associated with participating. The interviews were then scheduled (virtually) with all the participants over a 1-hour time slot. The interviews were recorded, with permission from the participant, with all participants providing consent to the study and use of the information prior to the interview beginning. Written consent forms were also obtained from all participants (refer to appendix 5.3).

The interviews began with initial background questions from the participants. These questions were the same descriptive questions used in the online survey for comparative reasons. The questions detailed the role of the participant, their background in relation to work and industry experience, as well as the length of time being involved with transformative change. Participants were also asked whether they had completed any formal training in relation to project or change management. Once the initial background data had been captured, the interview moved to a more detailed discussion in relation to transformative change. The interview was focused across three main dimensions:

- The *Why* aspect of change - Context relative to the motivation for the change
- The *What* aspect of change - Content relative to the implementation; and
- The *How* aspect of change - Process elements that enable implementation

The questions were designed to be open-ended to enable the practitioner to discuss their experience of implementing transformative change. Specific questions were asked across each of the key elements under investigation, as well as deep probing within the discussion to try to elicit as much detailed information as possible.

Each participant was also asked a 'yes' or 'no' question based on the same statements that were provided in the online survey. This enabled the results to be compared to the online survey results, supporting the ability to triangulate findings.

At the completion of the interviews, all participants were invited to provide any further information that they felt was pertinent to the discussion. Finally, in completing the interview, participants were again reminded of how the information was going to be used. They were then also asked whether they would like to be involved in reviewing the results from the study as the data was collected, and finally thanked for their valuable contribution and insights.

5.6.2 Coding and Analysis

The recording of the interviews was transcribed using online software. They were then reviewed and sorted via major themes that appeared, as well as aligning results across the five main elements under investigation. For confidentiality, participants were identified as Participant A, B, C etc. Themes were then identified across all the participants, with comments and narratives extracted to confirm and cross-reference findings between participants. This

was completed manually using a highlighter and recording information within the word document and across a table of findings.

5.6.3 Threats to Validity

Whilst there are many benefits to qualitative research and, more particularly, interviews, there are however limitations with this method. Interviews are a wonderful source of information that can be delved into via the researcher questions. However, the information provided can be reviewed and represented in ways that were potentially not aligned with the interviewee's intentions. Also, the researchers own bias can sometimes position questions that lead the participants to certain answers, or the researcher may interpret responses in a way that is not aligned with the discussion. To minimise these threats to validity, participants were invited to review the findings of the research to ensure the correct interpretation of responses. An additional approach was to use peer debriefing to enhance the accuracy of the positioning. Finally, the research design provides the opportunity to compare the results from the qualitative study with the quantitative analysis to assess validity from this perspective also.

5.6.4 Quantitative Analysis - Online Survey Questionnaire

To provide additional insight into the overall study, the ability to complete a short online survey was used to complement the overall findings. The survey focused specifically on how well defined and articulated the identified elements were within change and transformation programs, based on the participants' experience. Literature has highlighted the need for these elements to be present and clearly defined (Amoo et al. 2019; Mintzberg & Waters 1985; Morris, P 2013); therefore, this analysis was designed to enquire into the quality of definition via a Likert Scale questionnaire. This form of questionnaire is a valid and appropriate method

to use to elicit the focus of the enquiry (Andersen 2004; Elbanna, Andrews & Pollanen 2016; Joshi et al. 2015; Saunders 2011).

The Likert scale used was a five-point scale rating, with the categories of Strongly Disagree, Disagree, Neutral, Agree, Strongly Agree. Descriptive analysis was completed using this scale, as well as reviewing the results with the 'neutral' response removed. It is still considered a dichotomy in relation to whether 'neutral' should be used within the Likert scale. To reduce the implication of this, the descriptive analysis also considered the results with 'neutral' removed.

The participants were required to opt-in to the survey and then were initially provided with a consent question. If consent was not provided, the participant was thanked for their participation (via the online system) and immediately finished. If consent was provided, the survey proceeded with initial questions focused on their role identification, their industry experience, and years of experience in relation to change and transformation. This was the same information asked of the interview participants to provide comparative data. Following the initial descriptive questions, the participants were then provided with a series of statements aligned with the specific elements under investigation and asked with they agreed or disagreed with the statements. Once the survey was completed, they were thanked for their input. For ethical purposes, the survey also acknowledged that they had voluntarily given their consent, that it was an anonymous survey, no personal information would be shared outside of the research and that the findings would inform academic and industry theory, practices and process relating to strategic change.

The population targeted for this study were change and project practitioners, along with business leaders involved with change and transformation across Australia and New Zealand. A 'Simple' sampling procedure was used for this. It involved access to change practitioners via two main sources; the first via a change conference setting where the audience were invited to participate and opt-in via the electronic platform. The second via the use of Qualtrics, targeting a Change community of practitioners across Australia and New Zealand and inviting them to opt-in to the study. The selection process was a random sample in which each individual had an equal probability of being selected. The sample was a representative sample from the population, as detailed below.

The population size across Australia and New Zealand is not able to be accurately determined. In understanding this population, discussions were held with the Change Management Institute and utilised databases such as LinkedIn, Australian Bureau of Statistics and Stats New Zealand. The population has been estimated at 10,000 practitioners across Australia and New Zealand. Based on this population, the target sample size for this study was 370 responses. This has been calculated based on a confidence level of 95% and a margin of error of 5%. As the results will be primarily used to compare with the interview results, this sample size is appropriate for this study (Saunders 2011; Sekaran & Bougie 2016).

The participants selected for this survey were from two main sources; one was a change conference setting held in Australia with 274 participants. The other was an online database of 721 practitioners from a change and project community that operated across Australia and New Zealand. The identification of change, project and business backgrounds helped stratify the population sample. This provided access to 995 practitioners for the study. A total of 426 responses were received, which was a 42.8% response rate.

The survey questions were focused on gaining descriptive analysis of the participants, in conjunction with four main elements (variables) for this study: Target Operating Model; Impact Analysis; Planning; and Governance. These four elements would provide insight into the quality of the 'process input' and support answering the research questions RQ1, RQ2 and RQ3. These results could also be triangulated with the results from the interviews. Further, RQ3 considers the relationship of the identified elements to support and guide the implementation process. The null hypothesis (H0) for RQ3 is that there is no relationship with the identified elements; the alternative (H1) is that there is a relationship with the identified elements.

Prior to undertaking analysis, incomplete surveys with missing data were excluded. In this case, there were 24 surveys that were excluded providing 402 surveys available for analysis. To manage potential response bias, a weekly check was in place (with the Qualtrics survey) over the period that the survey was open. The check involved the data being downloaded each week to review the responses and assess the overall weighting of the results. Each week this was checked to ensure there was no major divergence during the period of response. This check was completed over six weeks, with the bulk of responses provided in the first two weeks, then results tapering off. No divergence was found.

5.6.5 Coding and Analysis

Once all online survey results were available, the results were downloaded into excel and then combined to form an overall data set. Questions were aligned, and all participants were numbered from 1 through to 426. to support analysis of the data SPSS software was used. The Likert scale questions were then recoded to a 1 – 5 scale to enable the analysis to be undertaken

within SPSS. Both Descriptive analysis, Correlation analysis (Pearson correlation) and Principal Component analysis was undertaken. This data was peer-reviewed by a Senior Consultant within Victoria University. The Correlation analysis had initially been completed using Spearman correlation; however, after discussion with the Consultant, it was agreed that the sample was a normal distribution and random and was appropriate for use via Pearson correlation.

5.6.6 Threats to Validity

It is recognised that within any form of study and survey that there are inherent risks. Whilst all endeavours were made to reduce these risks and associated impacts on validity, it must be acknowledged that they are still inherent within the study. One of these risks to validity was the technical language of the statements. In all cases, the technical elements were explained in more detail to support the participant. However, it is also recognised that the statement could be perceived differently by participants. The questionnaire was also kept short and succinct to support participants completing the overall survey, albeit there could also be perceived a bias in how the statements were positioned. Finally, the researcher acknowledges potential bias in the way the survey was designed and approached. To minimise all of these risks, an initial pilot group of twelve participants were asked to complete the survey and then provide feedback, with a specific focus on the identified risks. Adjustments were then made prior to the survey being launched and made available to participants.

5.6.7 Triangulation - Comparative analysis

The use of a concurrent transformative design provides the ability at the completion of data collection and analysis to triangulate and compare the two modes of data. It should be noted that whilst the quantitative analysis provides a far larger sample size, the qualitative analysis

via the semi-structured interviews provides far greater in-depth insight into all aspects of the phenomenon. This is a benefit of the mixed methods approach with the added ability to triangulate and compare the analysis.

The comparative analysis was completed across the Target Operating Model, Impact Analysis, Planning and Governance elements. The analysis from each element is discussed via the findings from the interviews, then compared with the findings from the online survey (refer figure 5.5). It is acknowledged from the outset that the online survey presents one dimension of the overall finding and an additional opportunity to validate the overall finding, accepting the noted threats to the methods applied.

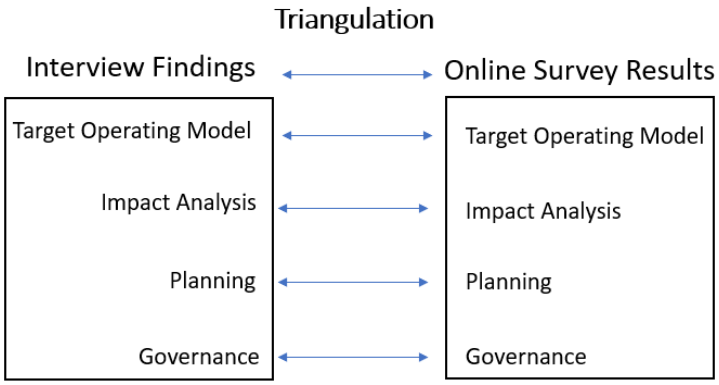

Figure 5.5. Triangulation and comparative analysis

5.7 Ethics Approval

An important consideration of this study was ensuring the appropriate ethical standards were in place. To support this, Ethics approval was sought from the University. This was approved on 28 April 2021, with reference number HRE21-035 (refer appendix 5.4).

5.8 Summary

This chapter began by discussing worldviews and the applicability of the various worldviews to this study. Each of the worldviews offers unique insights; however, the Pragmatic Worldview aligns best with the Researcher philosophy and this study. This philosophy also aligns well with the mixed methods approach that has been applied and is also appropriate for this form of research. This chapter also outlined the research design and the benefits of a transformative concurrent design, thereby discussing the reasoning for both the qualitative semi-structured interviews and quantitative online survey approach. Finally, it also highlighted the ability via the research design for comparative analysis and triangulation across the key elements being explored. The analysis and findings will now be discussed in more detail in the following chapter.

CHAPTER 6: RESULTS AND FINDINGS

6.1 Introduction

This chapter focuses on the results and findings from both the semi-structured interviews as well as the online survey. Through the analysis gathered, it seeks to answer the research question '*What is the process of implementing transformative change in today's business environment?'*. It begins with a descriptive analysis of the participants involved with this study, covering their roles, industry, and tenure experience. It then considers each of the research sub-questions and objectives. Each section begins with the overall objective, discussing the findings from the interviews. These findings are then presented and compared with the online survey results. Each objective is summarised, finally culminating in a model that presents a framework for implementing transformative change in today's business environment.

6.2 Descriptive Analysis

6.2.1 Online Survey Participants (n=402)

The online survey analysis involved 402 participants across Australia and New Zealand. 53% identified themselves as Change Practitioners, 29% Change Leaders, 11% as Business Leaders, with 8% noting Other (refer to figure 6.1 and table 6.1).

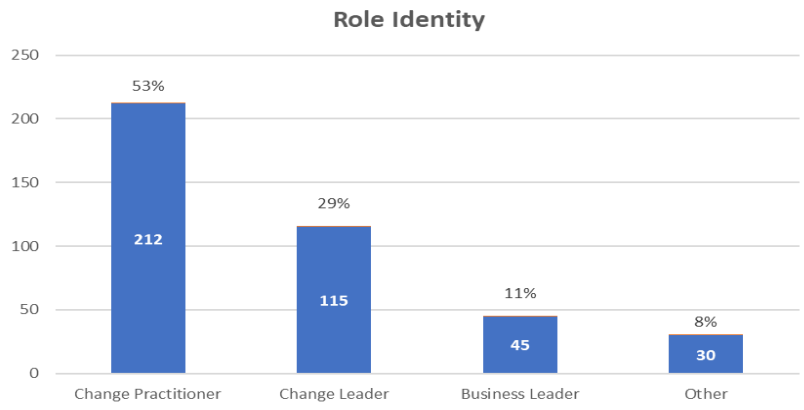

Figure 6.1 Participant Role response

Table 6.1. SPSS data analysis of 'Role' responses.

Role

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Change Practitioner	212	52.7	52.7	52.7
	Change Leader	115	28.6	28.6	81.3
	Business Leader	45	11.2	11.2	92.5
	Other	30	7.5	7.5	100.0
	Total	402	100.0	100.0	

Change experience was heavily weighted towards experienced practitioners, with 54.5% (219 of those surveyed) noting more than ten years' experience within this field (refer to figure 6.2 and table 6.2).

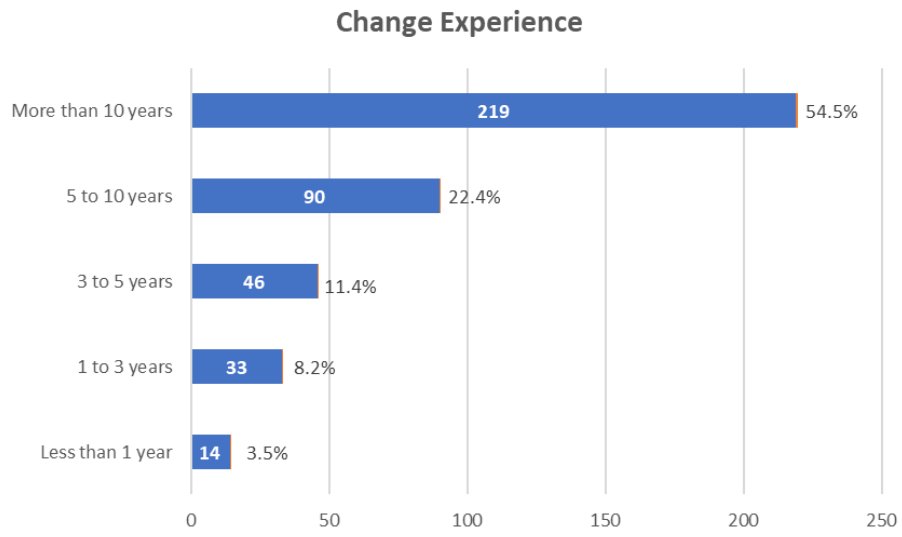

Figure 6.2. Change Experience of Participants

Table 6.2. SPSS data analysis of 'Change Experience' responses.

Change_Experience

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Less than 1 Year	14	3.5	3.5	3.5
	1 to 3 Years	33	8.2	8.2	11.7
	3 to 5 Years	46	11.4	11.4	23.1
	5 to 10 Years	90	22.4	22.4	45.5
	More than 10 Years	219	54.5	54.5	100.0
	Total	402	100.0	100.0	

Industry experience was open to multiple choices showing a good cross-section of experience across Private (82%) and Public Sector (47%) as well as Not-for-Profit (23%) and Academia (15%). Only 3% noted Other (refer to figure 6.3 and table 6.3).

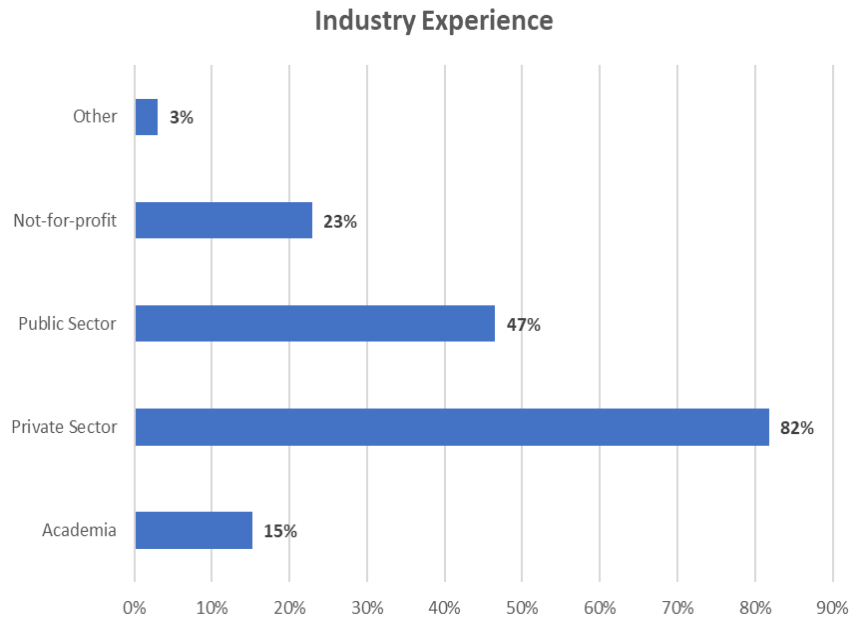

Figure 6.3. Industry experience response

Table 6.3. SPSS data analysis of 'Industry Experience' response.

```
MULT RESPONSE GROUPS=$Industry_Experience (academia private public nfp other (1))
  /FREQUENCIES=$Industry_Experience.
```

Multiple Response

Case Summary

	Cases					
	Valid		Missing		Total	
	N	Percent	N	Percent	N	Percent
$Industry_Experience[a]	402	100.0%	0	0.0%	402	100.0%

a. Dichotomy group tabulated at value 1.

$Industry_Experience Frequencies

		Responses		Percent of Cases
		N	Percent	
$Industry_Experience[a]	Academia	61	9.0%	15.2%
	Private	329	48.3%	81.8%
	Public	187	27.5%	46.5%
	NFP	92	13.5%	22.9%
	Other	12	1.8%	3.0%
Total		681	100.0%	169.4%

a. Dichotomy group tabulated at value 1.

6.2.2 Semi-structured Interviews - Participants

The eleven practitioners who were interviewed all had ten plus years of experience in leading major change and transformation projects. The first part of the interview was a short questionnaire detailing the industry experience (knowledge) and skills, both technical and non-technical, of the practitioner. The participants were from a cross-section of sectors and industry backgrounds, which ensured a cross-representation of organisation and business experience. Similar to the survey, the overall weighting of industry experience was towards the private and

public sector, with some experience across Not-for-profit (NFP) and academia (refer to table 6.4)

Table 6.4. Descriptive analysis of interview participants.

Identifier	Role	Change Experience	Academia	Private	Public	Not-for-Profit
A	Transformation Lead	10 Years plus	Yes	Yes	Yes	Yes
B	Transformation Lead	10 Years plus		Yes	Yes	
C	Transformation Lead	10 Years plus	Yes	Yes	Yes	
D	Transformation Lead	10 Years plus	Yes	Yes	Yes	Yes
E	Transformation Lead	10 Years plus		Yes	Yes	
F	Transformation Lead	10 Years plus	Yes	Yes	Yes	Yes
G	Transformation Lead	10 Years plus		Yes	Yes	
H	Transformation Lead	10 Years plus	Yes	Yes	Yes	Yes
I	Transformation Lead	10 Years plus		Yes	Yes	Yes
J	Transformation Lead	10 Years plus	Yes	Yes	Yes	Yes
K	Transformation Lead	10 Years plus		Yes	Yes	Yes

6.3 Research Objective One – Goal Definition

RO1. Explore how change practitioners approach the goal definition for transformative change.

6.3.1 Introduction

This chapter explores the first research sub-question, RQ1 Goal Definition - *What is the process undertaken to define the goal for implementation?* It begins by considering literature and the constant reference to goal definition as a requirement for both strategic and transformative change. It highlights that whilst academia agrees on the importance of this definition, there is a gap in literature relating to how this is undertaken. The initial analysis is viewed via the interviewed participants to discuss and highlight the findings from this research. The online survey is then compared in relation to the findings from the interviews. Based on the findings from the interviews, an initial conceptual model is developed, whereby each question in the study then builds on this base model.

6.3.2 Defining the Target Operating Model

Articulating the strategic goal to a definition that can be operationalised is not something new. Mintzberg and Waters (1985) note that implementing (planned) strategic change relies on 'clear and articulated intentions', with Morris, P (2013) noting the 'difficulty of eliciting and managing requirements' lies at the heart of managing programs. Amoo et al. (2019) argue that factors such as poor conceptualisation and planning lead to the inability to operationalise the future-state solution. Whilst there is agreement that goal definition is important, there is a subsequent lack of information in relation to how the goal definition is undertaken. More recent research, which is now emerging across the field of Business Model Innovation (BMI), is continuing to highlight the need for a clear definition of the future-state business model (Teece

2018a; Zott, Amit & Massa 2011; Zuo et al. 2018); whilst other research argues that even the definition of a business model is not necessarily clear or consistent (Foss & Saebi 2017).

In this study, we refer to the 'Target Operating Model' (TOM); recognising the 'target' is the defined goal, with the 'operating model', highlighting the need for the solution to be able to be operationalised at a 'system' or 'organisational' level. This recognises that the TOM must be at a detailed enough level to support the 'operationalising' of the future-state solution (Amoo et al. 2019; Mintzberg & Waters 1985; Morris, P 2013), whilst the planning and design must be able to account for the complex and dynamic nature of the environment within which it is being developed and implemented (Cha, Newman & Winch 2018; Daniel & Daniel 2018; Waddock et al. 2015).

6.3.3 Interview findings

The interviews commenced with initial open-ended questions focused on the transformation program and the strategic intent. From the strategic intent, practitioners were then asked whether a detailed future-state TOM was available. Every interview highlighted the same finding; there was no detailed TOM, and, in every case, the practitioner was required to complete this. When asked how the TOM was detailed, the practitioners described the requirement to work closely with the executives or sponsors to understand what was trying to be achieved (strategic goal). From this understanding, they then worked with the associated stakeholders to reformulate a TOM (refer to figure 6.4) that could be operationalised. The TOM needed to align with the Strategy and often the Vision and Values of the organisation.

As academic literature highlights, strategic and transformative change requires clearly defined goals (Amoo et al. 2019; Mintzberg 1994; Mintzberg & Waters 1985; Morris, P 2013), however

as Morris (2013) argues, whose role is it to define those goals? Without exception, every practitioner interviewed noted the same finding '*Goal definition had not been completed'*. When questioned on 'why' this had not occurred, three main themes were alluded to 1. Lack of understanding by executives and sponsors that it was needed; 2. A sense that the 'business case (document) outlines what is needed; 3. A belief that the Project/Program Manager will complete this. In all cases, the practitioners were left to determine the specifics of the TOM. As they pointed out, '*there is a lack of understanding of the impacts of the change and the requirement to detail the model to an operational level'*.

Other factors were also highlighted, being the inability to consider the systemic impacts on the organisation from the transformational change. For example, practitioners reported a strong focus on the 'actual' product or service that was being changed rather than the broader systemic issues. Major technology and digital change were often used as an example to highlight the point. The focus was often on the technology and/or digital solution 'build' and implementation, rather than the flow-on impacts across the functional aspects of the business. The lack of understanding of the impacts on the organisational operating model and the inability of stakeholders to think '*holistically'* about the change was a constant theme from the interviews. As a number of the interviewee's highlighted, '*if the model design is incorrect, then planning associated with the transformation is fundamentally flawed'*. This could be likened to building a house. If conceptually the house has been explained as four bedrooms with a two-car garage; without the more detailed information (the actual detailed model, in this case, the TOM), the associated planning will be fundamentally flawed as it does not possess the detail to deliver to the true requirements.

Detailing a future state organisation or business model design, however, is not a simple task (Foss & Saebi 2017; Ul Musawir et al. 2017; Zott, Amit & Massa 2011). Zott, Amit and Massa (2011) note 'business models emphasize a system-level, holistic approach to explaining how firms "do business"'. In relation to transformative change, defining the future-state business model can prove elusive, complicated and challenging (Amoo et al. 2019; Foss & Saebi 2017; Zott, Amit & Massa 2011), as the future-state solution must articulate the new TOM at a detailed architectural level (micro), noting how this will operationalise within the future environment at a system level (macro) (Dekker 2016; Levy & Merry 1986; Lowell 2016).

When asked how the TOM was developed and defined, the practitioners described the requirement to '*work closely with the executives or sponsors to understand what they were trying to achieve*' (strategic goal). From this understanding, they then worked with the associated stakeholders to reformulate a functional TOM that recognised all the components of the business, ensuring that the final model recognised these components and could be operationalised. As Dekker (2016) highlights, this is the requirement to go 'down and in' to understand the more 'micro' mechanical nature of the operating model that considers all the 'component parts' relevant to the business. They further highlighted the need to also have a '*macro*' and '*holistic*' view of the organisation and the business and market environment. This was important to consider potential implications from the internal and external environment on the future-state TOM.

To detail out the component parts of the operating model, it needed to be applicable to the industry and the strategic solution that was being designed. Generally, however, findings showed that most functional component parts for the operating model fell into the following categories: -

- **People & Culture** – defining and designing the elements of the people and culture in the future state, down to a level of detail applicable to the organisation.
- **Customer** – defining the future-state customer base. Detailing out all significant factors as it related to the organisation.
- **Organisational Structure** – defining the future-state organisational structure.
- **Business Process** – defining the future-state business process.
- **Policy & Procedures** – defining the future-state policies and procedures relevant to the new environment.
- **Channels** – defining the various channels that the organisation operates through and with. These may be channels such as customer-facing, online channels, and contact centres.
- **Systems and Technology** – this defined all the system and technology future-state requirements.
- **Third Parties** – this detailed out and defined all the various third parties that the organisation was and would be dealing with in the future state.
- **Products and Services** – this defined all the future-state products and services relevant to the organisation.

Figure 6.4. – Target Operating Model definition (Conceptual Illustration)

The TOM must be designed to incorporate and represent all the functional components of the future state business model. This definition is critical when it comes to analysing the impact between the current state model and the future state TOM. Dekker (2016) also highlighted this point, noting the need to 'reduce' the model down to its simplest form. This enables the level of detail required to be able to 'operationalise' the future state solution. The ability to reduce the operating model to component parts (the 'micro') whilst acknowledging the broader context (the 'macro') highlights the systemic and multi-dimensional nature of developing the TOM (refer to figure 6.5). This also recognises the context of the environment within which the current model is operating, and the new model must operate within.

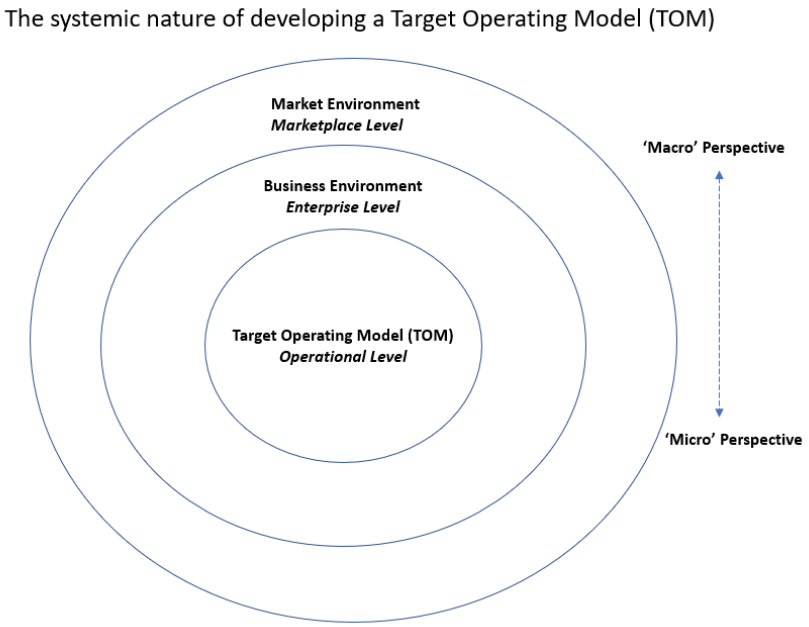

Figure 6.5. The systemic nature of developing a target operating model (TOM).

6.3.4 Target Operating Model definition - Online survey results and triangulation.

Survey Question: *'My experience shows that Future-State Models (target operating model) are well articulated in change and transformation programs.'*

The online survey results showed a similar finding to the interviews that the TOM was not well articulated. 52.7% of respondents either strongly disagreed or disagreed with this statement, 31.1% were neutral, with 16.2% in agreement. The results were also considered with the 'neutral' response removed. This provided 277 responses, with 76.6% in the strongly disagree and disagree rating, which highlights a perceived lack of definition with the future-state target operating models. (Refer to figure 6.6, table 6.5 and 6.6)

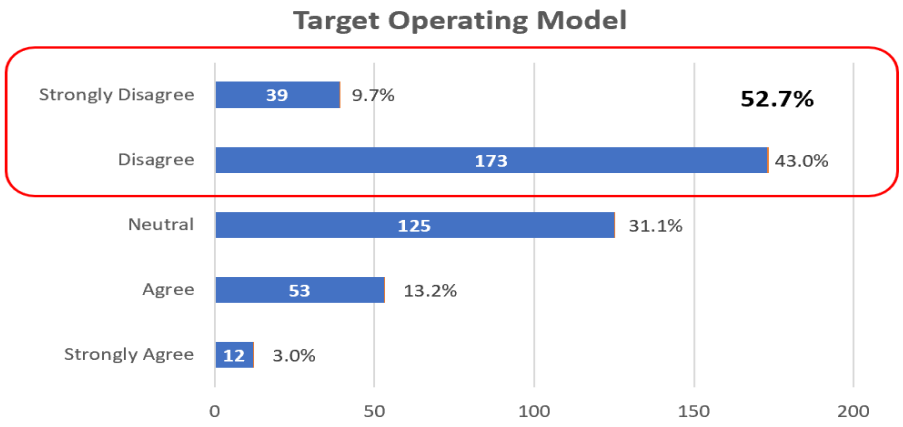

Figure 6.6. Target operating model survey results

Table 6.5. SPSS data analysis of Target Operating Model responses.

TOM

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	12	3.0	3.0	3.0
	Agree	53	13.2	13.2	16.2
	Neutral	125	31.1	31.1	47.3
	Disagree	173	43.0	43.0	90.3
	Strongly Disagree	39	9.7	9.7	100.0
	Total	402	100.0	100.0	

Table 6.6. SPSS data analysis of Target Operating Model responses with 'neutral' removed.

Statistics

TOM		
N	Valid	277
	Missing	0

TOM

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	12	4.3	4.3	4.3
	Agree	53	19.1	19.1	23.5
	Disagree	173	62.5	62.5	85.9
	Strongly Disagree	39	14.1	14.1	100.0
	Total	277	100.0	100.0	

Further in-depth enquiry via Crosstabs was also completed to review the responses in relation to the practitioners' experience, particularly considering those with more than ten years' experience. In this case, 124 practitioners, or 56.6% of the 219 practitioners with 10+ years'

experience, either strongly disagreed or disagreed with this statement, which was consistent with the overall finding (refer table 6.7).

Table 6.7. TOM and Change Experience Crosstabulation.

TOM * Change_Experience Crosstabulation

Count

		Change_Experience					
		Less than 1 Year	1 to 3 Years	3 to 5 Years	5 to 10 Years	More than 10 Years	Total
TOM	Strongly Agree	0	1	3	0	8	12
	Agree	1	7	2	13	30	53
	Neutral	9	11	20	28	57	125
	Disagree	4	13	19	39	98	173
	Strongly Disagree	0	1	2	10	26	39
Total		14	33	46	90	219	402

All the participants interviewed were asked the direct question, as per the online survey, to provide a yes, no, or unsure response. For triangulation and comparative analysis, Likert scale results were converted from Strongly Agree & Agree to a total response rate for that category. The same approach was used for Strongly Disagree & Disagree. Interview responses were via a 'Yes' agree with the statement, or a 'No' disagree with the statement. This supported the ability for the results to be further compared with the online survey results (refer to table 6.8). In every case, a future-state TOM had not been completed, and definitely not to a level that could be operationalised and implemented. This finding was consistent with the online survey results.

Table 6.8. Comparison of online survey questions with semi-structured interview questions.

Comparison of Online Survey Questions with Semi-structured Interview Questions

Online & Interview Questions	Online Response			Interview Response		
	Agree	Neutral	Disagree	Agree	Neutral	Disagree
My experience shows that Future State Models (target operating model) are well articulated in change and transformation programs	15.2%	31.1	52.7%	0	0	100%

6.3.5 Summary

This chapter set out to explore the first research sub-question, RQ1 Goal Definition. The online survey questionnaire highlighted the same finding as the interviews; the target operating model definition is often poorly defined, with all of the interviewed participants noting that their experience had shown that it is very rare, or in this case, never defined. Whilst there were several factors that the participants alluded to for the definition not being completed, all were in agreement in relation to what must be done to develop the goal definition. They described the requirement to '*work closely with the executives or sponsors to understand what they were trying to achieve*' (strategic goal). From this understanding, they then worked with the associated stakeholders to reformulate a functional TOM that recognised all the components of the business, ensuring that the final model recognised these components and could be operationalised. By viewing the TOM at a system level and through a holistic view ensures that both the 'micro and macro' nature of the change was accounted for. The 'micro' aspect of the change related to the detailed elements of the business model; the 'macro' elements of the change acknowledged the environment within which the change must occur. This analysis answered RQ1 Goal Definition - *What is the process undertaken to define the goal for implementation?*

6.4 Research Objective Two – Planning Design

RO2: Examine the process applied by practitioners to design the transition planning

6.4.1 Introduction

This section explores the second research sub-question; Planning Design - *What analysis is completed to design the transition planning from the current state model to the future state model?*

This analysis builds on the previous chapter by considering the importance of the target operating model in supporting the planning design. It considers the model design from a 'future state' perspective and highlights the need for an understanding of the current state. The initial analysis is viewed via the interviewed participants to discuss and highlight the findings from this research. The online survey is then compared in relation to the findings from the interviews. Based on the findings from the interviews and survey, the conceptual model is continued to be developed, building in the new findings.

6.4.2 Planning - The micro and the macro nature of implementation

The planning and approach to implementation must be able to manage and account for both the macro (system) and micro (functional) nature of implementing within the business environment. As Hrebiniak (2006) notes, 'Formulating strategy is difficult. Making strategy work – executing or implementing it throughout the organization is even more difficult.' (p. 12) When it comes to planning the transition from the current state to the new future state, Hrebiniak (2006) notes the importance of having a 'model' to guide the implementation efforts. Beckhard and Harris (1977), in considering the organisational transition plan, also point to the

need for a clear definition of a future-state model. This highlights the significant nature of the TOM.

When implementing the new model within a complex system (the business environment), this brings the challenge of managing all the components within the system, 'noting that each component is ignorant of the behavior of the system as a whole' (Dekker 2016). This is the often-described dynamic nature of environments and organisations. Systems and complexity theory represents the typical non-linear, interdependent nature of the environment within which implementation and planning must be undertaken (Daniel & Daniel 2018; Lowell 2016; Pollack 2007). Dekker (2016) highlights these challenges noting that the 'non-linearity of these systems guarantees that small changes can eventually cause large impacts, which are often magnified within this complex system, highlighting the often referred to *Butterfly Effect' (p. 141)*. Herein lies a major challenge of delivering a future-state TOM within a complex and dynamic system, the management of these impacts during the transition from the current state to a future state (Amoo et al. 2019; Morris, P 2013; Teece 2018a). As Morris (2013) highlights, the initial 'goal', the TOM, can and often does change from the beginning of the transformation prior to implementation. This can be caused by several factors, including sponsors requiring different outcomes or internal and/or external forces inherent within the environment (Lowell 2016; Morris, P 2013; Teece 2018a) (refer to figure 6.7). These can be factors such as regulatory changes that may impact either the current state model or the future state design.

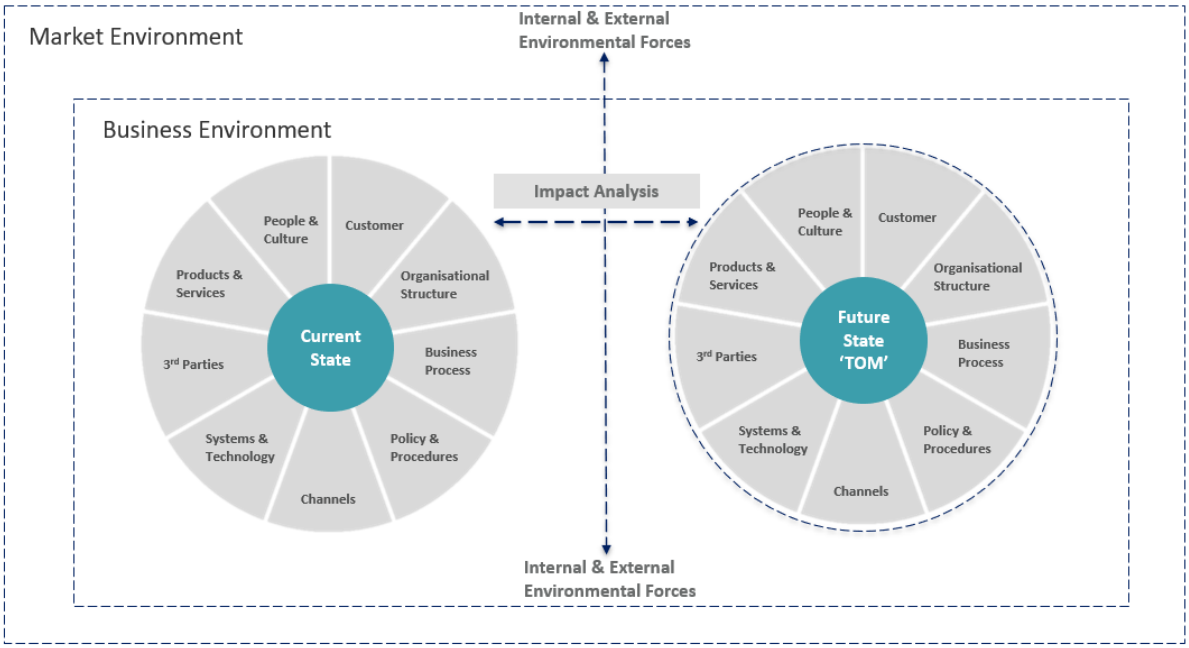

Figure 6.7. Managing the dynamic nature and environmental impacts of transformational change (conceptual illustration).

6.4.3 Interview findings - Impact Analysis and Transition Planning Design

In discussing transition planning with participants, they noted (once more) the requirement for the TOM to be defined correctly. If this was not detailed correctly, there is a flow-on impact on the transition planning (between the current state and future state). For this reason, the practitioners highlighted the need for the 'current state' operating model and future state model to be defined in detail to support the impact analysis to be undertaken (refer figure 6.7 and 6.8). This impact analysis informs the 'delta' between the current state model and the future state model. However, they noted that this level of detail was '*rarely completed'*. In most instances, the current state had *'never been considered as stakeholders are more focused on the end (future) state'*. They also noted that this inability to understand the current state and, therefore, the associated impacts to move to the future state was a common point of failure in transformational change.

When there are environmental impacts, these impacts must be monitored and managed to ensure the TOM is adjusted accordingly and, in turn, the planning. An example of this could be a regulatory change that comes from the market environment. This change may mean an impact on both the current state model and potentially the future-state TOM. This 'impact' needs to be accounted for, with the TOM adjusted to allow for the change. Based on this impact, the planning needs to be adjusted to represent the new requirements to transition from the current state to the future state (refer to figure 6.8). The planning is directly 'informed' by the impact analysis as this highlights the 'delta' between current and future-state models and, therefore, the transition requirements.

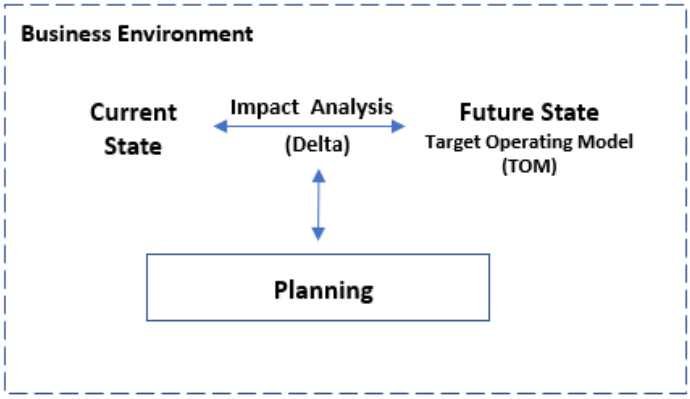

Figure 6.8. Transition Planning Design.

As highlighted by the practitioners, '*it is absolutely critical for understanding the broader systemic issues and impacts of the change*'. The impact analysis (between current-state and future-state) supports the ability to understand not only the impacts to employees of the change but the broader organisational impacts across all components of the TOM. Wherever possible, the dependency and interdependency of all components of an organisation and its broader environment (figure 6.8) must be monitored and managed to minimise the well-known *Butterfly Effect* (Dekker 2016; Lorenz 2000). A small change within the current-state

environment or future-state TOM can eventually lead to a much larger impact on being able to deliver and operationalise the TOM.

6.4.4 Managing the non-linear nature of change – The *Delta Effect*

What was also evident through the interviews was the necessity to constantly update the planning based on both internal and external impacts. As highlighted earlier, impacts to the current-state model meant that the future-state TOM needed to be redefined. This was also pertinent to impacts to the future-state TOM. The interviews highlighted that often sponsors may require changes that they wanted to introduce within the future-state model, and therefore the impact against the current state model needed to be reassessed to support the appropriate planning. The ability to manage the dynamic nature of these changes (between current-state and future-state) means that the associated planning is then redefined appropriately. We have named this the *Delta Effect*, the need to constantly manage the delta between current-state and future-state impacts (refer to figure 6.9).

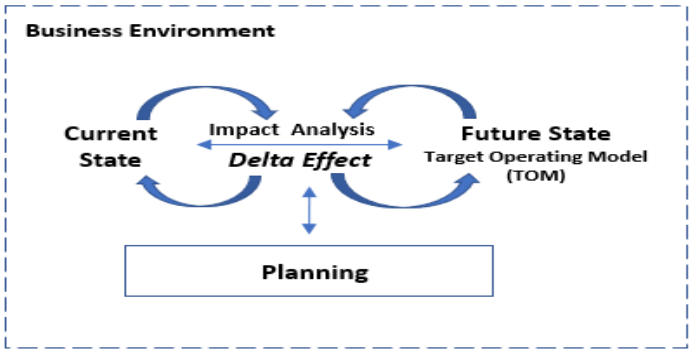

Figure 6.9: Managing the dynamic nature of change – The Delta Effect

If this impact is not monitored and managed, then the planning is not aligned with the detailed TOM requirements. In all discussions with the practitioners, their experience highlighted that this effect (delta) is not well understood or analysed; yet is a critical input into the transition planning. The 'Delta Effect' acknowledges the systemic and dynamic changes within the

environment and the need to constantly assess the impacts to ensure alignment with the TOM and the interdependence with the planning.

6.4.5 Impact Analysis – Online Survey Results and Triangulation.

Question: *My experience shows that change impacts are well articulated in change and transformation programs.*

The online survey assessment also highlighted the same findings as the discussion with the practitioners. 49.3% of respondents either strongly disagreed or disagreed with this statement, 24.9% were neutral, with 25.9% in agreement. The results were also considered with the 'neutral' response removed. This provided 302 responses, with 65.6% in the strongly disagree and disagree rating, which highlights a perceived highlighting a perceived lack of definition with impact analysis (refer to figure 6.10, table 6.9 and 6.10)

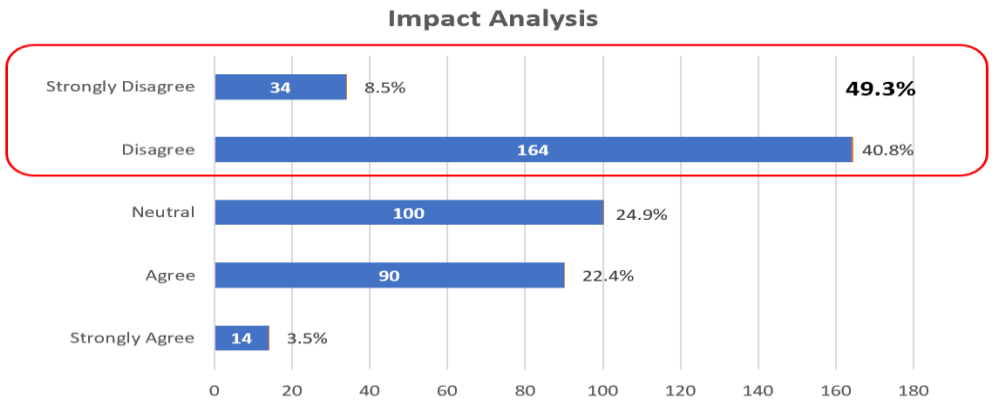

Figure 6.10. Impact analysis survey results

Table 6.9. SPSS data results of 'Impact Analysis' responses.

Impact_Analysis

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	14	3.5	3.5	3.5
	Agree	90	22.4	22.4	25.9
	Neutral	100	24.9	24.9	50.7
	Disagree	164	40.8	40.8	91.5
	Strongly Disagree	34	8.5	8.5	100.0
	Total	402	100.0	100.0	

Table 6.10. SPSS data analysis of 'Impact Analysis' responses with 'neutral' response removed.

Statistics

Impact_Analysis

N	Valid	302
	Missing	0

Impact_Analysis

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	14	4.6	4.6	4.6
	Agree	90	29.8	29.8	34.4
	Disagree	164	54.3	54.3	88.7
	Strongly Disagree	34	11.3	11.3	100.0
	Total	302	100.0	100.0	

Further in-depth enquiry via Crosstabs was also completed to review the responses in relation to the practitioners' experience, particularly considering those with more than ten years' experience. In this case, 106 practitioners, or 48.4% of the 219 practitioners with 10+ years' experience, either strongly disagreed or disagreed with this statement, which was consistent with the overall finding (refer table 6.11).

Table 6.11. SPSS Impact Analysis and Change Experience Crosstabulation

Impact_Analysis * Change_Experience Crosstabulation

Count

		Change_Experience					
		Less than 1 Year	1 to 3 Years	3 to 5 Years	5 to 10 Years	More than 10 Years	Total
Impact_Analysis	Strongly Agree	0	0	0	1	13	14
	Agree	4	8	10	17	51	90
	Neutral	2	8	13	28	49	100
	Disagree	7	15	22	38	82	164
	Strongly Disagree	1	2	1	6	24	34
Total		14	33	46	90	219	402

All the participants interviewed were asked the direct question, as per the online survey, to provide a yes, no, or unsure response. For the comparative analysis, Likert scale results were converted from Strongly Agree & Agree to a total response rate for that category. The same goes for Strongly Disagree & Disagree. Interview responses were via a 'Yes' agree with the statement, or a 'No' disagree with the statement. This supported the ability for the results to be further compared with the online survey results (refer to table 6.8).

Table 6.12. Comparison of online survey questions with semi-structured interview questions.

Comparison of Online Survey Questions with Semi-structured Interview Questions

Online & Interview Questions	Online Response			Interview Response		
	Agree	Neutral	Disagree	Agree	Neutral	Disagree
My experience shows that change impacts are well articulated in change and transformation programs	25.9%	24.9%	49.3%	0	0	100%

6.4.6 Interview findings –Planning Design

Acknowledging the dynamic nature of these changes and impacts to planning enabled discussion with each of the practitioners in relation to how they approached the planning and associated methods used. Practitioners referred to 'hybrid' and 'dynamic' planning. As they elaborated further on this 'hybrid' planning, it became very clear that a mix of methodologies (project) was applied based on the perceived need and their own personal experience. All practitioners described the need to understand current-state and future-state impact analysis. The use of both Waterfall and Agile (project) practices were also included, highlighting the benefit of integrating both methodologies. Waterfall was perceived to give clarity to the critical path, dependencies, and interdependencies, whilst the use of Agile and many of its ceremonies such as 'stand-ups' provided the ability to understand immediate issues, changes, and impacts, thereby allowing for the ability to dynamically change plans, based on the *Delta Effect*.

The integrated planning was seen as significant in managing the complexity of the transformation, along with the need to be able to dynamically redesign and define any specific changes that materially impacted the current-state, future-state, and TOM. The integrated planning ensured immediate understanding of flow-on impacts when changes were made. The practitioners shared transformative change stories that were related to program-level change, meaning that there were multiple projects underpinning the overall program. This also highlighted the usability of this model across both project and program management. There was a reiteration through this discussion that unless the earlier work across TOM definition and impact analysis were correct, the gap analysis and associated planning would be fundamentally flawed.

6.4.7 Planning – Online Survey Results and Triangulation

Question: *My experience shows that change and transition planning are well articulated in change and transformation programs.*

Whilst the results of this survey were more evenly balanced, there was still a tendency towards disagreement with this statement. 39.5% of respondents either strongly disagreed or disagreed with this statement, 29.4% were neutral, with 31.1% in agreement.

The results were also considered with the 'neutral' response removed. This provided 284 responses, with 56% in the strongly disagree and disagree rating (refer to figure 6.11, table 6.13 and 6.14). This aligns with the findings from the practitioners, who reiterated the flow-on effects of poor TOM definition and impact analysis.

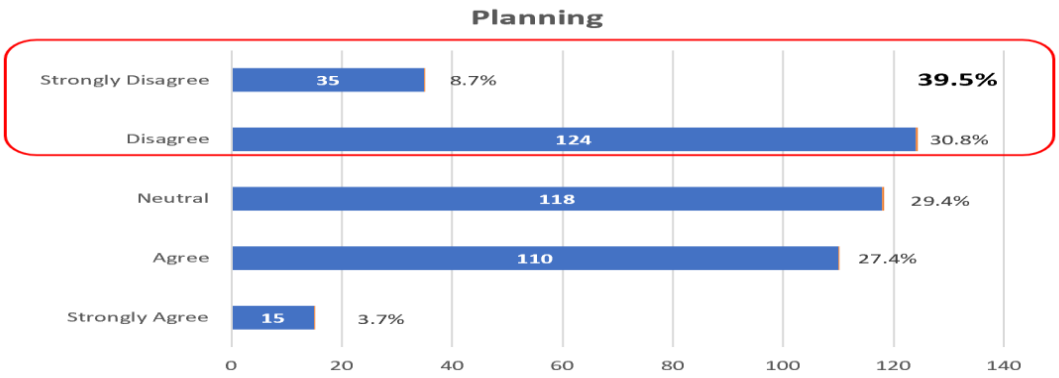

Figure 6.11. 'Planning' survey results

Table 6.13. SPSS data analysis of 'Planning' responses.

Planning

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	15	3.7	3.7	3.7
	Agree	110	27.4	27.4	31.1
	Neutral	118	29.4	29.4	60.4
	Disagree	124	30.8	30.8	91.3
	Strongly Disagree	35	8.7	8.7	100.0
	Total	402	100.0	100.0	

Table 6.14. SPSS data analysis of 'Planning' responses with the 'neutral' response removed.

Statistics

Planning

N	Valid	284
	Missing	0

Planning

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	15	5.3	5.3	5.3
	Agree	110	38.7	38.7	44.0
	Disagree	124	43.7	43.7	87.7
	Strongly Disagree	35	12.3	12.3	100.0
	Total	284	100.0	100.0	

Further in-depth enquiry via Crosstabs was also completed to review the responses in relation to the practitioners' experience, particularly considering those with more than ten years' experience. In this case, 87 practitioners, or 39.7% of the 219 practitioners with 10+ years'

experience, either strongly disagreed or disagreed with this statement, which was consistent with the overall finding (refer table 6.15).

Table 6.15. SPSS Planning and Change Experience Crosstabulation.

Planning * Change_Experience Crosstabulation

Count

		Change_Experience					
		Less than 1 Year	1 to 3 Years	3 to 5 Years	5 to 10 Years	More than 10 Years	Total
Planning	Strongly Agree	0	1	0	3	11	15
	Agree	4	12	10	22	62	110
	Neutral	5	10	12	32	59	118
	Disagree	4	8	23	27	62	124
	Strongly Disagree	1	2	1	6	25	35
Total		14	33	46	90	219	402

All the participants interviewed were asked the direct question, as per the online survey, to provide a yes, no, or unsure response. For the comparative analysis, Likert scale results were converted from Strongly Agree & Agree to a total response rate for that category. The same goes for Strongly Disagree & Disagree. Interview responses were via a 'Yes' agree with the statement, or a 'No' disagree with the statement. This supported the ability for the results to be further compared with the online survey results (refer to table 6.16).

Table 6.16. Comparison of online survey questions with semi-structured interview questions.

Comparison of Online Survey Questions with Semi-structured Interview Questions

Online & Interview Questions	Online Response			Interview Response		
	Agree	Neutral	Disagree	Agree	Neutral	Disagree
My experience shows that change and transition planning are well articulated in change and transformation programs	31.1%	29.4%	39.5%	0	0	100%

6.4.8 Summary

This chapter focused on the research sub-question 'What analysis is completed to design the transition planning from the current state to the future state model?'; with the objective of examining the process applied by practitioners to design the transition planning. The research

showed that the planning and approach to implementation must be able to manage and account for both the macro (system) and micro (functional) nature of implementing within the business environment. It highlighted the significant role that the target operating model plays in defining the future state perspective, with analysis then being completed showing the impact between the current state model and the future state model. This analysis then informs the transition planning. The interviews also highlighted the lack of understanding from executives and sponsors in relation to the current state model and the need for this to be defined at a functional level to support the impact analysis that must be undertaken.

Further themes that emerged from the interviews highlighted the dynamic nature of the environmental context, with both internal and external changes creating a need to constantly update both the future state model and the impact analysis. This finding highlighted the need to manage the '*Delta Effect'*, the constant change in the impact analysis due to environmental impacts. The findings also showed the interdependency of the planning on the impact analysis, and, therefore, both the definition and design needed to be able to accommodate for the dynamic nature of these changes. A further finding related to the hybrid application of project methods when managing transformation. This was often a mix of both 'Waterfall' and 'Agile' methods.

Both the online surveys in relation to planning and impact analysis supported the findings from the interviews. This analysis answered RQ2 *Planning Design - What analysis is completed to design the transition planning from the current-state model to the future-state model?*

6.5 Research Objective Three – Delivery Management

RO3: Develop a framework to manage and implement the new transformative model.

6.5.1 Introduction

This chapter explores the third research sub-question; Delivery Process - What is the relationship of the identified elements to support and guide the implementation of the future state model? The analysis in this chapter builds on the previous research by considering how capability and governance also support the delivery of the target operating model. It considers the interdependency of all the elements in the model with the null hypothesis (H0) being that there is no relationship between these variables. The analysis shows that the null hypothesis can be rejected with the alternative hypothesis (H1) confirmed, showing there is a significant relationship across all the elements. This further supports the need to manage both dynamic design and delivery, culminating in a framework that supports the implementation of transformative change. The initial analysis of the interviewed participants is discussed, and the findings are highlighted from this research. The online survey is then compared in relation to the findings from the interviews, finally presenting an overall model and framework.

6.5.2 Interview findings - Capability

Ensuring the appropriate capability within the transformation is a significant element and requirement to support successful delivery (Morris, P 2013; Söderlund 2005; Teece 2018a; Zuo et al. 2018, Hermelingmeier & von Wirth 2021). This element was explored with the practitioners, who reconfirmed that having the right skills and capabilities was critical to supporting the implementation. They highlighted the need for the capability to be aligned with the specification requirements detailed within the planning. This once more highlighted the potential flow-on impact if 'upstream' definitions, impact analysis, and planning were

incorrect. This could, in turn, impact the assessed view of the capability required to deliver the solution, highlighting the ongoing interdependency of these elements. Capability also influences planning, which is depicted in figure 6.12.

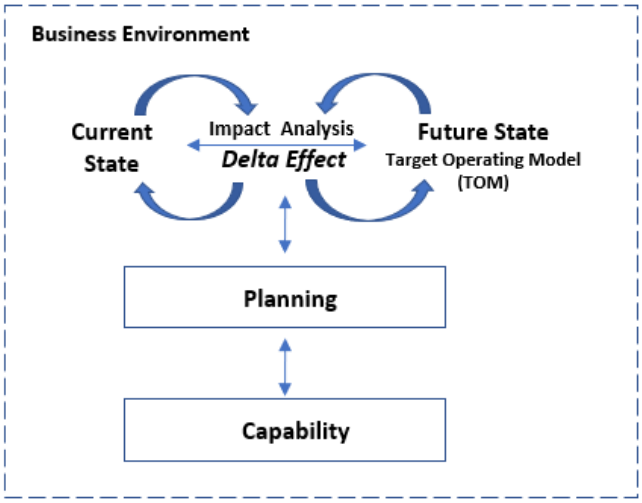

Figure 6.12. Capability interdependency

An online survey question was not included for capability, as it was felt this was inappropriate to ask practitioners to 'rate' other practitioners.

6.5.3 Interview findings - Governance

Another important element supporting implementation is governance, however as Ul Musawir et al. (2017) note, 'there are wide variations in how project governance is understood and defined' (p. 1659). That said, there are common factors that provide strong governance, such as clear roles and responsibilities, structure, and alignment with the project objectives and planning (Institute 2016; Ul Musawir et al. 2017). The interviews with practitioners reinforced these key points; however, they highlighted in most cases, aspects of the governance were missing. These included comments such as '*lack of clarity on roles and responsibilities'* and '*no alignment with the strategic objective'*. Li, Voorneveld& de Koster (2022) also highlighted the need for governance, especially leading into implementation and that the recent experience

of transformation during discontinuity and turbulence has once more highlighted that this important element is often neglected.

Another issue that was mentioned by all practitioners was the continued theme of poor TOM definition that had translated into poor planning, and therefore governance was not aligned with the actual implementation requirements. A further issue that was raised by most participants was the lack of understanding of the overall impact of the change and often a *'singular focus'* on the product or service change rather than the broader effects of this change. This, in turn, meant that the governance was not overseeing the total transformation and associated impacts; rather, '*they were monitoring the product build'*.

When asked about the key activities to support good governance, all practitioners highlighted the need to be clear on roles and responsibilities and align governance with the overall planning and objectives. Once more, however, they noted the fact that if the 'upstream' activities had not been appropriately articulated, then there would be a flow-on effect to governance, as this would potentially be monitoring and managing a fundamentally flawed plan.

Participants were also questioned in relation to capability and the connection with governance. It was acknowledged by all participants that there was a direct linkage with the capability of the practitioners to governance. This was often demonstrated in a number of ways:-

- Clarifying and supporting roles and responsibilities, both within the transformation program and internal business.
- Management of technical requirements of the change and associated reporting on the change.

- Capability had direct linkages with governance through stakeholder management within the program of work. All interviews highlighted the need for strong technical and emotional intelligence from the program team to support stakeholder management across the program.
- Appropriate capability was required to support decision making and influencing within the formal governance meetings.

These findings further demonstrated the interdependency across all of the elements and the reciprocal relationships (refer to figure 6.13).

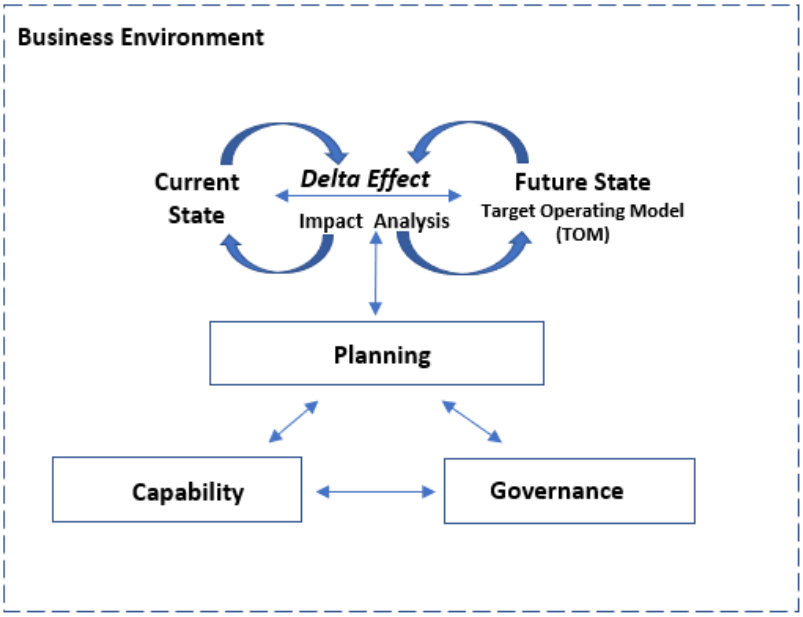

Figure 6.13. Interdependency of elements

6.5.4 Governance – Online Survey Results and Triangulation

Question: *'My experience shows that Governance and Roles & Responsibilities are well managed and articulated in change and transformation programs'*

The results from the survey aligned with the findings from the interviews, with 55.5% of respondents either strongly disagreeing or disagreeing with this statement, whilst 22.9% were neutral, and 21.7% were in agreement. The results were also considered with the 'neutral' response removed. This provided 310 responses, with 72% in the strongly disagree and disagree rating highlighting a perceived lack of definition with governance and roles and responsibilities (refer figure 6.14, table 6.17 and 6.18).

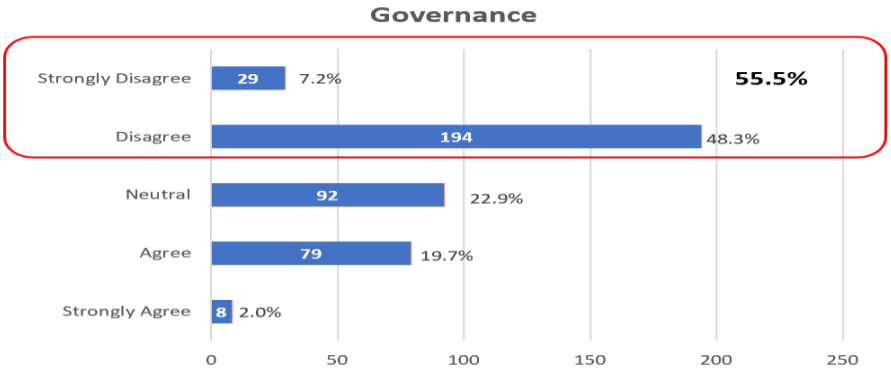

Figure 6.14. 'Governance' survey results

Table 6.17. SPSS data analysis of 'Governance' responses.

Governance

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	8	2.0	2.0	2.0
	Agree	79	19.7	19.7	21.6
	Neutral	92	22.9	22.9	44.5
	Disagree	194	48.3	48.3	92.8
	Strongly Disagree	29	7.2	7.2	100.0
	Total	402	100.0	100.0	

Table 6.18. SPSS data analysis of 'Governance' with 'neutral' response removed.

Statistics

Governance

N	Valid	310
	Missing	0

Governance

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	8	2.6	2.6	2.6
	Agree	79	25.5	25.5	28.1
	Disagree	194	62.6	62.6	90.6
	Strongly Disagree	29	9.4	9.4	100.0
	Total	310	100.0	100.0	

Further in-depth enquiry via Crosstabs was also completed to review the responses in relation to the practitioners' experience, particularly considering those with more than ten years' experience. In this case, 113 practitioners, or 51.6% of the 219 practitioners with 10+ years' experience, either strongly disagreed or disagreed with this statement, which was consistent with the overall finding (refer table 6.19).

Table 6.19. SPSS Governance and Change Experience Crosstabulation.

Governance * Change_Experience Crosstabulation

Count

		Change_Experience					
		Less than 1 Year	1 to 3 Years	3 to 5 Years	5 to 10 Years	More than 10 Years	Total
Governance	Strongly Agree	0	1	2	0	5	8
	Agree	1	6	9	15	48	79
	Neutral	5	9	7	18	53	92
	Disagree	8	16	28	49	93	194
	Strongly Disagree	0	1	0	8	20	29
Total		14	33	46	90	219	402

All the participants interviewed were asked the direct question, as per the online survey, to provide a yes, no, or unsure response. For the comparative analysis, Likert scale results were converted from Strongly Agree & Agree to a total response rate for that category. The same goes for Strongly Disagree & Disagree. Interview responses were via a 'Yes' agree with the

statement, or a ‘No’ disagree with the statement. This supported the ability for the results to be further compared with the online survey results (refer to table 6.20).

Table 6.20. Comparison of online survey questions with semi-structured interview questions.

Comparison of Online Survey Questions with Semi-structured Interview Questions

Online & Interview Questions	Online Response			Interview Response		
	Agree	Neutral	Disagree	Agree	Neutral	Disagree
My experience shows that Governance and Roles & Responsibilities are well managed and articulated in change and transformation programs	21.7%	22.9%	55.5%	0	0	100%

To manage the delivery and execution of the new future state model, both the interviews and online surveys highlighted the significance and interdependence of each of the elements in relation to the implementation process. The findings across each of the individual elements highlighted comparative results (refer to table 6.21).

Table 6.21. Comparative results from the online and interview responses.

Comparison of Online Survey Questions with Semi-structured Interview Questions

Online & Interview Questions	Online Response			Interview Response		
	Agree	Neutral	Disagree	Agree	Neutral	Disagree
My experience shows that Future State Models (target operating model) are well articulated in change and transformation programs	15.2%	31.1	52.7%	0	0	100%
My experience shows that Governance and Roles & Responsibilities are well managed and articulated in change and transformation programs	21.7%	22.9%	55.5%	0	0	100%
My experience shows that change impacts are well articulated in change and transformation programs	25.9%	24.9%	49.3%	0	0	100%
My experience shows that change and transition planning are well articulated in change and transformation programs	31.1%	29.4%	39.5%	0	0	100%

6.5.5 The interdependent relationship of the transformational change model

What was highlighted by all practitioners through the interview was the interdependency and relationship of all the elements to the overall implementation process, also highlighting the ‘flow-on impacts’ across the elements. These findings showed that not only are each of these

elements significant in their own right but there is a significant relationship between all of them. Using SPSS software, a Pearson Correlation was undertaken, which also showed significant correlation across all of the elements, with planning and impact analysis the strongest at 0.594, and the TOM and Governance were also very significant at 0.431 (refer to table 6.22).

The null hypothesis (H0) for RQ3 was that there was no relationship between these variables. The null hypothesis can be rejected with the alternative hypothesis (H1) confirmed, showing there is a significant relationship across all the elements.

Table 6.22. SPSS Pearson Correlation analysis

Correlations

		TOM	Governance	Impact_Analysis	Planning
TOM	Pearson Correlation	1	.431**	.302**	.277**
	Sig. (2-tailed)		<.001	<.001	<.001
	N	402	402	402	402
Governance	Pearson Correlation	.431**	1	.312**	.268**
	Sig. (2-tailed)	<.001		<.001	<.001
	N	402	402	402	402
Impact_Analysis	Pearson Correlation	.302**	.312**	1	.594**
	Sig. (2-tailed)	<.001	<.001		<.001
	N	402	402	402	402
Planning	Pearson Correlation	.277**	.268**	.594**	1
	Sig. (2-tailed)	<.001	<.001	<.001	
	N	402	402	402	402

**. Correlation is significant at the 0.01 level (2-tailed).

It is also acknowledged that the use of Pearson Correlation with a Likert Scale is often questioned. It is therefore recommended that if the Spearman Correlation is undertaken and the results are very similar, then it is then appropriate to use the Pearson Correlation supporting confidence with the results (Carifio & Perla 2007; Lubke & Muthén 2004). This is the case with the current analysis, which can be seen in Table 6.23.

Table 6.23. SPSS Spearman Correlation Analysis

Correlations

			TOM	Governance	Impact_Analysis	Planning
Spearman's rho	TOM	Correlation Coefficient	1.000	.406**	.294**	.268**
		Sig. (2-tailed)	.	<.001	<.001	<.001
		N	402	402	402	402
	Governance	Correlation Coefficient	.406**	1.000	.296**	.255**
		Sig. (2-tailed)	<.001	.	<.001	<.001
		N	402	402	402	402
	Impact_Analysis	Correlation Coefficient	.294**	.296**	1.000	.570**
		Sig. (2-tailed)	<.001	<.001	.	<.001
		N	402	402	402	402
	Planning	Correlation Coefficient	.268**	.255**	.570**	1.000
		Sig. (2-tailed)	<.001	<.001	<.001	.
		N	402	402	402	402

**. Correlation is significant at the 0.01 level (2-tailed).

A Principal Components Analysis was also completed in SPSS to consider the various elements under investigation. Firstly, Bartlett's Test of Sphericity was run within SPSS (refer table 6.24). The results show a p-value less than 0.001 and are therefore significant, again rejecting the null hypothesis that the elements are not correlated and showing the dataset is suitable for data reduction. It also shows chi-square distributed with the KMO test showing 0.650, which is suitable for Factor Analysis.

Table 6.24. SPSS KMO and Bartlett's Test.

KMO and Bartlett's Test

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.650
Bartlett's Test of Sphericity	Approx. Chi-Square	320.432
	df	6
	Sig.	<.001

Further analysis of the extraction method; the Principal Component Analysis shows one component with an Eigenvalue greater than 1 (refer table 6.25 and figure 6.15). This also shows the relationship between all the elements and accounts for 52.45% of the variance.

Table 6.25. SPSS Principal Component Analysis – Total Variance Explained

Total Variance Explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	2.098	52.453	52.453	2.098	52.453	52.453
2	.929	23.226	75.680			
3	.569	14.232	89.912			
4	.404	10.088	100.000			

Extraction Method: Principal Component Analysis.

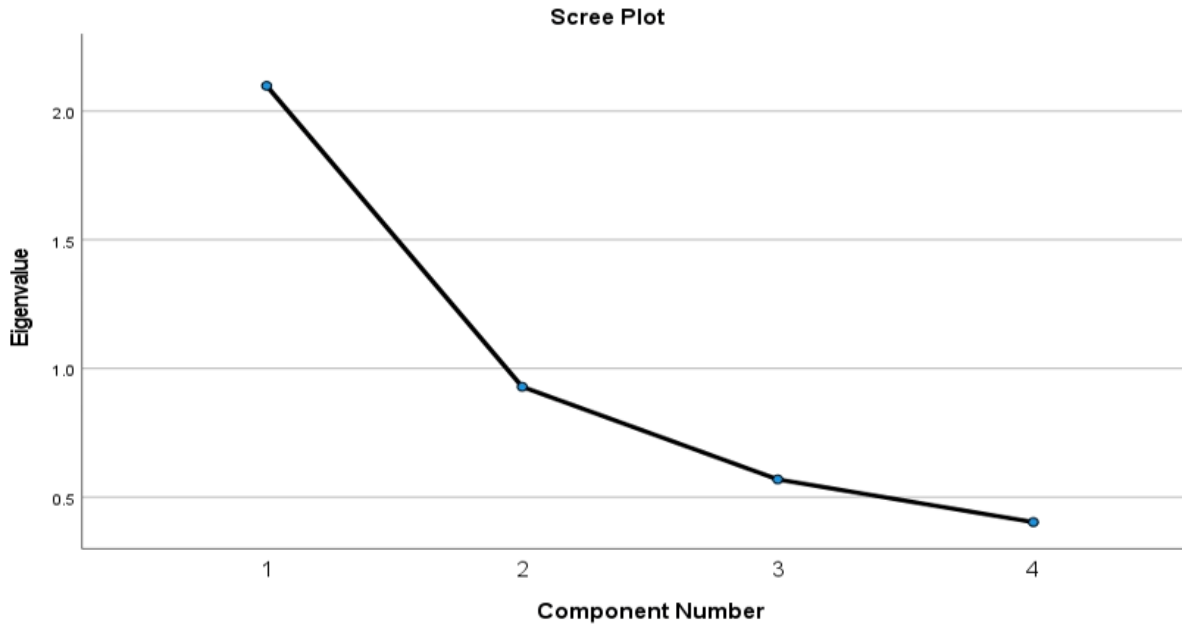

Figure 6.15. SPSS Scree Plot

The component analysis (refer table 6.26) also shows that each of the variables assessed has a strong relationship with the component, with Impact Analysis being the highest at 0.787, followed very closely with Planning at 0.759. This analysis appears to support the recognition of the *Delta Effect* as the Principal Component, which also highlights the extremely strong relationship with the Impact Analysis and Planning.

Table 6.26. SPSS Component Matrix

Component Matrix[a]

	Component 1
TOM	.672
Governance	.673
Impact_Analysis	.787
Planning	.759

Extraction Method: Principal Component Analysis.

a. 1 components extracted.

The Communality analysis (refer table 6.27) also showed strong results with Impact Analysis at 0.619 followed closely by Planning at 0.576.

Table 6.27. SPSS Communalities

Communalities

	Initial	Extraction
TOM	1.000	.451
Governance	1.000	.452
Impact_Analysis	1.000	.619
Planning	1.000	.576

Extraction Method: Principal Component Analysis.

6.5.6 A Non-linear Model and Framework.

The significant nature of each of these elements in supporting the implementation process, and the interdependency across the elements, has enabled a model to be developed that supports the non-linear nature of this process (refer figure 6.16). The model demonstrates the non-linear nature of the implementation process whilst also highlighting the systemic impacts of undertaking transformative change within the business environment.

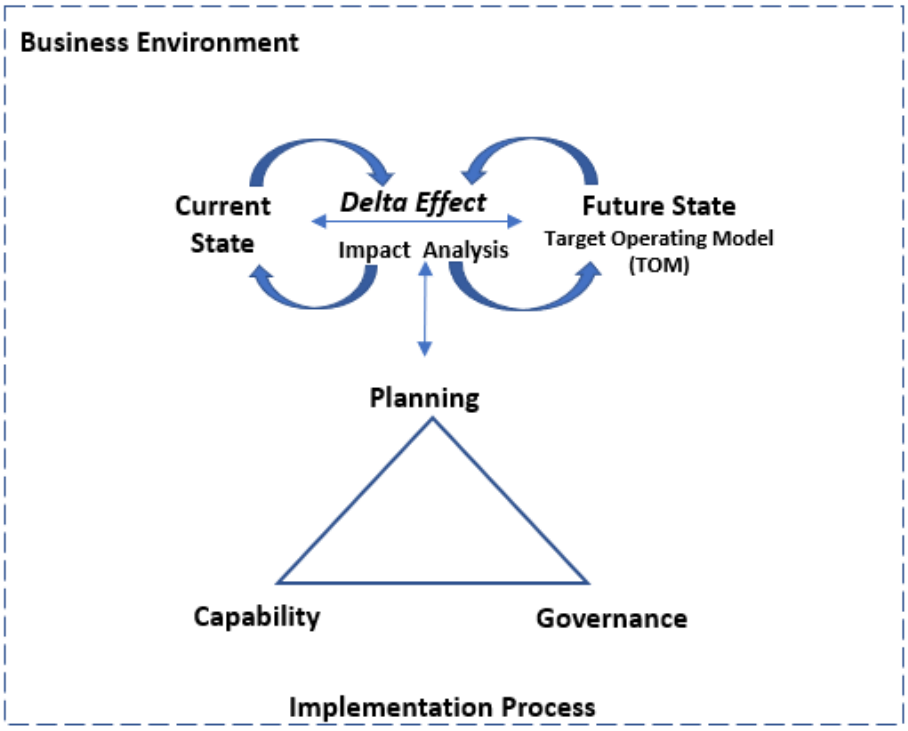

Figure 6.16: A non-linear model and framework for implementing transformative change

The framework acknowledges the complex, dynamic, and non-linear nature of transformative change, bringing to life the need to manage the '*delta effect'*. It also recognises the constant challenge of impacts to both the current state environment and future state model and the need for this to be managed. The framework highlights the previously 'hidden' nature of significant elements within the process and demonstrates the flow-on effects if appropriate definition and management of each of the elements are not accounted for. It demonstrates the need for clear articulation of the TOM to support the impact analysis. This analysis then provides the 'delta' (the difference between the current state and future state model) which supports the detailed requirements for planning, capability, and governance.

6.5.7 Summary

This chapter focused on the research sub-question 'What is the relationship of the identified elements to support and guide implementation of the future state model?' The objective of this was to develop a framework to manage and implement the new transformative model. The initial element considered was the transformational capability that was required to support the implementation process. The interviews highlighted the need for alignment between the TOM and planning, which then provided the associated input (planning) into the capability required. Capability also had a reciprocal relationship with planning, as capability informs the planning design.

The interviews further highlighted an ongoing theme from the practitioners, that if initial elements such as the TOM or planning was flawed, then everything that followed would be fundamentally flawed also. This was also true for the Governance element that was discussed with practitioners. If the TOM or planning was incorrect, then governance was also flawed, as this would not be monitoring, managing, and measuring the appropriate plan and could potentially have a misalignment with the capability required.

The online survey results also triangulated with the interview results relating to governance, confirming a similar finding. Further, Correlation analysis showed that not only are each of the elements significant in their own right but there is a significant relationship between all of them, which confirms the interdependency. The null hypothesis (H0) for RQ3 can be rejected with the alternative hypothesis (H1) confirmed.

The Principal Component Analysis undertaken also demonstrated that each of the elements assessed have a strong relationship with the component, with Impact Analysis being the

highest, followed very closely with Planning. This analysis appears to support the recognition of the *Delta Effect* as the Principal Component, which also highlights the extremely strong relationship with the Impact Analysis and Planning.

This analysis answered RQ3 *Delivery Management - What is the relationship of the identified elements to support and guide the implementation of the future state model?*

Finally, based on all these findings, a model has been developed that shows the non-linear and dynamic nature of implementing transformative change within today's business environment. The 'Delta Effect' recognises the systematic impacts of this process and provides a framework to support dynamic design and delivery, acknowledging the internal and external environmental impacts that must be managed throughout. This, in turn, has answered the research question this study focused upon '*What is the process of implementing transformative change in today's business environment?'*

CHAPTER 7: CONCLUSION

7.1 Introduction

The aim of this study was to explore the process of implementing transformative change in today's business environment. This chapter concludes by outlining the overall findings and implications that can be drawn from this research and the contribution to knowledge. It also discusses the limitations of the study, which are important to acknowledge, and finally details the potential for further research, building on this study.

7.2 Summary

This study embarked upon a journey to explore the complex and dynamic nature of implementing strategic and transformative change. Its core focus was to bring to life the little known and understood process of implementation, shining a light on the process of delivering transformative change in today's business environment.

To achieve the research aim, the study focused on the research question '*What is the process of implementing transformative change in today's business environment?';* explored via three sub-questions:

RQ1. Goal Definition - What is the process undertaken to define the goal for implementation?

RQ2. Planning Design - What analysis is completed to design the transition planning from the current-state model to the future-state model?

RQ3. Delivery Management - What is the relationship of the identified elements to support and guide the implementation of the future state model?

Three main research objectives were then detailed to support answering these questions with the findings summarised below.

7.2.1 RQ1 – Goal Definition.

Both the interviews and online questionnaire highlighted the necessity of a detailed definition of the future-state goal. This goal needed to be defined as a 'Target Operating Model' (TOM), acknowledging the need to consider the 'goal' via a model that could be operationalised. This means that the TOM must detail all functional components of the new future-state business model. It also highlighted the need for the practitioner to consider the model as part of a 'system' to ensure that a holistic view was taken in relation to the implications of the change. By viewing the TOM at a system level and through a holistic view, ensures that both the 'micro and macro' nature of the change was accounted for. The 'micro' aspect of the change related to the detailed elements of the business model; the 'macro' elements of the change acknowledged the environment within which the change must occur.

The interviews also reinforced the requirement to work closely with the main stakeholders to develop and define the TOM. This required the ability to convert the strategic goal into a TOM that aligned with the functional requirements of the business whilst acknowledging the broader marketplace environment.

This analysis answered the research question in relation to *Goal Definition - What is the process undertaken to define the goal for implementation?*

7.2.2 RQ2 –Planning Design

What became very clear with the practitioners that were interviewed was the implications of the TOM for the planning design. If the TOM had not been appropriately defined, then any planning that had been completed was fundamentally flawed. This showed the

interdependency of the TOM with the planning process. This was also highlighted via the online survey that showed the majority of transition planning was inappropriately articulated.

The interviews provided insight into the analysis that was required to be undertaken between the current-state model and the TOM. This impact analysis highlighted the impact of the new transformative model, which also provided the 'gap' or 'delta' between the current state and the future state. The 'delta' then informed the transition planning that was required to move from the current-state model to the future-state model. A major finding from the study was the '*Delta Effect'*. The *Delta Effect* is related to the need to constantly update the planning based on environmental changes (internal and external) to either the current state or TOM. Understanding the systemic nature of impacts meant that both the macro and micro changes needed to be accounted for via the *Delta Effect*. The *Delta* Effect supports the ability to dynamically plan and design the path towards implementation, supporting the constant changes which are experienced within the business environment today.

This analysis answered our question in relation to *Planning Design - What analysis is completed to design the transition planning from the current-state model to the future-state model?*

7.2.3 RQ3 – Delivery Management

What became clear through both the interviews and the questionnaire was the interdependence of all the elements, along with the systemic and dynamic nature of the process. This was also demonstrated through the Pearson Correlation test conducted, which highlighted the correlation of the elements, thereby rejecting our null hypothesis (H0) that there was no relationship with these elements. This also confirmed the significance and interdependency of

the associated relationships. The interdependency was further highlighted through the interviews, demonstrating the flow-on impacts of a flawed target operating model, impacting all elements of the process. The overall study provided the ability to develop a model that shows the non-linear and dynamic nature of implementing transformative change within today's business environment. The Delta effect recognises the systematic impacts of the process and provides a framework to support dynamic design and delivery, acknowledging the internal and external environmental impacts that must be managed throughout.

This analysis answered our question in relation to *Delivery Management - What is the relationship of the identified elements to support and guide the implementation of the future state model?*

7.2.4 A non-linear model and framework for implementing transformative change

The aim of this study was to explore the process of implementing transformative change in today's business environment. The findings from this study highlight the need to move to a non-linear process that can manage the dynamic nature of transformative change. Firstly, the need for the future state goal to be articulated as a 'Target Operating Model' (TOM), the fulcrum of the implementation process. Second, the necessity of the planning design to manage the 'Delta Effect', the impacts from the constantly changing environment. Finally, presenting a model that supports dynamic design and delivery, providing a framework for implementing transformative change in today's business environment. This has answered our research question the study focused on *'What is the process of implementing transformative change in today's business environment?*'

The study also addresses Grewatsch, Kennedy and Bansal (2021) call for the use of systems thinking to reduce complexity and focus on the significant variables. It aligns with their request to '(1) investigate co-evolutionary dynamics, rather than static models, (2) advance processual insights rather than favoring causal identification, and (3) recognise tipping points and transformative change rather than assuming linear monotonic changes' (p. 1). Whilst the study has provided valuable insight drawn from the practitioners involved, it also recognises the limitations that come with any form of research.

7.3 Limitations of the study

Whilst the best endeavours were undertaken to recreate the thematic and interpretative nature of the interviews, it is acknowledged that the findings in this research are not definitive and, as always, would benefit from further study. The quantitative analysis undertaken considered two main dimensions, quality of inputs and relationship of elements. It is acknowledged that there are many different dimensions that could be further explored within this field. Finally, the researcher acknowledges their own personal bias within the compilation of these findings and hope that further studies can build on what has been presented so far.

7.4 Recommendations for future research

Research in the field of strategic and transformative change is crucial in today's world. Whilst undertaking the study and through the interview discussions, it became obvious that the capability now required to lead major transformation deserves further in-depth investigation. The ability and skillset of practitioners to navigate both the technical aspects of transformational change whilst supporting the cultural and leadership challenges involved highlights a further opportunity to build on this initial work. Recent studies on Dynamic

Capabilities and Systems Thinking highlight this opportunity (Teece 2018a, 2018b; Waddock 2020).

We hope further studies can build off this research, and we acknowledge prior scholars that have enabled us to complete this study off their research. Finally, as one practitioner commented, '*transformative change is not just a science it's also an art'*. We agree and believe the integration of these worlds will continue to enhance our knowledge within this field.

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APPENDICES

Appendix 5.1

Core Research Questions for Interviews: Implementation Interventions and Process

(Adapted from Pettigrew, A & Whipp (1992); Stetler et al. (2007); Helfat and Martin (2015) and Teece (2018))

The following lists the questions that will be the focus for the Practitioner Interviews.

WHY - Context relative to the motivation for the change

1. Please describe the nature of the transformation being undertaken?
2. Please describe your role in the transformation.
3. What was the goal of the transformation?
4. Please describe the nature and context of the business environment?
5. Please describe the readiness and openness for change
6. What was the leadership commitment to the change being undertaken?
7. Please describe the business maturity in relation to undertaking major change?
8. Please describe the key stakeholders and their support (or otherwise) to the change and during the change.

WHAT - Content relative to the implementation

9. What was the future-state goal?
10. Who was involved in developing, defining and agreeing the goal?
11. Was the goal defined to a detailed business Target Operating Model for implementation?
    a. If YES – Please outline the detail
    b. If NO – Please outline activities you needed to undertake.
12. What supporting documentation was available for the implementation?
    a. Business Case?
    b. Business Requirements?
    c. Current State Business Assessment?
    d. Business Impact Assessment and Analysis?
    e. Other?
13. What was the project and/or change capability within the project team?
14. What governance was in place for the implementation?
    a. Were roles and responsibilities defined?
    b. Was there a clear decision-making process?
    c. What reporting was in place to track progress?
15. What other documents or relevant content was available to support the implementation?

HOW - Process that enable implementation

16. Please detail how you approached the implementation planning?
    a. (Note: This question will also draw deeper discussion from initial survey questionnaire completed by the Change Practitioner)
17. Was a 'gap analysis' – business impact assessment completed between the current environment and the strategic goal?
    a. If YES – Please outline how this was completed
    b. If NO – Please detail why this was not needed/undertaken
18. How was the implementation planning approached?
19. Was a specific project/change methodology used?
    a. If YES – was it effective?
20. Were you required to change your planning during the project?
    a. If YES – What was the main driver for the change?
21. How was the governance for the implementation approached?
22. Were roles and responsibilities clearly articulated?
23. What activities were undertaken with key stakeholders during the project?
24. What major interventions or changes were required by you (change lead) during the project?
25. Was the implementation successful?
    a. If YES – detail key elements of the 'success'
    b. If NO – detail main reasons for the 'failure'

OTHER

26. Are there any other factors that you would like to discuss that you feel are pertinent to the success/failure of the strategic implementation?

Appendix 5.2

INFORMATION TO PARTICIPANTS INVOLVED IN RESEARCH

You are invited to participate

You are invited to participate in a research project entitled **Exploring the process and managerial capability required when implementing planned strategic change**.

This project is being conducted by student researcher Tracey Penington as part of a Masters study at Victoria University under the supervision of Dr. Keith Thomas from the Institute for Sustainable Industries and Liveable Cities at Victoria University.

Project explanation

Strategic change is a significant focus for all business, to ensure the ability to adapt to a constantly changing marketplace. If completed well, it can provide a competitive advantage for business to survive and thrive; however, the failure rate of implementing this change continues to remain at unacceptably high levels. This study will explore the process being undertaken by project and change practitioners and their associated capability to lead the implementation.

The aim of this research is to develop a framework that supports the implementation of strategic change; and an outline of the practitioner capability required to lead and deliver the change.

What will I be asked to do?

An interview will be conducted with you, to discuss your experience in leading and managing the implementation of a strategic change. The interview will take approximately 60 minutes and will be completed virtually. For research purposes an audio recording of the interview will be undertaken.

Prior to the interview being completed we will seek your consent to participate. We will then provide a short questionnaire seeking information on your industry experience with strategic change. This information will also be used to support the overall study. Contact details will be provided, so that you can ask questions at any time in relation to this study.

What will I gain from participating?

An opportunity to support academic knowledge and insight into strategic change as well as providing practical knowledge that will also be used to support Industry within this field and discipline.

How will the information I give be used?

The findings of this research will inform theory, practices and process relating to strategic implementation and the capabilities required to manage and lead the change.

What are the potential risks of participating in this project?

There are minimal risks for participating in this study. Informed consent, anonymity and confidentiality will be maintained to further minimize any perceived risk.

COVID-19 can spread easily in the community and it can have severe consequences. For this reason the interview will be completed virtually removing any risk of infection.

How will this project be conducted?

This study involves a public sector case-study on strategic change; as well as one-on-one interviews with practitioners that have been involved in implementing strategic change. An online survey will also be undertaken with change practitioners to gain further insight on strategic change.

Who is conducting the study?

Chief Investigator

Dr Keith Thomas

Email: Keith.Thomas@vu.edu.au

Phone: +61 (03) 9919 1954

Student Researcher

Tracey Penington

Email: tracey.penington@live.vu.edu.au

Phone: +61 433 871 133

Any queries about your participation in this project may be directed to the Chief Investigator listed above.

If you have any queries or complaints about the way you have been treated, you may contact the Ethics Secretary, Victoria University Human Research Ethics Committee, Office for Researcher Training, Quality & Integrity, Victoria University, PO Box 14428, Melbourne, VIC, 8001, email researchethics@vu.edu.au or phone (03) 9919 4461 or 4781.

Appendix 5.3

CONSENT FORM FOR PARTICIPANTS INVOLVED IN RESEARCH INFORMATION TO PARTICIPANTS:

We would like to invite you to be a part of a study exploring the process and managerial capability required when implementing planned strategic change

This project is being conducted by a student researcher Tracey Penington as part of a Masters study at Victoria University under the supervision of Dr. Keith Thomas an academic from the Institute for Sustainable Industries and Liveable Cities at Victoria University.

Strategic change is a significant focus for all business, to ensure the ability to adapt to a constantly changing marketplace. If completed well, it can provide a competitive advantage for business to survive and thrive; however, the failure rate of implementing this change continues to remain at unacceptably high levels. This study will explore the process being undertaken by project and change practitioners and their associated capability to lead the implementation. The aim of this research is to develop a framework that supports the implementation of strategic change; and an outline of the practitioner capability required to lead and deliver the change. The findings of this research will provide both academic and industry insight in relation to strategic change implementation.

There are minimal risks for participating in this study. Informed consent, anonymity and confidentiality will be maintained to further minimize any perceived risk.

CERTIFICATION BY PARTICIPANT

I, _____ of _____certify that I am at least 18 years old and that I am voluntarily giving my consent to participate in the study: **Exploring the process and managerial capability required when implementing planned strategic change** being conducted at Victoria University by: Dr. Keith Thomas and Tracey Penington

I certify that the objectives of the study, together with any risks and safeguards associated with the procedures listed hereunder to be carried out in the research, have been fully explained to me by student researcher, Tracey Penington and that I freely consent to participation involving the below mentioned procedures:

- Interview.
- Audio recording of the interview.

I certify that I have had the opportunity to have any questions answered and that I understand that I can withdraw from this study at any time and that this withdrawal will not jeopardise me in any way. I have been informed that the information I provide will be kept confidential and may be used for future research in this field of study.

Signed: _____

Date: _____

Any queries about your participation in this project may be directed to the researcher

Dr Keith Thomas (The chief investigator)
Email: Keith.Thomas@vu.edu.au
Phone: +61 (03) 9919 1954

If you have any queries or complaints about the way you have been treated, you may contact the Ethics Secretary, Victoria University Human Research Ethics Committee, Office for Researcher Training, Quality & Integrity, Victoria University, PO Box 14428, Melbourne, VIC, 8001, email Researchethics@vu.edu.au or phone (03) 9919 4461 or 4781.

Appendix 5.4
Ethics Approval

Dear DR KEITH THOMAS,

Your ethics application has been formally reviewed and finalised.

» Application ID: HRE21-035
» Chief Investigator: DR KEITH THOMAS
» Other Investigators:
» Application Title: Exploring the process and managerial capability required when implementing planned strategic change.
» Form Version: 13-07

The application has been accepted and deemed to meet the requirements of the National Health and Medical Research Council (NHMRC) 'National Statement on Ethical Conduct in Human Research (2007)' by the Victoria University Human Research Ethics Committee. Approval has been granted for two (2) years from the approval date; 28/04/2021.

Continued approval of this research project by the Victoria University Human Research Ethics Committee (VUHREC) is conditional upon the provision of a report within 12 months of the above approval date or upon the completion of the project (if earlier). A report proforma may be downloaded from the Office for Research website at: http://research.vu.edu.au/hrec.php.

Please note that the Human Research Ethics Committee must be informed of the following: any changes to the approved research protocol, project timelines, any serious events or adverse and/or unforeseen events that may affect continued ethical acceptability of the project. In these unlikely events, researchers must immediately cease all data collection until the Committee has approved the changes. Researchers are also reminded of the need to notify the approving HREC of changes to personnel in research projects via a request for a minor amendment. It should also be noted that it is the Chief Investigators' responsibility to ensure the research project is conducted in line with the recommendations outlined in the National Health and Medical Research Council (NHMRC) 'National Statement on Ethical Conduct in Human Research (2007).'

On behalf of the Committee, I wish you all the best for the conduct of the project.

Secretary, Human Research Ethics Committee
Phone: 9919 4781 or 9919 4461
Email: researchethics@vu.edu.au

Appendix 5.5
Change Practitioner Online Survey

Thank you for agreeing to take part in this study ‘Exploring the process and managerial capability required when implementing planned strategic change’, being conducted at Victoria University.

By taking part in this study, you acknowledge that you are voluntarily giving your consent to participate.

How will the information be used?

- The survey is anonymous and no personal information will be shared outside of the research.
- The findings of this research will inform academic and industry theory, practices and process, relating to strategic change.

Thank you for your support.

Change Practitioner Online Survey (Participant will 'opt-in' to participate)

Thank you for consenting to be part of this study. The findings of this research will inform theory, practices and process relating to strategic implementation and the capabilities required to manage and lead the change.

Question	**Please tick what is relevant**
1. In relation to change (business and strategic change), I consider myself to be …?	____ A business leader ____ A change leader ____ A change practitioner ____ Other (please detail)
2. I have been involved in business change and transformation programs?	____ Less than 1 Year ____ 1 – 3 Years ____ 3 – 5 Years ____ 5 – 10 Years ____ 10 Years Plus
3. My project and change experience has been across?	____ Academia ____ Private Sector ____ Public Sector ____ Not for Profit ____ Other (Please detail)
4. My experience shows that Future State Models (target operating model) are well articulated in change and transformation programs	Please check <u>only one statement</u> that best represents your view. ____ Strongly agree ____ Agree ____ Neutral ____ Disagree ____ Strongly disagree
5. My experience shows that Governance and Roles & Responsibilities are well articulated in change and transformation programs	Please check <u>only one statement</u> that best represents your view. ____ Strongly agree ____ Agree ____ Neutral ____ Disagree ____ Strongly disagree
6. My experience shows that change impacts are well articulated in change and transformation programs	Please check <u>only one statement</u> that best represents your view. ____ Strongly agree ____ Agree ____ Neutral ____ Disagree ____ Strongly disagree
7. My experience shows that change and transition planning are well articulated in change and transformation programs	Please check <u>only one statement</u> that best represents your view. ____ Strongly agree ____ Agree ____ Neutral ____ Disagree ____ Strongly disagree