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**A FRAMEWORK FOR MONITORING
AND EVALUATING
CRITICAL SUCCESS FACTORS IN
STRATEGIC CHANGE PROGRAMME
IMPLEMENTATION**

—

**A CASE STUDY OF A
GLOBAL INDUSTRIAL COMPANY
IN THE ENERGY SECTOR**

JAN NEUMANN

DBA

2014

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JAN NEUMANN

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the requirements of the
University of Northumbria at
Newcastle
for the degree of
Doctor of Business Administration

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Newcastle Business School

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ABSTRACT

This thesis is about developing a framework for monitoring and evaluating critical success factors (CSFs) in strategic change programme implementation (SCPI). Therefore, it

- identifies prerequisites enabling systematic monitoring and evaluation in SCPI,
- identifies and provides new and better understanding of CSFs within SCPI,
- assigns these CSFs to programme phases in which they should be monitored and evaluated, and
- identifies and assigns methods and responsibilities to conduct monitoring and evaluation of these CSFs.

The findings on prerequisites and the framework as the combination of WHAT (CSFs), WHEN (programme phase), HOW (methods), and WHO (responsibilities) to conduct monitoring and evaluation in SCPI demonstrate the distinctiveness of this thesis contributing to knowledge and professional practice. The findings go beyond the typical monitoring and evaluation scope of programme management. Consequently, this research offers new insights for both academics and practitioners involved in managing strategic change and monitoring and evaluating change implementation.

The work is based on a case study of a global industrial company from the energy sector. It provides an assessment of its global SCPI within Europe, giving consideration to the global context of the programme and the company. The SCPI makes particular reference to changes in business models, business processes, organisation structures as well as Enterprise Resource Planning infrastructure.

This research is characterised as interpretative and subjective, following a social constructionist approach. It undertakes an applied real world research project following a summative evaluation approach examining the programme after its implementation.

In order to gather subjective accounts about the case, 25 semi-structured interviews have been conducted. These 25 interviewees performed more than 65 roles within the programme at global and local levels across several country implementations. Template analysis was chosen in order to analyse the textual data.

Keywords: Framework, monitoring and evaluation, strategic change, global programme implementation, case study, energy sector

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LIST OF TERMS AND ABBREVIATIONS

Abbreviation	Explanation
ACH	Austria and Switzerland
B2B	Business-to-business
BCIM	Business Change Implementation Methodology, change management methodology enabling the successful implementation of the SCP
BIA	Business Impact Assessment: identifies and discusses business impacts, associated issues and required actions due to process and system changes; no discussion around organisational issues and initiatives in detail; C&E team supports business in handling the organisational alignment
BIM	Business Implementation Manager (later label changed to Assurance Manager), global role located within the global programme structure responsible for supporting one or a number of country/cluster implementations at a managerial level
BMC	Business model change/s
BPC	Business process change/s
BPR	Business Process Reengineering
BRR	Business Readiness Review: workshops to assess readiness of businesses and functions for SCP Go-live (processes, organisational model and IT solutions), typical implementation has two to three of these workshops; determining whether the business and project initiatives completed or in progress have achieved the level of completeness expected; looking at the plans for upcoming months to assess the feasibility of success, determining whether the risks and issues relating to the achievement of individual activities and the overall plan are manageable
C&E	Change & Engagement: change management workstream within SCP
CA	Change agent/s
CAP	Connected Application Portfolio
CAQDAS	Computer Assisted Qualitative Data Analysis Software
CAT	Confirmation Acceptance Test, end-to-end process test with real data
CEE	Central and East Europe, country cluster comprising Bulgaria, Czech Republic, Poland, Slovakia, Hungary, Russia
CIO	Chief Information Officer
CIPD	Chartered Institute of Personnel and Development
Cluster	Group of several countries combined in one cluster, e.g. Germany (D), Austria (A), and Switzerland (CH) into one DACH cluster
CO ₂	Carbon dioxide

Abbreviation	Explanation
CoB/F	Classes of Business and Function, case study company specific term for business / organisation unit, function or area of operations and responsibility; alternatively can also be termed line of business or function (LoB, LoB/F)
CP	Contracting and Procurement (organisation function)
CPM	Country Programme Manager or Cluster Programme Manager, coordinates and manages the SCP implementation in country
CSC	Case study company
CSO	Customer Service Organisation
D	Germany
DACH	Acronym for Germany (D), Austria (A), Switzerland (CH), strategic change programme implementation of this country cluster examined within this work
DBA	Doctor of Business Administration
DCCT	DACH Cluster Coordination Team: this management team includes managers from Germany, Austria, Switzerland and some global managers being accountable for the business in DACH (not related to the strategic change programme)
DCT	Downstream Coordination Team: highest management decision board being accountable for the SCP realisation in respective country / cluster
DLT	Downstream Leadership Team
ERP	Enterprise Resource Planning, Enterprise Resource Planning system
Floorwalker	Within the first weeks after the Go-live additional people assisting and supporting people having any questions or issues to be solved regarding processes or IT; recognisable by wearing blue Support T-shirts; Local support within a CoB/F, first point of contact for questions around processes and IT applications, support with authorisations, in close contact with global Process Focal Points, support of the local project teams, very often local trainers of respective CoB/F
FSS	Process area Financial Shared Services
FTE	Full-time equivalent, staff numbers calculated on a full-time basis
FTV1	Final template version 1, version to provide feedback on findings for the case study company
FTV2	Final template version 2, dedicated purpose for this research where some sections and nodes from FTV1 are merged into a more consolidated version
GAME	Process area Global Asset Management Excellence, a project in business unit Manufacturing
GSAP	Global SAP, SAP is an enterprise resource planning system

Abbreviation	Explanation
GSOM	Global Standard Organisation (Design) Model
HM	Process area Hydrocarbon Management
HR	Human Resources (organisation function)
HSSE	Organisation unit within case study company responsible for managing health, safety, security, and environment issues
ICCP	Integrated Country Programme Plan, captures all projects being planned or deployed in a country, ensures proper resource planning and management
IDM	Integrated Deployment Model is a repeatable, standard framework covering the deployment of the SCP from 24 months before the Go-live of GSAP, CAP and associated Streamline processes to three months after Go-live, providing a clear and integrated view of the deployment journey and highlighting cross-team and cross-process integration
ILT	Instructor-Led Training, classroom training facilitated by a trainer
IM	Integration Management
IPA	Interpretative Phenomenological Analysis
IT	Information Technology
KPI, KPIs	Key Performance Indicator/s
LES	Live Environment Simulation, improves and validates business readiness, with significant business involvement; simulates business prior to Go-live, end users are exposed to a real life business situation in a safe environment and strengths/weaknesses are identified by end users, tasks, job role; should cover all critical business processes that might occur in the first week after Go-live
LSC	Lubes Supply Chain, process area as well as one of the business areas (class of business)
LSDR	Local Senior Downstream Representative, most senior representative for the Downstream business in country, Country Chair
Lubes	Lubricants (class of business)
MAPS	Methodology for Approaching Process Standardisation, toolkit for managers of business change programmes, contains a set of processes, tools, templates and guidance materials that teams can use to help them with planning and executing their project work, comprehensive toolkit for approaching the work of standardising processes across Oil Products, incorporates the DBAM (Downstream Business Activity Model) tools and guidance materials to assure that any Streamline process documentation is consistent with the DBAM standards
Mgt.	Management
MI	Process area Management Information
MNC, MNCs	Multinational company/ies

Abbreviation	Explanation
MRD	Process area Master Reference Data
NBS	Newcastle Business School
OCT	Operational Coordination Team, responsible for deciding on operational issues related to the strategic change programme implementation, one level below DCT, consisting of second and third level managers and subject matter experts from their business lines, functions and programme workstreams
OGC	Office of Government Commerce
OD	Organisation Design, workstream within “Change & Engagement” (change management)
OPEC	Organization of the Petroleum Exporting Countries
OSC	Organisation structure change/s
OTC	Process area Offer to Cash
PDF	Project Development Framework
PFP, PFPs	Process Focal Point/s
PGS	Process area Procure Goods and Services
PLM	Process area Product Lifecycle Management, sub process area in StBC
PMI	Project Management Institute
PMO	Programme Management Office
PMT	Global Programme Management Team
POAP	Plan On A Page, a consolidated plan on one page, comprising all main local elements, activities and milestones for the SCP implementation in country, these POAPs were developed for every SCP workstream in country
R&D	Research & Development
RA	Research aim
RAG	Red – Amber – Green, traffic light system used for reporting: Red – Successful programme delivery at risk unless urgent and immediate action taken; Amber – Behind schedule and/or significant issues or risks identified, action required; Green – Mostly on track, risks and issues currently mitigated - but no cause for complacency
Retrofit	Retrofit is the term used to describe any activity required to close the gaps between successive releases of IT (GSAP and CAP), Streamline processes/policies; and organisation models (GSOM), progressive upgrading of the SCP systems, processes and organisation

Abbreviation	Explanation
RMTDB	Role Mapping and Training Database: a global SCP tool used to store Global Standard Organisation Models, localised organisation designs and role mapping for all CoB/Fs involved in the SCP; training package information based on the role mapping, and information on business controls
RO	Research objective
RQ	Research question
S&I	Sustain & Improve: name of programme phase after implementation phase, PMO successor organisation, embeds and continuously improves the global SCP processes, formalisation of processes, roles and tools required to support the operations of these business processes and underpinning technology
SAE	Streamline Accountable Executive, global role within a CoB/F who is accountable for Streamline Execution
SCP	Strategic change programme
SCPI	Strategic change programme implementation
Sec.	Section (part of a chapter)
SEPA	Single Euro Payments Area
StBC	Process area Sell to Business Customers
StCC	Process area Sell to Cards Customers
StRC	Process area Sell to Retail Customer
Super User	Super Users are the first point of contact for end users to resolve non-urgent 'how to' issues and capture suggestions for improvement. They raise tickets with the support desk when issues are identified that they are unable to resolve themselves. Super Users work with Process Focal Points (PFPs) to share common issues/suggestions for improvement from end users, and test changes as directed by PFPs. Super Users work with in deployment teams and operating unit business leadership, to prepare for changes, support retrofit, review issues and support to resolve systems and process issues and introduce improvements. A number of Super Users are local trainers in systems and processes and will be expected to deliver training to end users when significant changes are required.
TA	Template Analysis
US	United States of America

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DECLARATION

I declare that the work contained in this thesis has not been submitted for any other award and that it is all my own work. I also confirm that this work fully acknowledges opinions, ideas, and contributions from the work of others.

Any ethical clearance for the research presented in this thesis has been approved. Approval has been sought and granted by the School Ethics Committee, the case study company as well as by each research participant.

I declare that the word count of this thesis is 64,357 words.

Name: Jan Neumann

Signature:

Date:

CHAPTER I INTRODUCTION

1 Introduction

The purpose of this chapter is to introduce the research focus and process of this thesis. First, the chapter begins with an overview of the research focus. Afterwards, industry and background information of the case being researched is provided in order to understand its context. Further, the main conceptual theories regarding organisations and approach to organisational change being dealt with to underpin this research are explored. The chapter then introduces the research aim, related questions, and objectives. Afterwards, the research approach and context are outlined before the potential contribution of this work is outlined. The chapter closes with an overview of the structure and the main characteristic of the thesis.

1.1 Focus of this study

This research is about strategic change programme (SCP) implementation and approaches to monitor and evaluate these in order to ensure successful implementation. The work uses a single case study approach looking at a strategic change programme of a global industrial company in the energy sector¹. It is about introducing standard business models, streamlined and standard global business processes, a global standard organisation model and a common, company-wide enterprise resource planning system (ERP) to about 36 countries. The study focuses primarily on the implementation in Germany, Austria and Switzerland (DACH) where the researcher was involved as external management consultant for one and a half years.

The thesis centres on practices relating to the management of such an extensive change programme, considering various programme levels and organisational dimensions.

¹ The name of the case study organisation and its strategic change programme cannot be stated due to anonymity and confidentiality reasons. Therefore, the name of the company is being replaced by CSC and the name of the strategic change programme by SCP.

Particular reference is given to critical success factors (CSFs) for successful implementation as well as prerequisites and operational priorities for strategic change programme monitoring and evaluation. Herein, the focus is more on monitoring the whole strategic change programme implementation as a change process and its CSFs rather than purely on programme progress and outcomes as often described in project or programme management oriented literature (e.g. progress and performance, comparing planned results with actual results to determine progress toward project costs, schedule, technical performance objectives). Hence, this work goes beyond the typical monitoring and evaluation scope of project/programme management (Cleland & Ireland, 2006; OGC, 2007; PMI, 2013a; b).

Limitations – This research is not looking at the development of newer and reliable scales that can be used for formative as well as summative evaluation purposes of the identified critical success factors. Nor is the study aiming at the examination of the return on investment perspective for strategic change programme implementations.

1.2 Industry and business background of the case

There is acknowledgement that the worldwide economy changed tremendously over the past decades (Burke, 2011). Friedman (2007) recognised global markets in which goods, services, capital, knowledge, ideas, and people move freely across the globe striving for better and new opportunities. As a consequence of reduced trade and investment barriers, companies and organisations nowadays compete in a truly global environment (Rothaermel, 2013), where they consider themselves to be exposed to intense competition facing very different types of challenges. These include rapid growth, emerging new technologies with increasingly short technological cycles, entrance of new competitors, failing markets with depressed economies, financial crisis, and the collapse of market participants (Burnes, 2009). The petrochemical industry is not immune to these dynamics and developments (OPEC, 2012; 2013), and as such, provides a very useful field in which to consider a case based research.

Global competition, growing demand, constrained refining capacity, price volatility and industry consolidation continue to put pressure on the oil and gas industry (Latheef, Schweitzer & Apicella, 2008). Governmental influence worldwide, alongside other supply and demand-side challenges, will continue to influence the changing industry landscape (Edwards, Ishaq & Johnsen, 2010). A shift is recognised, national oil companies are becoming increasingly dominant while the role of international oil companies is challenged due to energy source availability (Edwards, Ishaq & Johnsen, 2010).

Further, resulting from significant increases in oil and gas prices, the petrochemical industry in the Arabian Gulf region has benefited from substantial pricing and transportation advantages. Industry and market conditions have also changed due to governmental investments from countries within the Middle East and Asia. This has incentivised the establishment of R&D activities, building the required infrastructure and setting up supporting educational systems to attract external know-how as well as build and retain local industry know-how (Kalkman & Keller, 2012). This geographical shift in markets has challenged the dominant position of US and Europe based companies, now combining to represent 30% of global petrochemicals production, which is half of its relative global position compared with 30 years earlier (Kalkman & Keller, 2012). These shifts are reshaping the global Downstream industry and are anticipated to continue in the future (OPEC, 2012).

Moreover, costs for exploration, development and production are rising (McCreery, Phillips & Cigala, 2013). In addition, a structural global refining surplus is re-emerging, with significant capacity growth expected over the upcoming years, particularly in Asia, Middle East, and Latin America. As a result, the rate of utilisation drops and refining margins decrease as well (Ernst & Young, 2012). European companies in particular are experiencing pressure on their margins also due to expensive feedstock, high-energy cost, and tightening regulations.

This makes it particularly difficult for these companies to compete in commoditised petrochemicals (Ernst & Young, 2012; Kalkman & Keller, 2012). These substantial changes across the oil and gas industry require new approaches for organisations to manage both Upstream and Downstream business² (IBM, 2013). In the Downstream business, the main value driver contributing to the attractiveness of an individual refinery asset will continue to be location and operational excellence (Forrest *et al.*, 2011). A recent study from Bain & Company (McCreery, Phillips & Cigala, 2013) notes that the need for operational excellence has never been greater. It relies on standard processes that over time lead to continuous improvement of operating performance (McCreery, Phillips & Cigala, 2013). Linked to that, the industry developments reveal that current business models for oil and gas companies are coming under pressure (Ernst & Young, 2012) which discloses the need to reassess their future competitiveness (Forrest *et al.*, 2011).

Successfully navigating through this change will mean transforming the Downstream business through a multiyear journey to manage profit margins (Accenture, 2011). Reshaping the Downstream capabilities requires significant change inside the organisation impacting all areas of the business, such as strategy, crude supply, refinery operations, product supply, marketing operations and support services (Accenture, 2011). Accenture (2011) recommends a formal step-process and transformation programmes focusing on “distinctive” processes that drive value. This will result in the consolidation of critical but noncore business processes into centralised shared service centres, identifying unique capabilities of specific refineries and organisations, and funding the development of future core competencies according to market developments (Accenture, 2011).

Such tremendous changes start off with a new strategy, followed by a corresponding adaptation of business models which changes how the company operates both within and across refineries (Accenture, 2011; Forrest *et al.*, 2011).

² *Upstream*: exploration and production; *Downstream*: refining and processing of hydrocarbons into usable products as well as marketing and distributing these (gasoline, petrol, kerosene, jet fuel, diesel oil, heating oil, fuel oils, lubricants, waxes, asphalt, natural gas, liquefied petroleum gas, and petrochemicals).

The focus in this work is on the Downstream business since this is directly related to the case being researched in this study.

IBM's executive report (2010) looks ahead towards 2030 and notices CSFs such as performance management, enterprise risk management, operational excellence, people management, and adaptive business models. Consequently, companies and their leaders have had to look for opportunities and possibly adapt their business strategy in order to exploit organisational strategic abilities and competencies and to seek improvements in every area of their business. This requires the organisation's readiness and ability to implement the proposed and planned changes respectively (Thompson & Martin, 2005; Armenakis & Harris, 2009).

1.3 Main conceptual theories underpinning the study

Before monitoring and evaluation of SCP implementation can take place there is a need to understand the nature and type of the change. This in turn implies the need to understand an organisation, its components, relations, and interactions and how they are affected by a certain change. Therefore, the following sections explain the underlying understanding of the nature and theories of organisations and organisational change that are most appropriate to this research.

1.3.1 The organisation as living organism and open-system

Organisations and organisational change can be understood by a variety of metaphors and theories, for instance as a machine, brain, or organism (Burke, 2011). The metaphors of choice in this research are: organisation as living organism (Morgan, 2006) and open system (Katz & Kahn, 1978). Referring to Morgan (2006) and Katz & Kahn (1978) the main characteristics are summarised in the table below.

Table I-1: Organisation as living organism and open-system

Organisation as living organism and open-system
<ul style="list-style-type: none">• Emphasis on dependence, continual exchange and interactions between organisation and its external environment as an input-throughput-output relation• Open, reactive, proactive, permeable and flexible entity with an intention of survival• Consists of concrete internal elements³ of which the most important one is people – Thus, as mentioned by Holt <i>et al.</i> (2007b), when organisational change is initiated, it must be implemented by people. This means organisational members implement change by changing the way they do their own work.

Source: Own table based on Katz & Kahn (1978) and Morgan (2006)

The total system view is particularly important. There would not be a change intervention that affects every single part of an organisation at a time. However, change in one part of an organisation might affect other parts of it (Burke, 2011). These interdependencies make it even more challenging when it comes to monitoring and evaluation of outcomes as cause-and-effect relations are not always known or unforeseen developments might occur.

1.3.2 Evolutionary and teleological theory explaining processes of change in organisations

Van de Ven and Poole (1995) as well as Kezar (2001b) describe four main categories of theories of change that assist in understanding, describing, and developing insights about the change process: evolutionary, teleological, life cycle, and dialectical theory. Van de Ven & Poole (1995) argue that although these four theories seem to be discrete, they are not. Therefore, they developed a framework of 16 possible combinations and explanations of understanding organisational change. The understanding that fits best with this research is a combination of evolutionary and teleological theory, which are summarised below.

³ physical (e.g. buildings), technical (e.g. machines), social task- or work-related elements (e.g. human relations between manager and subordinate); or functions (e.g. manufacturing, sales, accounting); and subsystems such as departments (e.g. marketing, finance), divisions, or business units (Burke 2011)

Evolutionary theory – The main assumption underlying the evolutionary theory is about change as a response to external circumstances, situational variables, and the environment each organisation is confronted with in order to survive (Kezar, 2001a; Morgan, 2006). Van de Ven & Poole (1995) state that evolution explains change as a recurrent, cumulative, and probabilistic progression of variation, selection, and retention of organisational entities. Following this understanding organisational change is a slow, ongoing, and evolving process where organisations do not have a choice but to change (Kezar, 2001a; Morgan, 2006). As in biological entities, evolution is constant and in line with this, again a living organism is the main metaphor for understanding the processes of change in organisations (Burke, 2011).

Teleological theory – The teleological theory assumes that purpose and goal are the final cause for organisational change (Van de Ven & Poole, 1995). Further, it is assumed that an organisation is purposeful and adaptive, by itself and in interaction with others, toward an end state. Change is regarded as “*a repetitive sequence of goal formulation, implementation, evaluation, and modification of goals based on what was learned or intended by the entity* (Van de Ven & Poole, 1995, p. 516).” Change occurs because those in organisations who are responsible see the necessity to change. At the core of the process is the leader, who aligns goals, sets expectations, models, communicates, engages, and rewards (Kezar, 2001b). According to Huber & Glick (1995), Brill & Worth (1997) and Carnall (2007) the key elements of a change process are planning, assessment, incentives and rewards, stakeholder analysis and engagement, leadership, scanning, strategy, restructuring and reengineering. The result of the change process is similar to that in evolutionary theory, new structures or principles (Kezar, 2001b).

1.3.3 Planned change as an approach to organisational change

The literature distinguishes between unplanned and planned approaches to manage change (Porras & Silvers, 1991; Burnes, 2006; Burke, 2011). The viewpoint taken in this work is that of planned change as defined by Porras & Silvers (1991): deliberate, conscious decision to improve the organisation in a deeper, fundamental way. It might seem paradoxical to think about managing organisational change in a planned manner, as it would be a linear process.

However, reality shows that change is anything but that (Burke, 2011). Taking the standpoint that the aims and objectives of the change are clearly given and change leaders willing to carry it out over time, the process might be somewhat linear or at least patterns evolve (Burke, 2011). Nonetheless, it is useful to think about implementing the change by a planned process. The process or phases are not totally discrete, but overlap as in the course of implementation more than one phase can occur at a time, as they are not temporally mutually exclusive. Besides, as unanticipated unplanned effects occur during implementation, contingency plans need to be in place.

1.4 Research aim, questions, and objectives

The main aim of this research is to develop a framework for systematically monitoring and evaluating critical success factors within a strategic change programme implementing changes in business models, business processes, organisation structures as well as IT/ERP systems. Table I-2 below presents the research questions to be answered to accomplish the research aim.

Table I-2: Research questions

Research questions

RQ1: Which prerequisites enable systematic monitoring and evaluation of strategic change programme implementation?

RQ2: Which critical success factors need to be monitored and evaluated throughout a strategic change programme in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?

RQ3: How can monitoring and evaluation of these critical success factors in such a strategic change programme implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?

Source: Own table

In order to be able to answer these research questions, this thesis pursues the research objective as presented in Table I-3 below.

Table I-3: Research objectives

Research objectives

RO1: To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation

RO2: To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)

RO3: To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)

RO4: To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)

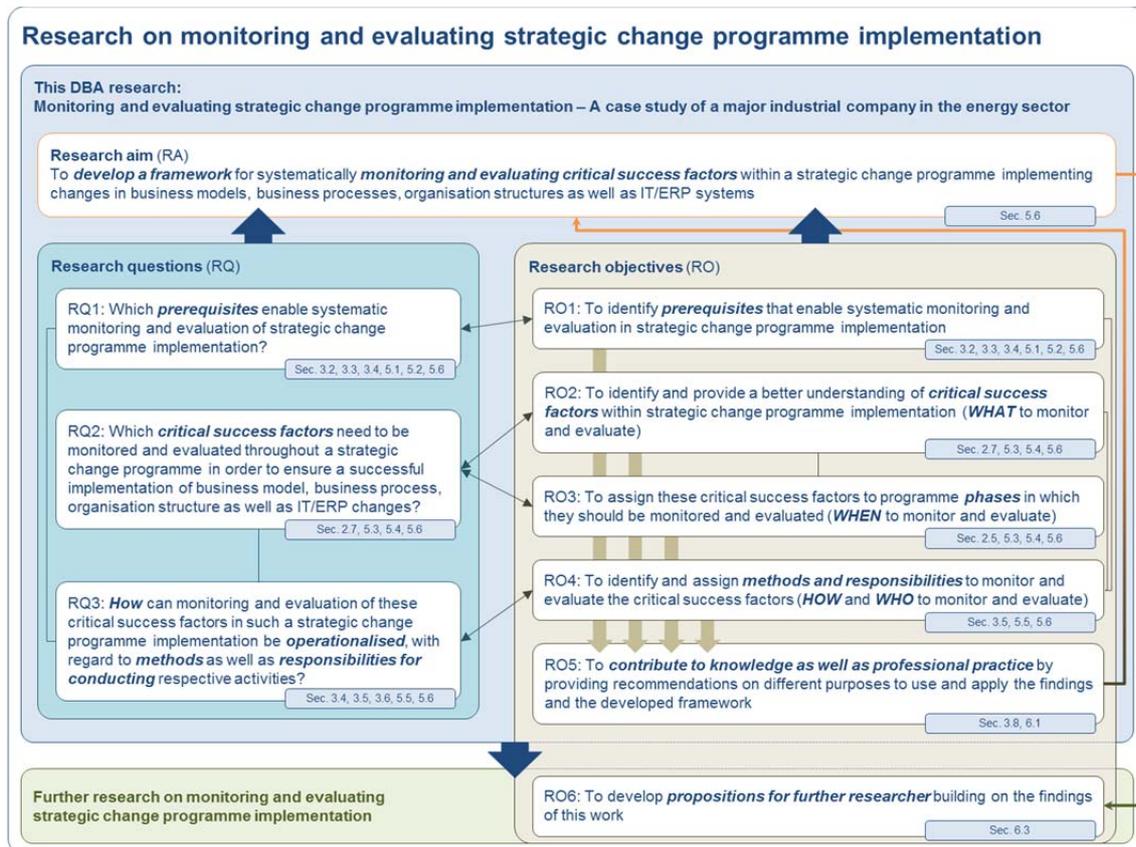
RO5: To contribute to knowledge as well as professional practice by providing recommendations on different purposes to use and apply the findings and the developed framework

RO6: To develop propositions for further researcher building on the findings of this work

Source: Own table

The figure below illustrates how research aim, research questions, and research objectives are linked to each other. In addition, the figure illustrates in which chapters of this work respective topics and content are dealt with – indicated by ‘Sec.’ and respective numbering of the section.

Figure I-1: Linking research aim, research questions, and research objectives



Source: Own figure

1.5 Research approach and context

This research can be best described as a real world research (Robson, 2011) conducting an applied research project. The focus is on problems and issues with direct relevance to organisations and people finding ways of dealing with a problem or better understanding an issue (Robson, 2011). This real world research takes place in the real-life context as field research in business management. It provides suggestions and recommendations for change and managing the problem or issue studied and consequently, contributes to professional practice (Robson, 2011).

The motivation and understanding about this study originates particularly from the researcher's experiences in business practice having worked as a management consultant in the field of strategy and change. The role he takes within this work is that of a researcher rather than consultant. This is of particular relevance due to the chosen research setting since the researcher was involved as external management consultant for one and a half years and established a relationship to the company and some of the participants. However, by the time the study was conducted the researcher was not working as consultant anymore. Nonetheless, he benefited from his insider role and knowledge and thereby is able to draw on his own experience and understanding when interpreting data extracted from the research participants' accounts. Therefore, this research is characterised as interpretative and subjective, following a social constructionist approach.

The research methodology applied for collecting empirical data in this work is that of a single case study. Stake (2005) defines a singular case study as a research form as the interest in an individual case, trying to understand its complexity and to learn from it. A case study is of particular use for research questions which aim for a detailed understanding of organisational issues because of the rich data collected in the context (Hartley, 2004).

Table I-4 below provides the reasoning for selecting the particular case as outlined in Section 1.1. More detailed information about the case can be found in Section 4.4.

Table I-4: Main reasons for selecting this particular case

Main reasons for selecting this particular case	
1.	It is assumed that with this comprehensive programme it is feasible to collect much relevant information and develop “thick descriptions” (Stake, 2005; Ponterotto, 2006) for the main aim of this research, to develop a framework for monitoring and evaluating strategic change programme implementation which might also be useful for other projects, programmes and/or organisations.
2.	From the researcher’s perspective and his experience from different change projects this strategic change programme was managed very well, as a leading and powerful example (Siggelkow, 2007; Flyvbjerg, 2011) of how to plan, organise, implement and learn from such a comprehensive change implementation.
3.	There are also practical reasons for selection since the researcher has access (Darke, Shanks & Broadbent, 1998) to the company as he established good relationships with several people who have been involved in the programme in different roles across several country implementations allowing him to collect much relevant data.
4.	Finally, those aspects needed to make this thesis deliverable, such as meeting the requirements of the doctoral programme as well as the effective and efficient use of resources and funding available ⁴ (Darke, Shanks & Broadbent, 1998).

Source: Own table

This research is undertaking an applied research, following a summative evaluation approach examining the SCP implementation (the case) of the case study company. A summative evaluation is conducted after a change has been implemented examining the consequences of the adoption of particular courses of action and/or change and the overall effectiveness in achieving the original objectives (Rossi, Lipsey & Freeman, 2004; Millmore *et al.*, 2007; Blaikie, 2009).

In order to gather subjective accounts about the SCP implementation 25 semi-structured interviews with different people have been conducted. These 25 interviewees performed more than 60 different roles within the SCP at global and local levels (DACH) as well as in other country implementations of the same programme. This allows gaining a broad, in-depth and overall a multi-faceted view and understanding of the programme.

⁴ This research is self-funded; no funding was received from the case study company or any other body/institution

This qualitative single case study research is about achieving transferability to similar, and if possible, to other contexts rather than scientific validity and generalisability which would be challenging to achieve in a research setup like this (Flyvbjerg, 2006; Yin, 2013).

Template analysis (TA) is chosen to analyse the interview data. This approach balances a relatively high degree of structure in the process of analysing textual data with the flexibility to adapt it to particular circumstances of a study (King, 2012). TA is very often used to analyse data from individual interviews (Alvesson & Ashcraft, 2012; King, 2012). As stated by Buchanan (2012) it is regarded as a useful technique to analyse significant volume of case study data.

TA can be used within a contextual constructivist position which allows multiple interpretations of any phenomenon, dependent on the position of the researcher and the context of the research (Madill, Jordan & Shirley, 2000). It takes into account the researcher's reflexivity, different perspectives of participants, and the richness of the description produced by them. Furthermore, TA enables the researcher to interact with the text and let themes emerge from the participants' accounts informed by the interview guide.

1.6 Contribution of this study

As stated in the literature there is little formal knowledge, and few methodologies or standards for monitoring and evaluating strategic change implementation currently in existence (Walton & Russell, 2004; Todnem By, 2005; Hughes, 2010). There is a gap in the literature regarding the operationalisation of monitoring and evaluation activities (methods, tools, and responsibilities). In addition, since still many change implementations tend to fail (Beer, Eisenstat & Spector, 1990; Ashkenas, 1994; Gilmore, Shea & Useem, 1997; Beer & Nohria, 2000; Grey, 2003; Sorge & van Witteloostuijn, 2004; Woodward & Hendry, 2004; Todnem By, 2005; Alvesson & Sveningsson, 2008; Balogun & Hope Hailey, 2008; IBM, 2008; McKinsey, 2008; Burnes, 2009; Capgemini, 2010; Hughes, 2010; Burke, 2011), there is a need to better understand CSFs to be monitored and evaluated for successful strategic change programme implementation.

Recognising these gaps sets the starting point for this research aiming for the development of a systematic framework for monitoring and evaluating CSFs in SCP implementation. Therefore, this thesis

- identifies prerequisites enabling systematic monitoring and evaluation in SCPI,
- identifies and provides new and better understanding of CSFs within SCPI,
- assigns these CSFs to programme phases in which they should be monitored and evaluated, and
- identifies and assigns methods and responsibilities to conduct monitoring and evaluation of these CSFs.

The findings on prerequisites and the framework as the combination of WHAT (CSFs), WHEN (programme phase), HOW (methods), and WHO (responsibilities) to conduct monitoring and evaluation in SCPI demonstrate the distinctiveness of this thesis contributing to knowledge and professional practice. The findings go beyond the typical monitoring and evaluation scope of programme management. Consequently, this research offers new insights for both academics and practitioners involved in managing strategic change and monitoring and evaluating change implementation. In particular, it addresses issues raised by decision-makers responsible for significant change implementation revealing insights into the use of the findings and the developed framework for formative and summative evaluation purposes.

By applying the framework in business practice in a change programme context, information will potentially be disclosed and proved on whether intended objectives are being achieved or adjustments to objectives or mitigating actions in the change process are necessary in order to accomplish a successful implementation.

Overall, the findings may lead to more successful change programme implementations, deriving better capabilities to manage the change with less resistance and organisational learning for future change implementations.

1.7 Structure of the thesis

Subsequently, the chapters of this thesis are briefly outlined indicating respective content being dealt with in order to provide an overview of the whole work (Table I-5). In addition, it is referred to the list of terms and abbreviations as well as the appendices since these components provide valuable information leveraging the understanding of this study and context. The chapter concludes with an overview of the main characteristics of this work.

Table I-5: Structure of the thesis – chapter overview

Chapter – Title – Thematic overview and brief description

Chapter I – Introduction

This chapter introduces the thesis, its focus and the key characteristics. Industry background information of the case study company is given to better understand the context of the case being researched.

In addition, the main conceptual theories underpinning the study with regard to organisations and organisation change are outlined.

Furthermore, the research scope and corresponding research aims, questions and objectives are introduced and also the contribution of this work (Section 6.1).

The section on research approach and context outlines the *modus operandi* how the topic is being approached (Chapter IV).

Chapter II – Strategic Change Programme Implementation

This chapter is the first of two literature review chapters. It critically reviews all aspects being identified as vital in order to understand the content of the case being researched from the literature perspective.

These topics include strategy (2.1), strategic management (2.2), strategy implementation and strategic change (2.3), strategic programmes and programme management (2.4), phases of a change process (2.5), different types of change (2.6), critical success factors in strategic change programme implementation (2.7).

Chapter III – Evaluation in Organisations

This chapter comprises the second literature review chapter, dealing with aspects to be considered to conduct evaluations in organisations.

As a foundation, the nature of evaluation is explained by contrasting formative and summative evaluation approaches (3.1). Furthermore, purpose and benefits (3.2) as well as evaluation challenges and barriers are critically discussed (3.3).

In addition, the chapter looks at planning related issues to be considered for conducting evaluations in organisations (3.4) as well as reflections on sources, methods and frameworks potentially being applied (3.5). The chapter also considers those types of evaluation being relevant for this work in particular (3.6).

The chapter proceeds with a critical reflection on evaluations in organisation (3.7). Chapter III closes with a summary of the literature review and identifying the gaps in the literature and professional practice (3.8).

Chapter – Title – Thematic overview and brief description

Chapter IV – Research Philosophy, Methodology, Research Design

In this chapter the principles of this research are discussed, including the philosophical and ontological stance (4.1, 4.2), discussing the choice of case study as research methodology (4.3) as well as detailing the case being researched (4.4).

Furthermore, the data collection method and research participants are an essential part of this chapter (4.5) before the data analysis procedures are detailed (4.6).

Finally, the chapter reflects on the ethical considerations that have been considered and applied in this work (4.7).

Chapter V – Findings and Discussion

This findings and discussion chapter consists of five main categories since the findings centre on challenges for monitoring and evaluation, prerequisites to be considered and critical success factors for strategic change programme implementation to be monitored and evaluated in general as well as related to the specific change content. Moreover, aspects of operationalisation of monitoring and evaluation are presented. These comprise bodies or people conducting such activities as well as methods and tools being used in the case.

The chapter closes with two additional sections: a summary of the findings (5.6) and a separate section that develops the framework for monitoring and evaluating critical success factors in strategic change programme implementation (5.7).

Chapter VI – Conclusions

This final chapter concludes the thesis by exposing the contribution and value of this work (6.1).

Furthermore, the limitations of this study are explicated and propositions for further research are outlined (6.2) before final conclusions and recommendations are made (6.3).

The work closes with a personal reflection reviewing the researcher's journey and research process (6.4).

Source: Own table

The table below outlines the main characteristics of this research referring to keywords, research aim as well as theories and approaches of organisations and organisation change. Furthermore, the table lists research philosophy and methodological characteristics of this work – research strategy, approach, data collection and analysis.

Table I-6: Main characteristics of this research

Category	Characteristics
Keywords	Strategic change, global programme implementation, monitoring and evaluation, framework, case study, energy sector
Research aim	To develop a framework for systematically monitoring and evaluating critical success factors within a strategic change programme implementing changes in business models, business processes, organisation structures as well as IT/ERP systems
Theoretical foundation of organisations and organisation change	Living organism and open adaptive system
Conceptual model for understanding organisation change	Teleological theory Evolutionary theory
Approaches to organisation change	Planned organisation change
Research philosophy	Subjective, interpretivism, social constructionism
Research strategy	Single case study about a global SCP of a global industrial company from the energy sector, focus on implementation in Germany, Austria and Switzerland
Research approach	Real world research, applied research, summative evaluation
Data collection	25 semi-structured interviews
Data analysis	Template analysis supported by NVivo

Source: Own table

It is considered as very beneficial to use the list of terms and abbreviations in parallel to reading this work. This comprehensive list provides useful and supportive information to better understand the context of this work and the researched strategic change programme in particular. In addition, the appendices provide even more supporting information and it is referred to respectively in this work in order to guide the reader.

The next chapter commences with the critical review of the relevant literature.

CHAPTER II STRATEGIC CHANGE PROGRAMME IMPLEMENTATION

2 Introduction

This is the first of two literature review chapters. It provides an overview and discussion of all those change content relevant aspects that need to be taken into consideration to understand the case being explored in this research from the literature point of view. The overall subject deals with strategic change and its implementation. In particular, the following areas are reflected: strategy and strategic management, strategic change and implementation, strategic programmes and their management, phases of a change process, and aspects of organisational change related to the change content of the strategic change programme being researched in this work. The chapter concludes with an analysis of critical success factors being relevant for strategic change programme implementation.

2.1 Strategy

All organisations are following a certain purpose, irrespective of size, industry, private or public sector, profit-making or non-profit organisations. Strategies express activities being pursued by organisations and are designed and conducted to accomplish their designated purposes (Thompson & Martin, 2005). Accordingly, Thompson & Martin (2005) refer to strategies as means to ends. Porter (1996; 2005) characterises strategy as making an organisation unique since it provides direction, builds brand reputation, sets the right goals, adds superior performance, defines a market position, and creates a unique value proposition. It expresses decisions on what to do, what not to do, which customers to serve, and requirements to meet market price. Overall, Porter (1996; 2005) refers to strategy as a description of the goal-directed actions an organisation aims for to achieve and sustain competitive advantage.

Thompson & Martin (2005) claim strategy to be relevant for the organisation as a whole as well as for its individual businesses and functions. Further, they note that strategies have life cycles since they need to be changed over time due to changing conditions external or internal to the organisation. These changes can be of major character (strategic change of direction for the whole organisation) or minor (strategic change for individual products or services) affecting different parts of the organisation in a different manner and intensity. Such strategic decisions lead to strategic impact and contribute to strategic change for, as well as in, organisations. Essential to successful strategies is the fit of circumstances an organisation is facing with its resources, skills, capabilities and whether the strategy is desirable for their most relevant stakeholders. These are all those having a legitimate interest in and influence over the business, individuals or groups, internal or external to the organisation. Finally, an organisation's strategy will be successful if it is able to sustain the fit (of target market with its resources) over time and in changing conditions (Thompson & Martin, 2005).

The issue of strategy is managed by the senior management of an organisation and can be captured in the term strategic management, which is dealt with in more detail in the next chapter.

2.2 Strategic management

Strategic management comprises three main aspects, strategic analysis, strategy development and formulation, and strategic implementation managing strategic change (Thompson & Martin, 2005; Campbell, Edgar & Stonehouse, 2011; Lynch, 2012; Rothaermel, 2013). These topics are dealt with briefly below. The focus for this thesis is on strategic implementation and managing strategic change (Section 4.4: The case in the context of this thesis).

Strategic analysis – First, strategy considerations commence with the identification of the organisation’s vision, mission and values (Rothaermel, 2013). Subsequently, the factual analysis comprehends external and internal analysis of context and circumstances an organisation has to deal with, aiming for the identification of opportunities and threats (both external), strengths and weaknesses (both internal). The results are used to align the organisation’s core competencies to create market value, to understand the specifics of the industry, its market and/or required resources to position the organisation for the best fit (matching external and internal conditions) to realise the profit potential (Campbell, Edgar & Stonehouse, 2011).

Strategy development and formulation – This activity can be conducted in different dimensions, corporate (where to compete?), business (how to compete) and/or global strategy (where and how to compete around the world) (Rothaermel, 2013).⁵ Development and formulation is about the generation, evaluation and selection of strategic options and choice to be adopted by the organisation according to the results of the strategic analysis and the best strategic fit (Campbell, Edgar & Stonehouse, 2011).

As it is important to understand the context of the case in this work the characteristics of “global-standardisation strategy” are outlined briefly. Multinational companies (MNCs) following a global-standardised strategy are seeking significant economies of scale and location economies by pursuing a global division of labour wherever best-of-class capabilities are available at lowest cost (Rothaermel, 2013). This strategy results from the combination of high pressure for cost reductions and low pressure for local responsiveness which is typical for MNCs in commoditised business areas (Rothaermel, 2013).

The remaining area *strategy implementation and managing strategic change* is dealt with in detail in the next chapter.

⁵ The focus of this work is on business strategy as the strategic change programme implementation of the case under exploration was conducted in one specific business area (Downstream business) of the case study company.

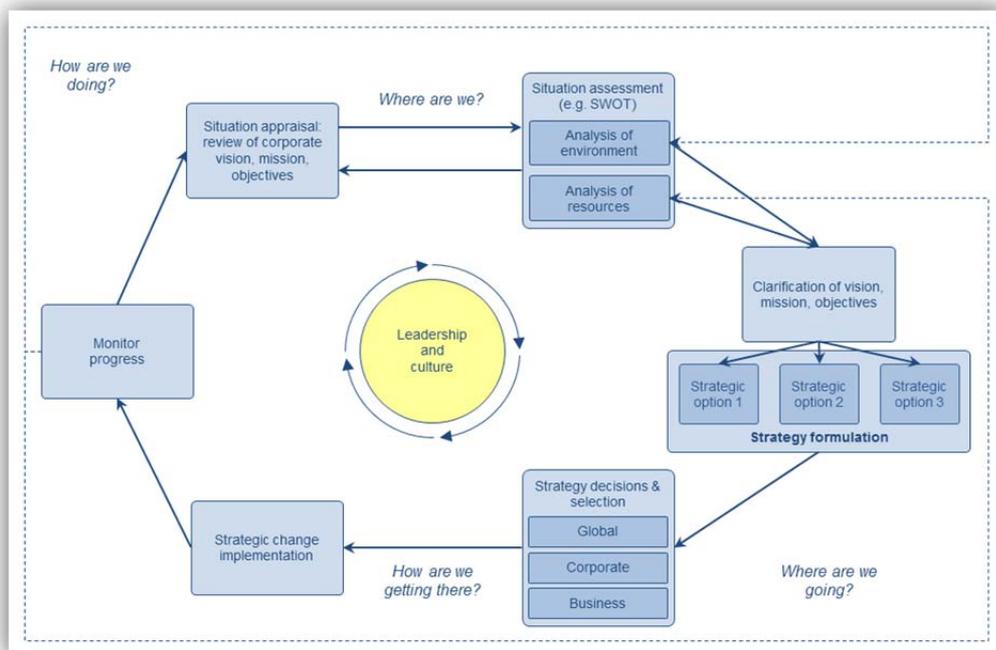
2.3 Strategy implementation and strategic change

Strategies have to be implemented, whether they exist already or are newly developed and formulated (Thompson & Martin, 2005). Strategy and change are considered to be inseparable (Mintzberg, Ahlstrand & Lampel, 2009), where organisational change and its implementation follows as a result of an organisation's strategy, its strategic plans and measures (Burnes, 2009). Accordingly, strategies come alive only when organisations implement changes, thus highlighting the significance and relevance of strategic organisational change (Burnes, 2009).

The literature differentiates between planned (deliberate, prescriptive, intended) and emergent (or incremental) strategy processes (Burnes, 2009; Hughes, 2010; Burke, 2011; Lynch, 2012). With the emergent approach, strategy and its objectives evolve incrementally over time as a result of the organisation's interaction with stakeholders and its environment (Campbell, Edgar & Stonehouse, 2011). It is based on the assumption of change being a continuous, open-ended and unpredictable process of (re-)aligning an organisation to its changing environment (Burnes, 2009). This would include a kind of bottom-up way of thinking, consultation and discussion with those who will implement the change (Lynch, 2012). The planned approach considers the formulation and implementation of strategy as a rational, logical and systematic process (Campbell, Edgar & Stonehouse, 2011) as illustrated in Figure II-1. Objectives for those strategies are defined in advance and the main elements are developed before the strategy implementation starts. Change is regarded as implementation actions resulting from the decision to pursue a chosen strategy (Lynch, 2012). Accordingly, the planning of organisation change is characterised as rather linear following certain steps and phases sequentially. Although the implementation process attempts to follow these planned steps and phases, things occur in a way that is anything but linear or planned since strategic change implementation is messy (Burke, 2011). Nonetheless, this work follows the viewpoint of the planned approach looking at change implementation in a planned rather than emergent manner. This also reflects the approach taken by the case study company for its SCP and its implementation.

Strategic change as defined by Lynch (2012, p.564) is the proactive management of change in organisations to achieve clearly identified strategic objectives. Consequently, it involves the implementation of new strategies causing fundamental changes beyond the normal practices in organisations. Thompson & Martin (2005) note that effective implementation depends on the appropriateness, feasibility and desirability of the strategy. Moreover, the competency to implement effectively and efficiently, translating ideas, objectives and plans into action, can be seen as a fundamental source of competitive advantage in itself. In this regard, Thompson & Martin (2005) place leadership and corporate/organisation culture in the centre of the strategy process, emphasising their vital influence on strategic decision making and strategic performance. Hence, strategy and strategic change in organisations cannot be looked at without understanding strategic leadership and the way culture impacts on the necessary changes (Thompson & Martin, 2005). The figure below illustrates the overall understanding of the strategy process (starting top left, following the arrows).

Figure II-1: Planned, prescriptive strategy process



Source: Own figure based on Thompson & Martin (2005, p.24) and Lynch (2012, p.3)

The table below outlines those aspects that need to be considered to implement a chosen strategy as a consequence of the planned, prescriptive strategy process.

Table II-1: Aspects to be considered to implement a chosen strategy

Aspects to be considered to implement a chosen strategy
• Statement of main strategic objectives in quantitative and as well as qualitative terms expressing general results expected from the strategy initiatives
• Formulation of dedicated plans with tasks, timelines, and responsibilities
• Resource allocation and budgeting
• Monitoring and controlling the process with regard to progress, objectives, resources, validity of planned environmental projections

Source: Based on Lynch (2012)

These aspects result in projects or programmes accomplishing the strategic intent and implementing it accordingly. Lynch (2012) differentiates three basic types of implementation programmes, comprehensive (substantive change in strategic direction), incremental (small changes and short time spans), and selective (compromise of both previous forms) implementation programmes. This work refers to comprehensive implementation programmes due to the scope of the case under exploration in this work. The following chapter deals with the aspect of strategic programmes and their management in more detail.

2.4 Strategic programmes and programme management

Since the focus of this work is on strategic change programme implementation, the term programme needs to be defined. Furthermore, programme management as such is characterised in order to understand the complexity and dimension of the case under exploration.

According to Thiry (2010) a strategic programme is aiming to transform an organisation or its business practice, delivering medium to long-term outcomes (final outcome can be unpredictable), supporting strategic level initiatives and aiming to contribute to strategic goals.

Programme management, in turn, is the link between business strategy and value generation by the implementation of the business strategy (Thiry, 2010). The literature provides many different definitions of programme management. Those ones are presented below that represent the thinking of this work and fit with the case study context.

Table II-2: Definitions of programme management

Definitions of programme management
<i>“a group of related projects, subprograms, and program activities that are managed in a coordinated way to obtain benefits not available from managing them individually [...] Programs [...] deliver benefits to organizations by generating business value, enhancing current capabilities, facilitating business change [...] or developing new capabilities for the organization (PMI, 2013b, p.4).”</i>
<i>“a temporary flexible organization created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organization’s strategic objectives (OGC, 2007, p.4).”</i>
<i>“A program is a collection of change actions (projects and operational activities) purposefully grouped together to realize [...] benefits (Thiry, 2007, p.118).”</i>

Source: Own table based on OGC (2007), Thiry (2010), PMI (2013b)

Programme management is about “the application of knowledge, skills, tools, and techniques to a program” and “to meet [its] requirements and to obtain benefits and control not available by managing projects individually” (PMI, 2013a, p.9). Further, the understanding of the PMI includes “components” relating to a programme through a common outcome or delivery of a collective set of benefits. Moreover, it emphasises the aspect of interdependencies and hence the need for coordination and alignment. This is presented in the table below.

Table II-3: Programme management: coordination and alignment

Programme management: coordination and alignment
• Aligning programme efforts with overall organisational/strategic goals
• Coordinating programme activities across all components, work and phases, resolving resource issues
• Managing stakeholders
• Managing scope, risk, cost, schedule, quality issues and impacts across all components
• Tailoring programme management approach to situation, conditions, and circumstances (cultural, socioeconomic, political, environmental differences)

Source: PMI (2013b)

The synthesis of these definitions yields the following key aspects: purposeful grouping of sub-programmes, projects, activities or actions within a programme, coordination of interdependencies, strategic scope and objectives; implementation of business change and aiming for value and benefit realisation.

Over the last two decades programme management has grown in importance, also as a dedicated methodology, enabling organisations to manage uncertainty, ambiguity and complexity of initiatives (Thiry, 2010). The table below summarises the key aspects of programmes and programme management by referring to the following categories: scope, change, planning, management and leadership, role, responsibility, main tasks, success, monitoring and control.

Table II-4: Programme and programme management

Programme and programme management	
Scope	Large(r) scope (than projects), provides more significant benefits
Change	Expected from both inside and outside the programme
Planning	Programme managers develop overall programme plan and high-level plans to guide detailed planning at component level
Management & leadership	Programme managers manage programme staff and project managers, they provide vision and overall leadership; facilitating style, management of powerful stakeholders, conflict resolution, intuitive decision-making
Role	Pacing and interfacing of projects, business benefits delivery
Responsibility	Strategic decision implementation
Main tasks	Coordinate project resources and key deliverables, market programme and business case on a regular basis, develop and maintain project managers' team spirit and contribution to programme
Success	Success measured by degree to which programme satisfies needs and creates benefits for which it was undertaken; mostly measured in financial terms, value creation and benefits delivery
Monitoring & control	Appraise deliverables and resource usage prospective against expected benefits, progress of programme components to ensure overall goals, schedules, budget, and benefits of the programme being met, report to business stakeholders

Source: Based on and adapted from Thiry (2010, p.26-27) and PMI (2013b, p.8)

Thiry (2010) recognises a trend that programme management is increasingly applied to manage organisational change and also the OGC (2007) promotes the use of programmes for changing organisations. Olson & Eoyang (2001) even state that as a temporary organisation, a programme should also focus on the people side of change, taking into account that developments, cause and effect are not necessarily linear and behaviours unpredictable.

Also Homburg, Krohmer & Workman (2004) note an augmented importance of intangible variables such as skills, capabilities, leadership style, and culture in strategy implementation.

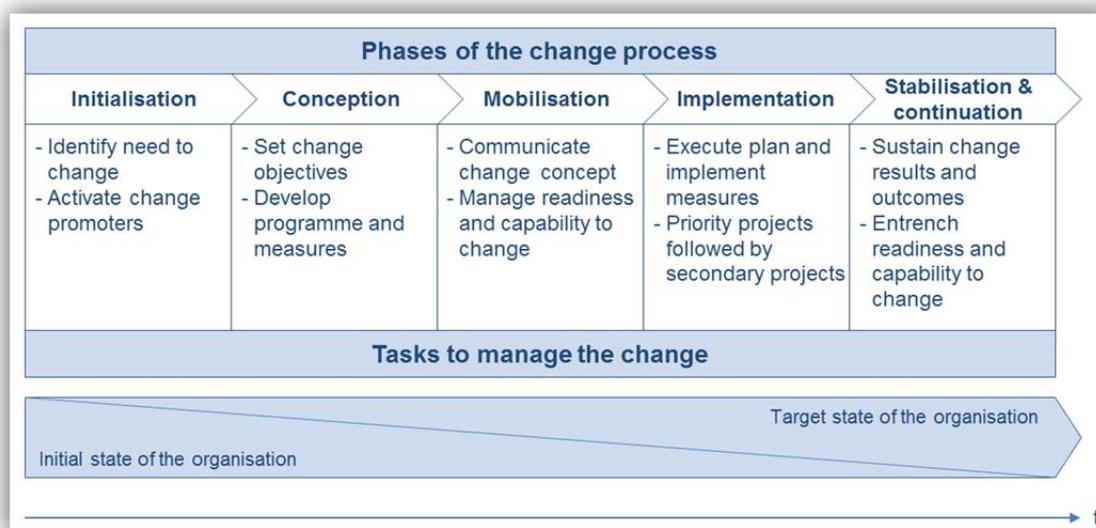
2.5 Managing the change process – phases of a strategic change programme implementation

As dealt with in a previous chapter, the view of planned change is followed in this work. This is in line with the view of change as a process comprising different phases. The process or phases are not totally discrete, but overlap. In the course of an implementation more than one phase can occur at a time as they are not temporally mutually exclusive (Burke, 2011).

The literature on managing change details many different models or frameworks to look at the process of change (e.g. Lewin (1951); Bullock & Batten (1985), Burnes (2006), Gallos (2006); Burke, Lake and Paine (2008), Burnes (2009), Krüger (2009), Burke (2011)) of which Lewin is the originator. The preferred framework chosen for this research is that of Krüger (2009) who divides the planned change process into the following five phases: initialisation, conception, mobilisation, implementation and stabilisation/continuation. His framework provides a more differentiated view of the change process than Lewin's simple three-phase model.

Krüger's (2009) model is generic in its nature and not related to any specific change content to be implemented. In order to build a common understanding of the framework and its phases it is outlined subsequently in more detail, integrating content from previous chapters, complemented with additional references from other authors where applicable. Krüger's five phases build one of the components of the to-be developed framework as stated in research aim in Section 1.4. The figure below illustrates the phases of the change process and indicates the main areas to be dealt with in each phase. The phases and respective activities are dealt with subsequently.

Figure II-2: Change process and management of change



Source: Krüger (2009, p.70)

2.5.1 Initialisation

The initialisation phase is concerned with the identification and compulsory assessment of the factual need for change as well as activating promoters for the change (Bullock & Batten, 1985; Burke, 2011).

Identifying the need to change – This task is about creating awareness of the problem(s) based on an internal and external analysis (Bullock & Batten, 1985). In the first instance, Krüger (2009) emphasises the importance of raising awareness among the leaders of potentially affected areas in the organisation who need to be convinced and recognise the necessity and urgency (Kotter, 1995).

Further, a clear picture of the business direction and future organisation needs to be developed and established by those top leaders – a vision and overall aim. Moreover, the potential change impact needs to be examined.

Activating change promoters/drivers – Since change is usually accompanied by resistance the framework recommends analysis of all relevant stakeholders in order to identify potential promoters, opponents and those in between. According to Kotter (1996) promoters need to be won over to build a guiding coalition, to initiate and drive the change process.

Basically, the main driver of the change should be the representative(s) of the top management of respective business unit(s) who function(s) also as project/programme sponsor(s) (Krüger, 2009). Subsequently, the need to change has to be concretised and the overall course of actions to manage it needs to be defined.

2.5.2 Conception

After the change process is initiated, the conception phase is about setting objectives for the change as well as drafting, conceptualising and evaluating different alternatives.

Setting objectives and general framework – Clearly defined objectives to be achieved by the change need to be based on and aligned with the long-term vision and goals of the organisation. In addition, the framework conditions in which the change should be implemented need to be clarified (unchangeable external/internal factors and parameters) (Krüger, 2009). Both objectives and framework conditions provide a clear direction and boundaries for the to-be-implemented change.

Developing concept and measures – Deriving from the overall corporate strategy and the identified need for change, a corresponding change strategy needs to be developed. This change strategy needs to take into account the external developments as well as internal strengths and weaknesses. This builds the foundation for the to-be-developed programme and sub-projects to achieve the targeted change.

The concept should also include resource requirements needed to implement it (financial, people, technological systems, and facilities). Further, programme and sub-project roles (e.g. sponsor, steering committee, programme leader, project managers, teams) and responsibilities need to be clarified and defined as well as tasks assigned and allocated (Krüger, 2009). Moreover, all these aspects have to be planned and prepared in an integrated manner with plans, charters, clear and realistic targets. Since this is still a concept the different alternatives need to be evaluated as preparation for the final selection and decision of the package of measures to be realised (Bullock & Batten, 1985). After decision-making, required resources need to be provided and allocated accordingly (Krüger, 2009).

2.5.3 Mobilisation

Following the conception of the SCP and its measures, it is essential to communicate it to all relevant stakeholders, most importantly to those who are affected (Burke, 2011). Moreover, this phase is about focusing the organisation and its people and other stakeholders on the strategic change programme. The mobilisation phase aims at willingness, readiness as well as capability to change (Krüger, 2009).

Communicating the concept of the SCP – The main aim is to achieve acceptance for the change programme (Burke, 2011). This requires involving the main authorities, such as board members and works council, for which the top management is responsible. In addition, other internal as well as external stakeholders' expectations and influences need to be managed. This includes one-to-one conversations with key people, group discussions or even larger communication events (Burke, 2011). Krüger (2009) strengthens the importance of top management, programme sponsor and programme manager communication in order to emphasise the importance of the required change. Further, he recommends developing an explicit change programme communication concept and plan, and to establish a dedicated sub-project for programme communications.

Finally, the framework suggests developing an incentive and reward system to foster, promote and encourage a positive attitude and support for the change and its programme implementation (Krüger, 2009).

Laying the foundations for the implementation – There are some management decisions required to lay the foundation for the programme implementation (Hrebiniak, 2006). This includes setting priorities, assigning financial, technical, and human resource, as well as assigning authorities and responsibilities accordingly. Moreover, training for programme staff (e.g. project managers, change agents, team members) needs to be conducted as well as setting up programme/project documentation, reporting and controlling (Krüger, 2009).

2.5.4 Implementation

This process step is about implementing the programme, its projects, sub-projects and respective measures as planned in the concept and adapting it where necessary (PMI, 2013b). This includes setting priorities regarding activities to be conducted to implement the factual changes. Therefore their importance and criticality need to be considered in terms of success, implementation risks, dependencies, meaning, impacts and consequences as well as availability and capability of resources (Krüger, 2009). Significant for this phase are know-how transfer and training to prepare and enable the organisation and its members for the upcoming changes. In order to ensure an implementation as planned and to disclose new developments to be considered for the overall success of the programme, the implementation needs to be monitored, reviewed and evaluated (Bullock & Batten, 1985). This includes process, measures, activities, progress and level of achievement of intermediate objectives and milestones by the top management, programme management team, project managers or workstream leads (PMI, 2013a). The responsibility depends on the strategic, tactical, or operational meaning of respective aspects. Monitoring and evaluation supports decision making of those accountable to undertake corrective measures in case any unpleasant deviations are disclosed (Krüger, 2009).

2.5.5 Stabilisation and continuation

As the label indicates this phase follows the implementation phase seeking stabilisation and establishing the implemented changes (Burke, 2011), e.g. new processes, procedures, ways of working, using new systems and technology (Krüger, 2009). Furthermore, this phase is about reviewing the effectiveness and efficiency of implemented changes to identify potential for improvements as a continuous learning and improvement process (Garvin, 1993; Senge, 2006; Russ-Eft & Preskill, 2009).

2.6 Aspects of organisational change

Changes in corporate or business strategy can entail many different types of changes within an organisation in order to implement the strategy. Moreover, these changes can affect various dimensions of an organisation, processes, organisational structure, procedures or systems (Homburg, Krohmer & Workman Jr, 2004; Campbell, Edgar & Stonehouse, 2011). Subsequently, those types of change are outlined which are relevant to the underlying case of this thesis. Consequently, this chapter is concerned with business model changes, business process changes and organisation design changes as well as ERP system changes/implementation.

Section 2.7 identifies relevant critical success factors from the literature being considered as vital for successfully implementing these types of changes. Therefore, they are not integrated in the subsequent sections.

2.6.1 Business model change

In addition to the strategic management elements from Section 2.2, this chapter centres on business models and their relation to strategy. For Richardson (2008) business models explicate how the activities of an organisation work together to execute its strategy. This translates strategy development and formulation into practice by its implementation.

This is of importance and needs to be dealt with, since the driver for the SCP of the case study company was business model changes.

A simplified definition, representing the case study company's understanding, describes a business model as "what to sell to which types of customers". The literature review on business models reveals that there is no scholarly commonly agreed and shared definition (Zott, Amit & Massa, 2011). However, there are some common features such as a holistic approach to explaining how organisations do business and how value is created and captured (Zott, Amit & Massa, 2011).

The viewpoint taken here is that a business model seeks to translate strategy into action by detailing the organisation's competitive tactics and initiatives, ultimately around how it intends to make money (Rothaermel, 2013). Consequently, the intention of a business model is to point to the industries and businesses the organisation should be in, target customers and how they are being approached, how every activity supports the strategies as well as how and when to change them (Thompson & Martin, 2005). Following Thompson & Martin (2005) further, the core of a business model typically consists of products and/or services (what the organisation produces and markets – "what"), target customers (make up markets – "who") and a competitive logic (compelling reason to buy – "why"). The authors further add aspects of "delivery", "ideas for the future" and "changeability". Delivery comprises the organisation structure and operations carried out by people within this structure ("how").

According to Osterwalder (2004) a business model is positioned within the triangle of, and therefore linked to, business strategy, communication and information technologies and business organisation. Since the latter comprises organisation structure, departments and units, processes and workflows, any change in the business model will directly impact the way the organisation is designed (Osterwalder, 2004). As a result, an organisation's performance is influenced by its business model (Carayannis, Sindakis & Walter, 2014). Like strategies, business models have life cycles too and therefore organisations need to address *when* they need to change their model(s) (Thompson & Martin, 2005).

This requires them to anticipate and picture the future with regard to changes of the elements outlined above (“what”, “how”, “for whom”, “why”). Finally, business models need to be responsive to the dynamics and developments of the industry and the circumstances in the organisation’s environment (Chesbrough, 2010). Consequently, adapting the business model is a key factor in business success for which the organisation’s ability to change as well as to implement also respectively is regarded as decisive (Thompson & Martin, 2005).

2.6.2 Business process changes

Business process changes (BPC) is an “umbrella” term that comprises related terminologies such as business process reengineering, business process innovation, business process transformation, business process redesign, business process improvement and the like. This composite view is supported by referring to Jurisch *et al.* (2014), who consider that all of these terms centre on changes and improvements of business processes, differing only in scope or degree.

Before the topic of BPC is dealt with, the term business process is defined. Smith *et al.* (2013, p.49) define a business process as “*a series of steps which implemented lead to a product or service.*” Davenport & Short (1990, p.12) understand a business process as “*a set of logically related tasks performed to achieve a defined business outcome.*” More specifically Pall (1987) also includes people, materials, energy, equipment, and procedures that are logically organised into work activities in order to produce a specified work product or end result. This indicates which aspects of an organisation could be affected by BPC.

BPC is about rethinking and redesigning of business processes often resulting in changes of organisations’ structures, cultures and processes adapting to changes in the business environment (Grover & Kettinger, 1995; Al-Mashari & Zairi, 2000). It is about changes in an organisation’s operations, the configuration of its activities and work flows through the value and supply chain (Campbell, Edgar & Stonehouse, 2011).

Overall, the aim of BPC is to improve effectiveness and efficiency related to cost, quality, service and time (Sharafi *et al.*, 2011). According to the results of a Gartner survey from 2011 (Hill & McCoy, 2011) CIOs regard business process performance improvement as high priority. In today's competitive business world, development and maintenance of strategic and productive processes are considered to be decisive in developing, maintaining and improving an organisation's competitiveness (Hanafizadeh & Osouli, 2011). Strategic processes are those that are significant in contributing to the strategic goals of the organisation. Therefore, organisations should focus on intended changes in these key processes (Hanafizadeh & Osouli, 2011).

Within the last decade or two, BPC are also associated with the application of enterprise ERP systems (Koch, 2001; Huq, Huq & Cutright, 2006; Subramoniam, Tounsi & Krishnankutty, 2009; Iveroith, 2011). BPC and ERP are not automatically complementary but can be designed to support each other (Koch, 2001) since an ERP system operates business processes. Section 2.6.4 deals with ERP in more detail.

2.6.3 Organisational structure changes

The topic of organisational structure changes (OSC) represents the focus of this chapter and in this work it is used as an umbrella term including restructuring, downsizing, right-sizing, reorganisation, organisation design changes (Recardo & Heather, 2013).

In the literature the importance of and link between an organisation's structure and its environment, strategy, size, and culture is emphasised by several authors (McMillan, 2002). Miller (1989) stresses the importance of characteristics of strategy and organisation structure. Burns & Stalker (1994) note that in order to achieve optimal performance an organisation's structure needs to fit with the dynamics of its environment. Jones (2002) states that any type of OSC must be clearly and explicitly aligned with the business strategy in order to make the most out of the allocation of resources to accomplish competitive advantage.

Also Mintzberg, Ahlstrand & Lampel (2009) strengthen the importance and linkage of strategy and structure by claiming “*structure follows strategy ... as the left foot follows the right*” (p.37).

Jones (2013) defines organisational structure as “*formal system of task and authority relationships that control how people coordinate their actions and use resources to achieve organisational goals*” (p.30). Basically, organisation structure is about the configuration or composition of the organisation and is often outlined in an organisation chart (Campbell, Edgar & Stonehouse, 2011).

The organisation structure explicates the arrangement of operational units and organisational functions indicating levels of responsibility, decision-making authority, reporting and communication lines as well as relationships leading to the implementation of an organisation’s strategy (Burke, 2011). Hirsch & De Soucey (2006) refer to many authors recognising tremendous impacts on organisations and a trend towards flattening hierarchies, downsizing permanent workforce. This often causes extended use of subcontracting, consultants and contingent workers, offshoring and outsourcing, virtual communication across boundaries and borders through technological advances. In addition, there is a trend towards offshoring and outsourcing (Palugod & Palugod, 2011), which is also linked to Section 2.6.2.

According to many authors, OSC is commonplace and undertaken regularly by many organisations (CIPD, 2003; 2004; Whittington *et al.*, 2006; Johnson, Scholes & Whittington, 2011) as a part of a wider strategy leading to strategic change aligning new ways of working with the strategic goals (Balogun, 2007). OCS can be driven by various strategic reasons and options, such as adopting new, more flexible organisational forms to react to dynamically changing business environments and market conditions (Schilling & Steensma, 2001), the need to increase globally integrated operations (Rugman & Hodgetts, 2001; Jones, 2002), or to seek improvements in effectiveness and efficiency and business performance by reducing costs, rationalisation, right- or downsizing (Balogun & Hope Hailey, 2008; Cameron & Green, 2009).

OSC induce tangible changes in ways of working behind the new structure to become reality and are not just a reorganisation of individuals, boxes and connecting lines on an organisation chart (Porras & Silvers, 1991). Consequently, the implementation of such changes requires specific skills and tools to manage these essential parts appropriately (Whittington *et al.*, 2006). As highlighted by Jones (2002) the organisational realignment can affect many different areas and levels of an organisation and therefore several factors need to be considered, such as skills and capabilities to manage the change. These factors for implementation success are reflected in Section 2.7.

2.6.4 Enterprise resource planning system implementation or changes

During the last two decades, ERP became an essential element in organisations. ERP systems are often recognised as the backbone for many big organisations in today's global business world. They fulfil the core business needs of organisations across industries and markets (Nah, Lau & Kuang, 2001; Hawking, Foster & Stein, 2005; Momoh, Roy & Shehab, 2010). The implementation of ERP, which integrate fragmented and streamline internal business processes, offers enormous benefits to organisations with significant improvements in efficiency, productivity, quality management, customer satisfaction, cost reduction and decision making-speed (Ragowsky & Somers, 2002; Ngai, Law & Wat, 2008; Van Hau & Kuzic, 2010; Alballaa & Abdullah, 2011). Consequently, such systems seem to be essential for modern businesses (Hammer & Stanton, 1999; Markus *et al.*, 2000; Somers & Nelson, 2001; Davenport, Harris & Cantrell, 2003; Stein, Hawking & Foster, 2003). Anticipating all these potential outcomes, many organisations believe ERP can deliver strategic competitive advantages (Ngai, Law & Wat, 2008).

An ERP system is a pre-standardised, but configurable and customisable information system. It streamlines and integrates business processes and manages resources across all businesses or functional areas of an organisation (Kronbichler, Ostermann & Staudinger, 2010).

ERP supports a process-oriented view of an organisation and provides the management with an overview of all of the organisation's operating and managing activities (Françoise, Bourgault & Pellerin, 2009). With an ERP-implementation the desired end state is known in advance and a systematic step-by-step change plan is formulated (Huq, Huq & Cutright, 2006) in order to ensure an effective and efficient implementation. ERP systems can bring competitive advantage to organisations, however, their implementation is a costly, time-consuming, complex process and overall a difficult undertaking. At the root of the matter ERP implementations cause organisation-wide business process changes, job redesign, changes in the organisation structure and often they are accompanied by head count reduction (Davenport, Harris & Cantrell, 2003). Foster, Hawking & Zhu (2008) argue that it is evident that these changes impact employees directly.

Moreover, it is widely recognised that most IT-enabled change projects and ERP implementations encounter difficulties and the majority of them fail due to cancellations, cost/time overruns and lack of benefit realisation (Markus *et al.*, 2000; Scott & Vessey, 2000; Aladwani, 2001; Kumar, Maheshwari & Kumar, 2002; Ribbers & Schoo, 2002; Willis & Willis-Brown, 2002; Markus, 2004; Xue *et al.*, 2005; Foster, Hawking & Zhu, 2008; Ngai, Law & Wat, 2008; Chen, Law & Yang, 2009; Momoh, Roy & Shehab, 2010; Van Hau & Kuzic, 2010; The Standish Group International, 2011).

For many authors it seems to be comprehensible that the majority of organisational change efforts involving technology fail as a result of people's negative reactions or even resistance to changes in their work practices, organisational business processes and in the use of the technology (Markus & Benjamin, 1997; Nah, Lau & Kuang, 2001; Somers & Nelson, 2001; Nah, Zuckweiler & Lau, 2003; Markus, 2004; Nah & Delgado, 2006; Jørgensen, Owen & Neus, 2009; Liu & Seddon, 2009).

With regard to CSFs for SCP implementations, the next section progresses with a critical review of extant literature.

2.7 Critical success factors in strategic change programme implementation

In today's dynamic external environments, business organisations are challenged to react, adapt to or proactively drive necessary changes (Burke, 2011). In this context, the responsibility of managing change is to ensure that the organisation is able to respond in a timely and positive manner to its external as well as internal environment (Millmore *et al.*, 2007). There is agreement on fundamentals between academics, practitioners and management consultants recognising a tendency for managing change initiatives to fail (Beer, Eisenstat & Spector, 1990; Ashkenas, 1994; Gilmore, Shea & Useem, 1997; Beer & Nohria, 2000; Grey, 2003; Sorge & van Witteloostuijn, 2004; Woodward & Hendry, 2004; Todnem By, 2005; Alvesson & Sveningsson, 2008; Balogun & Hope Hailey, 2008; IBM, 2008; McKinsey, 2008; Burnes, 2009; Capgemini, 2010; Hughes, 2010; Burke, 2011).

For strategy implementation Thompson & Martin (2005) acknowledge the need of an organisation's readiness to change and its ability to implement the change as proposed and planned.

In order to avoid or reduce associated risk with strategy implementation and change (Reed & Buckley, 1988) this section deals with a review of critical success factors (CSF; extremely important factors determining the success or failure of an undertaking, e.g. programme (Lim & Mohamed, 1999, pp.243-248)) for implementing change in organisations. Accordingly, the literature review also considers issues, challenges, barriers to overcome, and reasons for failures. Rephrasing these negative aspects into the opposite also describes success factors.⁶ The literature review considers references from those fields covered in the chapters 2.1 – 2.6 that are relevant and represent those aspects of the case under exploration in this research. In assessing the CSFs in SCP implementation, there has been due consideration in the existing literature to the perspective of the organisation, the operationalisation, and outputs of the SCP itself and the management of the programme, incorporating aspects of change leadership.

⁶ E.g. resistance to change → readiness to change, lack of understanding → understanding

The table below presents the CSFs in three categories. Those factors most often referred to in the literature and at the same time most closely linked to the primary research of this work are dealt with in more detail (*italic*). Appendix 1 offers a more detailed list and references to the literature.

Table II-5: Overview of critical success factors

Category	Critical success factor
Management & Leadership	<i>Top management and change leadership</i>
Organisation	<i>Strategy and implications of the planned change</i> <i>Readiness to change</i> <i>Knowledgeable and experienced resources</i> <i>Customer</i> Organisation culture Reward systems and incentives Technology Supplier and third parties
Change Programme	<i>Integration management of change content related aspects</i> <i>Change management</i> <i>Stakeholder management</i> <i>Communication</i> Training <i>Programme management and setup</i> <ul style="list-style-type: none"> • Roles and responsibilities • Risk management • <i>Monitoring</i> • Lessons learned Sustain phase

Source: Own table based on literature review

2.7.1 Critical success factors related to management and leadership

Management and leadership play one of the most important roles in strategy and strategic change implementation. In their literature review on factors influencing strategy implementation Yang, Sun & Eppler (2009) identify top management as one of the key factors for strategy implementation. According to Hrebiniak (2006) ownership is required at all management levels, from C-level downwards, managers must commit to and own the change and required activities for an effective implementation. Execution is a key responsibility of all managers (Hrebiniak, 2006).

Further, Hrebiniak (2006) claims that leading effective change is the number one requisite for successful strategy implementation presuming an ability to influence and move others into purposeful action. This assessment is also emphasised by studies on managing organisational change and transformations (IBM, 2008; McKinsey, 2008; Capgemini, 2012; Kienbaum Management Consultants, 2012; Creasey & Taylor, 2014).

For instance, 92 percent of more than 1,500 practitioners worldwide stated in IBM's "Making Change Work Study" (2008) that top management sponsorship is the most important factor for successful change. Likewise, survey results from McKinsey (2008), with around 3,200 executives from industries and regions around the world, show that those transformations where the CEO or relevant business leaders are clearly visible and strongly involved are more successful compared to projects where this is less the case. Moreover, authors not only from the strategy implementation focused literature but also from other fields (e.g. organisational restructuring, BPR, ERP, project/programme management) strengthen the critical importance of top management support, commitment, leadership styles and skills as the number one facilitating factor for large transformation efforts (Jones, 2002; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; OGC, 2007; Pinto & Slevin, 2008; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Whelan-Berry & Somerville, 2010; Habib, 2013; Recardo & Heather, 2013).

2.7.2 Critical success factors related to the organisation

The success factors with major consideration being outlined in this chapter centre on those that are related to the company/organisation as such. These comprise strategy and implications of the planned change, readiness to change, knowledgeable and experienced resources, and the customer. At the end of this section, relatively less important dimensions are covered for completeness but in less detail than the former.

2.7.2.1 Strategy and implications of the planned change

Strategy planning, formulation, and implementation are interlinked and influence each other. On the one hand, implementation succeeds formulation (planning affects execution) and in turn implementation affects changes to strategy and planning in due course (Hrebiniak, 2006). Moreover, as Hrebiniak (2006) states good implementation cannot overcome a poor or vaguely formulated strategy.

The successful management of a SCP requires a clearly defined, consistent, shared vision, common meaning, and consensus (Beer, Eisenstat & Spector, 1990; Noble, 1999b; Iveroth, 2011; Shehu & Akintoye, 2011). Linked to that a business plan with specific goals, objectives and targets (Nah & Delgado, 2006) needs to be developed with a clear link between business strategy and change content (Jones, 2002; Finney & Corbett, 2007). Reed & Buckley (1988) as well as Noble (1999a) enhance the importance of goal-setting for the implementation process which means translating strategies into specific goals. Others stress the relevance of having a clear rationale by defining a business and benefit case (Shehu & Akintoye, 2011; Williams *et al.*, 2012). Additionally, reasons and cause-effect relations prompting the strategic change, goals and objectives, planning and change implications need not only be realistically developed, clearly defined and documented, but also clearly understood (Bryson & Bromiley, 1993; Bedingham & Thomas, 2006; Kronbichler, Ostermann & Staudinger, 2009; Al-Kandi, Asutay & Dixon, 2013). This understanding needs to be achieved not only by those responsible for implementation but also by those who are affected (Bryson & Bromiley, 1993; Pinto & Slevin, 2008; Campbell, Edgar & Stonehouse, 2011).

2.7.2.2 Readiness to change

Readiness to change comprises two areas, practical and mental readiness. The latter is about thinking, fear, scepticism, satisfaction, or attitude towards change. Organisational changes impact on various organisational levels, thus, impacting managers and employees. Since organisational change is about changing the work environment, it impacts on morale, trust, work satisfaction and consequently on productivity (Lee & Teo, 2005). Both, trust and work satisfaction play a significant role for successfully implementing changes (Lee & Teo, 2005). Keeping the focus on people (Jørgensen, Owen & Neus, 2009; Recardo & Heather, 2013) and managing these emotional dimensions in the change process is vital to its success.

It is regarded as important to create readiness for change (Rodenstock, 2007; Armenakis & Harris, 2009) and to overcome uncertainty, lack of trust or even fear (Campbell, Edgar & Stonehouse, 2011) leading to resistance to change. Middle managers might fear losing authority and control, whereas employees might be sceptical about project results, feeling uncomfortable with the new working environment or even fear losing their jobs (Huq, Huq & Cutright, 2006; Abdolvand, Albadvi & Ferdowsi, 2008). Managing readiness to change is concerned with identifying potential resistance by taking concerns seriously (Capgemini, 2012; Creasey & Taylor, 2014), minimising potential conflicts (Al-Kandi, Asutay & Dixon, 2013) and maintaining people's confidence (Jones, 2002). Stimulating the organisation's receptiveness to change requires many one-to-one or one-to-many interactions (Al-Mashari & Zairi, 1999) which relates to stakeholders' satisfaction with the amount and quality of information on the change (Kotter, 1995; Jurisch *et al.*, 2014). Consequently, this is closely linked to other CSFs – *stakeholder management* and *communication* as this is the mean to explain the case for change to all relevant parties. According to Holt *et al.* (2007a) the degree to which employees are prepared is influenced by the following aspects: the degree to which they are convinced that the change is necessary, beneficial to the organisation and to themselves as well as by the commitment of the organisation's leaders.

Moreover, not only mental readiness but also practical readiness is critical for organisational and individuals' capacity and capability to change (OGC, 2007). This is about having the required knowledge and skills for implementing the change (Heide, Grønhaug & Johannessen, 2002; Pinto & Slevin, 2008; Clardy, 2013). The "Making Change Work" study (IBM, 2008) highlights the relevance of developing skills and capabilities, enhancing change know-how and empowering people to implement the change. Todnem By (2007) claims a correlation between level of readiness to change and the successful management of changes.

2.7.2.3 Knowledgeable and experienced resources

In strategy implementation manpower is a key resource which can have a positive or negative impact (Alexander, 1985). Being aware of existing and required critical knowledge and skills is considered to be important to actively contribute to strategy execution and implementation success (Heide, Grønhaug & Johannessen, 2002; Hrebiniak, 2006; Pinto & Slevin, 2008). Competence and competent project team members (Eisenstat, 1993; Williams *et al.*, 2012; Nyström *et al.*, 2013), or, as even more strongly emphasised by Finney & Corbett (2007) having the "best and brightest" people is crucial for project and implementation work. These qualified teams should represent the various affected areas (Kronbichler, Ostermann & Staudinger, 2009) combining the required business, functional, technical, and managerial know-how (Nah & Delgado, 2006; Ngai, Law & Wat, 2008). These multidisciplinary and knowledgeable teams are necessary to understanding and taking into account the needs and requirements of the different business units and functions in order to align the to-be implemented changes appropriately (Françoise, Bourgault & Pellerin, 2009; Subramoniam, Tounsi & Krishnankutty, 2009).

2.7.2.4 Customer perspective

The analysis of CSF reveals that most CSFs concentrate on internal aspects. However, it is not to forget the external environment, especially customers and even more important if they are impacted by the internal organisational change programmes (Thiry, 2010). Customer consultation and taking into account their needs is increasingly important in attempting to successfully implement change (Belassi & Tukel, 1996; Pinto & Slevin, 2008; Recardo & Heather, 2013). Jones (2002) underlines the importance of maintaining customers' confidence and satisfaction. Customer requirements and expectations should be reflected (Al-Mashari & Zairi, 1999; 2000) especially where business processes or IT interfaces are changed which have a direct impact on customers (Hall, Rosenthal & Wade, 1993; Terziovski, Fitzpatrick & O'Neill, 2003).

2.7.2.5 Further critical success factors related to the organisation

For completeness, this section and outlined in the table below briefly refers to those CSFs related to the organisation identified in the literature that are mentioned by only a few authors or are not of highest relevance to the findings of the case study.

Table II-6: Further critical success factors related to the organisation

Further critical success factors related to the organisation
• Organisational culture that motivates and promotes change (e.g. IBM (2008))
• Rewarding change supporting achievements and activities (e.g. O'Toole (1995), Kotter (1996), OGC (2007))
• Technology and systems to support the change implementation (e.g. Pinto & Slevin (2008))
• Relationship to and selection of suppliers and third parties like consultants, contractors, vendors; how their capabilities are used to support and implement the change, not relying/being dependent too much on externals (e.g. Williams <i>et al.</i> (2012), Al-Mashari & Zairi (1999))

Source: Own table based on literature review

A more comprehensive overview of these factors and corresponding references can be found in Appendix 1.

2.7.3 Critical success factors related to a strategic change programme implementation

The factors that are decisive important for a change programme make reference to integration management of change content related aspects, change management, stakeholder management, communication, programme management and setup as well as monitoring and evaluation. As in the previous section, at the end of this section relatively less important dimensions are covered for completeness but with less detail and referencing.

2.7.3.1 Integration management – alignment and coordination

Integration management comprises alignment and coordination with regard to the programme organisation as such as well as to the specific change content that needs to be managed in an integrated manner.

Complex strategies often demand cooperation, effective coordination, and information sharing, considering interdependencies and knowing who is responsible for what regarding task-related implementation activities. Integration management goes beyond information sharing and is about aligning and coordinating across organisational units, functions, locations or borders (Beer & Eisenstat, 2000; Hrebiniak, 2006; Iveroth, 2011). Referring to successful SCP implementation, Alexander (1985) points to the coordination of implementation activities. Likewise, Shehu & Akintoye (2011) underline the importance of cross-discipline problem-solving and cross-discipline coordination in particular. Hence, there is recognition for the need to overcome divisionalised structures and silos to achieve a more coherent form (Okumus, 2001; Hrebiniak, 2006). Interaction structure, and accordingly management practices supporting continuous alignment provide potential to significantly reduce the occurrence of programme failures (Morris *et al.*, 2006).

Integration management is required in this particular case – business model, process, organisational structure and IT changes – as these changes mostly affect several functions and businesses across the organisation.

Even external stakeholders like customers or suppliers might be affected. It is vital for an implementation to align and integrate all change content components with each other. Moreover, each of the content related changes – for itself as well as a whole – needs to be aligned with the implementation, business, and corporate strategy (Al-Mashari & Zairi, 1999; Finney & Corbett, 2007; Jones, 2013; Recardo & Heather, 2013).

ERP systems operate business processes, which in turn run the underlying business model(s). Changes in business models induce BPC and consequently ERP changes. This in turn, affects several business units and functions as processes and work flows follow through the organisation and do not stop at department borders (Momoh, Roy & Shehab, 2010). As a result, the different perspectives, impacts, and consequences of the changes need to be considered in an integrated manner. Davenport (1998) exposes that BPC and ERP have recursive relationships and consequently any fundamental improvement in either of these brings improvement in the other.

Further, the literature reveals that simultaneous implementation of BPC and ERP is the most effective method in redesigning business processes (Subramoniam, Tounsi & Krishnankutty, 2009). BPC and ERP change implementations need to be aligned with the organisation's or business unit's strategic objectives and moreover require cross-functional and cross-departmental coordination (Huq, Huq & Cutright, 2006). Besides the need for alignment and integration management, there are aspects to be considered in each change content dimension itself to ensure a successful implementation. This is presented in the table below by listing critical success factors related to BPC, OSC, and IT/ERP changes.

Table II-7: Further change content related critical success factors

Further change content related critical success factors
<p>Related to business process changes:</p> <ul style="list-style-type: none"> • Appropriate methods, tools and techniques to design processes • Effective process design and proper integration into IT • Operational process efficiency (before, after) • Monitoring business processes (by ERP system) • Bridging gaps between process and IT teams <p>(Al-Mashari & Zairi, 1999; Abdolvand, Albadvi & Ferdowsi, 2008; Whelan-Berry & Somerville, 2010; Capgemini, 2012; Jurisch <i>et al.</i>, 2014)</p>
<p>Related to organisational structure changes:</p> <ul style="list-style-type: none"> • Adequate approach for job integration • Definition of jobs, roles, responsibilities • Proper integration into IT <p>(Al-Mashari & Zairi, 1999; Françoise, Bourgault & Pellerin, 2009)</p>
<p>Related to IT/ERP changes in particular:</p> <ul style="list-style-type: none"> • Effective IT infrastructure (hardware, software, and other technologies) play a significant role in/to supporting the change project • Different IT systems and applications of different departments involved need to be linked and integrated physically or functionally throughout the change project • Understanding business requirements and implication of ERP before implementation • System analysis and respective selection of vendor and components • ERP implementation methodology • Business and IT legacy system consideration especially in global programmes (differences from one country to another, country related requirements) • Data management (conversion, integrity, migration) and system testing <p>(Huq, Huq & Cutright, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010)</p>
<p>Linking BPC, OSC and IT/ERP changes:</p> <ul style="list-style-type: none"> • Customisation of IT system according to process and organisation design changes (job and role redesigns, authorisations) <p>(Al-Mashari & Zairi, 1999; Françoise, Bourgault & Pellerin, 2009; Momoh, Roy & Shehab, 2010)</p>

Source: Own table based on literature review

2.7.3.2 Change management

Change management is reconsidered as one of the most frequent and strongly accentuated success factors in the literature across many different subject areas. Hrebiniak (2006) underlines that this is the most critical skill or capability for strategy implementation and managing the change process in organisations. According to Prosci's latest comprehensive global study "Best Practices in Change Management" (Creasey & Taylor, 2014) the most decisive contributors to change management success are active and visible executive sponsorship, structured change management approach with dedicated resources and funding, frequent and open communication about the change and the need for change, employee engagement and participation, engagement and integration with project management as well as engagement with and support from middle management. For Shehu & Akintoye (2011) change management is a discipline belonging to programme coordination (also comprising cross-discipline and project coordination and problem solving; effective risk and transition management, effective communication) which itself is regarded as one of the most important success factors for successful programme implementation. Change management is identified also in BPC and ERP related literature particularly often as one of the most decisive factors and required capabilities (Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Momoh, Roy & Shehab, 2010; Hanafizadeh & Osouli, 2011; Jurisch *et al.*, 2014).

2.7.3.3 Stakeholder management

Strong stakeholder⁷ orientation (internal and external) is regarded as a means for ensuring project success (O'Toole, 1995; Andersen *et al.*, 2006). Stakeholder management is the umbrella term for analysing, engaging, monitoring, and managing stakeholders. First of all, it is necessary to identify the different stakeholders, their interests and needs, expectations and attitudes towards the change and its outcome as well as their importance, power and potential influence on the change process (OGC, 2007; Thiry, 2010). Kotter (1996) and Hrebiniak (2006) stress the ability to form coalitions and gain support of influential people in the organisation to implement the formulated plans successfully. Consequently, these stakeholders need to be actively managed which includes involvement, engagement and participation in all change related activities (Bedingham & Thomas, 2006; Turner & Zolin, 2012).

Change management studies clearly emphasise the employee perspective representing a particularly important stakeholder group (IBM, 2008; Creasey & Taylor, 2014). Early stakeholder engagement and involvement is one of the most importance aspects for large projects or programmes (OGC, 2007; Turner & Zolin, 2012). Mobilising and actively involving stakeholders has been within the top three CSFs in Capgemini's change management studies from 2003 through the latest one (Capgemini, 2012).

⁷ Individuals or groups that might be positively or negatively affected by the change process or its outcomes and consequently have an interest and/or even potential to influence it (Thiry, 2010)

2.7.3.4 Communication

In almost every article, book, or study relevant for this work, communication is stated most frequently and even as one of the most important factors in successfully managing change in organisations. For Bryson & Bromiley (1993) communication is one of the most important influences on success. Yang *et al.* (2009) recognise the emphasis given in the literature to the importance of communication for the process of strategy implementation.

Several authors identify vertical communication of the top management and leaders (Beer & Eisenstat, 2000; Abdolvand, Albadvi & Ferdowsi, 2008). There are many indicators how communication should be conducted in order to enable, support and contribute to organisational change implementation success, such as open, clear and honest, rich, frequent and timely, effective and efficient (Andersen *et al.*, 2006; IBM, 2008; Shehu & Akintoye, 2011; Turner & Zolin, 2012; Recardo & Heather, 2013). Information and communication content is related to all change implementation associated aspects, such as the need for change, goals and expectations, challenges and their resolution, change impact, and status (Nah & Delgado, 2006; Pinto & Slevin, 2008; Whelan-Berry & Somerville, 2010; Nyström *et al.*, 2013; Creasey & Taylor, 2014). In doing so, communication will enhance the common understanding of all relevant aspects of the change process which demonstrates the link to Sections 2.7.2.1, 2.7.2.2 and 2.7.3.1.

Many authors recognise the need to develop a communication plan which clearly defines who needs what kind of information, by what medium or channel and when (Finney & Corbett, 2007; OGC, 2007; Françoise, Bourgault & Pellerin, 2009). This plan ensures that all relevant parties, inside and outside the programme at all levels in the organisation as well as external stakeholders (Jones, 2002; Nah & Delgado, 2006; Finney & Corbett, 2007; Pinto & Slevin, 2008), are kept informed throughout the change process (Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Whelan-Berry & Somerville, 2010).

Finally, the literature refers to communication as being conducted as two-way communication allowing and seeking information sharing, exchange, and feedback mechanisms. This is considered as another essential aspect in the field of communication in organisation change implementation (Hrebiniak, 2006; Pinto & Slevin, 2008; Whelan-Berry & Somerville, 2010; Al-Kandi, Asutay & Dixon, 2013).

Reviewing this section the linkages to other CSF, as introduced in the Section 2.7, can be recognised.

2.7.3.5 Programme management and setup

The CSFs identified in this area refer mostly to standard project or programme management and related techniques and tasks. This includes reflecting long-term goals and translating them into short-term objectives, detailed planning, and definition of milestones, activities and deliverables, clearly defined roles and responsibilities, resources estimation and allocation, time management. Although this emphasis is not surprising it is nevertheless a very important factor for successful change implementation. Literature from various fields stresses this as a kind of “bread and butter” activity (Alexander, 1985; Al-Mashari & Zairi, 1999; Hrebiniak, 2006; Nah & Delgado, 2006; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Thiry, 2010; Jurisch *et al.*, 2014).

The relevance of thorough, effective, and detailed planning is given strong emphasis (O'Toole, 1995; Al-Mashari & Zairi, 1999; Finney & Corbett, 2007; Pinto & Slevin, 2008; Shehu & Akintoye, 2011; Al-Kandi, Asutay & Dixon, 2013; Clardy, 2013). Planning plays a decisive role as it influences the implementation process and its outcomes (Bryson & Bromiley, 1993). According to Hrebiniak (2006) those people having being involved in strategy formulation should also be involved in implementation. Another aspect being exposed centres on clearly defined roles and responsibilities for the SCP (Cleland & Ireland, 2006; Williams *et al.*, 2012; Al-Kandi, Asutay & Dixon, 2013).

The importance of time management – effective timing, estimation and planning of activities in sequence and/or in parallel – is pointed out by Hrebiniak (2006), Shehu & Akintoye (2011). They clearly articulate that this cannot be overemphasised since interdependencies of related projects and programme activities need to be taken into consideration.

Finally, importance is assigned to use a formal, structured, systematic approach and methodologies leading and supporting the implementation process (Andersen *et al.*, 2006; Hrebiniak, 2006; Williams *et al.*, 2012). Moreover, these should be aligned with and integrate change management methods and not have the latter as something separate. This is to influence the implementation success significantly (IBM, 2008; Jørgensen, Owen & Neus, 2009; Creasey & Taylor, 2014).

2.7.3.6 Monitoring

The literature identified as being relevant to this work, frequently refers to the need to continuously monitor and evaluate typical project or programme management related aspects, such as timelines, change progress, costs and performance (Cleland & Ireland, 2006; Pinto & Slevin, 2008; Capgemini, 2012). For Reed & Buckley (1988) monitoring the implementation process ensures following the plan and/or modifying it as conditions change. Bedingham & Thomas (2006) recommend regular monitoring of the impact of changes and interventions.

Clardy (2013) points to the need to validate the change process whether it worked and to what extent intended outcomes have been accomplished. Especially BPR and ERP literature commonly concentrate on reviewing business processes and IT performance (KPIs) seek transparency (Al-Mashari & Zairi, 1999; Huq, Huq & Cutright, 2006; Françoise, Bourgault & Pellerin, 2009) and disclose issues to be changed and improved (Françoise, Bourgault & Pellerin, 2009). These assessments should be conducted in the course of the change process and also in a post-implementation evaluation (Finney & Corbett, 2007).

Also considering a qualitative perspective, Okumus (2001) integrates monitoring and feedback into his strategy implementation framework as one essential component to ensure implementation success. According to him, this could be conducted in a formal or informal manner, top-down, bottom-up, and/or lateral.

Chapter III discusses the issue of monitoring and evaluation in organisations in more detail.

2.7.3.7 Further critical success factors related to strategic change programme implementation

For completeness, this section and outlined in the table below briefly refers to those CSFs related to SCP implementation identified in the literature that are mentioned by only a few authors or which are not of the highest relevance to the findings of the case study.

Table II-8: Further critical success factors related to strategic change programme implementation

Further critical success factors related to strategic change programme implementation
<ul style="list-style-type: none"> • Risk management – Mostly stated in project and programme management but also in strategy implementation, BRP and ERP oriented literature; anticipation and identification of potential risks endangering the change implementation process or its outcome; crisis management, troubleshooting, ability to handle unexpected crises and deviations from plan, flexibility to react to unforeseen developments (Alexander, 1985; Al-Mashari & Zairi, 1999; Finney & Corbett, 2007; Pinto & Slevin, 2008; Williams <i>et al.</i>, 2012)
<ul style="list-style-type: none"> • Training – Mostly stated in change management, BPR and in ERP implementation oriented literature in particular; change related knowledge transfer and training, as a result of changing work flows, ways of working and IT system to be used; critical for understanding the changes, overall knowledge, skills and capabilities for application and operationalisation of implemented changes; investment in training technology and effort (Al-Mashari & Zairi, 1999; Huq, Huq & Cutright, 2006; Nah & Delgado, 2006; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Whelan-Berry & Somerville, 2010)
<ul style="list-style-type: none"> • Lessons learned – Capturing experience, knowledge management, organisational learning, learning from previous failures and unsuccessful past (Garvin, 1993; O'Toole, 1995; Okumus, 2001; Andersen <i>et al.</i>, 2006)
<ul style="list-style-type: none"> • Sustain phase – Communication and anchoring quick wins and success, not declaring success too early, maintain momentum after implementation, embed change, continuous improvement, handover to business after completion (O'Toole, 1995; Kotter, 1996; Shehu & Akintoye, 2011; Capgemini, 2012; Clardy, 2013; Recardo & Heather, 2013)

Source: Own table based on literature review

A more comprehensive overview of these factors and corresponding references can be found in Appendix 1.

2.8 Summary

In this chapter, consideration has been given to SCP implementation, starting with strategy (2.1) and strategic management (2.2), before considering aspects of its implementation and change (2.3). Further reference is taken into account with regard to supporting programmes and their associated management (2.4). Different aspects or types of change and the change process as such are then considered (2.5, 2.6) followed by an evaluation of the key critical success factors that emerge (2.7). A contemplation of the identified gap in the literature is expressed in combination with the summary of the second part of the literature examination (Chapter III Evaluation in Organisations) in Section 3.8.

In the next chapter, the extant literature will be explored further with specific consideration given to change evaluation as the second part of the literature review.

CHAPTER III EVALUATION IN ORGANISATIONS

3 Introduction

The previous chapter draws on theories and practices focusing on organisations and organisation change and sets this literature foundation in the context of the SCP of the case study company in this research. This chapter is about evaluation theory and practice as well as how evaluation practice can inform decision-making and action taking around issues of learning and change implementation in organisations (Russ-Eft & Preskill, 2009). In order to round up the review of the literature relevant for this work, this chapter covers areas of nature of evaluation, purposes and benefits, challenges for conducting evaluations of programme implementations in organisations. In addition, the section looks at planning related issues to be considered for conducting evaluations in organisations as well as reflecting on sources, methods and frameworks potentially being applied. The chapter also reflects on those types of evaluation being relevant for this work in particular and furthermore critically reflects on evaluations in organisations. Finally, the chapter concludes with the identified gaps in the literature as well as professional practice regarding monitoring and evaluation of SCP implementations.

As noted by Russ-Eft & Preskill (2009), many organisations start to deal with prospects of evaluations but do not always identify the full range of possibilities, its full potential and various benefits. They conceive evaluation as helpful to leverage understanding of, among others, programme sponsors, managers, and other organisation members and stakeholders about effects of learning, performance, and change implementations. Further, evaluation can be regarded as an enabler and opportunity for learning what works and what does not work, learning about organisations, how to improve actions and activities in the workplace and/or new insights into change programme implementations. Overall, evaluation supports organisations and their decision makers to succeed in meeting their goals (Russ-Eft & Preskill, 2009).

In order to build a common understanding about the term “evaluation” – related implicit as well as explicit activities – it is defined through reference to several authors in order to present similarities as well as differentiations in the table below. In general, evaluation is defined as systematic assessment of the worth or merit of an object (Joint Committee on Standards for Educational Evaluation, 1994).

Table III-1: Different definitions of evaluation

Different definitions of evaluation

“[...] applied inquiry process for collecting and synthesizing evidence that culminates in conclusions about the state of affairs, value, merit, worth, significance, or quality of a program, product, person, policy, proposal, or plan. Conclusions made in evaluations encompass both an empirical aspect (that something is the case) and a normative aspect (judgement about the value of something). It is the value feature that distinguishes evaluation from other types of inquiry, such as basic science research, clinical epidemiology, investigative journalism, or public polling (Fournier, 2005, pp.139-140).”

“[...] systematic assessment of an object’s merit, worth, probity, feasibility, safety, significance, and/or equity (Stufflebeam & Shinkfield, 2007, p.13).”

“[...] evaluative inquiry as an ongoing process for investigating and understanding critical organization issues. ... approach to learning that is fully integrated within an organization’s work practices [...] engenders (a) organisation members’ interest and ability in exploring critical issues using evaluation logic, (b) organisation members’ involvement in evaluative processes, and (c) the personal and professional growth of individuals within the organisation (Preskill & Torres, 1999b, pp.1-2).”

“[...] systematic investigation of the quality of programs, projects, subprograms, sub-projects, and/or any of their components for elements, together or slightly ...for purposes of decision-making, judgements, conclusions, findings, new knowledge, organizational development, and capacity building in response to the needs of identified stakeholders [...] leading to improvement and/or accountability in the user’s programs and systems[...] ultimately contributing to organisational or social value (Yarbrough et al., 2011, p. xxv).”

“[...] programme evaluation is the systematic collection of information about the activities, characteristics, and results of programs to make judgements about the programme, improve or further develop program effectiveness, inform decisions about future programming, and/or increase understanding. Utilization-focused program evaluation is evaluation done for and with specific intended primary users for specific, intended use (Patton, 2008, p.39).”

Source: Preskill and Torres (1999b), Fournier (2005), Stufflebeam & Shinkfield (2007), Patton (2008), Yarbrough et al. (2011)

Stufflebeam & Shinkfield (2007) focus on value-oriented aspects of evaluation. Preskill & Torres (1999b) focus their definition on evaluative activities to be conducted within organisations for the purpose of organisational learning and change. Patton (2008) advocates the utilisation aspect of evaluations. Russ-Eft & Preskill (2009) conclude that these different views on evaluation as systematic, planned, purposeful activity, collecting data on questions and issues about society in general, organisations and programmes in particular. Moreover, evaluation is regarded as the process of enhancing understanding, knowledge, and decision-making to improve or refine an organisation, programme, or process. Inherently, evaluations are about judgements about the evaluand's merit, worth, or value, and finally, evaluations should be conducted to use evaluation findings and learnings (Russ-Eft & Preskill, 2009).

The following section concentrates on the nature of evaluation. Further, it distinguishes between evaluation and research and relates them to each other.

3.1 The nature of evaluation

The activity of conducting evaluation in organisations is often termed research and the labels are often used interchangeably (Thornhill *et al.*, 2000; Russ-Eft & Preskill, 2009). As the definitions and the previous section signify evaluation addresses critical questions about how well an organisation, programme, or process is working. Consequently, evaluation is of particular interest for decision-making purposes with the intention by various stakeholders to use the findings (Russ-Eft & Preskill, 2009). On the other hand, research is mainly an activity seeking truth with the intention to contribute to knowledge. Research is mainly conducted for the purpose of describing or explaining the world and is conducted and governed by those with a high level of proficiency or expertise (Coryn, 2007). There are some similarities between these two forms of enquiry.

However, it is important to notice the similarities, differences, and relationships between evaluation and research, which are presented in the table below.

Table III-2: Relationship between evaluation and research

	Evaluation	Research
Purpose	Provides information for decision making and learning (intention is use) Seeks to describe particular phenomena Is undertaken at the behest of a client: service oriented	Develops new knowledge Seeks conclusions Seeks new laws, new theories Topic is determined by researcher
Audience	Clients (internal, external)	Other researchers
Focusing the study	Identifies background of evaluation, evaluation rationale and purpose Identifies evaluation stakeholders Develops key evaluation questions	Develops a problem statement Reviews the literature on the topic Develops theory-based hypotheses and/or research questions Identifies terms and definitions Identifies variables to be studied
Designing the study	Naturalistic/qualitative Experimental/quantitative Often bounded by organisation's time frame requirements	Naturalistic/qualitative Experimental/quantitative Is based on researcher's time line and available funding
Collecting data	Tests, surveys, observation, interviews, records, documents, and unobtrusive measures	
Ensuring reliability and validity	Pilot testing, member checks, controlling variables through design, triangulation, test/retest reliability measures Is rooted in values and politics Generalisability of findings not a major goal or concern	Pilot testing, member checks, controlling variables through design, triangulation, test/retest reliability measures Attempts to be objective and value free Seeks to establish generalisable findings
Analysing data	Inferential and descriptive statistics; Content analysis/grounded theory	
Reporting results	Makes evaluative conclusions Reports results to evaluation clients Makes recommendations relevant to evaluation questions Rarely publishes the results	Makes empirical conclusions Reports results to other researchers and practitioners Makes suggestions for future research Often publishes study's findings

Source: Russ-Eft & Preskill (2009, pp.6-7)

Russ-Eft & Preskill (2009) summarise, although these two different forms of inquiry use the same data collection and data analysis methods they differ significantly in at least the following three dimensions:

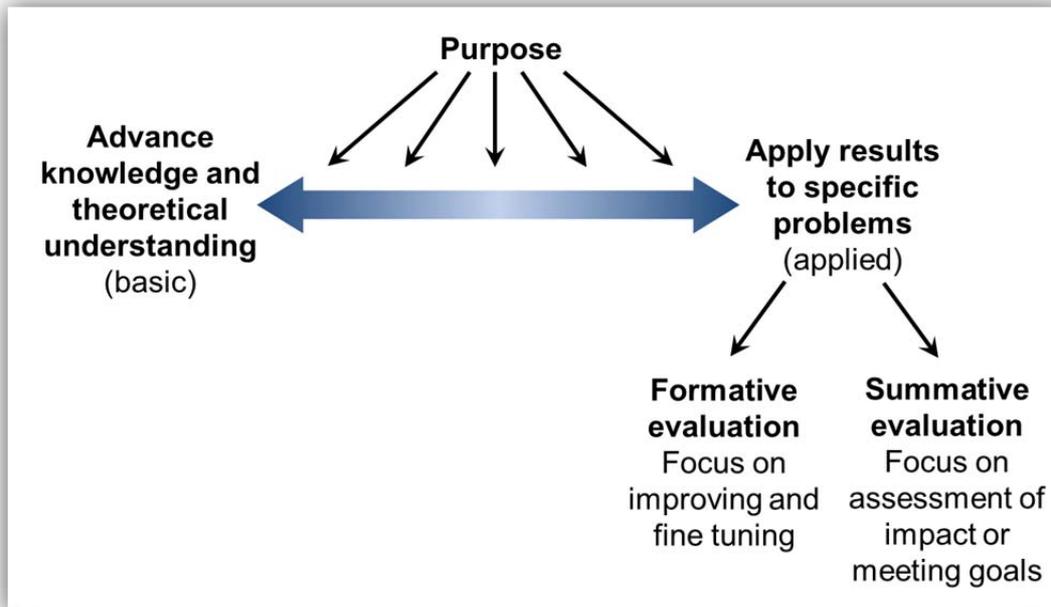
- often initiated for different purposes
- involve and respond to different kinds of audiences or client questions and needs
- communicate and report their findings in different ways to different groups

This study comprises aspects of both evaluation and research approaches, which are made clear and more explicit in the course of this work (see also 3.6.1 Case study evaluation, Chapter IV Research Philosophy, Methodology and Research Design). As a first step, the different forms and purposes are being dealt with more explicitly in the following.

Literature differentiates between two different forms, basic and applied research (Thornhill *et al.*, 2000; Millmore *et al.*, 2007; Blaikie, 2009). Research can embrace different purposes, such as exploring, describing, explaining, understanding, predicting, changing, evaluating and assessing impacts (Blaikie, 2009). Basic research focuses on the first five elements: exploring, describing, explaining, understanding, predicting. As theory-oriented research, it is aiming at advancing fundamental knowledge about the development and testing of theories in particular. Hence, basic research is concerned with producing knowledge for understanding (Blaikie, 2009). Although applied research may include some of the basic intentions, its particular focus is on change, evaluation, and impact assessment. Therefore it is concerned with practical outcomes, trying to solve practical problems, helping practitioners accomplish tasks, and the development and implementation of policies or programmes (Blaikie, 2009). Overall, applied research is about producing knowledge for action (Blaikie, 2009).

The figure below illustrates these different evaluation approaches.

Figure III-1: Purpose and focus of different evaluation approaches



Source: Millmore et al. (2007, p.131)

As this work follows an applied research approach both formative and summative evaluation are dealt with in more detail below.

3.1.1 Formative evaluation

Formative evaluation is about providing information for developing, ensuring quality, or improving a policy, programme, product, or service (Scriven, 1991; Stufflebeam & Shinkfield, 2007). Conducting formative evaluation is a prospective and proactive activity which provides feedback where its findings support an improvement-focused process which further develops, refines, or revises the object being evaluated (Russ-Eft & Pre-skill, 2009). This kind of evaluation is being undertaken during the development process of a programme or its ongoing operation. It provides guidance for those being responsible for ensuring and improving the programme's implementation and quality (Stufflebeam & Shinkfield, 2007). During the development process, formative evaluation assesses and assists with the formulation of objectives and priorities and provides directions for planning. In the course of the programme, it supports the programme management by assessing implementation plans and interim results.

Formative evaluation focuses on improving and fine tuning and therefore uses monitoring and continuous feedback during an implementation (Blaikie, 2009). Overall, formative evaluation is directed to improving development processes, implementations and operations, quality assurance, guidance for decision-making (Stufflebeam & Shinkfield, 2007). The table below presents some typical formative evaluation questions.

Table III-3: Formative evaluation questions

Formative and developmental evaluation implementation questions
How well is the program being implemented?
What are the challenges and barriers to implementation?
How have staff responded to these challenges and barriers?
How effective are the programme's strategies and activities?
What are the programme's key characteristics as perceived by various stakeholders: participants, staff, administrators, funders?
How similar or different are those perceptions?
What are the bases for and implications of different perceptions?
What is participant and staff feedback about programme processes: What is working well and not working so well from their perspectives?
What original assumptions have proved true?
What assumptions appear problematic?
How accurate has the original needs assessment proved to be?
To what extent, if at all, are actual needs different from what was planned for?
What are the primary activities (in detail) in the programme?
What do participants like and dislike?
Do they know what they are supposed to accomplish as participants?
Do they "buy into" the programme's goals and intended outcomes?
How well are staff functioning together?
Do they know and agree about what outcomes they are aiming for?
What are their perceptions of their own roles and effectiveness?
What has changed from the original design and why?
On what basis are adaptations from the original design being made?
Who needs to "approve" such changes?
How are these changes being documented and reflected on?
What monitoring system has been established to assess implementation on an ongoing basis and how is it being used?
What are the key factors and variables in the programme's environment that need to be tracked so that programme can adapt to emergent conditions?
How are these variables interpreted and fed back to the programme to support ongoing adaptation?
For each new development what progress markers provide feedback on how that development is working out?
When have incremental changes accumulated to the point of constituting a new intervention?
What values, vision, and principles underpin the emergent developments being tracked?
Is the programme manifesting those values, visions, and principles as it unfolds and develops?
Have those values, visions, and principles changed?
If so, how and why, and with what implications?

Source: Adapted and based on Patton (2008, p.321), Russ-Eft & Preskill (2009, p.19)

3.1.2 Summative evaluation

Summative evaluation is conducted to determine the merit, worth, or value of the evaluand leading to a final evaluated judgement (Russ-Eft & Preskill, 2009). It is undertaken after a respective policy, programme, or any other change has been implemented to establish its overall effectiveness in achieving the intended objectives (Blaikie, 2009). Summative evaluation is aiming at examining the consequences of the adoption of particular courses of action and/or change (Blaikie, 2009). Accordingly, this kind of evaluation is a retrospective assessment drawing together and supplementing previously collected information (Stufflebeam & Shinkfield, 2007). Summative evaluation is useful in determining accountability for success and failures and helps interested parties increase their understanding of the evaluand (Stufflebeam & Shinkfield, 2007). Typical target groups or stakeholders are development staff, consumers, and decision-makers and sponsors in particular. Very often summative evaluation information derives from in-depth case studies (Stufflebeam & Shinkfield, 2007). The table below presents some typical questions being asked for summative evaluation purposes.

Table III-4: Summative evaluation questions

Summative and lessons learned implementation questions

To what extent can the programme be modelled as a coherent, high fidelity intervention treatment with clear connections between inputs, activities, and outcomes?

To what extent has implementation been routinised and implementing steps identified and documented?

To what extent and in what ways was the original implementation design feasible?
What was not feasible? Why?

In what ways do participants benefit from the programme?

To what extent has the process improved employee productivity?

How stable and standardised has the implementation become both over time and, if applicable, across different sites?

To what extent is the programme amenable to implementation elsewhere?

What aspects of implementation were likely situational?

What aspects are likely generalisable?

Has implementation proved sufficiently effective and consistent that the programme merits continuation or expansion?

Were the results worth the implementation's costs?

What has been learned about implementation of this specific programme that might inform similar efforts elsewhere?

What has been learned about implementation in general that would contribute to scholarly and practitioner-oriented research on implementation?

Source: Adapted and based on Patton (2008, pp.322), Russ-Eft & Preskill (2009, p.19-20)

3.1.3 Relationship between formative and summative evaluation

The nature and circumstances of the evaluand indicate the relative accesses of formative and/or summative evaluation (Stufflebeam & Shinkfield, 2007). The former is more likely to be conducted in early phases of a programme, whereas summative evaluation will be conducted as the programme concludes and after its implementation in particular. Stufflebeam & Shinkfield (2007) further note that those responsible for a programme should be well aware and have a clear understanding of when and in what circumstances respective evaluations shall take place. Both types of evaluation are needed in the development of a programme. Experts in this field recognise that too often summative evaluation is conducted only for judging on programmes, which restricts the development processes and may point to inappropriate, misleading, or even incorrect conclusions and consequently wrong decisions. Similarly, a lack of (or delayed) formative evaluation and respective findings (e.g. costs, efficiency, mistakes) might also cause inadequate decisions (Stufflebeam & Shinkfield, 2007). There is no clear distinction over who is conducting which type of evaluation. However, it appears to be that formative evaluations are conducted by internal people whereas summative evaluation are often conducted by external evaluators (outside regarding programme implementation, not necessarily outside the organisation/company) (Scriven, 1991; Stufflebeam & Shinkfield, 2007). However, there are various influencing factors such as timelines, budget, and competency of personnel to undertake evaluations. Ultimately, Stufflebeam & Shinkfield (2007) argue that the decisive factor for the selection of internal or external evaluators should be whether the process and findings will be and are credible.

Frequently, summative evaluations are based on formative evaluations and the merit of worth of the latter can be strengthened by the former (Stufflebeam & Shinkfield, 2007).

The distinction between formative and summative evaluation is not discrete or absolute, as summative evaluation could have a formative effect on future developments even if it is presented after a particular implementation (Robson, 2011). The two approaches and their characteristics are contrasted in the table below.

Table III-5: Formative and summative evaluation

	Formative evaluation	Summative evaluation
Purpose	Quality assurance; improvement	Provide an overall judgement of the evaluand
Use	Guidance for decision-making	Determining accountability for success and failures; promoting understanding of assessed phenomena
Functions	Provides feedback for improvement	Informs consumers about an evaluand's value, for example, it's quality, cost, utility, and safety
Orientation	Prospective and proactive	Retrospective and retroactive
When conducted	During development or on-going operations	After completion of development
Particular types of service	Assists goal setting, planning, and management	Assists consumers in making wise decisions
Foci	Goals, alternative courses of action, plans, implementation of plans, interim results	Completed projects, established programmes, or finished products; ultimate outcomes
Variables	All aspects of an evolving, and developing programme	Comprehensive range of dimensions concerned with merit, worth, probity, safety, equity, and significance
Audience	Managers, staff; connected closely to insiders	Sponsors, consumers, and other interested stakeholders; projected especially to outsiders
Evaluation plans	Flexible, emergent, responsive, interactive	Relatively fixed, not emergent or evolving
Typical methods	Case studies, observation, interviews, not controlled experiments	Wide range of methods including case studies, controlled experiments, and checklists
Reports	Periodic, often relatively informal, responsive to client and staff requests	Cumulative record and assessment of what was done and accomplished; contrast of evaluand with critical competitors; cost-effectiveness analysis
Relationship between formative and summative evaluation	Often forms the basis for summative evaluations	Compiles and supplements previously collected formative evaluation information

Source: Stufflebeam & Shinkfield (2007, p.25)

Overall, evaluation research, be it formative or summative, is concerned with programme development and implementation in particular, and with problem solving and decision-making. It seeks to answer questions mainly posed by practitioners and decision-makers rather than academics (Blaikie, 2009).

This research takes a summative evaluation approach in order to develop a framework for monitoring and evaluating strategic change programme implementation, which can be used for formative purposes later on.

3.2 Purposes and benefits of evaluation

Evaluations can be conducted for various practical reasons and purposes, providing different information at different points in time and therefore addresses different stakeholders respectively (Rossi, Lipsey & Freeman, 2004).

In general, the fundamental purpose of evaluation is to reduce uncertainty, provide and use information or results about effects and effectiveness of programmes, initiatives, processes, strategies, products, or systems within organisations (Rossi, Lipsey & Freeman, 2004; Russ-Eft & Preskill, 2009; Robson, 2011).

Love (1991) identifies the role of effective evaluation as improving management decisions by providing information and the development of shared understanding. Based on this actions can be taken with regard to whether a programme should be continued, improved, expanded, confined or modified in any other way. They can also be used to support and increase programme managements' effectiveness as well as to serve programme sponsors' needs in terms of accountability requirements (Rossi, Lipsey & Freeman, 2004).

The specific purpose, form and scope of an evaluation depend on various criteria, such as: contextual conditions in which it will take place, target groups and stakeholders to be informed and provided with the results, the nature of the programme and the time when the evaluation is being conducted (Rossi, Lipsey & Freeman, 2004; Stufflebeam & Shinkfield, 2007).

In early phases of a programme an evaluation supports arguments on the worthiness and validity of programme needs, its focus, respective goals and their consistency as well as potential alternatives (Stufflebeam & Shinkfield, 2007; Robson, 2011). Evaluations may also provide benefits as insights on planning effectiveness and efficiency in terms of time and resources (Stufflebeam & Shinkfield, 2007). Skinner (2004a) argues that the inclusion of evaluation in implementation plans, connected and aligned with clear criteria for success, can deliver positive messages about the importance as well as the intent of a change initiative.

In the conception phase of a programme, retrospective evaluations comprising past experiences serve as lessons from failed or successful efforts (Stufflebeam & Shinkfield, 2007). This can make a significant contribution to increase knowledge based on positive as well as negative experiences indicating aspects to be preserved, modified, or improved for a current programme and its implementation (Millmore et al., 2007).

Robson (2011) also identifies the usefulness of evaluations in order to find out whether a new programme is reaching its target groups. A structured evaluation process prepares the ground for communication, involving and engaging stakeholders and creating a shared understanding.

As a programme progresses Kirkpatrick (2001) claims the importance of feedback in gaining, increasing and establishing acceptance, commitment and support for it. Carnall (2007) advises that organisational members need information to understand the new programme and their relationship to it. Evaluations help stakeholders in reducing uncertainty, clarifying direction as well as ensuring individual and organisational learning (Preskill & Torres, 1999a; b). This exchange and sharing of information is regarded as vital if new insights and mutual understanding are to be created (Preskill & Torres, 1999b).

Many of these evaluation benefits relate to data collection, data preparation, exchanging information and developing a shared understanding (Millmore *et al.*, 2007). Referring to Reichers, Wanous & Austin (1997), they state that stakeholders need to understand not only the reasons for the change caused by a programme implementation but also its operating process and its outcomes.

In later phases of a programme, an assessment provides insights into the effectiveness and/or efficiency of the implementation process and programme operations: information about what is happening during the programme and whether it is operating as planned. Here an evaluation can assist in understanding why a programme is or is not working and potential improvement points are disclosed. Overall, these insights seek to improve practice and make the programme better in terms of meeting needs, effectiveness, and efficiency (Rogers & Williams, 2006; Robson, 2011).

Patrickson, Bamber & Bamber (1995) argue that evaluation is a necessary originator to more change for continuous improvement, a starting point providing an opportunity for analysing and reflecting before making adjustments to the course of a change. According to Nelson (2003) the management of any change should incorporate regular progress reviews and respective activities should be modified in response to this feedback. For Skinner (2004a) evaluation contributes to continuous improvement, all of which are among the key activities widely identified as necessary for successful management of change.

After a programme has been implemented, gathered and analysed data seek to provide information on its achievements, results, worth of the programme, its overall outcome, and success. For Patton (2008) the evaluation process as such is a benefit because of the learning evolving among those involved when the results are used. Millmore *et al.* (2007) argue that every strategic change intervention and programme implementation is unique and can only be understood from the participants' experiences within a more general analytical framework. They further state that a planned systematic evaluation enables the capture of individual learning and, by sharing it, organisational learning. This ensures valuable knowledge is kept and not lost (Anderson & Boocock, 2002). Doyle *et al.* (2000) pose the question: if organisational change is not monitored, how can the experience contribute to organisational learning? For Pedler, Burgoyne & Boydell (1991), the conscious structuring of evaluation is a characteristic of learning organisations and the importance of evaluation in successful change programmes is widely acknowledged within literature dealing with the management of organisational change.

Without monitoring and evaluating change processes, it is likely to be less certain that they are successful (Thornhill *et al.*, 2000; Millmore *et al.*, 2007). Thus, it is regarded as highly likely that individuals as well as the organisation will experience the same failures and unsuccessful past (Garvin, 1993; Gustafson *et al.*, 2003).

The table below summarises the main benefits of evaluation and what kind of information can be provided.

Table III-6: Main benefits and kinds of information provided by evaluations

Main benefits and contribution of evaluation
<ul style="list-style-type: none">• Support for decision-making and action taking for a programme• Improvements in a programme by understanding what is working and what does not work• Reduce uncertainty• Contribution to individuals' and organisations' ability to learn from experiences, increasing knowledge• Sharing information with stakeholders, increasing understanding; convincing and seeking acceptance, commitment and support for a programme• Leverage credibility of those being responsible for or having been involved in a programme and its implementation
Kinds information provided by evaluations
<ul style="list-style-type: none">• Reasons, goals, appropriateness of a programme to be undertaken• Requirements of a programme (capabilities, time, resources)• Quality, effectiveness and efficiency as well as strengths and weaknesses within programme operations and implementation• Achievements, effects and impacts, outcomes, results, benefits and worth of a programme

Source: Own table based on literature review

Finally, evaluations add value to organisations if they are undertaken systematically and professionally and if its information and results are used or applied (Patton, 2008; Russ-Eft & Preskill, 2009). The literature differentiates three types of evaluation use: instrumental, conceptual or knowledge and process use. Instrumental use takes place when learnings based on evaluation findings are actively and directly applied in a clearly recognisable manner (Russ-Eft & Preskill, 2009). Conceptual or knowledge use occurs when evaluation information is not applied but contributes to a better understanding of the evaluated phenomena leading to changes in thinking by hearing or reading about it (Russ-Eft & Preskill, 2009). The third type of use defined by Patton (2008) leads to individual changes in mindset and behaviour or organisational changes in programmes, procedures or culture evolving among those involved in evaluation as an outcome of the learning that emerges in the course of the evaluation process as such.

Russ-Eft & Preskill (2009) claim that evaluation should always be undertaken with the intention to use its findings. Further, they state that when data collected is not prepared, aggregated, examined and scrutinised, and reported an evaluation has failed to reach its full potential. An evaluation only unfolds its full benefit when its results are being used and/or applied (Russ-Eft & Preskill, 2009).

3.3 Evaluation challenges and barriers

Theory as well as good practice as defined in the literature position a planned, systematic and rigorous evaluation process as a key element of successful management of change (Skinner, 2004a). However, Skinner (2004a) notes that this rarely takes place. As a consequence, decisions are made based on assumptions and do not consider reality in form of experiences and lessons learned from the change (Skinner, 2004a).

Increasingly dynamic and more complex developing environment are leading to more comprehensive changes and transformations in companies and organisations (IBM, 2010). This makes it even more challenging to monitor and evaluate respective change programmes. This is one of the key challenges those responsible for organisational change have to deal with today and in future (Rank & Scheinpflug, 2010).

According to Russ-Eft & Preskill (2009), the arising question is: *What are the challenges and barriers impeding evaluations in organisations?* Russ-Eft & Preskill (2009), being in the field of evaluations in organisations for around two decades, list a variety of potential reasons not to undertake an evaluation. In addition to those, Skinner (2004b) distinguishes between primary and secondary barriers to evaluate change in organisations. She defines primary barriers as those factors acting against an evaluation being undertaken (before an evaluation) whereas secondary barriers arise during an evaluation process (Skinner, 2004b). The use of evaluation findings is emphasised by Patton (2008) as a key element to capitalise fully on the evaluation and its findings, a third category is introduced to differentiate and categorise challenges and barriers to evaluation in organisations. It is about barriers after an evaluation was conducted impeding the use of the findings. Subsequently, the reasons, challenges, and barriers that might occur are categorised in these three phases of a potential evaluation process – before, during, and after an evaluation. These factors are not always distinct to one or the other as some of them might also be prevalent in other evaluation stages. The table below presents the main factors assigned to respective phases of an evaluation and they are described in more detail afterwards.

Table III-7: Challenges and barriers before, during or after evaluation

Challenges and barriers in the evaluation process
BEFORE – hindering the setup and start of an evaluation
<ul style="list-style-type: none">• Perceived lack of need• Inherent value of programme to be implemented and evaluated• Negative experience from previous evaluations; fear of negative effects/outcomes/impacts• Time pressure, too time-consuming, estimated effort higher than benefit• No resources, experience, skills
BEFORE and DURING
<ul style="list-style-type: none">• Politics on managerial levels• Preference for informal evaluation
DURING – impeding the evaluation process and the usefulness of the findings
<ul style="list-style-type: none">• Conflicting research/evaluation perspective• Absence of clear purpose, scope, objectives• Credibility of evaluator• Changes during evaluation• Limited involvement/participation, suspect results will be shared/used• Changes in evaluand/programme
AFTER – impeding acceptance of findings, practical application, and implementation
<ul style="list-style-type: none">• Insufficient communication; restricted target group, not open/honest/transparent• Timeliness• Fear of dealing with negative outcomes• Findings challenged/suspected/questioned and therefore not used/applied
→ Evaluation as such not valued

Source: Own table based on Skinner (2004b), Millmore et al. (2007), Patton (2008), Russ-Eft & Preskill (2009)

3.3.1 Before, during, and after evaluation

The following challenges and barriers might inhibit evaluations being set up and/or compromise the evaluation process, its effectiveness, and the meaningfulness of results. A very dominant influencing factor is politics, often on senior management levels. It centres on power struggles, personal self-interest, hidden agendas, trying to influence management thinking, decision-making, and behaviour at higher organisational levels (Fox, 1989; Easterby-Smith, 1994; Skinner, 2004b; Norris, 2005). Skinner (2004b) identifies a preference for informal evaluation as a continual, ongoing activity occurring at many levels in an organisation creating a key barrier to formal evaluation. Further, Easterby-Smith (1994) recognise senior managers' preference for receiving information via their own selected sources and channels and rating it as more valuable and influential than information received via formal evaluation channels.

Finally, this might result in stakeholders' suspicions when evaluation takes place, as to whether the findings might be shared honestly and transparently and applied accordingly.

3.3.2 Before evaluation

One of the main reasons not to evaluate a change programme is a perceived lack of a need to evaluate it (Millmore *et al.*, 2007). It is recognised very often that people being responsible for a certain initiative act on the assumption of an inherent value in the initiative potentially to be evaluated (Brunsson, 2009) and that anticipated benefits will inevitably result from the programme implementation, irrespective of whether it is evaluated or not. Skinner (2004a) supports this argument, the unquestioned assumption leads to a reduced perceived need for formal evaluation as those responsible "know" already the positive outcome. Moreover, some organisational leaders think they also already "know" what does and what does not work (Russ-Eft & Preskill, 2009). As a logical consequence based on a perceived lack of need to evaluate Russ-Eft & Preskill (2009) argue that another strong reason not to undertake evaluations is that no one requires or asks for it. On the other side, they also recognise organisation members' misunderstanding with regard to evaluations' purposes, role and perceived effort and costs outweighing perceived benefits.

The literature highlights negative experiences (e.g. broken promises, misuse of findings, ignorance of findings on critical issues, feel of waste of time), poorly executed evaluations, "blame cultures" (Skinner, 2004b) and organisations members' fear of the impact of the findings and dealing negative with outcomes as further major barriers to undertake evaluations (Skinner, 2004b; Russ-Eft & Preskill, 2009). Leaders might be afraid of coming in for criticism and appointing of responsibility for failure when negative results are reported (Millmore *et al.*, 2007).

Very often evaluation is seen as an additional burden, a time-consuming and laborious task. Perceived or ongoing real time pressure resulting in short-term oriented views rather than mid- or longer-term thinking might also cause a shifting focus from evaluation towards other more “urgent” or dominant tasks (Russ-Eft & Preskill, 2009). Consequently, evaluation is often seen as an afterthought appearing towards the end of a programme, if at all, and not central to its implementation process (Millmore *et al.*, 2007).

The time issue may result in a reluctance to free up and allocate resources to plan, organise, implement and conduct an evaluation (Skinner, 2004b). Another reason for not assigning resources and responsibility to evaluation tasks is a real or perceived lack of required skills, knowledge and experience for undertaking evaluations (Millmore *et al.*, 2007; Russ-Eft & Preskill, 2009).

3.3.3 During evaluation

Once agreement has been reached to conduct an evaluation another set of challenges and barriers can emerge. Different epistemological and ontological understandings also have a strong influence towards whether and/or how to set up, undertake and what to monitor and evaluate in an organisational change programme (Butler, Scott & Edwards, 2003). Skinner (2004b) notes that a barrier for evaluation can be caused by the incompatibility between methodological bias of an organisation, manager, or evaluator and the pragmatic needs of the evaluation research. The conflicting perspectives build on the preferences to use quantitative or qualitative measures (Hughes, 2010), depending on the data focus to be evaluated (elements, items, success factors, or indicators), like rather hard facts (e.g. numbers) or soft facts and intangibles (e.g. understanding, satisfaction, readiness).

Having no clear understanding about concrete purposes, scope, limitations, objectives, and success criteria of the evaluation to be undertaken represents another key challenge (Skinner & Mabey, 1997; Skinner, 2004b).

The absence of these features complicates the identification and allocation of required resources. The lack of assigned responsibility of an evaluator / evaluation team, or if available a lack of expertise, professionalism, reputation and honesty compromising its credibility represent additional challenges to evaluations (Russ-Eft & Preskill, 2009).

Phillips & Pulliam Phillips (2007) recognise a trend towards fact-based or evidence-based management. Although many key decisions are based on intuition, managers are increasingly using sophisticated and detailed processes to claim value (Phillips & Pulliam Phillips, 2007). However, evidence in terms of hard data, like financial data, is a challenging subject for a discipline like managing organisational change, where many intangibles are decisive for its success (Burke, 2011). Measures of organisational change are far too complex to be expressed just in numbers (Burke, 2011). Burke further points out that there is a need to learn much more about how to define and measure organisational change and performance than is known today. Even in those organisations where change and respective activities to manage it are given a high priority, the monitoring and feedback process often focuses more on financial measures than on indicators with regard to the people side of the change process and key cause-and-effect relations to the achievement of the overall targets (Hayes, 2010)

Kaplan & Norton (2004) state that in organisations very often attention is paid to what is measured and that organisations are not good at managing that which is not measured.

The following quotation highlights this by referring to the McNamara fallacy:

“The first step is to measure whatever can be easily measured. This is OK as far it goes. The second step is to disregard that which can’t be easily measured or to give it an arbitrary quantitative value. This is artificial and misleading. The third step is to presume that what can’t be measured easily really isn’t important. This is blindness. The fourth step to say that what can’t be easily measured really doesn’t exist. This is suicide (Handy, 1994, p.219).”

Furthermore, Millmore *et al.* (2007) emphasise the difficulty of gathering reliable and valid data and isolating the effects of certain activities from other influences (Phillips & Pulliam Phillips, 2007).

Another critical aspect emerges when the features of an evaluation are clear, but not widely shared with those who should participate and be involved in the evaluation. This will inevitably lead to scepticism, mistrust and decreasing interest in being involved and participation (Skinner, 2004b).

Furthermore, an aspect to be avoided deals with any changes during an evaluation, for instance stakeholders having a vested interest in the programme who are transferred to another part within or even leave the organisation or any changes in the programme being evaluated (e.g. new sponsor, changes in scope or objectives). This may result in collecting data on something that does not exist anymore for its original purpose or where the initial evaluation questions are no longer appropriate.

As noted by Toracco (1997, p.121) "*evaluation is usually not included in long-term change processes*". Thus, this lack of evaluation of change in practice is due to long time frames and ongoing changes in different parts of an organisation impairing the relationship between change interventions and their outcomes (Toracco, 1997; Millmore *et al.*, 2007).

3.3.4 After evaluation

Essential to the success of any evaluation is the timeliness of the evaluation results. Usually, there are time constraints if an evaluation is conducted to solve or understand some problems. When evaluations miss these constraints their findings are of limited use (Russ-Eft & Preskill, 2009).

Insufficient communication is another area creating barriers in terms of acceptance and the use of evaluation findings. Findings must be made available to all relevant stakeholders, and if possible, in a variety of formats. This requires using appropriate communication channels and systems for disseminating and accessing the findings. Problems of acceptance among organisational members occur when an evaluation report is only shared among management levels, programme staff, or any other selected and restricted audience.

As a consequence organisations miss an opportunity for individual as well as organisational learning for a better future (Russ-Eft & Preskill, 2009).

Although evaluation findings might be communicated and shared with all relevant stakeholders, due to all the challenges and barriers mentioned, stakeholders might challenge, suspect, question and therefore not use and apply the findings.

Finally, the main barrier to using the findings of an evaluation rests in the fear of dealing with outcomes leading to negative impacts and consequences (Skinner, 2004b).

All these aspects, as discussed in Section 3.3, potentially limit the usefulness of whatever evaluation findings are generated. Referring to Russ-Eft & Preskill (2009) again, they state that organisation members do not value evaluations and the number one reason to neglect them is an aggregate of all factors presented in Table III-7 above. In combination, all these factors provide significant obstacles and disincentives to undertake evaluations in the context of a change programme. Organisations need to understand the value of evaluation (Skinner, 2004b). However, finally the area of evaluation in organisations is of a highly political nature (Clarke & Dawson, 1999). Consequently, the required power and resources to prompt a formal evaluation process and to apply the findings accordingly remains with the dominant stakeholder group on (senior) management levels (Skinner, 2004b).

Despite these difficulties, Toracco (1997) emphasises the importance of evaluating the changes against key organisational goals, even if effects cannot be fully assigned to a particular change intervention. Finally, Hughes (2010) states that despite potential evaluation pitfalls the real need remains to evaluate managing change initiatives to inform the developing body of knowledge about managing change.

3.4 Evaluation strategies and planning evaluations

In order to overcome the challenges and barriers identified in the previous section, this chapter introduces strategies to overcome these barriers to implement evaluations in organisations. In addition, a guideline and schema for planning evaluations are presented.

Russ-Eft & Preskill (2009) identify some basic strategies for implementing evaluation in organisations which aim to achieve their practicability and usefulness. The authors recommend considering the following aspects: obtaining commitment and support for evaluation activities, deploying participatory and collaborative evaluation approaches, understanding the context of the evaluation, engaging experts and dedicated roles in evaluation activities (planning and operationalisation), building a learning capacity.

Obtaining commitment and support for evaluations – This is a challenging task and a kind of prerequisite to start any evaluation consideration as identified in the previous chapter. It is considered as vital to get relevant people (top management as well as employees) to approve and engage. Russ-Eft & Preskill (2009) underline the importance that the commitment must be visible, tangible, and consistently communicated throughout the organisation. Further, they accentuate that this commitment, in particular from the organisation's leaders, must be more than "lip service". The leaders are asked to explicate that evaluations lead to better informed decisions and actions, strengthen and benefit employees when using evaluation knowledge, skills, and findings. Moreover, it should be emphasised that it is important that evaluation should be integrated into daily work as an expected part of everyone's job (Russ-Eft & Preskill, 2009).

Participatory and collaborative evaluation approaches – The second aspect to be considered centres on involving multiple internal as well as external stakeholders. According to Russ-Eft & Preskill (2009), this would make evaluations more effective since various perspectives and experiences can be taken into consideration. Moreover, it enables a better understanding among stakeholders about the evaluand (e.g. programme). They are convinced that an extended involvement enhances an evaluation's credibility and also offers potential for individual, team, and organisational learning.

Understanding the context of the evaluation – Before any evaluation activity is conducted, experts from the evaluation field (Russ-Eft & Preskill, 2009) recommend analysing and understanding the circumstances an evaluation is to be set into. This would include finding out as much as possible about the business of the organisation and current issues concerning the programme to-be evaluated as well as stakeholders' attitudes and experiences with evaluation. In addition, when to conduct an evaluation and how the results may be received and used should be identified.

Engaging experts and dedicated roles in evaluation activities – Thorough and professional practice – e.g. evaluation competencies, applying evaluation standards, approach, skills, experience – is a prerequisite to achieve credibility, produce useful outputs, acceptance, using and applying respective results and outcomes (Stufflebeam & Shinkfield, 2007; Patton, 2008; Russ-Eft & Preskill, 2009; Yarbrough *et al.*, 2011).

Building a learning capacity – An organisation's capacity for learning is considered as essential to maintain success in a volatile environment. It enables organisations to manage change, resolve conflicts, fosters communication and alignment, coordination across organisational units and processes and creates a learning and knowledge sharing culture (Senge, 2006; Russ-Eft & Preskill, 2009).

The following two tables outline evaluation-planning activities and as such provide a kind of guideline. Table III-8 divides the evaluation process into three main parts: planning, data collection, reporting, and action plans. The activities are listed in a prescriptive manner. In Table III-9 below, nine dimensions are identified to be considered for evaluations: reasons and purpose, value, interpretation, subject, evaluator, methods, timing, permissions and control, and use outcomes. Each of these consist of guiding questions helping to understand, plan, and conduct the evaluation as well as to report and use its results effectively and efficiently. Robson (2011) recommends avoiding complex designs and data analyses and consequently keeping evaluations as simple as possible. Moreover, he advises defensive thinking by trying to anticipate potential problems.

Table III-8: Evaluation schema

Part 1 Plan the evaluation
1.1 Determine evaluation requirements
1.2 Specify evaluation purposes and object's
1.3 Identify sources of information
1.4 Prepare an evaluation schedule with stakeholder involvement
Part 2 Collect and interpret information/data
2.1 Prepare and pilot tests instrument(s)
2.2 Administer instrument(s)
2.3 Collect and tally data
Part 3 Prepare recommendations and an action plan
3.1 Formulate recommendations
3.2 Draw up plan for corrective action
3.3 Write a report

Source: Gray (2009, p.288)

Table III-9: Planning an evaluation

1. Reasons, purposes and motivations
<ul style="list-style-type: none">• Is the evaluation for yourself or someone else?• Who should have the information obtained?
2. Value
<ul style="list-style-type: none">• Can actions or decisions be taken as a result?• Is somebody or something going to stop it being carried out?
3. Interpretation
<ul style="list-style-type: none">• Is the nature of the evaluation agreed between those involved?
4. Subject
<ul style="list-style-type: none">• What kinds of information do you need?
5. Evaluator(s)
<ul style="list-style-type: none">• Who gathers the information?• Who writes any report?
6. Methods
<ul style="list-style-type: none">• What methods are appropriate to the information required?• Can they be developed and applied in the time available?
7. Time
<ul style="list-style-type: none">• What time can be set aside for the evaluation?• Is this adequate to gather and analyse the information?
8. Permissions and control
<ul style="list-style-type: none">• Have any necessary permissions to carry out the evaluation been sought and received?• Is participation voluntary?• Who decides what goes in any report?
9. Use
<ul style="list-style-type: none">• Who decides how the evaluation will be used?• Will those involved see it in a modifiable draft version?• Is the form of the report appropriate for the designated audience (style/length)?

Source: Based on Robson (2011, pp.183-184)

3.5 Sources, methods, and frameworks for information collection

Since the previous section is concerned with strategies for and planning of evaluations, this chapter proceeds with one level of detail downwards by dealing with sources and methods for information collection as well as integrating these in two evaluation frameworks.

A variety of information sources exists from which to gather monitoring and evaluation data. Mainly, the selection depends upon the evaluation purpose (questions to be answered) and on what kind of information is available and accessible (Taylor-Powell & Steele, 1996; Stufflebeam & Shinkfield, 2007). Referring to the Joint Committee's Program Evaluation Standards (Yarbrough *et al.*, 2011) Stufflebeam & Shinkfield (2007) point to the necessity of using multiple sources and methods. Their reasoning refers to the need to cover the scope of necessary information and to provide checks and balances on several procedures, which often cannot be fully validated for practical reasons. They further recommend gathering, analysing, and synthesising quantitative as well as qualitative information. Likewise, Taylor-Powell & Steele (1996) emphasise the importance of combining or using multiple methods for the purpose of triangulation. This would overcome or mitigate potential biases or deficiencies of certain methods, which is considered to be immanent. Although they confess that these cross-checks would increase effort and costs, it is worth doing it to increase the validity of the programme evaluation. According to Taylor-Powell & Steele (1996), the most common sources of evaluation information can be assigned to the following categories: existing information, people (most common source of information), observations, and pictorial records (pictures, photographs, videos).

The table below aims at introducing the most common methods used in programme evaluation. In addition to these methods, two frameworks are presented below, which intend to support the planning of an evaluation.

Table III-10: Methods for information collection

Method	Description
Analysis of documents, records and databases	Analysing and summarising printed material and existing information (e.g. programme documents, electronic files such as programme and work plans, checklists, progress reports, meeting minutes, programme budget) or databases
Case study	In-depth examination of a particular case (e.g. programme) relying on multiple sources information and methods to provide a comprehensive view
Expert or peer review	Examination conducted by an review committee, panel of experts or peers, dedicated reviewers
Group assessment	Variation of the interview, collecting information by using a group interview approach (e.g. focus group, brainstorming, community forums)
Interview	Talking and listening to several people, descriptive and judgemental information from a wide range of individuals/groups having important perspectives on the programme, its setting or beneficiaries (structured, semi- or unstructured)
Log	Recording of chronological entries (usually brief and factual, often entered and stored in a database)
Observation	Collecting qualitative information by attentive “seeing” and “listening” (structured or unstructured)
Portfolio review	Collection of materials encompassing the breadth and scope of the programme (incl. samples of work)
Quality assurance	Evaluating overall programme quality on a regular basis
Simulation	Use of models, tests, or mock-ups to anticipate/ask for perceptions and reactions, dry-runs
Survey, Questionnaire	Collecting standardised information through structured questions generating quantitative data (online, paper-based; face-to-face, telephone)
Test	Assessing knowledge, skills, performance, interests, attitudes, motivation of people (pen-and-pencil or computer- or web-based tests)
Testimonial	Statement made by people indicating personal responses and reactions on an evaluand

Source: Based on Taylor-Powell & Steele (1996), Stufflebeam & Shinkfield (2007), Russ-Eft & Preskill (2009), Mertens & Wilson (2012), PMI (2013b)

Subsequently, the first framework (Table III-11) links a set of information needs in various areas of information (horizontal: first two rows) to a range of potential information collection methods (vertical: first column) (Stufflebeam & Shinkfield, 2007). The second framework conceptualises an overall master plan of information collection. Here, the different information collection methods (vertical: first column) are linked to different evaluation types assigned to different periods of a programme and its evaluation (horizontal: first two rows) (Stufflebeam & Shinkfield, 2007). Since these two frameworks present rather macro-level plans, for operationalisation they need to be specified. The frameworks are selected from the evaluation literature since they illustrate aspects that need be considered and integrated in the to-be developed framework this work is aiming for.

Table III-11: Framework for planning information collection for evaluations

Information Collection Procedures ⁸	Areas of Information						
	Program Context and Beneficiaries' Needs	Program Plan and Competing Approaches	Program Activities and Costs	Program Reach to Targeted Beneficiaries	Program Outcomes	Program Sustainability	Program Transportability
Document files, and data tape retrieval and review	X	X	X	X	X	X	
Literature review		X					
Interviews	X		X	X	X	X	X
Travelling observer or resident researcher			X				
Site visits		X	X			X	
Surveys							
Focus groups				X		X	X
Public forum							
Observations, listening, hearing			X				
Case studies					X		
Goal-free studies					X		X
Knowledge tests							
Self-assessment devices							

Source: Stufflebeam & Shinkfield (2007, p.569)

⁸ Rows with blanks illustrate that that not all methods are necessarily relevant/needed on respective occasions

Table III-12: Illustrative timeline for applying different methods for information collection

Information Collection Procedures	Areas of Information						
	Period 1 Start-up and Context Evaluation	Period 2 Input Evaluation	Period 3 Process Evaluation and Cost Analysis	Period 4 Process and Impact Evaluation	Period 5 Outcome Evaluation	Period 6 Sustainability and Transportability Evaluation	Period 7 Final Report Preparation and Delivery
Document files, and data tape retrieval and review	X	X	X	X	X	X	
Literature review		X					
Interviews	X		X	X	X	X	
Travelling observer or resident researcher			X	X			
Site visits		X	X				
Surveys							
Focus groups				X		X	
Public forum							
Observations, listening, hearing			X	X			
Mini-case studies					X		
Goal-free studies					X	X	
Knowledge tests							
Self-assessment devices							

Source: Stufflebeam & Shinkfield (2007, p.570)

3.6 Types of evaluation

Evaluation literature and practice describe and offer a wide range of different alternatives to conduct evaluations. Different types of evaluations ask different questions, concentrate on different purposes. In turn the development of evaluation questions is closely linked to respective evaluation purposes and types (Patton, 2008). Patton (2008) provides an extensive overview of 79 types of evaluations and states that various options can be combined and used jointly within the same evaluation, or alternatives can be implemented in sequence over a period of time, such as implementation evaluation preceding an outcomes evaluation or summative evaluation following a formative assessment. Mertens & Wilson (2012) mention that most evaluations pursue multiple purposes. The decision to select an evaluation type is based on the purpose of the evaluation which influences the evaluation strategy adopted, what is being or should be evaluated as well as when the evaluation should be conducted. The table below presents a selection of evaluation types based on Patton's comprehensive list. These types are chosen as the questions or the approach followed could to some extent also be asked and used within the context of the case being examined in this work.

Table III-13: Focus or type of evaluation

Focus or type	Defining question or approach
Accountability focus	Have resources been appropriately used to accomplish the intended results? Key issue: Who is accountable to whom for what? (Rogers, 2005)
Appreciative inquiry	What is best about the programme? (Preskill, 2005)
Beneficiary assessment	The perspective of intended beneficiaries about what they have experienced, both processes and outcomes (Salman & Kane, 2006).
Compliance focus	Are rules and regulations being followed?
Context focus	What is the environment within which the programme operates politically, socially, economically, culturally, and scientifically? How does this context affect program effectiveness?
Cost-benefit analysis	What is the relationship between programme costs and programme outcomes (benefits) expressed in dollars? (Levin, 2005a)
Cost-effectiveness analysis	What is the relationship between programme costs and outcomes where outcomes are not measured in dollars? (Levin, 2005b)
Criterion focused	By what criteria (e.g., quality, cost, client satisfaction) should the programme be evaluated?
Critical issues focus	Critical issues and concerns of primary intended users focus the evaluation.

Focus or type	Defining question or approach
Decisions focus	What information is needed to inform specific future decisions?
Descriptive focus	What happens in the programme? (No “why” question or cause-effect analysis)
Effectiveness focus	To what extent is the programme effective in attaining its goals? How can the programme be more effective?
Efficiency focus	Can inputs be reduced and still obtain the same level of output or can greater output be obtained with no increase in inputs?
Effort focus	What are the inputs into the programme in terms of number of personnel, staff/client ratios, and other descriptors of levels of activity and effort in the programme?
Formative evaluation	How can the programme be improved?
Goals-based focus	To what extent have programme goals and intended outcomes been attained?
Goal-free evaluation	To what extent are actual needs of programme participants being met (without regard to stated programme goals)?
Impact evaluation	What are the direct and indirect programme impacts, over time, not only on participants, but also on larger systems and the community? Impact evaluation often includes a focus on determining the extent to which results can be attributed to the intervention.
Implementation focus	To what extent was the programme implemented as designed? What issues surfaced during implementation that needs attention in the future?
Inputs focus	What resources (money, staff, facilities, technology, etc.) are available and/or necessary?
Judgement focus	Make an overall judgement about the programme’s merit, worth, and/or significance (see also summative evaluation)
Knowledge focus, learning-oriented evaluation	What can be learned from this programme’s experiences and results to inform future efforts? Focusing the evaluation on practice improvement and organisational learning (Rogers & Williams, 2006).
Monitoring focus, monitoring and evaluation	Routine data collected and analysed routinely on an ongoing basis, often through the management information system Integrating monitoring and evaluation (Kusek & Rist, 2004; Jackson, 2005)
Outcomes evaluation	To what extent are desired client/participants outcomes being attained? What are the effects of the programme on clients or participants?
Process focus	Evaluating the activities and events that occur as part of implementation: What do participants experience in the programme? What are the strengths and weaknesses of day-to-day operations? How can these processes be improved?
Real-world evaluation	How can evaluation be done under budget, time, date, and political constraints? (Bamberger, Rugh & Mabry, 2006)
Summative evaluation	Should the programme be continued? If so, at what level? What is the overall merit and worth of the programme?
Utilisation-focus evaluation	Intended use by intended users: What information is needed and wanted by primary intended users that will actually be used for programme improvement and decision-making? (Patton, 2008)

Source: Selected from Patton (2008, pp.300-305)

Within Section 3.1: The nature of evaluation, formative and summative evaluation are introduced as main categories. Within these two, there are more types and approaches, which can be conducted to serve their respective purposes. In the following subchapters those types are outlined which are mainly relevant to this work.

3.6.1 Case study evaluation

This section is more about the evaluation part of case study research. The chapter in the methodology section (4.3) deals with case studies more comprehensively as a research strategy.

Case study evaluation is highly appropriate and useful in the context of programme evaluation (Stufflebeam & Shinkfield, 2007). It is concerned with in-depth examination, illumination, description, analysis, and synthesis of a particular programme in its totality or components of it (Stufflebeam & Shinkfield, 2007). The main focus of this kind of study is to portray and make the programme understandable (Stake, 1995), rather than guiding its development or assessing and judging its merit or worth. Therefore it looks at multiple programme levels and aims for a holistic overarching view of the programme (Stufflebeam & Shinkfield, 2007).

The intention of a case study evaluation approach is not concerned with controlling the programme in any way but looking at it as it is or occurred in the past. Consequently, it can be conducted in the course of a programme or retrospectively (Stufflebeam & Shinkfield, 2007). Case study evaluation is trying to understand the complexity of a singular case with the driving question “What can be learned about the case under examination” (Stake, 2005). Therefore, the evaluation analyses and describes the case as comprehensive as possible. In order to gather relevant data and information, it looks at the characteristics of the programme, its context with respective influences on it, goals, and plans. Further, it considers unique features and noteworthy actions, use of inputs and resources, internal operations and any other processes producing outcomes, intended as well as unexpected effects, achievements and outcomes.

In addition, needs, strengths and weaknesses, successes, problems, disappointments or failures are looked at (Stake, 1995; Stufflebeam & Shinkfield, 2007).

In order to gather relevant data and to interpret findings the researcher or evaluator needs to identify, interact, and engage with the programme's stakeholders having been involved in the programme in different ways (Stufflebeam & Shinkfield, 2007).

Case study evaluation often deals with qualitative and subjective information (Stake, 2005) and systematic procedures for analysis. A thorough case evaluation provides stakeholders with an authoritative, in-depth, and well-documented explication of the programme, including judgemental information, perceptions held by different stakeholders and experts, and summary conclusions. Programme sponsors, managers or other stakeholders might use this information to understand the programme, for decision-making and/or taking actions for programme improvements (Stake, 2005; Stufflebeam & Shinkfield, 2007).

As a summary, the questions in the table below present the variety of questions a case study evaluation can address.

Table III-14: Case study evaluation questions

Case study evaluation questions
What is the programme in concept and practice?
How has it evolved over time?
How does it actually operate to produce outcomes?
Who are the players and what do they do?
What has it produced?
What are the shortfalls and negative side-effects?
What are the positive side effects?
In what ways and to what degrees do various stakeholders value of the programme?
To what extent did the programme effectively meet beneficiaries' needs?
What were the most important reasons for the programme's successes and failures?
What are the programme's most important unresolved issues?
How much has it cost?
What are the costs per beneficiary, per component, per line item, and per year?
What part of the programme has been successfully transported to other sites?
How does this programme compare with what might be called critical competitors?

Source: Based on Stufflebeam & Shinkfield (2007, pp.182-183)

3.6.2 Programme, implementation or process evaluation and monitoring

Dealing with the topic of implementation evaluation the literature often also refers to programme process evaluation or monitoring (Rossi, Lipsey & Freeman, 2004; Stufflebeam & Shinkfield, 2007; Patton, 2008; Russ-Eft & Preskill, 2009; Mertens & Wilson, 2012). The latter is dealt with at the end of this section. The former two are used interchangeably.

Patton defines programme evaluation as

"[...] systematic collection of information about the activities, characteristics, and results of programs to make judgements about the program, improve or further develop program effectiveness, inform decisions about future programming, and/or increase understanding [...]" (Patton, 2008, p.39)."

As defined by Davidson (2005) the evaluation of the process of a programme takes a critical look at the quality or value of everything about the programme, what it is and does, except outcomes and costs. Process evaluation is about verifying to what extent a programme is conducted and operates as planned (Scheirer, 1994; Mertens & Wilson, 2012).

Implementation evaluation or programme process evaluation are often at the core of formative evaluations providing information and feedback to programme managers and sponsors (Rossi, Lipsey & Freeman, 2004). It is useful when a new programme is being implemented, an existing programme does not produce satisfactory deliverables or results to identify positive as well as negative aspects of its implementation (Stufflebeam & Shinkfield, 2007; Mertens & Wilson, 2012). Furthermore, Mertens & Wilson (2012) state that such an evaluation can also be conducted to reassess a programme's appropriateness under changing conditions, examining stakeholders' perceptions and/or experiences. The resulting information provides insights into a programme's effectiveness (Mertens & Wilson, 2012). Patton (2008) notes that process evaluation focuses on internal dynamics and operations in order to understand strengths and weaknesses of a programme. A process evaluation is interested in what happens in a programme and why as well as how participants experience and perceive the programme (Patton, 2008).

Therefore, it looks for how a programme is operating in day-to-day reality producing outcomes (Patton, 2008). This kind of evaluation looks at both formal activities and anticipated outcomes but also scrutinises informal patterns and unexpected consequences in the full context of the programme implementation. In order to gather relevant data, process evaluation includes different perspectives from people involved in the programme providing unique insights from their understanding and experiences. Finally, it is about searching for major patterns and seeking explanations for success, failures, and changes in a programme (Patton, 2008).

In cases where process evaluation is an ongoing activity involving recurring measurements over time the term programme monitoring is used (Rossi, Lipsey & Freeman, 2004). The PMI (2013a) defines monitoring as follows:

“Monitoring and tracking is the process of tracking, reviewing, and regulating the progress to meet the performance objectives defined in the project management plan. Monitoring is an aspect of project management performed throughout the project. Monitoring includes collecting, measuring, and distributing performance information, and assessing measurements and trends to effect process improvements. Continuous monitoring gives the project management team insight into the health of the project, and identifies any areas that may require special attention (PMI, 2013a, p.89).”

Monitoring is the systematic and continual documentation of key aspects of programme performance where programme operations during the implementation phase are assessed compared to initial plans (Rossi, Lipsey & Freeman, 2004; Mertens & Wilson, 2012). Programme monitoring provides routine data on programme completion rates, participation levels, indicators, issues as they arise and other programme characteristics such as status of programme implementation (Patton, 2008; Mertens & Wilson, 2012). Referring to Owen (2006) monitoring typically takes place when a programme is well-established and ongoing. It is often associated with a need to communicate the success of a programme. The information serves primarily the needs of the management and main stakeholders' (sponsor, programme leader or programme management team) as early indications of progress, lack thereof, achievements, and results (Mertens & Wilson, 2012).

3.6.3 Outcome and impact evaluation

Another category for conducting evaluations to assess a programme's effectiveness comprises outcome as well as impact evaluations (Mertens & Wilson, 2012). These kinds of evaluations are useful to illustrate that a programme is/was or is/was not achieving its goals potentially leading to subsequent decisions and actions such as granting additional funding, making revisions or replications (Russ-Eft & Preskill, 2009; Mertens & Wilson, 2012). According to Mertens & Wilson (2012) the emphasis of both forms are most similar to the concept of summative evaluation (see also Section: 3.1.2 Summative evaluation; 3.1.3: Relationship between formative and summative evaluation).

Outcome evaluation focuses on short-term results as it is about continuously measuring intended outcomes of a programme (Rossi, Lipsey & Freeman, 2004; Mertens & Wilson, 2012). According to the "Programme Manager's Planning Monitoring & Evaluation Toolkit" (United Nations Population Fund, 2004) outcome evaluation measures the extent of achieving a programme's outcome, assesses inherent reasons for success or failure, and identifies critical lessons learned and recommendations to improve performance. The purpose of an outcome evaluation is to leverage the understanding of intentional changes in knowledge, skills, attitude, and practices resulting from a programme and its implementation (Russ-Eft & Preskill, 2009).

On the other side, impact evaluations, also often termed impact assessment, look at the effects of a programme and its long-term results (Rossi, Lipsey & Freeman, 2004). Patton (2008) states that this often includes the determination of the magnitude to which results can be assigned to the programme or components of it.

3.7 Reflections on evaluation in organisations

The developments in the past decades in the field of evaluation reveal changes from initial focus on achievements against behavioural objectives, undertaking norm-based testing, or professional judgements. Latest trends indicate an increasing emphasis on approaches to determine whether objectives have been achieved and therefore collect and analyse quality information for decision making (Stufflebeam & Shinkfield, 2007). Stufflebeam & Shinkfield (2007) consider these trends, ways of thinking and conducting evaluations as deficient and potentially causing evaluations to fail. They note that some objectives might be unworthy of achievement and further they advise evaluators to avoid judgements on a programme's success exclusively on the accomplishments of its initial objectives. First of all, they argue that objectives might be deficient, corrupt, dysfunctional, unimportant, not oriented to the needs of the intended beneficiaries. Secondly, they enforce the argument that conflicts of interest of those in charge of the programme might cause misleading evaluation findings. Furthermore, the pure outcome-orientation overlooks contributions to programme improvement or important side effects. Finally, evaluations only being conducted at a programme's end neglect the fact that evaluations can contribute significantly to planning and guiding programmes towards successful ends (Stufflebeam & Shinkfield, 2007).

With regard to planned organisation change Burke (2011) states that the effect being based on data as much as possible will help to ensure success. Lawler & Worley (2006) strongly recommend constant gathering of performance information at every organisational level (organisational as a whole, business units, individuals) using simple and objective assessments. Moreover, they argue not only for financial data but also for intangibles. Besides financial data, Burke (2011) also argues for intangibles as organisational change is far too complex to be expressed just in numbers. He finally claims that the time is overdue to consider organisational effectiveness and performance in multiple ways, not just in financial terms.

However, evidence in terms of hard data, like financial data, is a challenging and critical subject for a discipline like managing organisational change programmes, where many soft factors and intangibles are decisive for its success (Skinner, 2004a; IBM, 2008; Jørgensen, Owen & Neus, 2009; Burke, 2011).

Critical to any evaluation is its usefulness as well as actually using and applying its findings and results (Patton, 2008). Thus, only then evaluations unfold their full benefit (Russ-Eft & Preskill, 2009). However, studies found out that the greatest misuse of evaluation findings occurs when they are communicated and reported (Preskill & Caracelli, 1997; Fleischer & Christie, 2009) which mainly support political agendas as follows (Russ-Eft & Preskill, 2009): selectively using or withholding findings or parts of them, distorting evaluation data or reporting of findings in a way that supports a particular political opinion or agenda; using findings for reward or punishment, initiating layoffs, getting rid of particular people; drawing unjustified conclusions going beyond the data. Finally, Russ-Eft & Preskill (2009) constitute evaluation as a political act and therefore emphasise the importance considering that evaluation involves individuals' values and addresses issues of power, resources, and position.

The aspect of potential conflicts of interest or how best to avoid or mitigate these needs to be included when considering ethical issues before, during and after an evaluation. In order to consider ethical issues in evaluations the reader is referred to the "Guiding Principles for Evaluators" (Appendix 3) of the American Evaluation Association (2004).

With regard to case study evaluations, the main potential limitation remains when evaluators/researchers misuse the openness of the approach. Stufflebeam & Shinkfield (2007) indicate that the lack of control of treatments should not be used as an explanation or even excuse for approaching the case and its evaluation indiscriminately and circumventing steps to ensure that findings and interpretations include rigour and relevance. They also point to collecting sufficient judgemental information allowing a broad-based assessment of the programme's merit and worth.

In order to overcome the potential pitfalls evaluators/researchers should fully address the principles of sound programme evaluation standards: accuracy, utility, feasibility, and propriety, and evaluation accountability (Yarbrough *et al.*, 2011).⁹

According to Gummesson (2000) and as noted by Robson (2011) in case study evaluation as a real world research project conducted by single practitioners, consultants or doctoral students, time, cost and personal constraints (realistic, manageability, feasibility for a single person) need to be considered in order to accomplish the task satisfactorily.

Overall, an evaluation approach used depends on the purpose of respective evaluation. However, without information about actual programme operations and causal mechanisms, decision-makers are limited in interpreting performance data for either programme improvement or summative judgements (Patton, 2008). The key is to match the type of evaluation information needs of specific stakeholders and primary intended users (Patton, 2008). Likewise, Stufflebeam & Shinkfield (2007) conclude that evaluation should not automatically be equated with any one methodology but should incorporate all those methods being necessary and useful to reach credible judgements of a programme.

⁹ Appendix 4 provides the Programme Evaluation Standards in detail

3.8 Summarising the literature review and identifying the gaps in the literature and professional practice

This second chapter on literature critically reviews aspects of evaluation in organisations. The term evaluation is defined and summarised as systematic, planned, purposeful activity, collecting data on questions and issues about society in general, organisations and programmes in particular (Russ-Eft & Preskill, 2009). Moreover, the literature review reveals evaluation being regarded as a process of enhancing understanding, knowledge and decision-making to improve or refine an organisation, programme or process (Russ-Eft & Preskill, 2009). The chapter further compares and sets into relation formative and summative evaluations (3.1) as both forms are vital for this work (4.4.7 in particular). Furthermore, purposes and benefits (3.2) as well as evaluation challenges and barriers are studied (3.3). The latter reflects on where in a process these issues might become apparent. The examination of the literature also covers aspects of evaluation strategies and planning evaluations (3.4) as well as sources, methods and frameworks potentially being used (3.5). Moreover, those types of evaluations (3.6) being used and/or potentially integrated in the to-be developed framework are reflected. This includes case study evaluation, programme, implementation or process evaluation and monitoring as well as outcome and impact evaluation. The literature review chapter on evaluation in organisations concludes with a reflection of the field as such (3.7).

The combination of both literature review chapters reveals that an effective evaluation and promotion of change requires a systematic collection of data, to be analysed accordingly and made available for leaders as input for decision-making and subsequent actions (Millmore *et al.*, 2007). Skinner (2004a) argues for the inclusion of evaluation in change implementation plans, connected and aligned with clear criteria for success. However, she further notes that in practice a planned, systematic, and rigorous evaluation of change implementation rarely takes place.

Stufflebeam & Shinkfield (2007) are convinced that the more systematic, thorough, and disciplined evaluation procedures are, the more beneficial and persistent the changes in a change programme will be, especially with formal evaluations. Furthermore, they advocate the necessity of pursuing disciplined design, data collection, processing, and analysis of information as well as communicating findings and sound reports. From their understanding, evaluations that do not comprehend these features are fruitless, wasteful, and misleading.

The successful management of change is a highly required skill and a decisive factor in an organisation's ability to compete successfully (Todnem By, 2005; Burnes, 2009). Despite the evolution of many models about how to manage organisational change effectively, many authors and studies as referred to in Section 2.7 reveal that the majority of change programmes tend to fail.

There is further acknowledgement of the problematic nature of judging the efficacy of change programmes (Iles & Sutherland, 2001). However, without monitoring and evaluating such change implementations, associated success is likely to be even less certain (Millmore *et al.*, 2007). Accordingly, it is regarded as highly likely that organisations will undertake and experience the same failures and be as unsuccessful as they were in the past (Gustafson *et al.*, 2003). Walton and Russell note that there is little formal knowledge about how to monitor or evaluate organisational change:

"[...] still little formulaic knowledge about how to create definitive and sustainable change, much less how to measure or evaluate real change [...] As some have pointed out, despite over 50 years of being a field, we have little more than rehashed concepts and simplistic ideas (Walton & Russell, 2004, p.145)."

The high failure rates, the lack of formal knowledge and the observation that in practice a planned, systematic, and rigorous evaluation of change implementation rarely takes place disclose the need to

- identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation,
- identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate),
- assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate), and
- identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate).

This will support answering the following set of research questions that emerge as a result of the gaps in the extant literature and professional practice (Table III-15 below).

Which prerequisites enable systematic monitoring and evaluation of strategic change programme implementation?

Which critical success factors need to be monitored and evaluated throughout a strategic change programme in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?

How can monitoring and evaluation of these critical success factors in such a strategic change programme implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?

The first table below (Table III-15) clearly identifies the gaps in the literature and professional practice and provides respective references from the literature. Moreover, it connects the gaps to the research aim (RA), questions (RQ), and objectives (RO). In addition, the table specifies which research question and objective address which gap. In order to support this, the second table below (Table III-16) again lists the research aim, questions, and objectives, how they are connected to each other (as presented in Section 1.4) as well as to the identified gaps.

Table III-15: Gaps in the literature and professional practice

Description	References to literature	Linked to RQ / RO
<p>GAP 1</p> <p>The more systematic, thorough, and disciplined evaluation procedures are, the more beneficial and persistent the changes in a change programme will be</p> <p>Little formal knowledge, and few methodologies or standards for monitoring and evaluating strategic change programme implementation currently in existence</p> <p>→ Gap in the literature regarding the operationalisation of monitoring and evaluation activities (methods, tools, and responsibilities)</p>	<p>Stufflebeam & Shinkfield (2007)</p> <p>Walton & Russell (2004), Todnem By (2005), Hughes (2010)</p>	<p>RA, RQ1, RQ3, RO4, RO5</p>
<p>GAP 2</p> <p>Despite evolution of many models about how to manage organisational change effectively, literature reveals that majority of change programmes tend to fail</p> <p>→ Gap in the literature regarding the need to better understand CSF to be monitored and evaluated for successful strategic change programme implementation</p>	<p>Beer, Eisenstat & Spector (1990), Ashkenas, (1994), Gilmore, Shea & Useem (1997), Beer & Nohria (2000), Grey (2003), Sorge & van Witteloostuijn (2004), Woodward & Hendry (2004), Todnem By (2005), Alvesson & Sveningsson (2008), Balogun & Hope Hailey (2008), IBM (2008), McKinsey (2008), Burnes (2009), Capgemini (2010), Hughes (2010), Burke (2011)</p>	<p>RA, RQ2, RO2, RO5</p>
<p>GAP 3</p> <p>Literature argues for inclusion of evaluation in change implementation plans, connected and aligned with clear criteria for success</p> <p>However, it is noted that in practice a planned, systematic, and rigorous evaluation of change implementation rarely takes place</p> <p>Acknowledgement of problematic nature of judging efficacy of change programmes; however, without monitoring and evaluating change implementations associated success is likely to be even less certain</p> <p>→ Gap in professional practice regarding what, when, how and by whom to monitor and evaluate for successful strategic change programme implementation (in particular on how and by whom)</p>	<p>Skinner (2004a; b)</p> <p>Skinner (2004a; b)</p> <p>Iles & Sutherland (2001), Millmore <i>et al.</i> (2007)</p>	<p>RA, RQ2, RQ3, RO2, RO3, RO4, RO5</p>

Source: Own table

Table III-16: Linking research aim, research questions, and research objectives to the gaps in the literature and professional practice

Research aim (RA)		Linked to...
RA	To develop a framework for systematically monitoring and evaluating critical success factors within a strategic change programme implementing changes in business models, business processes, organisation structures as well as IT/ERP systems	Gap 1-3, RQ1-3, RO1-5,
Research questions (RQ)		
RQ1	Which prerequisites enable systematic monitoring and evaluation of strategic change programme implementation?	Gap 1, RA, RO1
RQ2	Which critical success factors need to be monitored and evaluated throughout a strategic change programme in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?	Gap 2, RA, RO2, RO3
RQ3	How can monitoring and evaluation of these critical success factors in such a strategic change programme implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?	Gap 1+3, RA, RO4
Research objectives (RO)		
RO1	To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation	Gap 1, RA, RQ1
RO2	To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)	Gap 2, RA, RQ2
RO3	To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)	Gap 3, RA, RQ2
RO4	To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)	Gap 1+3, RA, RQ3
RO5	To contribute to knowledge as well as professional practice by providing recommendations on different purposes to use and apply the findings and the developed framework	Gap 1-3, RA
RO6	To develop propositions for further researcher building on the findings of this work	

Source: Own table

The next chapter addresses all methodological aspects of how the research aim with its corresponding research questions and research objectives are accomplished in this work.

CHAPTER IV RESEARCH PHILOSOPHY, METHODOLOGY AND RESEARCH DESIGN

4 Introduction

In this chapter, the principles of this research are discussed, including the philosophical and ontological stance, discussing the choice of case study as research methodology as well as detailing the case being researched. Furthermore, the data collection method and research participants are an essential part of this chapter before the data analysis procedures are detailed. Finally, the chapter reflects on ethical considerations that have been considered and applied in this work.

4.1 Real world research and the researcher's role within this study

As a starting point, before entering the area of research philosophy, strategy, methodology and methods, it should be mentioned that this research can be best described as real world research (Robson, 2011) conducting an applied research project. The nature and main aim of this research is to pursue a rather pragmatic business management oriented view and approach achieving a contribution to professional practice. This is different from pure academic research where the focus is on developing and extending an academic discipline (Robson, 2011). In real world research the focus is on problems and issues with direct relevance to organisations' and people's lives helping them to find ways of dealing with a problem or of better understanding an issue (Robson, 2011). Real world research is about providing suggestions and recommendations for change and managing the problem or issue studied. It does not take place in laboratory research conditions but in the real-life context as field research in business management practice (Robson, 2011). The differences between real world and academic research are contrasted in the table below.

Table IV-1: Relative emphases of real world and academic research

Real world researcher	Academic researcher
Interest is in solving problems	Interest is in gaining knowledge and advancing the discipline
Getting large effects (looking for robust results) and concern of actionable factors (where changes are feasible)	Establishing relationships and developing theory (and assessing statistical significance of quantitative studies)
Almost always works in the field (industry, hospital, business, school, etc.)	Depends on the focus of the research but in some disciplines mainly in laboratories
Strict time constraints	As long as the topic needs
Strict cost constraints	As much finance as the topic needs (or the work is not attempted)
Often little consistency of topic from one study to the next	High consistency of topic from one study to the next
Generalist researchers (need for familiarity with range of methods and approaches)	Highly specialist researchers (need to be at forefront of their discipline)
Oriented to client needs (generally, and particularly in reporting)	Oriented to academic peers (generally, and particularly in reporting)
Currently viewed as dubious by many academic researchers	Carries high academic prestige
Need for well-developed social skills	Some need for social skills

Source: Robson (2011, p.11)

On the one hand, this research is informed by the researcher's previous studies and academic works. On the other hand, however, his understanding about this research originates particularly from his experiences in business practice having worked as management consultant in the field of strategy and change. The role taken within this study is that of a researcher rather than consultant and this is of particular relevance due to chosen research setting. As outlined later in detail (4.4), this research is about a SCP in which the researcher was involved as external management consultant for one and a half years and where he established a relationship to the company and some of the participants.

However, by the time the study was conducted the researcher was not working as a consultant anymore. Nonetheless, this thesis benefited from the insider role and knowledge and thereby is able to draw on own experience and understanding when interpreting data extracted from the research participants' accounts.

Business research is neither being conducted in a vacuum nor is it only shaped by what it is going on in the real world of business management. It is also shaped by many of the intellectual traditions influencing the social sciences at large (Bryman & Bell, 2007). Consequently, the following section deals with philosophical ideas influencing this research.

4.2 Interpretivism, subjectivity and social constructionism expressing the underlying research philosophy

The previous section indicates some of the underlying views and attitudes on research philosophy. This section is about the philosophical stance this work takes and its implications for the research design of this study (Duberley, Johnson & Cassell, 2012).

The research philosophy informs how research objectives are set up, how research is conducted, and how results are analysed and presented. The choice of philosophy is connected to the researcher's assumptions about reality as well as the kind of knowledge the researcher believes in (Crotty, 1998). The literature about research philosophy refers to different terminologies like ontology, epistemology, paradigms, theoretical perspectives, and respective characteristics. However, very often the characteristics describing these terms are not distinctive and are used interchangeably (Crotty, 1998; Bryman & Bell, 2007; Blaikie, 2009; Gray, 2009; Denzin & Lincoln, 2011; Duberley, Johnson & Cassell, 2012). That is why this thesis does not refer to these terminologies but the essence of these descriptions is used to express the researcher's philosophical stance and how this leads to research methodology, methods for data collection and analysis. This research can be described as interpretative, subjective and following a social constructionist approach.

4.2.1 Interpretivism and hermeneutic cycle

According to Blaikie (2009), interpretivism sees social reality as the product of developments by which people as social actors together discuss the meanings for actions and situations. In other words social reality is a creation of humans' consciousness and cognition (Duberley, Johnson & Cassell, 2012). The interpretivist approach is concerned with culturally derived historically situated interpretations of the social life world and it is about engaging with the world to construct new understandings (Crotty, 1998). The emphasis in interpretivism is on getting into and understanding the meanings and interpretations social actors subjectively impute to phenomena. It is about explaining their behaviour through investigating how they experience, articulate and share with others these socially constructed every day realities (Van Maanen, 1979; Schwandt, 2000; Patton, 2002; Denzin & Lincoln, 2005). Linking this to business organisations interpretivism questions whether organisations exist in any real sense beyond the concepts of social actors. Consequently, understanding is based on the experience of those who work within organisations (Bryman & Bell, 2007).

The underlying principle informing the interpretivist stance is that of hermeneutics. A hermeneutic cycle centres on the iteration of interpretation where pre-understanding informs understanding leading to greater understanding of both. This thinking is based on the conviction that no one derives interpretation from an open-mind but with a pre-understanding of the phenomenon (Duberley, Johnson & Cassell, 2012). Within qualitative data analysis hermeneutic procedures develop patterns of interpretation of themes from interview transcripts which shape the understanding of the interviewees' accounts (McAuley, 2004).

4.2.2 Subjective and social constructionism

As the term interpretivism indicates, it is linked to subjectivity. According to Crotty (1998), through subjectivism meaning is set on the object by the subject. An organisation or company is viewed as socially constructed, a label used by individuals to make sense of their social experience. Consequently, a company can only be understood from the viewpoint of individuals who are directly involved in its actions (Bryman & Bell, 2007). To capture this subjectivity this study is adopting a social constructivist view which assumes that multiple realities exist (Denzin & Lincoln, 2000) and that there is no objective truth waiting to be discovered (Crotty, 1998). Truth – or better, meaning – evolves through engaging with the realities in the world humans are interpreting. Meaning is not discovered but constructed in and out of interaction between individuals and their world. It is developed and transformed within an essentially social context (Crotty, 1998).

4.2.3 Inductive and abductive strategy

The logic of inquiry in this work follows a combination of inductive and abductive strategy which is in line with the social constructionist stance (Blaikie, 2009). The aim of these strategies is to establish descriptions of characteristics and patterns [inductive] as well as to describe and understand social life in terms of social actors' meanings [abductive] (Blaikie, 2009). Based on these strategies “what”, “why” and “how” questions can be answered. In this work there is a stronger emphasis on the abductive strategy which develops understanding based on “thick” description and social scientific concepts developed from real-life concepts and accounts (Blaikie, 2009).

4.2.4 Linking the characteristics of the underlying research philosophy to this research

The research object is the case of a SCP implementation within a company from the energy sector (4.4) where subjective accounts from individuals are collected with the help of semi-structured interviews (4.5). Within these, research participants share their views and experiences gained in the context of the programme and the company, in particular on CSFs to be monitored and evaluated throughout the SCP implementation. Furthermore, interviewees provide their ideas and opinions on prerequisites and operationalisation of monitoring and evaluation in general and within the context of the programme implementation in particular.

The understanding about the subjective accounts aiming at answering the research questions (1.4) is derived from interpreting the interview data, structured in themes and codes to get a better understanding of the researched context. The study aims at enhancing its pre-understanding and understanding on the object based on a template analysis approach iterating with the interview data, moving in a developmental heuristic cycle from a priori themes and codes, in which own experiences and knowledge about the object are included, to the initial and the final template (4.6). The hermeneutic cycle as iterative process from pre-understanding to understanding is in line with data analysis technique of “template analysis” used in this research as a process from defining a priori themes and codes, developing an initial template and final template followed by further in-depth analysis within the template and across its structure (King, 2012).

The subjective, social constructivist and interpretative perspective allows the researcher to include his own experiences, subjectivity, and interpretation taken into account since he was part of the SCP implementation working as a management consultant. Finally, the abductive strategy is in line with a case study approach (4.3, 4.4) as well as conducting an evaluation research (3.1, 4.4.7) which is the strategy chosen for and approach conducted within this work (Blaikie, 2009).

The next section deals with case study as the research methodology chosen for this work.

4.3 Case study as research methodology

The research methodology applied for collecting empirical data in this work is that of a case study. Among many others, business and management (e.g. organisations or change processes) is one of the possible fields for this kind of research (Gerring, 2006; Buchanan, 2012). The use of the case study research for the purposes of this thesis is aligned with the definitions of Hartley (2004) and Yin (2013). They understand case study, as a research strategy, as an empirical enquiry dealing with the detailed examination of a contemporary phenomenon, which is explored within its real-life context. As defined by Robson (2011, p.178) a case study is “*a strategy for doing research which involves an empirical investigation of a particular contemporary phenomenon within its real life context using multiple sources of evidence*”. The aim of this enquiry is to analyse the context and processes illuminating the underlying theoretical issues. As the phenomenon being investigated is bounded to its context, the aim of a case study is to understand “the case”, how thoughts, behaviour and/or developments are influenced by and influence the contextual setting (Hartley, 2004). A case study is of particular use for research questions, which aim for a detailed understanding of organisational issues because of the rich data, collected in the context. In Gummesson’s (2000) view, case study research is a useful approach to study processes in companies. They are particularly beneficial where the main aim is to understand organisational and environmental contexts influencing social processes (Hartley, 2004). Case studies as applied social sciences are particularly beneficial to target groups such as decisions-makers or managers being responsible for implementing the findings (Alloway, 1977). Referring to Robson (2011), case studies are often used when researching the impact of people-related interventions within an organisation, which implementations of SCP intend to do. When the main aim of an evaluation is to improve an existing programme it is preferably conducted as a case study (Stufflebeam & Shinkfield, 2007).

The literature differentiates single and multiple case study designs (e.g. Bryman & Bell, 2007; Yin, 2013): the former is the design of choice for this work. Bryman & Bell (2007) note that some of the best-known research studies in business and management are based on a single case study design which can be a single company, location, person, or event. Stake (2005) defines a singular case study as a research form as the interest in an individual case, trying to understanding its complexity (subsections like groups, occasions, dimensions, domains) and to learn from it. In the same way Valsiner (1986) and Bromley (1986) are also advocates of individual case study research and situational analysis.

Gummesson (2000) recognises a frequent use of case studies in universities and doctoral theses. Referring to Bell (2010), case studies are suitable for single-person research on limited budget and time constraints. Further, she states that the study of one case provides a manageable opportunity researching one aspect of a problem in some depth.

4.3.1 Categories and types of case studies

Taking a more specific view on single case studies different types are discussed in the following. The table below presents the different types and rationales to conduct a single case study, mainly referring to Yin (2013) and Stake (1995; 2005). For a single case design Yin (2013) basically distinguishes between a holistic and embedded case wherein he categorises different reasons and arguments with respective characteristics for selecting a single case to be examined: “critical”, “unique / extreme”, “representative / typical”, “revelatory”, “longitudinal”. Stake (1995; 2005) proposes another classification referring to a single case study as “intrinsic” or “instrumental”. Both perspectives are presented in the table below.

Table IV-2: Types, unit of analysis, characteristics, and reasoning for conducting single case studies

Category	Unit of analysis
Holistic	Single unit of analysis
Embedded	Multiple units of analysis within one case

Type	Characteristics and reasoning
Critical	Testing a theory or specific hypothesis to gain a better understanding of the circumstances in which the hypothesis holds or can be withdrawn
Unique or extreme	Typically study of deviant or unusual groups, often in clinical studies
Representative or typical	Every-day or commonplace situation; typical project among many different projects
Revelatory	Previously inaccessible phenomenon
Longitudinal	Studying the case at two or more different points in time
Intrinsic	Study undertaken because of its intrinsic interest achieving better understanding of a particular problem or issue
Instrumental	Case as such is of secondary interest; it plays a supportive role to provide insight into something else; choice of case is made to advance understanding of that other interest; to redraw, generalise and or develop a theory

Source: Own table based on Yin (2013) and Stake (1995; 2005)

As Bryman & Bell (2007) state, a combination of the types can be integrated in any particular study supporting the reasoning for the selection of a particular case. Hence, the case study chosen for the purpose of this work can be best described as “holistic” combining elements from an “extreme” and “instrumental” case as it cannot be put into one of the “boxes” exclusively. According to Gummesson (2000) case study research provides researchers with a greater opportunity than other methods to take a holistic view of a specific research project. According to this holistic perspective, the whole can be understood only by dealing with it as the central object of study – a specific phenomenon or series of events (Gummesson, 2000). The holistic perspective in this work looks at one global strategic change programme within one company (4.4). This programme can be characterised as “extreme” as it comprehends many change project types in one programme, such as business model changes to introduce global standard business models, business process reengineering to streamline and standardise global business processes, restructuring to implement a global standard organisation design model as well as implementing a common, company-wide enterprise resource planning system.

All these changes are to be implemented on a global as well as local level in about 36 countries.¹⁰ The “instrumental” perspective of the case looks for the identification of CSFs, prerequisites and operationalisation of/for monitoring and evaluation of such programmes and also points to learnings from this implementation for other companies and/or other contexts.

This particular case was not selected randomly but deliberately and purposefully. A detailed reasoning is provided in Section 4.4.6 as subsection of the overall detailed description of the case and its context in 4.4.

4.3.2 Reflection on case study research and the single case approach

Case study research in general and single case study approaches in particular are subject to criticism which needs to be considered in this work – theory vs. practical knowledge, generalisability, theorising, single case, bias. Most notably in his article “Five misunderstandings about case-study research” Flyvbjerg (2006) invalidates the whole set of criticism. Also supported by other references (Gummesson, 2000; Hartley, 2004; Stake, 2005; Siggelkow, 2007; Flyvbjerg, 2011; Buchanan, 2012) this thesis embraces especially the counter arguments against the criticism as follows:

Theoretical (context-independent) knowledge is more valuable than concrete, practical (context-dependent) knowledge – Context dependent knowledge and experience are at the centre of expert activities and as such build the core of the case study as research. The boundedness of the case study to reality and its comprising details are decisive to gain meaningful understanding of human behaviour and to develop a differentiated view of real-life situations. Concrete insights, learnings, and experiences can be accomplished by a close connection to reality studied and through feedback from those having been or being part of it.

¹⁰ Due to the scope and corresponding potential expenditures for this programme, it was announced to the press as it was assumed to be of particular (potential) shareholder interest.

A case study produces concrete context-dependent knowledge and therefore is more valuable than the useless in search for predictive theories and universals (Flyvbjerg, 2006; 2011).

Single case study cannot contribute to strategic development as you cannot generalise from a single case – Flyvbjerg (2006) counters this argument by stating that it depends upon the case and how it is selected. Moreover, this applies to the study of natural as well as social science (Platt, 1992; Ragin & Becker, 1992). Further, it is suggested that the choice of method should clearly depend on the problem under investigation and its circumstances. The possibility of generalising from one case is based on the measures taken to understand the case in its entirety, enabling the reader to reach a fundamental understanding of the interplay of single parts, structures, processes and driving forces in the case rather than a superficial establishment of correlation or cause-effect relationships (Hägg & Hedlund, 1979). According to Gummesson (2000) this can be achieved by good descriptive or analytic language providing all relevant information about the case. Lastly, it should be mentioned whether based on large samples or single cases, formal generalisation is overrated as the main source of scientific development, meaningfulness and value, whereas the strength of example is underestimated. Stake (2005) refers to the possibility of “naturalistic generalisation” which is about making some generalisations entirely from personal or vicarious experience. This kind of generalisation derives from recognising similarities between objects and issues, modifying and reinforcing by repetitive patterns. Based on this idea Lincoln & Guba (1985) develop the concept of “transferability” and “fittingness” between contexts. The former is possible if contexts can be judged to be similar. With “fittingness”, they understand the degree of congruence between the context in which the study was conducted and the one to which the findings are to be transferred. This requires sufficient information on the context to allow others to judge whether the findings may be relevant to another context about which they have similar information.

Case study is most useful for generating hypotheses, while other methods are more suitable for hypotheses testing and theory building – Against this statement it is argued that it is very often essential to clarify deeply rooted underlying causes of a stated problem and its impact rather than the outlined symptoms of a problem and how frequently they occur. The benefit and contribution of a case study depends on its propositions for validity researchers' claim on their research (Flyvbjerg, 2011). Furthermore, it depends on how these propositions are positioned in the discussion of other validity claims to which the research is a contribution. Moreover, very often the case study does not aim for summarising and generalising but to reading it as and in its entirety (Stake, 2005).

Case study contains bias toward verification – The question of such activism applies to all research and other qualitative methods, not just to case studies. Flyvbjerg (2006) opposes the critique by saying that case study research does not encompass a larger extent of bias towards verification than other methods.

There are critical voices on case study research in general and on single case study in particular – However, there is growing confidence in the case study as rigorous research strategy (Hartley, 2004). Many authors with considerable comprehensive and strong counterarguments for case study research, including the use of singular cases, argue for its usefulness. Fitzgerald & Dopson (2009) advocate for case study designs since they have been undervalued. They argue that case study research is a valuable research design with significant potential to contribute to organisational studies. Blaikie (2009) takes the view that researchers should “feed” research questions inviting others to think beyond the particulars of single cases to explanations that have some wider application. It is even more strongly argued by Hammersley, Gomm & Foster (2000) that pragmatic considerations, seeking solutions to practical problems, should be given preference, rather than developing coherent theories. Consequently, case study research has received increasing recognition among groups of management researchers (Gummesson, 2000).

Aligning the views of Stake (1995; 2005) and Flyvbjerg (2006; 2011) case study research is a necessary, valuable and sufficient method for certain important studies in social sciences and maintains its merits in the vast field of social science research methodologies. Especially from a practitioner oriented view good social science should be problem and not methodology driven, using those methods that provide the best help in answering the research questions addressing business and management issues at hand (Gummesson, 2000; Flyvbjerg, 2006; Siggelkow, 2007).

Despite all previous criticism, the author of this work shares the views of Stake (1995; 2005), Gummesson (2000), Flyvbjerg (2006; 2011), and Siggelkow (2007) who provide fundamental, reasoning for case study research and its contribution to knowledge and to business and management practice, in particular when researching implementation strategy, implementation, and change. Moreover, their arguments support or even advocate single case study designs.

The research design builds the steps taken linking research questions, data collection methods, data analysis and interpretation in a coherent manner (Hartley, 2004). Overall, the case study approach in this work is consistent with its subjective and interpretative perspective taking a social constructionist stance, and the chosen inductive and abductive strategy (Hartley, 2004; Bryman & Bell, 2007; Blaikie, 2009). This enables answering of “what”, “why”, and “how” questions (1.4: Research aim, questions, and objectives).

The next section provides detailed information about the case, its characteristics, and context in order to enable the reader to understanding it in its entirety as much as possible.

4.4 The case in the context of this thesis

This chapter outlines the case under examination and provides general information about the case study company and the situation before the SCP implementation (the case) leading to the decision to undertake it¹¹. The programme as such is being described in detail with regards to its overall aim, anticipated benefits, scope, structure, and rollout plan. The chapter closes with a description of the researcher's role in this research and how it is linked to the case. This chapter aims at acquainting the reader with all relevant information about the case to grasp its scope and complexity since this is one of the case selection criteria.

4.4.1 The case study company

This section provides some characteristic information about the CSC in order to get a basic understanding about it. The organisation is a global group of energy and petrochemical companies with around 105,000 (2007)¹²/90,000 (2012)¹³ employees operating in more than 110 (2007) / 70 (2012) countries and territories. This European based company is among the top five largest companies in the world in terms of revenue and one of the six oil and gas "supermajors". Its business is divided into three main areas – Upstream, Downstream, and Projects & Technology. The "Upstream" business explores for and extracts crude oil and natural gas. "Projects & Technology" manages delivery of the company's major projects and drives the research and innovation to create technology solutions.

As the "Downstream" business is the subject of the SCP this case study research is about, more detailed information about this business unit is provided than for the others.

¹¹ The name of the case study company and its strategic change programme cannot be stated due to anonymity and confidentiality reasons. Therefore, the name of the company is being replaced by CSC and the name of the strategic change programme by SCP.

¹² Time when the strategic change programme was underway in its early phase

¹³ Time when data for this research was collected

The “Downstream” business refines, supplies, trades and ships crude worldwide, manufactures and markets a range of products, and produces petrochemicals for industrial customers.

The “Downstream” business manages the company’s refining and marketing activities for oil products and chemicals. Refining includes manufacturing, supply and shipping of crude oil. Marketing sells a range of products, including gasoline, diesel, heating oil, aviation and marine fuel, lubricants, bitumen and liquefied petroleum gas for home, transport and industrial use. “Chemicals” produces and markets petrochemicals for industrial customers, including raw materials for plastics, coatings, and detergents. The “Downstream” business also trades crude oil, oil products, and petrochemicals – including supply to the company’s own businesses – and markets gas and power. It provides shipping services by managing one of the world’s largest fleets of liquefied natural gas carriers and oil tankers. In addition, “Downstream” oversees the company’s interests in alternative energy (excluding wind) and CO₂ management.

The “Downstream” business is made up of the following classes of business: Oil Sands, Manufacturing, Chemicals, Supply and Distribution, Retail, Lubricants, Business-to-Business (Aviation, Marine, Gas, Commercial Fuels, Bitumen, and Sulphur Solutions) and Future Fuels and CO₂. In addition, seven worldwide functions support the classes of business: HR, Finance, IT, Contracting and Procurement, Strategy and Portfolio, Legal and Communications.

4.4.2 Situation before the strategic change programme

This section seeks to provide information regarded as relevant to understand the “big picture” behind the decision to undertake the SCP whose implementation builds the case for this work.

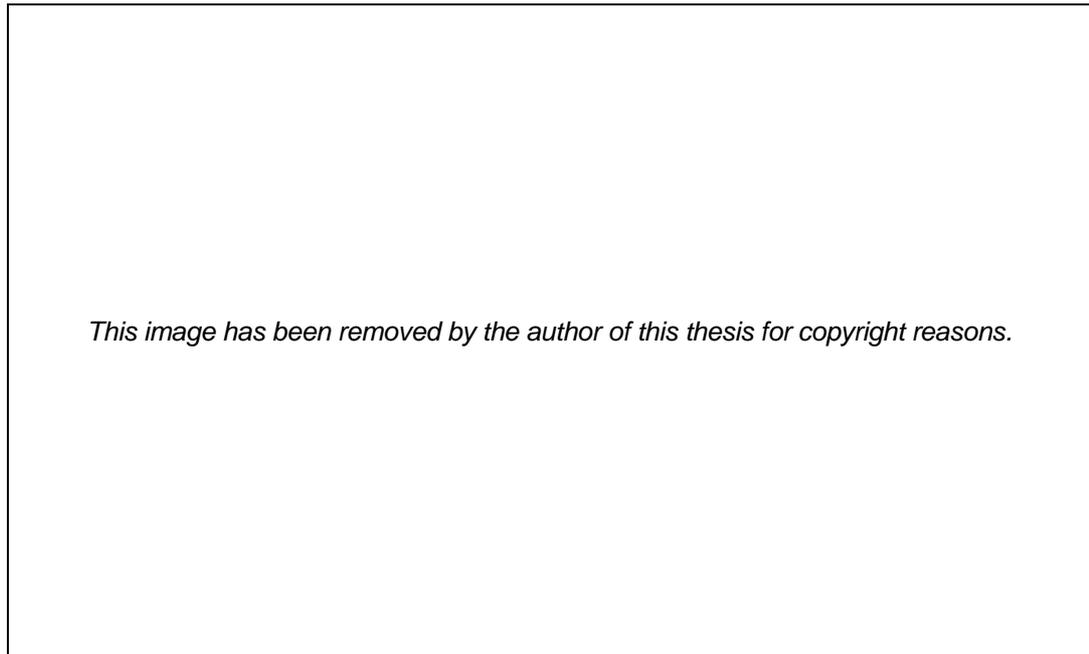
Historically, the case study company operated rather complex business models, with largely independent operating units. This resulted in varied local business models, different ways of working, as well as multiple IT systems in the various countries. Consequently, the same businesses in different parts of the world operated quite differently. This was disadvantageous to the company as a whole with regard to efficiency, customer satisfaction, and overall competitiveness. Its competitors, who embarked on global standards, business models and processes some time ago, had already shown considerably lower operational cost structures. While business management reporting lines were brought into global class of business and functional (CoB/F: Case study company specific term for business unit or function, area of operations and responsibility) structures in 2005, the underlying country structures remained. The overall ambition is to reinforce the company’s position as a leader in the oil and gas industry while helping to meet global energy demand in a responsible way. The overall “Downstream” strategy is to regain and sustain “Downstream” leadership. It follows an integrated approach to improving all aspects of the “Downstream” business strategy comprising five elements, which are presented in the table and according figure below.

Table IV-3: Downstream strategy of the case study company

Downstream strategy of the case study company
<ul style="list-style-type: none">• <i>Behaviours</i> – Upholding new values and the concept of “Enterprise First” through leadership, accountability and teamwork; taking decisions, which deliver the greatest value to the “Downstream” business and the group before that of the individual CoB/F
<ul style="list-style-type: none">• <i>Global Organisation</i> – Global businesses backed by global processes and systems to deliver added value to customers
<ul style="list-style-type: none">• <i>Portfolio Management</i> – Investing in the right places to gain strategic advantage and increase returns
<ul style="list-style-type: none">• <i>Standardisation of Processes and Systems</i> – Streamline and global SAP (GSAP) and Connected Application Portfolio (CAP); new global processes and policies to make dealing with customers simpler, more consistent, and more effective; fragmented IT infrastructure is gradually to be replaced by a harmonised global platform
<ul style="list-style-type: none">• <i>Operational Excellence</i> – Ensuring that all “Downstream CoB/Fs” become world class in what they do, to regain market leadership

Source: Case study company

Figure IV-1: “Downstream” business strategy of the case study company



Source: Case study company

In order to strengthen its competitive situation and to achieve more efficiency in business processes and operations the case study company initiated the SCP, which this work is about.

4.4.3 Outline, overall aim and anticipated benefits of the strategic change programme

The SCP aims at increasing efficiency and improving competitiveness by introducing global standard business models, streamlined and standardised global business processes, a global standard organisation model, and a common, company-wide ERP system to about 36 countries. The overall aim of the programme is to improve business performance and create a sustainable platform for operational excellence and growth. Through its implementation, the company aims for a measured view of end-to-end process performance at an operating unit level, which supports decision making and joined up thinking. As a summary, the programme’s aims and anticipated benefits are listed in the table below.

Table IV-4: Aims and anticipated benefits of the strategic change programme

Aims and anticipated benefits of the strategic change programme
<ul style="list-style-type: none">• Reduce complexity and increase efficiency by implementing new business models and global processes (collectively known as “Streamline”)
<ul style="list-style-type: none">• Achieve efficiency by operational and functional excellence
<ul style="list-style-type: none">• Provide better customer service
<ul style="list-style-type: none">• IT as enabler by implementing a global SAP system (GSAP) and adapt Connected Application Portfolio (CAP) in order to achieve the above
<ul style="list-style-type: none">• Overall, doing business more profitable and consequently increasing competitiveness
<ul style="list-style-type: none">• The SCP specifically deals with simplification and standardisation as a key driver towards operational excellence¹⁴

Source: Case study company

4.4.4 Main components and structure of the strategic change programme

The SCP consists of the following components: “Streamline”, “Global SAP” (GSAP), “Connected Applications Portfolio” (CAP), “Other business Improvement initiatives” as well as “Change & Engagement” (C&E, Change Management). Streamline is about designing, building, and implementing simplified and standardised business models and processes globally. GSAP and CAP are the IT systems enabling the simplified and standardised business processes delivered by Streamline. C&E is about managing the changes impacting staff and businesses across the globe as a result of the programme. C&E includes “Guide Change & Mitigate Risk”, “Mobilise Leaders”, “Organisation Design”, “Training”, and “Programme Communications”¹⁵.

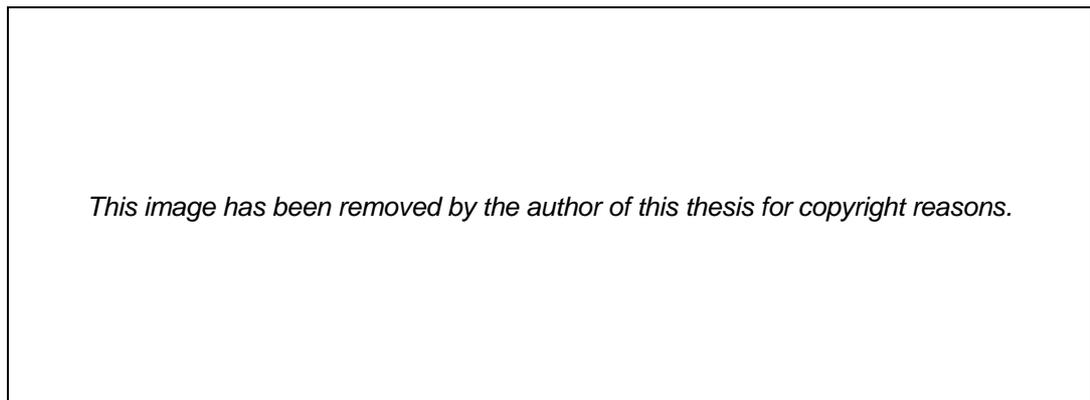
¹⁴ Appendix 5 provides a description about what success looks like in the context of the case as defined by the case study company

¹⁵ *Guide Change & Mitigate Risk*: getting the right plans and processes in place to make the change happen; *Mobilise Leaders*: getting leaders ready to lead the change by equipping them to be able to navigate their staff through the change journey and deliver the SCP commitments; *Align the Organisation*: assessing implications for changes to people’s work, the roles and jobs they perform, and ensuring organisation change is managed; *Prepare the Workforce*: equipping people to work in new ways by providing training in relevant areas; *Engage & Communicate with Stakeholders*: getting people ready to make the change by providing a global communications and engagement framework based on a common approach with consistent messaging

The programme follows three phases: “Design & Build”, “Deploy Processes & Tools”, “Sustain & Improve” and is led by the SCP Steering Committee and the Programme Management Team. The SCP affects all businesses and functions, and all business and IT processes worldwide.

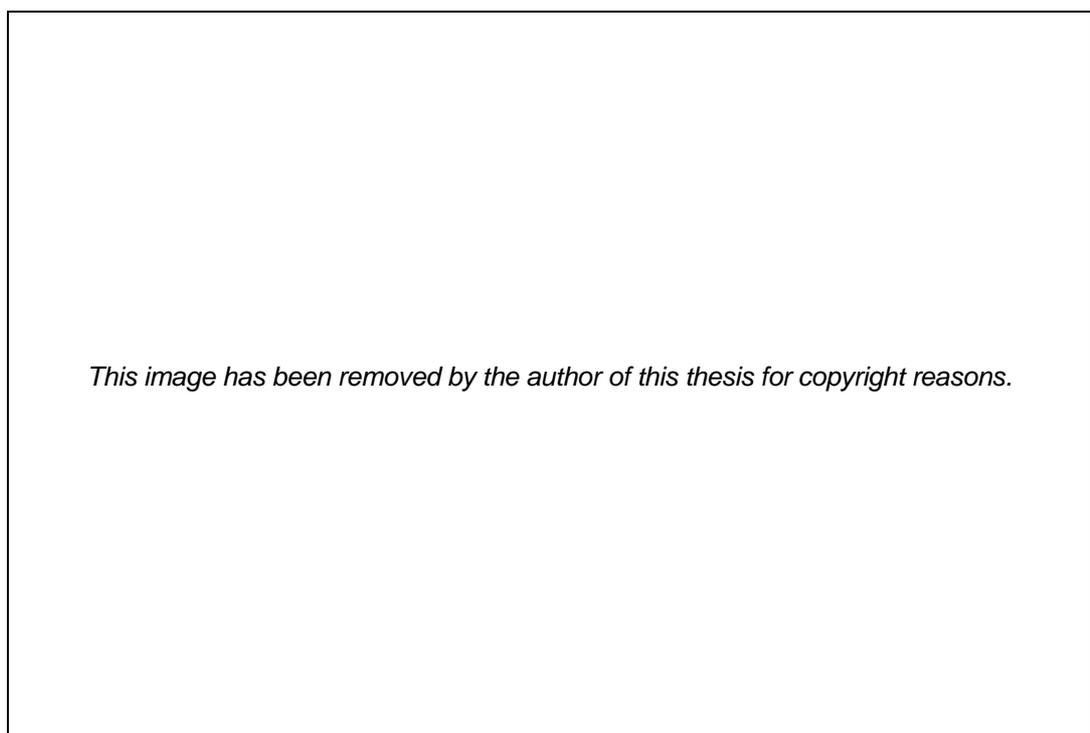
The main components of the SCP and its structure are illustrated in subsequent figures.

Figure IV-2: Components of the strategic change programme



Source: Case study company

Figure IV-3: Structure of the strategic change programme



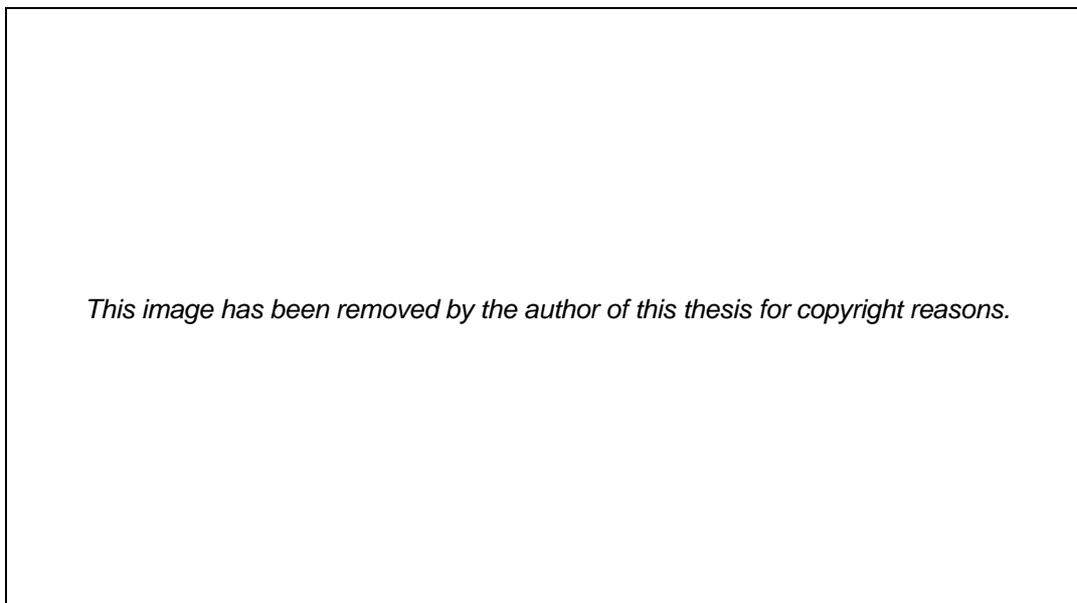
Source: Case study company

4.4.5 Scope, structure and timeline of the programme

In order to provide an understanding of the overall dimension of the SCP the main characteristics with regard to scope, timeline and programme organisation structure are presented below.

Preparatory activities for the programme started before 2004. It was officially announced in 2005 and lasts until end of 2014. At peak times, around 2,000 employees and 1,000 consultants were working on the programme. Overall, the programme was implemented in 36 countries managed in 27 implementations (some countries were combined in country clusters, like Germany (D), Austria (A), and Switzerland (CH) in one DACH implementation). By the end of 2014, the SCP will have reached over 37,000 people around the world. The figure below shows the timeline of the SCP, in which year how many countries, global businesses and service companies were implemented.

Figure IV-4: Global programme timeline

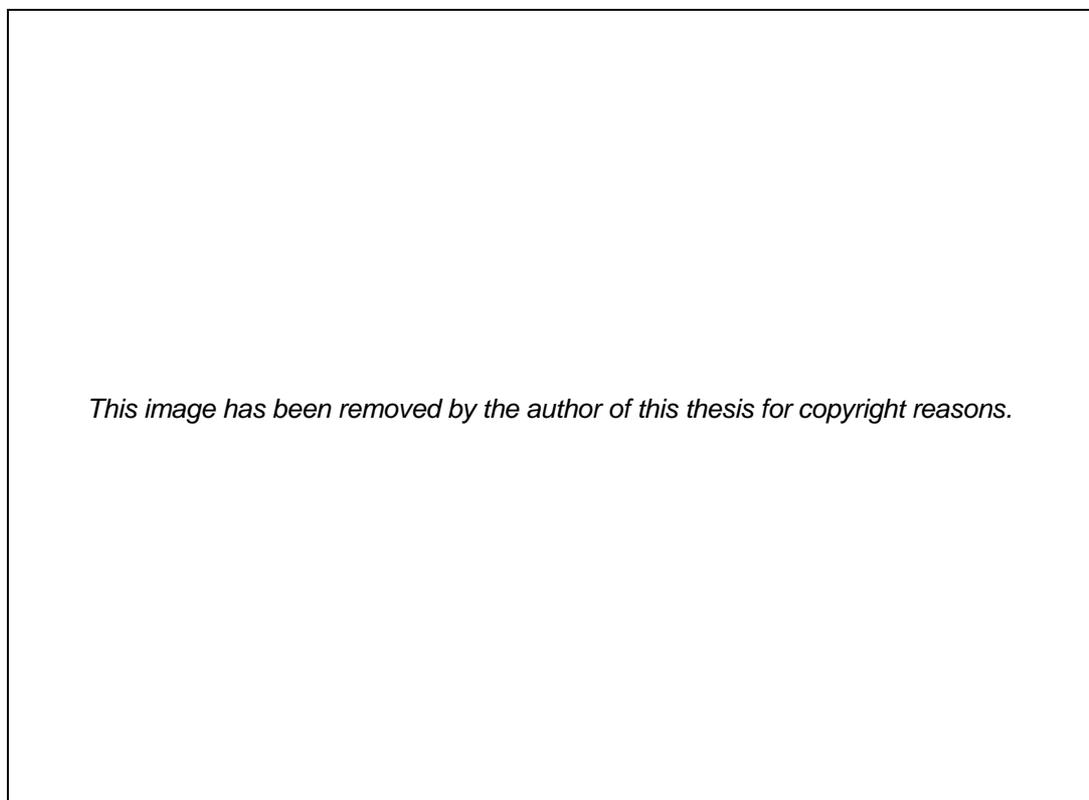


Source: Own figure based on case study company information

The focus for this research is on the implementation in three countries – Germany, Austria, and Switzerland where around 5,000 people were affected. The DACH implementation was split into a separate German (start in 04/2006, Go-live in 07/2008) followed by the combined implementation in Austria and Switzerland (Go-live in 01/2009).

After Go-live, the programme moved into a phase called “Sustain and Improve” with “Retrofits”¹⁶ and improvement activities until its end in 2014. In DACH (focus of this work) the following 14 CoB/Fs¹⁷ were affected: B2B (Aviation, Bitumen, Commercial Fuels, Marine)¹⁸, Lubricants, Lubes Supply Chain, Manufacturing, Master Reference Data, Distribution, Retail, Supply – Contracting & Procurement, Finance, and marginally other smaller areas summarised as “Other” (HR, HSSE, IT, Legal, Real Estate). Moreover, 11 Streamline process areas were affected. The figure below illustrates which CoB/F (first column) is affected by which process areas (first row).

Figure IV-5: Impact of processes on businesses and functions



Source: Case study company

¹⁶ Retrofit is the term used to describe any activity required to close the gaps between successive releases of Streamline processes, and organisation models and IT (GSAP and CAP). It is the progressive upgrading of the processes, organisation, and systems.

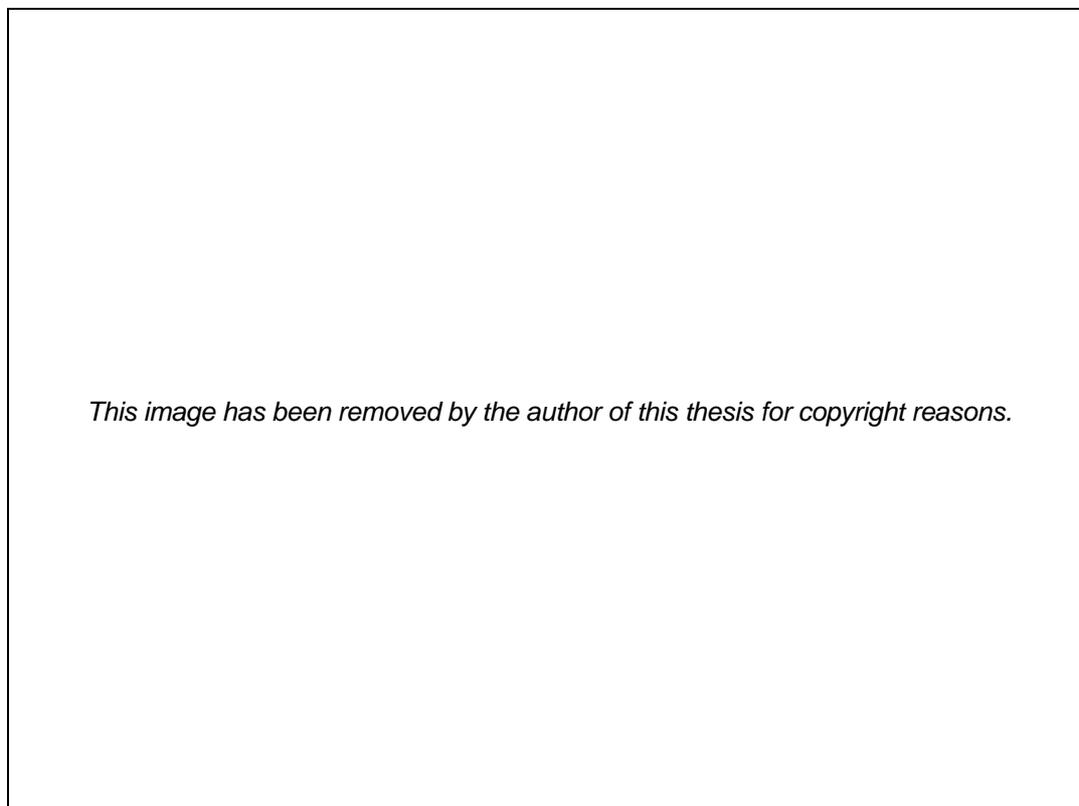
¹⁷ Organisational structures and respective naming convention differed between DACH and Global.

¹⁸ Including Cards and Customer Service as important areas but not classified as separate CoB/F

The overarching programme structure is organised in a so-called “4-box-model” (Figure IV-6 below) comprising a global programme structure and management team, global CoB/F organisation and respective counterpart organisations at local levels. The general interaction and communication between the programme and the CoB/Fs at global as well as local levels follows this model.

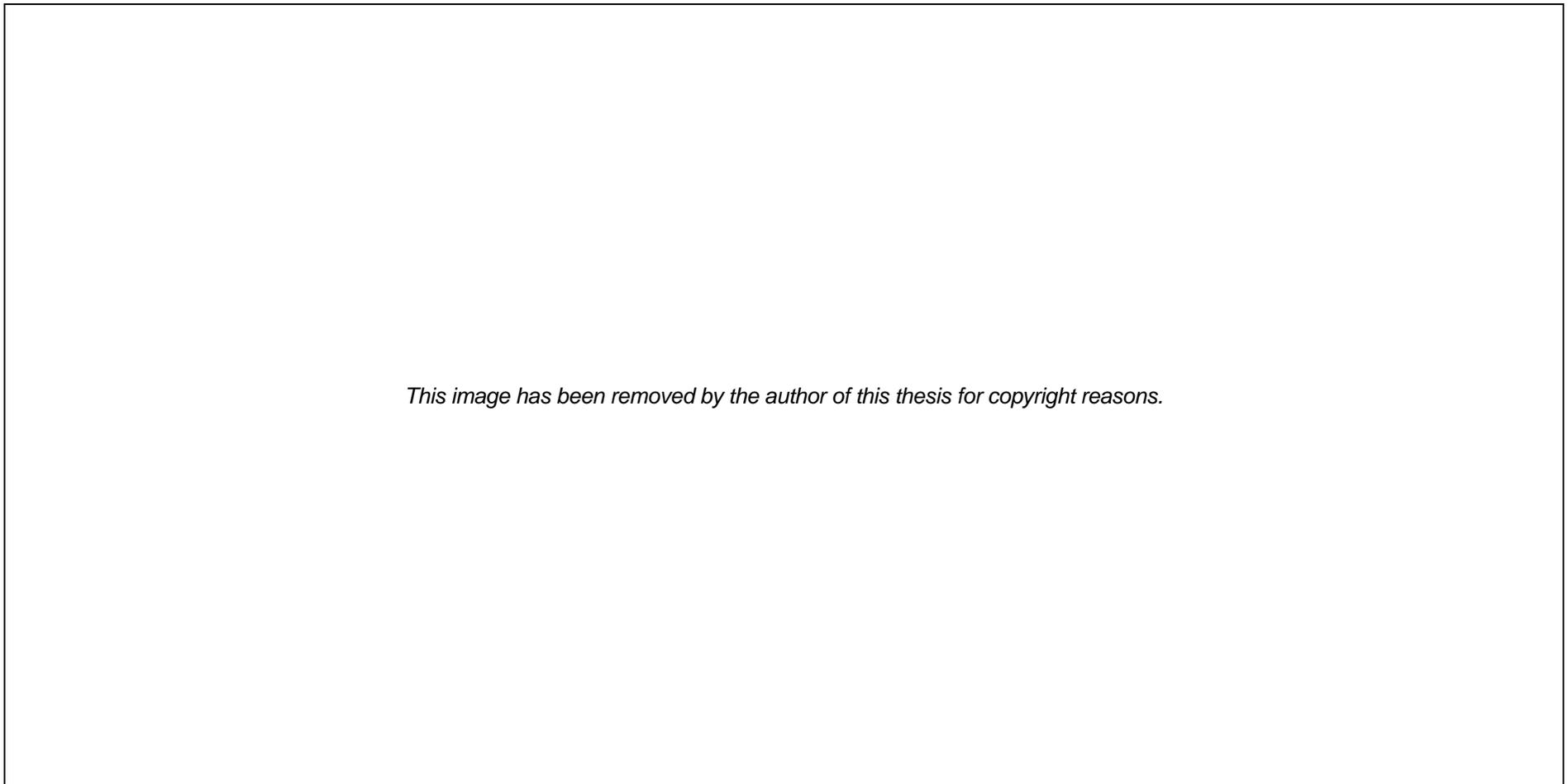
Figure IV-7 below presents the interaction matrix for the DACH implementation of the SCP where the most important workstreams, areas of operation (vertical) and their lines of communication and teamwork across areas of operation are linked and connected (horizontal). Each of the coloured boxes represents either a CoB/F, workstream or another area, which needs to be considered within the SCP implementation. Each box is represented by at least one responsible person. This indicates how much coordination across organisational or programme related units, areas, and workstreams was required to manage the implementation.

Figure IV-6: Four box model – ways of working and interaction model within the programme



Source: Own figure based on case study company information

Figure IV-7: Programme interaction matrix for the DACH implementation



Source: Own figure based on case study company information

4.4.6 Reasoning for selection, motivation and role of the researcher within the context of the case study research

This particular case was not selected randomly but deliberately and purposefully due to four main reasons presented in the table below.

Table IV-5: Main reasons for selecting this particular case

Main reasons for selecting this particular case
1. It is assumed that with this comprehensive programme it is feasible to collect much relevant information and develop “thick descriptions” (Stake, 2005; Ponterotto, 2006) for the main aim of this research, to develop a framework for monitoring and evaluating strategic change programme implementation which might also be useful for other projects, programmes and/or organisations.
2. From the researcher’s perspective and his experience from different change projects this strategic change programme was managed very well, as a leading and powerful example (Siggelkow, 2007; Flyvbjerg, 2011) how to plan, organise, implement and learn from such a comprehensive change implementation.
3. There are also practical reasons for selection since the researcher has access (Darke, Shanks & Broadbent, 1998) to the company as he established good relationships with several people who have been involved in the programme in different roles across several country implementations allowing him to collect much relevant data.
4. Finally, those aspects needed to produce this thesis as deliverable, such as meeting the requirements of the doctoral programme as well as the effective and efficient use of resources and funding available ¹⁹ (Darke, Shanks & Broadbent, 1998).

Source: Own table

Within this SCP the researcher was involved in its implementation in Germany, Austria, and Switzerland for one and a half years (02/2008 – 08/2009) as external organisational change management consultant. Having been part of the programme implementation helped him to identify the case as potentially appropriate research object and raised his motivation to undertake the research based on and about this case. From the researcher’s point of view having experience in business consulting in the field of strategy and change for about seven years, he identified the gap not only from a literature base but also from a practitioner’s and business practical point of view.

¹⁹ This research is self-funded; no funding was received from the case study company or any other body/institution.

When the researcher started his doctoral programme (10/2010), he was still employed as a consultant. However, by the time when the interviews were conducted he was not working in that role anymore. The role change from consultant to researcher helped him and his research in various perspectives. First of all, there are no conflicts of interest between him as employed consultant, his former employer, and the case study company as former client. Consequently, the researcher is more able to examine the case purely as a research object and not as a selling opportunity for additional consulting services. This gives him more freedom and enables him to think about the case, interviewees' accounts and the findings more freely and with less bias since this research is intrinsically motivated. The role change might have even helped the research participants to talk (4.5) more openly about the case and their experiences, impressions, thoughts or ideas without being afraid that anything they shared might be used for other than the research purpose or even against them. The researcher still benefits from his insider role and knowledge and thereby is able to draw on his own experience and understanding when interpreting data collected from the research participants' accounts.

Despite his role change, the researcher is still interested in the contribution to professional practice and as such, his research findings aim for its practical relevance and applicability in business practice. Moreover, even for contexts, which might be different to the case of this work, the researcher aims for transferability of the findings to other organisations, companies and similar and or other contexts where appropriate.

The researcher's view on case study research and single case study design has been confirmed and reinforced by Gummesson (2000), who has himself made use of case studies in consultancy and research. Gummesson concludes that validity in case study research is high and generalisations are possible. Further, he questions whether it is desirable to generalise knowledge in a social context. For him, it is more and more important to develop theories as a guide to action but that can be continually amended or completely revised.

As theory becomes local rather than general he argues that it will be increasingly important to demonstrate that a theory based on findings works in a specific context rather than that it retains a wide range of general application (Gummesson, 2000).

Consequently, this single case study seems to be most appropriate to be conducted in order to accomplish the research aim and objectives to answer the research questions (1.4).

4.4.7 Applied research approach conducting a summative evaluation of the case

This research is undertaking an applied research, following a summative evaluation approach examining the SCP implementation (the case) of the case study company. A summative evaluation is conducted after a change has been implemented examining the consequences of the adoption of particular courses of action and/or change and the overall effectiveness in achieving the original objectives (Rossi, Lipsey & Freeman, 2004; Shaw, Greene & Mark, 2006; Millmore *et al.*, 2007; Stufflebeam & Shinkfield, 2007; Blaikie, 2009). The summative evaluation features for the case are presented in the table below.

Table IV-6: Applied research and summative evaluation features for the case study

Applied research and summative evaluation features for the case study
To identify prerequisites that enable systematic monitoring and evaluation of the strategic change programme implementation
To identify and better understand critical success factors to be monitored and evaluated in such a strategic change programme implementation, in general and change content related – business model changes, business process changes, organisation structure changes, ERP system changes/implementation
To identify methods and responsibilities to monitor and evaluate the critical success factors in general as well as having been conducted in the case in particular
To examine the programme as such, its aim, objectives and achievements
To examine learnings incorporated in the course of the programme as well aspects that should be preserved and potential improvement points for future implementations

Source: Own table

The overall aim is to combine the findings from literature and the field research to develop a framework for systematically monitoring and evaluating a strategic change programme implementation, which can be used for formative purposes later on.

The next section deals with the method used to gather data for the summative evaluation.

4.5 Semi-structured interviews as the data collection method

This section is about the method used for data collection, sample selection and research participants as well as administration and the data collection process.

In this research, the approach taken for collecting data uses semi-structured interviews. In a semi-structured interview the interviewer uses a sequence of themes and questions to be covered in a guided conversation (Easterby-Smith, Thorpe & Jackson, 2008). However, there is openness to changes of sequence and forms of questions in order to adapt to developments in the conversation (Kvale & Brinkmann, 2009). Even though a prepared list of interview questions is used as an interview guide, it might be helpful to adapt the sequence or skip questions, as interviewees might not be able or willing to respond to certain questions. Furthermore, even new questions might be added as new insights evolve in the course of an interview or where clarification is needed (Kvale, 2007).

According to Rubin & Rubin (2011) semi-structured interviewing is appropriate to find out what others feel and think about their world. Qualitative interviewing and semi-structured interviewing in particular allows researchers to share the world of others and to explore how people make sense out of their own experiences. In the semi-structured interview approach, interviewees are treated as conversational partners, which can shape the interview process, rather than as research objects (Rubin & Rubin, 2011).

4.5.1 Sample – selection of participants

In order to gather subjective accounts about the case study company's SCP implementation 25 semi-structured interviews with different people were conducted. A pre-selected list of potential interview partners initially comprised 22 people with dedicated names as well as job/role titles and descriptions for those people whose names were unknown by the researcher. This list was then discussed with the key contact in the case study company.²⁰ First of all, the intention was to have a second view and opinion on whether these potential participants might provide that kind of information allowing accomplishing the research aims and objectives. Secondly, whether it would be realistic to obtain their consent was discussed. Thirdly, as the discussion advanced a few new potential candidates were added while others were removed. In the fourth place, the list of potential research participants was completed by assigning the missing names. The final list comprised 23 potential research participants plus four substitutes in case potential candidates were not able or willing to participate. Moreover, two of these 23 candidates were selected for the pilot interviews.

In the course of the data collection process, many interviewees referred to and recommended other people to be interviewed for this research – without knowing who had already been selected. Nearly all of them were already integrated into the research. This is interpreted as a sign of quality having chosen appropriate interviewees. According to these recommendations, two people were added as new candidates. One person was recommended during the pilot interviews and the other one was recommended several times in the course of the main study. Both agreed to participate in this research.²¹ From his pre-selected list of potential interviewees, only one person was substituted by his deputy. Only in two cases, people as suggested by other interviewees, were not integrated into the research.

²⁰ His role was kind of a supervisor from the case study company. Although the researcher had already established some relationships with some of the potential candidates, the company mostly was approached via the key contact, before contacting anybody else in the organisation. The second role he took was as a research participant himself (Person F, see Appendix 12 and Appendix 13)

²¹ Person Y and V, see Appendix 12 and Appendix 13

To one of them no promising contact or relationship could have been built on. The other person was recommended when almost all interviews had been conducted. It was decided not to add this person, since it was perceived that a lot of valuable and saturated data had been collected already. Finally and consequently, interviews with 25 different people were conducted.

Strategic change programmes involve more senior people on a higher hierarchical level in an organisation, and in the programme directly with regard to decision making, planning, providing direction, and being responsible for the implementation. However, finally the success of an implementation is dependent on how the changes are lived in day-to-day operations on every working level on the top as well as on the bottom line.

The reason for selecting these people is based on the intention to integrate many different views and perspectives (Alvesson & Ashcraft, 2012) about the SCP and its implementation. Thus, most of the interviewees performed multiple and many different roles at different hierarchical as well as programme levels (from strategic, tactical as well as operational) and implementations in the course of the case study company's journey in the context of the overall global transformation programme – e.g. Global Programme Director, Business Implementation Manager, Country Programme Manager, Change Management Lead, Organisation Design Team Lead, Training Team Lead, HR representative, business change managers, affected employees, work council representatives, external consultants. Overall, these 25 interviewees performed more than 60 different roles in the course of the SCP. The complete overview of all roles performed by the interviewees is presented in Appendix 13.

Through their inclusion in this study, a broad, in-depth, comprehensive, solid, and balanced view and understanding of the SCP has been potentially realised. The number of interview partners was chosen with regard to accessibility and manageability of the volume of narrative data resulting from the interviews.

The sample size is seen as appropriate to develop “thick description” and enable “thick interpretation” (Denzin, 2001; Ponterotto, 2006) of the case. This qualitative single case study research is more about achieving transferability to similar and if possible to other contexts rather than generalisability which would be challenging to achieve in a research setup like this (Yin, 2013).

4.5.2 Interview guide

An interview guide as a set of questions was developed, prepared, and used to facilitate the interview process enabling collection of relevant data. The interview question development process was built upon the identified gap from existing literature (Chapters II and III) as well as on professional experience and, hence, the identified gap from a practical business perspective. The latter was also informed by insider knowledge and experiences about the case under examination.

In order to address the identified knowledge and practical gaps and to build upon existing work, the interview guide development process started by writing down a large amount of related and potential questions in a free flow process. Subsequently, these questions were categorised and overlapping questions were eliminated. Afterwards, the set of questions was discussed with the key contact in the case study company. As a result, only minor amendments were made.

Neither the case study company nor the focal point imposed any pressure or restrictions with regard to interview questions to be asked or subjects not to be covered in the interviews. Hence, there was no conflict of interest regarding the interview question development process or in conducting the interviews.

Overall, the interview guide comprises a set of questions divided into the following three main categories:

- General questions about monitoring and evaluating organisational change implementation
- Strategic change programme related questions
- Change management related questions²²

Table IV-7 below relates the interview questions to the research questions and objectives as presented in Section 1.4 as well as at the end of the second literature review chapter (3.8). These research questions and objectives are listed as header of the table (RQ1-3; RO1-4²³). The first column presents the interview questions. The second column indicates to which research question and objective an interview question is linked. The third column refers to those key authors from the academic and practitioner oriented literature on which the set of questions hopes to build on.

²² Last section in the interview guide (change management related questions) a kind of remainder of the previous research focus, its aim, and objectives. As such, questions 12-15 are not linked directly to the research aim and questions of this work anymore. However, this was not recognised before the main study. From one interview to the next, it became clearer that it was not required to ask for this explicitly. If case change management needs to be identified as CSF, it could and also has been talked about while answering other questions (e.g. 1.1-1.3, 10.1+2, 11.1-11.3). From one interview to the next, this last section was not addressed anymore that explicitly.

²³ Since research objectives RO5 and RO6 (RO5: contribution to knowledge and professional practice, RO6: propositions for further researcher – detailed in section 1.4 and 3.8) are overarching objectives of the research Table IV-7 does not link any interview question to these objectives in particular.

Table IV-7: Interview questions linked to research questions and objectives

Research questions emerging as a result of the gaps in the extant literature and practice		
RQ1 Which prerequisites enable a systematic monitoring and evaluation of SCP implementation?		
RQ2 Which critical success factors need to be monitored and evaluated throughout a SCP in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?		
RQ3 How can monitoring and evaluation of these critical success factors in such a SCP implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?		
Research objectives emerging as a result of the gaps in the extant literature and practice		
RO1 To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation		
RO2 To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)		
RO3 To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)		
RO4 To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)		
Interview questions	RQ/RO	Key authors in the literature
General questions about monitoring and evaluating large scale organisational change implementation		
1.1 What do you think, what are the critical success factors to be monitored and evaluated to ensure a successful large-scale organisational change implementation? In general?	RQ2 RO2	(Bryson & Bromiley, 1993; Kotter, 1996; Al-Mashari & Zairi, 1999; Noble, 1999b; a; Beer & Eisenstat, 2000; Okumus, 2001; Lee & Teo, 2005; Andersen <i>et al.</i> , 2006; Bedingham & Thomas, 2006; Cleland & Ireland, 2006; Hrebiniak, 2006; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; OGC, 2007; Todnem By, 2007; Abdolvand, Albadvi & Ferdowsi, 2008; IBM, 2008; McKinsey, 2008; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009; Subramoniam, Tounsi & Krishnankutty, 2009; Yang, Sun & Eppler, 2009; Whelan-Berry & Somerville, 2010; Campbell, Edgar & Stonehouse, 2011; Shehu & Akintoye, 2011; Turner & Zolin, 2012; Williams <i>et al.</i> , 2012; Clardy, 2013; Creasey & Taylor, 2014)
1.2 Content related change (here strategic change programme: Enterprise Resource Planning, Business Process Reengineering, Re-organisation, Near-/Offshoring)?		(Davenport, 1998; Al-Mashari & Zairi, 1999; Jones, 2002; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Recardo & Heather, 2013; Jurisch <i>et al.</i> , 2014)
1.3 Change process related (prior to, during and after the implementation)?		See 1.1
2 Please assign these critical success factors to the following phases: initialisation, conception, mobilisation, implementation, sustaining	RQ2, RO3	(Krüger, 2009)

Research questions emerging as a result of the gaps in the extant literature and practice		
RQ1 Which prerequisites enable a systematic monitoring and evaluation of SCP implementation?		
RQ2 Which critical success factors need to be monitored and evaluated throughout a SCP in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?		
RQ3 How can monitoring and evaluation of these critical success factors in such a SCP implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?		
Research objectives emerging as a result of the gaps in the extant literature and practice		
RO1 To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation		
RO2 To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)		
RO3 To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)		
RO4 To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)		
Interview questions	RQ/RO	Key authors in the literature
3 In your opinion, how should these critical success factors be monitored and evaluated throughout the change process (operational doing)?	RQ3 RO4	(Taylor-Powell & Steele, 1996; Patton, 2002; Stufflebeam & Shinkfield, 2007; Russ-Eft & Preskill, 2009; Mertens & Wilson, 2012; PMI, 2013a; b)
4 What do you think, which prerequisites need to be met to monitor and evaluate a large-scale organisational change process effectively?	RQ1 RO1	(Butler, Scott & Edwards, 2003; Skinner, 2004b; Phillips & Pulliam Phillips, 2007; Stufflebeam & Shinkfield, 2007; Russ-Eft & Preskill, 2009)
5 In your opinion, who should be responsible for monitoring and evaluating a large-scale organisational change process (e.g. organisation unit, staff position, certain role in the project, PMO etc.)?	RQ3 RO4	(Stufflebeam & Shinkfield, 2007; Patton, 2008; Russ-Eft & Preskill, 2009; PMI, 2013a; b)
SCP related questions		
6 In your own words, please describe what was/is the SCP about (in general).		
7.1 Do you know about the concrete objectives of the SCP? Please describe.		
7.2 To what extent have these objectives been achieved?		
8 Based on which criteria do you evaluate a large-scale organisational change implementation as successful / unsuccessful (ex post) and how do you evaluate the SCP implementation then?	RQ2 RO2	(Andersen <i>et al.</i> , 2006; McLeod, Doolin & MacDonell, 2012; Turner & Zolin, 2012)
9.1 Please describe your role in the SCP.		
9.2 How did the SCP affect you, your job / personal work, department, and or class of business or function (impact, consequences)?		
10.1 Please describe your experiences in the change process of the SCP. In your opinion, what was decisive and should be preserved for future implementations and why?	RQ1-3 RO1-4	See 1.1 and 1.2

Research questions emerging as a result of the gaps in the extant literature and practice		
RQ1 Which prerequisites enable a systematic monitoring and evaluation of SCP implementation?		
RQ2 Which critical success factors need to be monitored and evaluated throughout a SCP in order to ensure a successful implementation of business model, business process, organisation structure as well as IT/ERP changes?		
RQ3 How can monitoring and evaluation of these critical success factors in such a SCP implementation be operationalised, with regard to methods as well as responsibilities for conducting respective activities?		
Research objectives emerging as a result of the gaps in the extant literature and practice		
RO1 To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation		
RO2 To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)		
RO3 To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)		
RO4 To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)		
Interview questions	RQ/RO	Key authors in the literature
10.2 In your opinion, what could be improved for future implementations?	RQ1-3 RO1-4	
11.1 Does / did systematic monitoring and evaluation of the SCP take place to ensure a successful implementation (in the course of it or afterwards [results])? If yes: What has been monitored and evaluated and how?	RQ2+3 RO2+4	See 1.1, 1.2, 3, 5
11.2 If no: Why?	RQ1 RO1	See 4
11.3 In your opinion, (in addition) what should have been monitored and evaluated and how?	RQ2+3 RO2+4	See 1.1 and 3
Change management related questions		
12 What do you think, how do change management activities contribute to implementations of large-scale organisational change initiatives?	RQ2 RO2	(Bryson & Bromiley, 1993; Al-Mashari & Zairi, 1999; Andersen <i>et al.</i> , 2006; Hrebiniak, 2006; Finney & Corbett, 2007; OGC, 2007; IBM, 2008; Yang, Sun & Eppler, 2009; Turner & Zolin, 2012; Creasey & Taylor, 2014)
13.1 What do you think, what role did the change management work stream 'Change & Engage' (C&E) play in and for the SCP?	RQ2 RO2	
13.2 Do you know about the concrete objectives of the C&E work stream? Please describe.		
13.3 To what extent have these objectives been achieved?		
14 What (kinds of) organisation change management activities have been undertaken to support the change process in the SCP?	RQ2 RO2	See 12, 13.1
15 Did these activities contribute to the successful SCP change process? How and why?	RQ2 RO2	See 1.1, 1.2, 8

Source: Own table

4.5.3 Learnings from pilot interviews

In order to evaluate the feasibility and practicability as well as whether the developed questions produce the volume, depth and richness of data considered to be necessary (Rubin & Rubin, 2011), two pilot interviews with different participants were conducted (interview guide: Appendix 10). The interviewees were selected as they performed different roles at different hierarchical and programme levels and provided different perspectives on the SCP (Person A and B, see also Appendix 12 and Appendix 13 for more information about the interviewees). The pilot interviewees were selected to explore greater levels of depth without second-guessing their answers. Although known to the researcher through consultancy contracts, the relationships were not so close as to introduce bias.

Overall, the interview flow worked as planned and the questions were appropriate for duration of 60-75 minutes. Although interviewing and responding in both native and non-native languages (English, German), there were no differences recognised in the way of responding, wording or depth of responses. Based on observations, interviewees' feedback and overall learnings from the pilot study amendments were made for the main data collection activities. The changes are presented in Table IV-8 below. However, the overall approach from pilot to main study did not change. Moreover, as there were only minor amendments made to the set of interview questions it was decided to include the findings from the pilot interviews for this thesis.

Table IV-8: Observations and learnings from pilot interviews and amendments for the main study

Learnings from pilot interviews	Amendments for the main study
Interview guide used for pilot study: Appendix 10	Interview guide used for main study: Appendix 11
In the course of the interviews there was not enough time to thoroughly brainstorm, think, remember and explain in every detail all relevant CSFs to be monitored and evaluated in such a strategic change programme since the DACH implementation took place from 2006-2009.	Setting examples, e.g. from literature or other interviews Providing guidance by asking concrete questions about their tasks, role/s and responsibilities
Assigning identified CSFs to certain phases in the programme was considered a challenging task in the interviews, because both interviewees first identified certain factors one after the other and assigned these afterwards to respective phases	Combining question 1 and 2: identifying a CSF and assigning it directly to respective phase. Overall, this step was also supported by using Appendix 8.
Some of the general questions about monitoring and evaluation were answered within the context of the SCP implementation. In doing so, at the same time this answered questions from the second section of the interview guide that are directly related to the programme.	No change required
Questions 12,13 and 15 were quite similar	Combined in one set of questions, 11.1 – 11.3
Question 14 was not linked to any research aim, question or objective	Question was eliminated
An additional person was recommended to be interviewed as he might provide a comprehensive overview of the SCP having been responsible for DACH programme planning activities.	Additional interviewee integrated into the research (Person Y, Appendix 13)
After the interviews oral feedback was provided by both interviewees. Both would have appreciated more guidance in the course of the interview, for instance by formulating questions more concrete, setting examples or concrete explanations with regard to the intention of a question. Such guidance was not provided in order not to influence the interviewees too much.	Reformulated interview questions Overall, more guidance provided during the interviews in the main study Tried to set examples from literature, other interviews or from own experience
Discussing all aspects of the SCP related to this research would have been too time-consuming for 60-75 minutes. For instance, some CSFs were named, but not specified, e.g. 'Day 1 KPIs'.	Following up some findings from the interviews subsequent works might be required to complete or verify statements, comments or findings (e.g. ask, request, and check with the key contact in the case study company)

Source: Own table

4.5.4 Invitation process and preparation

In order to achieve a participation rate as high as possible the potential interviewees were approached first by the key contact in the case study company who is their colleague. He also approached those external consultants who are still or working again for the case study company. Two consultants, who were not assigned to one of the projects of the case study company by that time, were contacted by the researcher, with previous approval by the key contact.

The potential participants were asked for participation and provided with the following introductory information about the research via email: aim of this research, main research question, anticipated contribution and benefit of the study, method used, and target group (Appendix 7 “Initial and introductory information for potential research participants”). Afterwards the researcher approached them to making appointments and scheduled the interviews.

4.5.5 Interviews – Language and transcription

Overall, the company language is mainly English, in DACH it is a mixture of English and German. In the SCP, people are used to talking and working in English as the common language because the overall language of the programme was English. The programme was managed from a global level from UK headquarters and as such, the overall programme language is English. The spoken language in the programme in Germany, Austria, and Switzerland (DACH) was German to a large extent. However, all programme materials provided by the central global team were provided in English, even for non-English speaking countries. Moreover, many meetings, telephone calls, and conferences were held in English. Consequently most of the people involved in the strategic change programme activities need to speak and work in English at least partially (reading and writing emails, reading documents, compiling progress reports, conducting telephone calls/conferences).

Since none of the interviewees is native English, the research participants were asked for their preferred interview language before each interviewee – English or German. Further, information material outlining the research was shared and explained to the interviewees.

They have been provided with the following material:

- Informed consent form for research participants in respective interview language (English or German, see also Section 4.7 Ethical considerations)
- Set of interview questions in respective interview language (English or German, Appendix 11)
- Graphics illustrating the conceptual and structural elements of the to-be-developed monitoring and evaluation framework (Appendix 8)

Two interviews were conducted with native Dutch people in English language, 11 interviews with native German people in English language and 12 interviews with native German people in German language. Every German interviewee (23) was asked for her/his preferred interview language (German or English) and they decided on their own. As the researcher does not speak Dutch, the two Dutch participants agreed to be interviewed in English, as this is mainly their working language. One of them even offered to conduct the interview in German. However, for practical reasons (time and costs for translation; interpretation) it was jointly decided to conduct the interview in English.

None of the interviewees expressed any discomfort with the respective interview language. Further, none of the interviewees speaking English in the interviews conveyed the impression that they would have shared different, more or less information and experiences.

Except two telephone interviews all interviews were conducted face-to-face. All face-to-face interviews were conducted at sites of the case study company (Germany, Netherlands), except one where the interviewee (Person C) who offered to be interviewed at the researcher's home as the interviewee was visiting for a business trip.

Each interview was audio-recorded and transcribed word by word in respective language (13 interviews in English, 12 interviews in German). The researcher decided to transcribe each interview by himself – and not to mandate a service provider – being aware that this is a time consuming task but the first step in working with his primary data and as a pre-step for data analysis.

The style of transcription uses word-by-word transcription, however, without noting “mh”, “ah”, “oh”, and the like. Moreover, pauses, emphases in intonation, sounds, noises, and emotional expressions were not transcribed either. This style of transcription was chosen mainly for practical reasons, not to complicate and slow down the process as the researcher did all the transcription by himself. Secondly, it was regarded as not necessary to note and transcribe these expressions as this research and the data analysis approach does not seek linguistic interpretation (Kvale & Brinkmann, 2009).

Out of 25 interviews 16 were transcribed manually (listening to audio records and typing manually). For the remaining nine transcripts speech recognition software was used. The researcher listened to the audio records and repeated the spoken words loud, which the software “wrote” respectively. The use of the software saved up to 50% of the time compared to his manual procedure. The efficiency gain is based on saved time for spell-checking and proofreading as the software writes faster and more accurately. If the software package had been known of earlier it would have been used it for the whole set of interviews.

Afterwards, the transcripts were sent via email to respective participants in order to make amendments, corrections, and comments by themselves or to provide the researcher with requests for modifications. A time frame of at least four weeks was provided. In case interviewees did not respond within this period it was made clear that this is being interpreted as confirmation of being allowed to use respective transcript for this thesis (see Appendix 14: Confirmation and approval of interview transcripts). None of the interviewees made or requested major changes to their transcripts. Mostly, they amended single words or terms, which were hard to understand from the audio-record.

Only one participant worked thoroughly on his transcript and provided suggestions for reformulations and corrections, which were incorporated. None of the interviewees refused use of the transcript. Appendix 12 provides an overview of the interviewees, interview schedule with date and location, interview language, interview duration as well as lengths, review and confirmation of transcript.

4.5.6 Use of technology to support data collection

In order to support the research process and the operational doing especially with regard to efficiency for data collection (and also data analysis, 4.6.5: Computer-assisted qualitative data analysis software NVivo used to support template analysis) a couple of hardware and software tools were used. The tools are used to reduce the level of manual work and to support working efficiency. The table below presents the tools and respective purposes are described.

Table IV-9: Technology used to support data collection and processing

Purpose	Tool	Description
Interview recording	Audacity	Used for audio recording face-to-face interviews
	Skype	Used for conducting two voice-over-IP telephone interviews
	Call Graph	Used in combination with Skype for recording the voice-over-IP interviews
Transcription	F4	Audio transcription software used for transcribing digital audio interview data (manual transcription), used in combination with a foot pedal to reduce transcription time (used for 16 interviews)
	Dragon Naturally Speaking	Speech recognition software used for transcription (nine interviews). The software supports the voice writing transcription technique where the transcriptionist repeats the original audio from the interviewees. Before, a user profile for the digital voice recorder was established since this software is not designed for use with multiple speakers. The software helped to save up to 50% of the time for: transcription, reviewing transcribed texts and original audio records, spell check for typing errors

Source: Own table

4.6 Data analysis – Template analysis

This section is about the method used for data analysis. Subsequently, how the interview data was dealt with in the analysis process is described.

For analysing the interview data template analysis (TA), also termed thematic coding and analysis approach, was chosen. This approach balances a relatively high degree of structure in the process of analysing textual data with the flexibility to adapt it to the particular circumstances of a study (King, 2012). It is very often used to analyse data from individual interviews (Alvesson & Ashcraft, 2012; King, 2012). As stated by Buchanan (2012) template analysis is regarded as a useful technique to analyse significant volume of case study data. It provides a set of techniques rather than with a distinct methodology. These techniques support the researcher in thematically organising and analysing textual data (King, 2012).

TA can be used within a contextual constructivist position which allows multiple interpretations of any phenomenon, dependent on the position of the researcher and the context of the research (Madill, Jordan & Shirley, 2000). It takes into account the researcher's reflexivity, different perspectives of participants, and the richness of the description produced by them. Furthermore, TA enables the researcher to interact with the text and let themes emerge from the participants' accounts informed by the interview guide. King (2012) defines themes as recurrent and distinctive features of interviewees' accounts that characterise perceptions and/or experiences which the researcher regards as relevant for his study. Thereby, it allows the researcher to develop themes extensively where the most useful data is found and it does not prescribe a fixed number of levels of coding hierarchy. Coding is the process of assigning a label (code) to a section of text or single words indicating these as relating to a theme (King, 2012). Constructivists often make use of co-created codes which are based on some initial codes and refined and modified during the analysis process (Crabtree & Miller, 1999).

Central to TA is the development of a template comprising themes and subthemes, based on a subset of the dataset. This template is then applied to the full set of data, revised and reapplied as part of an iterative process. TA is very flexible with regard to the style and format of the template being produced (Alvesson & Ashcraft, 2012; King, 2012).

The key reasons for selecting template analysis as the technique to analyse the data collected for this study is primarily grounded in the flexibility of the technique with only a few specified procedures, permitting the researcher to tailor his approach to match his own requirements. This technique allows flexibility in working with the coding structure, the use of a priori themes, and an initial template. Moreover, it is less time-consuming than interpretative phenomenological analysis (IPA). Therefore, it TA seems to be appropriate for studies where rather more participants/interviewees are involved (typically between 15 to 30), compared to IPA with common sample sizes of around ten or fewer (King, 2012).

4.6.1 A priori themes and codes

One key characteristic of TA is the use of a priori themes which allows identifying some themes corresponding to key concepts or perspectives prior to any concrete data analysis (King, 2012). These themes serve as preliminary patterns or skeletons before developing a structured initial template (King, 2012).

In this research, a priori themes were identified mainly based on the interview questions (Table IV-7), which in turn were developed based on research aim, questions and objectives, the literature as well as the researcher's knowledge and experience having been part of the case under examination. Table IV-10 below presents the a priori themes and codes.

Table IV-10: A priori themes and codes

Category	Main theme	Sub-theme 1	Sub-theme 2
Monitoring and evaluation in general			
	Identifying critical success factors with regard to monitoring and evaluation of strategic change implementations		
		In general	
		Content related	
			Enterprise resource planning
			Business process reengineering
			Reorganisation
		Change process related	
	Assigned critical success factors to phases of strategic change implementations		
		Initialisation	
		Conceptualisation	
		Mobilisation	
		Implementation	
		Sustaining	
	Operational doing of monitoring and evaluation within strategic change implementations		
	Prerequisites for monitoring and evaluation of strategic change implementations		
	Responsibility for monitoring and evaluation of strategic change implementations		
Strategic change programme			
	Description of case study organisation and the strategic change programme		
	Level of goal achievement		
	Criteria for evaluating success		
	Interviewee		
		Role of interviewee during the strategic change programme implementation	
		Impact of the strategic change programme onto the interviewee	
	Decisive and to be preserved for future implementations		
	To be improved for future implementations		
	Monitoring and evaluation in the strategic change programme		
		What	
		How	
		What was missing	
Change management			
	Contribution of change management to strategic change programmes in general		
	Role and objectives of the 'Change & Engage' workstream for the strategic change programme		
	Level of goal achievement of the 'Change & Engage' workstream		
	Change management activities undertaken to support the change process		
	Contribution of the 'Change & Engage' workstream to the success of the strategic change programme		

Source: Own table

4.6.2 Preliminary coding – from a priori themes and codes to initial template

According to King (2012) a central decision in template analysis is when to begin the development of the initial template. The process of developing the initial template starts with identifying themes and codes, in addition to the a priori ones, clustering and structuring them preliminarily in meaningful categories in which hierarchical and lateral relationships between themes and codes can be expressed (King, 2012).

For this study, a sub-set of four interview transcripts was used to develop the initial template (Interviewees I, L, U, V; Appendix 12). These transcripts were selected as it was expected that those would reveal a substantial set of data to build the initial template on, due to the roles they performed in the course of the programme and/or due to their long-term experience and knowledge about the company as well as the SCP (Appendix 13). The identification of themes and codes developed at this stage is also influenced by the transcription phase in which it was listened to all interview audio-records multiple times and transcribed them respectively (Table IV-12: Data analysis process).

Although a software package was used for coding and managing the full set of interview data after having developed the initial template, the development of the preliminary initial template was done manually by reading printed transcripts and writing themes and preliminary codes on “Post-it” notes which were placed on whiteboards and wallpapers (King, 2012).

4.6.2.1 Independent coding as quality check

The issue of quality in qualitative research is an important aspect. There are a variety of ways to use independent scrutiny in qualitative research to cross-check the quality of data analyses (King, 2007; 2012). As stated by King (2007) independent scrutiny is useful to incorporate into the process of developing the template.

In order to enhance the quality of the data analysis of this work independent coding and critical comparison done by two volunteers is used (King, 2012). This offers the opportunity to document emerging thinking through the modification of the initial template (King, 2012).

Two volunteers were given sample transcripts and asked to code them using the preliminary list of themes and codes (kind of preliminary initial template), noting themes and codes they found difficult to apply, aspects of the texts not covered by the preliminary template and any other issues striking them in this process. One of the volunteers has a business professional background equipped with working experience of more than 12 years. Consequently, he is well aware of organisational changes from a business professional perspective and well educated within the field of business administration. Even though not being a subject matter expert in the field of this research he is highly regarded by the researcher for critically and constructively reflecting on the task and its outcome and not simply telling the researcher what he wants to hear. The second person is a Masters student in Management from a Change Management course the researcher was teaching. Hence, she is well aware and acquainted with the subject of managing change in organisations from a theoretical perspective.

Both volunteers did not have any experience in conducting template analysis. In order to prepare them for the independent coding they have been acquainted with the procedure used to develop the preliminary list of themes and codes. The volunteers have been provided with supporting information and documents, which are listed in Table IV-11.

Table IV-11: Supporting information and material for the independent coding

Supporting information and material for the independent coding
• Introductory information about the research comparable with the information the interviewees were given
• Research aim, questions and objectives
• Interview questions in English and German language
• Graphical illustration of conceptual and structural elements for the to-be-developed monitoring and evaluation framework (Appendix 8)
• Preliminary initial template
• Empty template of the potential end product of how the contribution to professional practice might look like (Appendix 9)
• Same four interview transcripts having been used to develop the preliminary initial template (Person I, L, U, and V; see also Appendix 12)

Source: Own table

After the volunteers accomplished the task, they shared their experiences by providing written as well as oral feedback discussing their experiences. No major changes were made, however, some of their observations were used to revise and amend the template.

4.6.2.2 Audit trail

An audit trail in qualitative research is a record and ongoing process of documenting emerging thinking, the steps he undertook, decisions he made while developing the template from a priori themes and codes, raw transcripts, preliminary, initial to the final template and the final interpretation of the data (King, 2007; 2012). This practice helps to gain an overview of how he reached the interpretation he produced (King, 2007).

In this work, these developments are captured via saving template files by consecutive numbering and dating successive versions as well as in NVivo by keeping notes of the changes as to the reason for any changes made to it in a journal log.²⁴

The initial template is presented subsequently.

²⁴ This captured information is just used by the researcher in assisting him to remember/reconstruct his thinking, decisions made as his work progressed. These notes of the changes are not presented in this work. Some of the changes and decisions are interposed in some of the chapters as they are not presented explicitly in a dedicated chapter to cover all the changes made along this process. However, the work presents the major deliverables, such as a priori themes and codes (Table IV-10), initial template (Figure IV-8) and (preliminary) final template (Appendix 16)

Figure IV-8: Illustration of initial template

CRITICAL SUCCESS FACTORS

General critical success factors

- Leadership
- Case for change
- Understanding
- Resourcing
- Learning
- Sustain phase
- External environment
- Project management
- Communication
- Change management
- Ways of working

Content related critical success factors

- Business process reengineering
- Reorganisation
- Enterprise resource planning
- Offshoring
- Overarching

MONITORING AND EVALUATING CRITICAL SUCCESS FACTORS

Prerequisites

Responsibility and accountability

Operational doing (methods)

STRATEGIC CHANGE PROGRAMME OF THE CASE STUDY ORGANISATION

Background information about the case study organisation

Description of the programme and its objectives

Achievement of objectives

Barriers and challenges

Monitoring and evaluation

What

- Business KPIs
- Customer satisfaction
- Change readiness
- Milestones
- Compliance
- Knowledge
- Deliverables
- Costs
- Issues

(continued)

- When – phase
 - Initialisation
 - Conceptualisation
 - Mobilisation
 - Implementation
 - Sustaining
 - Throughout all phases
- How – method
 - Meeting
 - Reporting
 - Feedback
 - Checklist
 - Interview
 - Sounding board
 - Survey

Learnings

- In the course of the programme
 - Continuous learning
 - Integration management
 - Reporting
 - Programme approach adaptations
- To be preserved for future implementations
 - Leadership
 - Programme structure and approach
 - Hyper care
 - Investment
- To be improved for future implementations
 - Case for change
 - Integration management
 - Resourcing
 - Support for leaders
 - Sustain phase

INTERVIEWEES

Roles performed

Impact on interviewee

Criteria for success

Source: Own figure

4.6.3 From initial to final template – coding process, procedures, analysing findings

Before starting the coding of the full set of interview transcripts started, the initial template was transferred into NVivo, a computer assisted qualitative data analysis software package²⁵. With the help of the initial template created in NVivo, data analysis progressed by coding the full set of interview transcripts, coding one interview transcript after the other in alphabetical order of the anonymised names of the interviewees (Person A-Y). In the course of this process, the template developed as new themes evolved, new nodes were added, merged, and/or renamed on an ongoing basis.

Nodes are containers for the coding to gather related material in one place looking for emerging patterns and ideas. A node is a collection of references about a specific theme of interest. References are gathered by “coding” the interview transcripts (Bazeley & Jackson, 2013).

The coding process included hierarchical as well as parallel coding which are two key features of template analysis (King, 2012). Hierarchical coding clusters together groups of similar codes in order to create more general higher order codes. TA allows as many levels of themes as regarded as beneficial (King, 2012). Parallel or multiple coding was used where the same segments of text can be coded within two or more different codes (King, 2012). Multiple coding was used in those instances where more than one theme or sub-theme was identified in a context and it was perceived as being useful to code this section of text to more than one node. By the end of the coding process, around 330 themes and codes (nodes) were created.

After having finalised the coding to the full set of interview transcripts the template and its nodes were revised by checking the coding structure and eliminating overlappings of nodes. Moreover, the template structure was amended again by going through each of the 330 nodes and checking whether the coded text fits in this node.

²⁵ NVivo is a computer assisted qualitative data analysis software package (CAQDAS) which can be used for coding interview transcripts as part of template analysis. It helps to organise and analyse non-numerical or unstructured data and allows researchers to classify, sort and arrange information, examine relationships in the data. Moreover, NVivo offers features to combine analysis with linking, shaping, searching, and modelling.

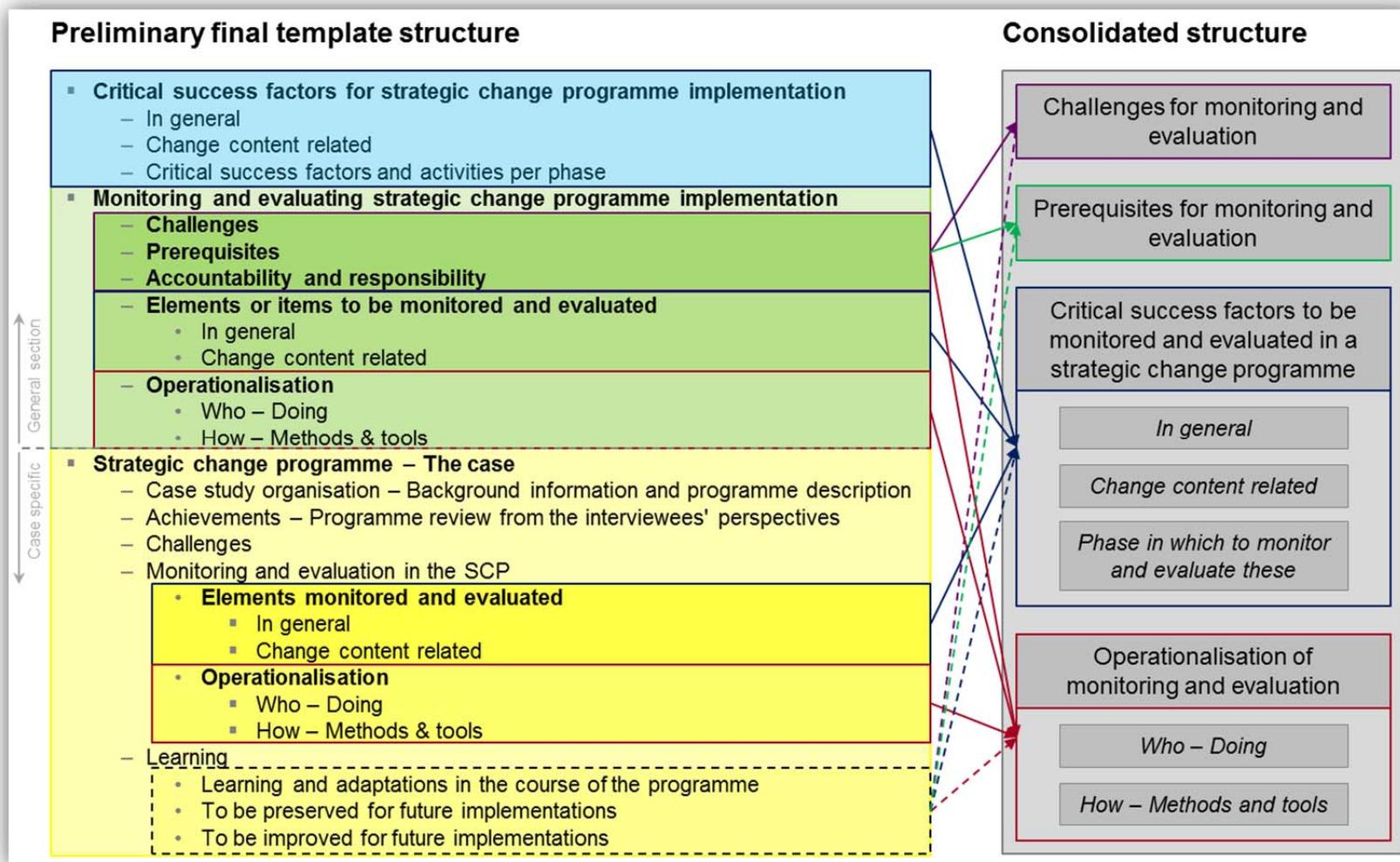
In case text was identified as “wrongly” coded or perceived as not fitting respective text was recoded – which means assigned to another node – or a new node for a new theme or sub-theme was created. This revising process step was completed by checking each interview transcript (one after another) to check whether the coding is still appropriate to the revised structure. This step assured that accidentally removed coding due to changes in the template structure and the nodes were identified. Where necessary text was coded again or recoded. The whole process of renaming and merging nodes, revising and restructuring the template ended up in template structure of around 260 nodes²⁶, which constitutes the preliminary final template.

Based on this preliminary final template two different templates were created for two different purposes. Thus, although there were no restrictions or specifications made by the case study company with regard to a certain presentation of the findings, in the course of the template development and analysis process it has been kept in mind to report the findings to the case study company. Therefore, some of the nodes and coded text in the preliminary final template might not be used for the thesis or in a different manner or structure. Consequently, based on this preliminary final template (Final Template Version 1 [FTV1]) a separate template was created for the purpose of this thesis. In this template some of the sections (comprising several nodes) or single nodes were combined and merged into an even more consolidated structure (Final Template Version 2 [FTV2]).

Figure IV-9 below presents the main structure of the preliminary final template (FTV1) and illustrates which sections have been merged to build the consolidated final template structure (FTV2).

²⁶ Some nodes do not contain any coded text, as they are just “headlines” for subordinate nodes (hierarchical structure), in which text are coded intensively.

Figure IV-9: Preliminary and consolidated final template structure



Source: Own figure

In the consolidated template, some of the previous separated codes are combined or merged into common codes. The preliminary final template is structured in three main themes: critical success factors for strategic change programme implementations (blue section on the left in Figure IV-9), monitoring and evaluating strategic change programme implementations (green section on the left in Figure IV-9), and the strategic change programme of the case study company (yellow section on the left in Figure IV-9).

The way and style in which research participants dealt with the interview questions differed. Some responded to the questions as they were asked, first in general and afterwards case and context specific. Others mixed it and switched between general and case related answers and still others just responded to the questions in the context of the case of the SCP implementation. The initial intention was to interview the research participants about and collect their subjective accounts on CSFs to be monitored and evaluated in a SCP and its implementation. However, in the course of some interviews it was recognised that it seems to be difficult for some interviewees to talk about that. Thus, many of them talked about CSFs for SCP implementation in general rather than specifically about those to be monitored and evaluated. Consequently, the interviewees were asked additionally and explicitly for elements and/or items to be monitored and evaluated. Accordingly, these different categories (CSFs as well as elements and/or items to be monitored and evaluated) became apparent in the coding process as well. In addition, interviewees were asked and talked about those things, which were monitored and evaluated in the context of the SCP. Finally, the findings from all these sections in the preliminary final template have been merged and consolidated into one common theme “Critical success factors and items to monitor and evaluate in a strategic change programme” (blue frame in Figure IV-9). In the same manner, the other sections on the preliminary final template have been consolidated into sections “Challenges for monitoring and evaluation” (lilac frame), “Prerequisites for monitoring and evaluation” (green framed), and “Operationalisation of monitoring and evaluation” (red frame).

All four themes, according sub-themes and nodes have been complemented by findings from the section about “learnings from the programme” where appropriate. This learning also indicates factors, elements, or items to be monitored and evaluated.

After this consolidation process, the findings (coded text) in each node have been summarised based on the preliminary final template. The summary for the consolidated final template has been produced in the same manner as this template (FTV2) has been developed (merging the findings from respective nodes into the new structure).

The summarised findings do not represent the end of the data analysis and interpretation process if they are simply listed and summarised in each node or category of nodes. This would only be a flat description of the data (King, 2012).

Based on the summarised findings the starting point for in-depth analysis was looking at the hierarchical template structure which offers an opportunity to analyse coded text at different levels of specificity (King, 2012). It was looked at the extent and intensity to which the interview transcripts were coded into the nodes, with some indication of frequency. In this research numbers in the template (number of interviews coded per node and how often they are referenced there) are not the deciding reason or factor for analysing and interpreting the data. This would be a major factor in content analysis, another thematic analysis approach. These numbers would have been distorted as parallel/multiple and no distinct coding was used. Thus, coded text might “appear” in several nodes. In contrast to content analysis (Neuendorf, 2002) the approach taken in this research is not primarily interested in quantitative aspects within the interviewees’ accounts. Consequently, qualitative data analysis in this work does not seek to count key words, codes, or themes mentioned during the conversations. This research is more interested in the emphasis, intensity and the meaning of what the interviewees are talking about within the context of examination. This means that the number of accounts in one node is not the dominating criteria for assigning importance to respective findings. It just provides an indication for a closer examination of relevant themes or subthemes.

It may be that only a few or even a single interviewee is able to talk about and share her/his views and experiences on a certain topic as she/he holds/held a specific role and responsibilities in the case which nobody else in the interview sample of the strategic change programme had. Consequently, interesting, relevant, useful, and/or unique insights might be provided only by these few or this single person. Hence, this requires thoroughly reading, understanding, and interpreting the coded text. This needs to be taken into account when deciding how saturation of findings is to be considered.

Finally, the data analysis process, consisting of nine steps, is summarised in the table below. Furthermore, the table also indicates, which steps were conducted manually and for which NVivo was used.

Table IV-12: Data analysis process

Step 1	Listening to audio-recorded interviews <ul style="list-style-type: none"> Listening to each audio-recorded interview one after the other in alphabetical order, without transcribing 	Manual paper based work
Step 2	Listening to audio records – Transcribing – Listening to audio records <ul style="list-style-type: none"> Transcribing each interview one after the other in alphabetical order Listen again to audio record and checking correctness of transcription Spell checking each transcript 	
Step 3	Defining a priori themes and codes <ul style="list-style-type: none"> Defining a priori themes and codes based on interview questions, research aim, research question and research objectives, researcher’s knowledge and experience, literature Comprising 36 themes and codes 	
Step 4	Developing initial template <ul style="list-style-type: none"> Developing preliminary initial template by using sub-set of four interview transcripts by manual coding, reading printed transcripts and writing themes and preliminary codes on Post-it notes and placing them on whiteboards and wallpapers Identifying themes and codes, clustering and structuring in hierarchical and lateral relationships Independent coding by two volunteers Incorporating volunteers’ feedback and developing initial template 	
Step 5	Coding full set of transcripts and revising initial template <ul style="list-style-type: none"> Transferring themes and codes into NVivo Coding each interview transcript one after the other in alphabetical order During this process new codes evolved, were added, merged, and/or re-named Comprising around 330 nodes 	Supported by NVivo
Step 6	Revising codes and template <ul style="list-style-type: none"> Checking coding structure and eliminating overlappings of nodes Checking each node whether coded text fits in this node or has accidentally been wrongly coded Amending template structure again when going through each node Checking coding of each interview transcript again whether coding is still appropriate to revised structure or accidentally removed coding due to change of structure Revising template again by merging, renaming nodes (around 260 nodes) 	
Step 7	Consolidating findings from different sections of the template <ul style="list-style-type: none"> Based on the final template and its nodes another template was created to have two main templates but for different purposes. Final Template Version 1 (FTV1): final template after having finalised revising the template (after step 7) – separate nodes being able to provide dedicated feedback on the findings for the case study company (FTV1) Final Template Version 2 (FTV2): dedicated purpose for this research where some sections and nodes from FTV1 are merged into an even more consolidated structure 	
Step 8	Summarising coded text from each node <ul style="list-style-type: none"> Summarising findings from each node 	
Step 9	Analysing coded text <ul style="list-style-type: none"> In-depth analysis and interpretation within each as well as across nodes 	

Source: Own table

4.6.4 Language

Section 4.5.5 already covered aspects of language with regard to spoken language in the interviews (two interviews with native Dutch people in English language, 11 interviews with native German people in English language, 12 interviews with native German people in German language). This chapter discusses the language issue with regard to data analysis since coping with bilingual interview data (transcripts in respective interview language) is an issue to be discussed in particular.

Interviews are not just spoken words in response to social situations, but embedded in the culture and the context of the place. This needs to be taken into account when considering translation, even more for in-depth analysis and interpretation, of the interview transcripts (Halai, 2007). Translation requires knowledge about subject specific terminology, awareness of style and grammar, nuances, and idiomatic expressions, and in this case knowledge about the case study company and its strategic change programme “language” (Halai, 2007). The researcher had the advantage of belonging to the same cultural context for the 23 German and also to some extent to the two Dutch interviewees. In addition, he knows and is aware of both the cultural aspects as well as the context of the case as he was involved in the SCP implementation himself.

Nonetheless, for data analysis it was decided not to translate the German transcripts into English. He tried to keep the essence of the data intact (Halai, 2007) as the German transcripts were coded in their original form but into the monolingual English coding structure of the template (names of nodes in English language).²⁷

It was engaged with the Germany interview transcripts in order to avoid an “unconscious interpretation” (Starken, 2013) during the translation process which in turn might have influenced data analysis. As Albrecht (2013) states, translation is never objective and without interpretation by the translator.

²⁷ Even one of the four transcripts chosen and used to develop the initial template was a German one (Person L).

If data analysis had been based on translated interview transcripts these data would not have been raw data anymore as with translation another layer between raw material and translation might be created during the translation process. Immersing in the original not-translated raw data allows a “conscious” in-depth analysis and interpretation staying as close and as long as possible to the memories, opinions, thoughts, ideas, suggestions, and experiences of the interviewees (Starcken, 2013).

After the most relevant extracts of the interviews were identified and interpreted in the context of the respective account (interviewees’ role, memories, opinions, thoughts, ideas, suggestions, and experiences), the most relevant parts were translated into English (e.g. supportive arguments, citations, quotations). Translations are always accompanied by interpretation at least to some extent (Albrecht, 2013). It was tried to translate word-by-word or as close as possible to the original source. However, in case this was not possible his personal understanding and interpretation of what the interviewees said became important. Consequently, this opens the door for ambiguity, obscurity and imprecise boundaries (Nida, 1996). In these cases, the researcher benefited from his role and experienced gained as having been part of the case under examination. Moreover, it is also advantageous sharing the same cultural background and native language (Halai, 2007) – at least for the 12 German-German interviews. The overall aim was to translate the contribution of the interview partners as authentically as possible. However, the power over the research findings finally remains with the researcher as he decides which parts of the transcripts are left out and which are relevant and used for his research (Essers, 2009).

Nonetheless, in order to make the coding and data analysis process open to scrutiny it was decided to translate three of the 12 German interview transcripts (Person L, Q, and R; Appendix 12, Appendix 15). With the purpose of saving time, the transcripts have been translated by an accredited interpreter. The criteria for selecting these three transcripts are based on two main reasons: reusability and costs. On the one hand, the intention is to reuse the translated text as quotes, supporting arguments and/or as powerful insights from people holding particular roles and responsibilities.

Secondly, costs also played a decisive role for selection these transcripts.²⁸ It was decided to choose three rather short but at the same time very insightful interview transcripts. In order to facilitate the translation process the interpreter was acquainted with the intention of this study as well as the outline of the SCP.

The coding and data analysis process for the German transcripts was conducted in the same manner as for the English ones. With the help of the translated sources, it is intended to demonstrate the coding and data analysis approach and to make it open to scrutiny also for the German sources, at least for those three. Consequently, the reader of this work is enabled to understand every step of the work carried out. The translated transcripts can be found in Appendix 15. Those passages that have been coded are highlighted in yellow.

4.6.5 Computer-assisted qualitative data analysis software NVivo used to support template analysis

The coding and data analysis process was supported by the computer assisted qualitative data analysis software package NVivo. There is awareness of the potential disadvantages of using software to analyse qualitative data as discussed by Atherton and Elsmore (2007). The main reason to use NVivo is to manage large volumes of data (~237,000 words) from 25 semi-structured interviews (Atherton & Elsmore, 2007; Silverman, 2009). Kvale (2007) notes that software facilitates the analysis of interview transcripts by structuring them for further analysis. However, the task and responsibility for interpretation remains with the researcher. This work shares the point of view that software is not a substitute for researchers' responsibility and the challenges interpreting and making sense out of the complex data (Weitzman & Miles, 1995; Atherton & Elsmore, 2007; Kvale, 2007; Easterby-Smith, Thorpe & Jackson, 2008). In order to mitigate the disadvantage of de-contextualisation of interview data (Atherton & Elsmore, 2007) mostly text was coded in context, not just a single or a few words. Moreover, the software provides easy to use features looking at the coded text in its full context within the interview.

²⁸ First offer obtained for translation interview transcripts (German to English) from the accredited interpreter was about 0.13 Euro per word, which would be approx. 15,000 Euro for the whole set of German interview transcripts.

The software is not used for counting key words or any other quantitative purpose to analyse and make sense out of the interview data. However, it allows for such operations as searching for keywords, coding, writing memos, and creating graphical displays. All in all, the software is about supporting the working efficiency analysing the large volume of data (Easterby-Smith, Thorpe & Jackson, 2008).

4.6.6 Presenting and discussing the research findings with case study participants and other people having been involved in the SCP

According to Hartley (2004), presenting and discussing the findings with the case study participants can be a valuable part of the analysis and can enrich validity. The findings of this research and the learnings from the case were presented to the case study company on 27 January 2014. The audience was characterised by top management attention. The Chairman of the Executive Board (also former Global Programme Director of the SCP, Interviewee N) and the CFO from Germany (Interviewee R) were among the participants. Overall, 12 people (rather managerial level) participated in the one-hour presentation and discussion session: Interviewees A, D, E, F, N, P, R, T, U, Corporate Communications Lead (DACH), Programme Manager DACH Advisory & Projects, and SEPA Downstream Implementation Manager.

In addition, the findings were discussed with a former colleague of the researcher. He was also involved within the SCP as a management consultant (OD workstream). He is currently working in a completely different project with a completely different context and setup (huge IT project with one of the largest statutory health insurance companies in Germany). The intension was to receive feedback about whether and to what extent the findings might also be applicable to other contexts.

These potentially different views on the findings enable a kind of triangulation. The outcome of these discussions is located in Chapter 6.1: Contribution and value of this work.

4.7 Ethical considerations

The social nature of this research involves the interaction with and obtaining of information from individuals. The researcher needs to attend to the potential ethical issues that might arise from the study (Bryman & Bell, 2007; Blaikie, 2009; Kvale & Brinkmann, 2009; Silverman, 2009).

A “Research organisation informed consent form” explaining the scope, overall aims, objectives, potential outcome, and benefit of the research was signed prior to the pilot study by the key contact in the case study company. He obtained internal approval by Legal and HR departments as well as by the Chairman of the company in Germany. Additional agreements for data security, storage and disposal were signed which are presented in the table below.

Table IV-13: Agreements for data security, storage, and disposal of interview data

Agreements for data security, storage and disposal of interview data
All files are stored on the hard disc drive of the researcher’s laptop as well as on two separate external hard disc drives for data security reasons
All audio recorded interview files will be deleted after the award of the degree
All project documentation files collected for this research related to the strategic change programme of the case study company (Word, Excel, PowerPoint, PDF, and intranet) will be deleted after the award of the degree
All non-anonymised interview transcripts will be deleted after the award of the degree
All anonymised interview transcripts can be kept beyond the award of the degree
Neither the name of the company, its strategic change programme, company or programme specific terms nor any names of interviewees or other mentioned names of persons can be found in these transcripts from which the organisation can be identified

Source: Own table

Reasoning for the purpose of keeping anonymised interview transcripts – The anonymised interview transcripts might be used for further data analysis and respective publications as they provide more useful information than envisaged in the scope for the initial purpose of this thesis. The same confidentiality and anonymity agreements as for the thesis and stated above are valid for these potential further publications.

Before each interview, an “Informed consent form for research participants” was signed by each participant²⁹. Like the “Research organisation informed consent form”, this form outlined the underlying research project. In addition, the form expressed explicitly that participation in the study is entirely voluntary and participants can terminate their involvement at any time (Silverman, 2009).

Moreover, both forms clarify anonymity and confidentiality aspects and before each interview, the researcher explained explicitly to each research participant that the name of the case study company, its strategic change programme or any interviewee as well as other individuals mentioned are not be stated in this work. Consequently, all data collected is made anonymous. For instance, the original name of the case study company is replaced by a synonym CSC (case study company) in case it should be stated. The name of the strategic change programme was replaced by SCP. All names of interviewees or other individuals mentioned in the interviews are replaced by synonyms like Person A, B, C etc. Moreover, names of locations, sites, countries, or competitors were made anonymous or replaced for the purpose of preventing third parties tracing back the original name of the case study company.

This is of special importance for this research since the researcher worked with some of the participants and their employer for one and a half years as an external consultant. He obtained personal and in-depth information resulting from the trust, which was established between the participants and the researcher during this time. Due to this personal relationship, he will probably gain information about the research participants no one else in the organisation might have. This puts him in a powerful position if he re-enters the company in whatever role or for whatever purpose. Hence, it is the researcher’s duty to treat this information as strictly confidential and not to abuse his insider knowledge.

²⁹ All participants are of full age and the research does not include vulnerable people.

4.8 Summary

In this chapter the philosophical principles of this research are discussed, why this work is of a subjective, interpretive nature and based on social constructionism (4.2). Further, it is outlined that this real world research uses an applied research approach (4.1) conducting a summative evaluation (4.4.7). According to that, this chapter critically reflects and argues for the single case study as the methodological choice (4.3). Moreover, the context of the case is detailed to provide an understanding of its complexity and comprehensiveness. Linked to that, this chapter includes the reasoning for selecting this particular case being researched (4.4). Furthermore, semi-structured interviewing is discussed as the method for collecting primary data. Moreover, Section 4.5 in combination with Appendix 12 and Appendix 13 provides comprehensive information regarding the 25 research participants, interview questions, pilot, as well as the use of technology supporting the data collection process. Subsequently, the data analysis technique “template analysis” is detailed including a comprehensive description of the coding and data condensing process (4.6). Finally, this chapter reflects on ethical considerations that have been considered and applied during this work (4.7).

CHAPTER V FINDINGS AND DISCUSSION

5 Introduction

The previous chapter deals with the methodological characteristics underlying this work and outlines how the data was collected and analysed. The purpose of this chapter is to present and discuss the findings from the 25 semi-structured interviews conducted within the context of the SCP implementation of the case study company and relate it to the context of the literature.

As indicated by “Figure IV-9: Preliminary and consolidated final template structure” (p.151) the findings are structured into the following main categories:

- **Challenges** for monitoring and evaluation
- **Prerequisites** for monitoring and evaluation
- **Critical success factors** to be monitored and evaluated (in general as well as related to the context and specific change content)
- **Operationalisation** of monitoring and evaluation (responsibilities for doing [“who”] as well as methods and tools [“how”])

This structure also builds the organisation of this chapter in presenting and discussing the findings. Each section contains quotes from the interviewees to support the findings, collectively condensed in tables (Table V-1 – Table V-38).

At the end of a section, the findings from the interviews are discussed and evaluated with reference to the literature review presented in Chapter II: Strategic Change Programme Implementation, and Chapter III: Evaluation in Organisations. Both areas are discussed and combined with each other (similarities, differences) and set in the context of the strategic change programme implementation of the case study company.³⁰

³⁰ This also includes lessons learned from the interviewees’ point of view. A detailed and explicit compilation of the dedicated learnings from the case is presented in Appendix 20. However, due to scope and word count limitations these findings are not to be discussed in detail in the main body of this work. The findings emerge from the interview questions 10.1 and 10.2 (Table IV-7) where the interviewees were asked about aspects that were decisive and should be preserved/improved for future implementations and why?

The sections 5.1 'Challenges for monitoring and evaluation' and 5.2 'Prerequisites for monitoring and evaluation' are discussed jointly at the end of section 5.2, since the consideration of the prerequisites potentially overcomes the challenges and barriers.

Within section 5.3 (CSFS in general) and 5.4 (change content related CSFs) the discussion takes place at the end of a subsection (5.3.1 – 5.3.9, 5.4.1 – 5.4.4). Moreover, the findings include the identification of the most important interrelations among these CSFs.

The findings regarding the operationalisation of monitoring and evaluation (Sections 5.5.1 'Who...' and 5.5.2 'How...') are discussed jointly at the end of section 5.5.2 since they are often closely linked to each other.

Following the summary of the main aspects of the findings and the corresponding discussion in the context of the literature (Section 5.6), the chapter concludes with the development of the framework for systematic monitoring and evaluation of SCP implementation (5.7). Hence, this chapter fills the specified gaps as identified and presented Section 3.8 and builds on existing work.

5.1 Challenges for monitoring and evaluation

The interviews did not ask about challenges in particular. However, these insights emerged during the interviews. Overall, it was mentioned that the strategic change programme as a whole was a challenging change journey and consequently also influenced aspects to be considered with regard to monitoring and evaluation. The challenge for monitoring and evaluation is grounded in the willingness to monitor, measure and evaluate, which is linked to what the research participants also stated when they talked about prerequisites for monitoring and evaluation (see also Section 5.2).

If those responsible for a programme are not interested in such concrete activities, monitoring and evaluation will not take place. As dealt with in literature review Section 3.3, this might be due to several reasons, mostly due to political agendas, fear of being blamed for negative results or being afraid of dealing with negative consequences.

Once the willingness barrier is passed, interviewees indicate further challenges such as dealing with contrapositive viewpoints regarding objectivity and subjectivity and linked to this what kind of elements, items, success factors should be looked at. Here it is referred to dealing with hard (numbers, financials) versus soft facts (intangibles) to be monitored and evaluated. Moreover, interviewees recognise the challenge to monitor, evaluate, or even measure soft elements such as level of understanding what and why to change, level of acceptance and readiness to change, behaviours and behavioural as well as cultural changes (see also identified CSFs in Section 5.3).

Further, it is stated that it is challenging but possible to monitor and evaluate important aspects like “Integration Management” (Section 5.4.1) or whether the programme has enough knowledgeable people at its disposal (Section 5.3.5).

Another area where interviewees notice challenges is about isolating and assigning respective effects to certain activities as well as identifying and tracking respective benefits. Accordingly, research participants assume that different priorities regarding the time frame to be looked at, long-term versus short-term benefits, make it difficult to evaluate and judge the benefits. In their view, it might be well the case that certain aspects are looked at and benefits expected too early as some benefits might evolve later or over time.

A quite obvious finding reports the fact that it is not possible to monitor and evaluate important aspects, elements, or deliverables that do not exist or are not ready yet, for instance verifying whether certain process designs have been newly designed as planned.

However, monitoring and evaluation activities would at least disclose that these things are not ready yet even though their quality cannot be judged.

This leads directly to the overall and final aspect identified by the research participants who state that quality of evaluation is an essential but at the same time challenging issue. This is especially the case when opposing evaluation paradigms (objective versus subjective; hard facts versus soft facts) come into conflict.

Table V-1: Interviewees' supporting quotes on "challenges for monitoring and evaluation"

Interviewees' supporting quotes on "challenges for monitoring and evaluation"

"...the key question is not whether you can measure or not, yes you can, but do I really want to measure ... roles and responsibilities change over time ... new people come in successively after a certain period ... Would you take the blame for others if this [SCP] does not pay off?" – [Y]³¹

"...need to review somehow also ... soft elements ... did people understand what ... and why you are trying to change ... how do we measure this? This is ... one of the most difficult things" – [A]

"...how do I measure that ... people are moving in the right directions ... that is the biggest challenge in the transformation or change journey." – [I]

"How do I measure whether my integration management is working properly? Difficult question, very difficult question ... The right mix of people and the knowledgeable people. Very difficult to monitor. Well, to monitor maybe not so much, but to evaluate. Very very difficult." – [K]

"...problem that we have that we do not have the processes to monitor in the implementation phase because they are not running yet" – [F]

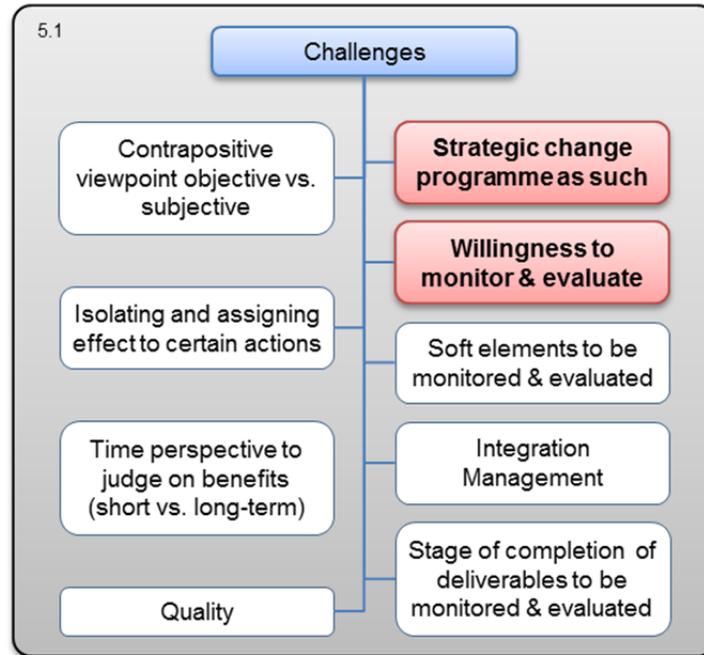
"Quality is always very important, difficult, and important." – [F]

Source: Own table

The figure below illustrates the main findings of this chapter. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings chapter.

³¹ The letter in brackets [...] signifies the interviewee who stated the quoted material, e.g. [Y] = Interviewee Y (Appendix 13: Interviewees' roles and responsibilities in the course of the strategic change programme). Three dots in a quote "..." indicate that some original words from the interview transcript are left out due to various reasons: e.g. words are not relevant, repeated, or do not make sense. Words in brackets [] indicate that these are added by the researcher in order to make the statements easier to understand as some of the words are maybe referred to before or after the quote in the interview transcript or the sense just becomes clear in the overall context of the conversation.

Figure V-1: Challenges for monitoring and evaluation



Source: Own figure

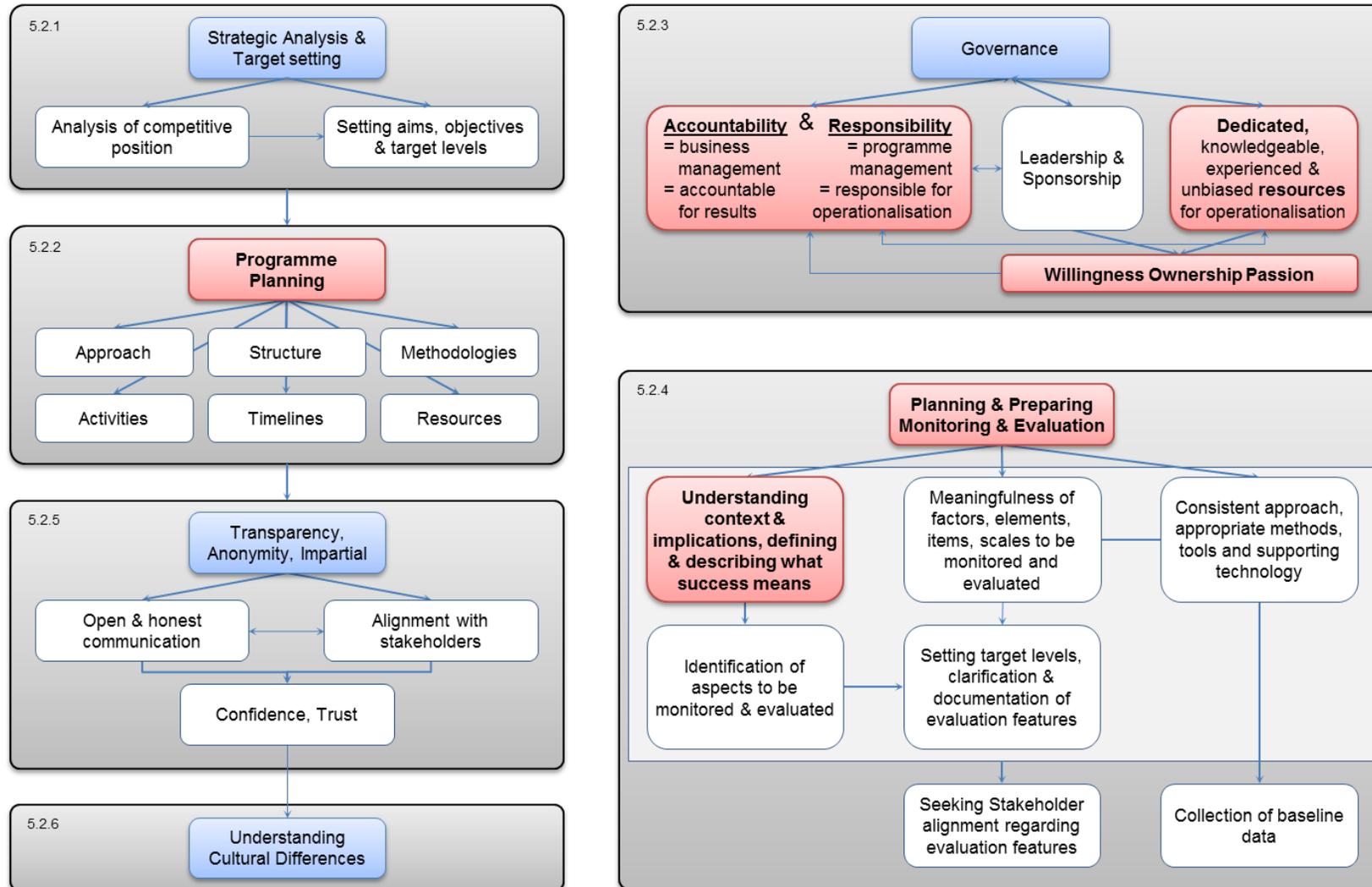
5.2 Prerequisites for monitoring and evaluation

This section presents the findings concerned with basic prerequisites and prerequisite conditions that need to be considered enabling credible monitoring and evaluation activities that make sense and that are being undertaken effectively and efficiently.

Programme management was the main instance being responsible for programme implementation as a means of accountable businesses and functions in the Downstream business. This is indicated by the four-box-model (Figure IV-6) as described in Section 4.4.5: Scope, structure and timeline of the programme.

The findings regarding prerequisites centre on programme management related themes to a large extent. Overall, every research participant raised respective issues and the findings comprise detailed aspects on the following: strategic analysis and target setting, programme planning, governance, planning and preparing monitoring and evaluation, transparency, and understanding cultural differences. The figure below illustrates these aspects as findings of this chapter. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings chapter.

Figure V-2: Prerequisites for monitoring and evaluation



Source: Own figure

5.2.1 Strategic analysis and target setting

The interviewees recognise the need of strategic thinking and regard it as essential to conduct an as-is analyse of the actual situation, competitive position of the company with regard to external as well as internal key aspects.

The results would build the foundation for the strategic change programme to be developed. External or competitive analysis includes for instance competitors, customers, and market trends whereas an internal examination looks at and scrutinises effectiveness and efficiency of processes and organisation structures, and KPIs. Furthermore, interviewees recommend also conducting a weak point analysis of the internal elements.

The results of the analyses provide insights in aspects to be worked on, changed, and improved, outlining the scope of the to-be developed strategic change programme. This in turn should indicate change impacts on and interdependencies between the various organisational units and dimensions.

Subsequently, the analysis and planning aims, objectives and target levels to be achieved as a result of the programme implementation should be as concrete as possible and refer to every business, function, and workstream.

Table V-2: Interviewees' supporting quotes on "strategic analysis and target setting"

Interviewees' supporting quotes on "strategic analysis and target setting"

"...the idea of what needs to be achieved is ... a critical success factor ... that affects where you embed the strategic thinking in your project. If you get that wrong in the initialisation and conception phase then what happens after that ... can be wrong." – [N]

"...looking at competitors, looking at customers, detecting market trends, understanding ... what does that mean for our organisation, how do we position ourselves..." – [Q]

"...weak point analysis ... success factor...initialisation and conception phase, these are decisive phases ... where are we, where do we want to be, where do we want to improve ... how do we want our organisation to look like, how do we want our processes to look like end-to-end, these are essential parts of such a journey ... understanding key performance indicators ... where do we need to improve ... processes ... competitors ... customers ... how can we improve and set up our business best." – [Y]

Interviewees' supporting quotes on "strategic analysis and target setting"

"...Evaluation of situation ... What do we have and what do we want to tackle ... IT landscape ... processes ... questioning the whole organisation structure ... defining the scope of the programme..." – [C]

"...you need to reflect everything ... if you want to have a global implementation like this, you cannot do everything in the same time..." – [A]

"...in the conception phase ... estimating how much change can we cope with ... in which phases ... estimating the appropriate volume ... how much ... are we able to cope with, at once or phased, without paralysing the operational business ... are there any sequences to be considered..." – [C]

"...important ... how to set up the project. Which parts can we do in parallel ... the problem is you cannot do all at once ... process standardisation, simplification, organisation offshoring, outsourcing, business model changes, business portfolio changes ... system replacements ... all at the same time. This will kill you. You need to find a balance..." – [F]

"There have been clear objectives for every area ... very clear defaults..." – [B]

Source: Own table

5.2.2 Programme planning – approach, structure, methodologies, activities, timelines and resources

Based on the previous findings interviewees recognise the need to have a planned structured programme approach with dedicated, aligned, effective and efficient methodologies, models and frameworks comprising methods, tools and guidelines to create, develop, and implement the changes of such a comprehensive programme appropriately.

Planning also involves deriving resource requirements and estimates for the programme, which should also be aligned with the affected CoB/Fs. From the research participants' point of view, this includes dedicated workstreams and teams with clearly defined roles, responsibilities, and work packages globally as well as locally. Based on those responsibilities, interviewees consider an effective reporting and meeting structures with clear communication lines to be important. Although the PMO is regarded as the main instance to manage the programme, the research participants value business accountability and ownership as one of the critical success factors. For all those aspects interviewees notice a need to achieve a shared understanding.

Moreover, timelines, milestones, and work packages need to be defined and planned. Finally, all this needs to be put into an overall change plan or as the CSC did in two plans, which were aligned respectively. These plans were looked at, managed, and aligned with the CoB/Fs in order to ensure programme progress as well as business continuity. Within the CSC and the SCP, this was managed by a so-called Integrated Country Programme Plan. This plan captured all projects that are planned or deployed in a country. It ensured proper resource planning, management, and a country's commitment to deploy its projects.

Table V-3: Interviewees' supporting quotes on "programme planning"

Interviewees' supporting quotes on "programme planning"

"We have three methodologies ... Business Change Methodology which describes the whole organisation design, communication, training activities implementation methodology which describes all the activities within an implementation ... This is like the overarching ... methodology ... IDM Then we have a GSAP IT methodology. And they are all complementary they were all developed approximately at the same time, after DACH they were finalised." – [I]

"...overall the process...with regard to its change scope ... structured approach ... many methodologies, sometimes too much, sometimes too little" – [C]

"...setup we choose here was excellent ... I would run the same methodology or mainly the same things..." – [A]

"...at the end of the day we chuck out 50-60 percent of the global tools, of the global approaches, and redeveloped everything by ourselves. And what we built, that has become the new programme. That was rolled out. And the Go-live was perfect...then the machine was running because we had our tools and templates integrated, everything was there ... I assigned Interviewee K ... Person AC [another external consultant] and Interviewee C to the central organisation. And they helped to roll it out ... It took us until the German implementation... to understand what is needed to steer that thing [SCP]." – [I]

"...methodology ... improved ... from one implementation to the other with the lessons learned. "...after ten [implementations] I think we got to the right [programme] structure..." – [V]

"...key, you need to have that master plan ... You need to know how exactly ... to drive ... change behaviour in country. You need to manage particularly ... the resource requirements in country and at global level..." – [V]

"...split between central team and local team. In earlier implementations... It was ... done ... only locally. There was no central team like ... at the moment ... only some leaders and ... some PMO guys, but no person working on any ERP or process design. They were all in country. The split ... later on made the implementation quite effective. Because you could utilise central team for multiple countries at the same time. That is ... quite intelligent, if you have a global roll out." – [K]

Interviewees' supporting quotes on "programme planning"

"...have very good roles and responsibilities described." – [O]

"...critical success factor ... from the outset having clearly defined the different main areas of responsibility with respective main people in charge ... and that everybody knows his own role and area of responsibility ... the structure of the project ... from the implementation point of view ... was very good ... clear structure, clear meeting structure ... regular exchange with business leaders..." – [G]

"...interaction matrix [Figure 10, p.114]... especially for such a huge change, absolutely key, key, key..." – [Y]

"...many different instances ... different teams ... matrix organisation with respective counterparts... PMO as umbrella function ... very complex but also very efficient ... with hindsight ... this could probably not have been done better." – [B]

"I would keep ... the structure of the project ... I am proud of what we have achieved...thanks to the methods that we developed. A lot of the methods also in monitoring, change management, we had to develop specifically for this project." – [N]

"I have been to other programmes ... I think the SCP was one of the best programmes I have been on. It was so well structured." [O]

"...this is so obvious ... key success factor, proper project planning" – [K]

"...planning of course, good planning. This includes schedule for the programme, resource plan ... budget, defined aim, objectives, targets ... essentials..." – [Q]

"...my key take away is planning, is planning, planning, planning ... planning is never finished ... initial plan that you are going to work against ... during the programme ... requires ... replanning ... high level plan for the future ... then ... start micro ... or medium-level planning for the ... upcoming phases ... becomes more detailed as you get towards the next step... meticulous project planning to keeping to progress." – [D]

"...such a project needs to have clear terms of reference ... which describe ... aim of the project ... timescale ...key project structures such as sponsors, steering committee, project manager etc., plus a number of project stages which are to be defined." – [U]

"...critical success factor is to spend sufficient time on these first two phases ... Usually the effort in the end is much higher than you anticipate before you start planning ... if you don't have a proper setup in the beginning you will always lag behind." – [W]

"SCP was a set of overlapping projects So if you look at the totality the time planning is extremely critical." – [N]

"...two plans, you have the business plan but also your project plan for the SCP implementation which includes organisational things as well as process changes ... employee training ... and all that stuff. These are two plans you need to monitor, two parallel things which influence each other because of the resources, who is responsible, who is doing what, that is a permanent issue ... you simply have to monitor that ... what is the business doing for the next two years ... where do we want to be, what is essential to implement such a structural change..." – [Y]

Further quotes in Appendix 18, p.lxxviii

Source: Own table

5.2.3 Governance – leadership, accountability, responsibility, and dedicated resources

The research participants notice that governance structure plays an important role in huge programmes such as the SCP. Furthermore, they strengthen the importance of having in place, right in the beginning, clear accountabilities and responsibilities with clear escalation lines. According to this, leadership and sponsorship are emphasised as decisive to build the foundation for monitoring and evaluation of the programme. Leaders' buy-in and willingness to monitor and evaluate right from the initialisation phase is vital, as they also have to provide the budget and emphasise the importance of these tasks to the wider organisation. From the research participants' point of view, these aspects also include leaders' ownership with regard to being accountable for the programme and its results having been monitored and evaluated.

Another area that is emphasised strongly in the interviews is about having dedicated resources to accomplish all those tasks needed to monitor and evaluate the SCP and its implementation effectively and efficiently. This refers to the responsibility aspects as mentioned above. Respective resources, a single person or team, should be focused on this specific task to collect and process relevant data. In terms of characteristics interviewees recommend these resources being experienced and knowledgeable about the businesses, being able to take a holistic view taking as well as being passionate about the task and unbiased in dealing with upcoming issues.

To sum up this section accountability is about initiating and enabling monitoring and evaluation as well as being accountable for respective results. Most interviewees state, since the SCP is driven by the business in order to improve its effectiveness and efficiency, accountability should be with the local programme management team comprising the respective business leads of the business units and functions as well as the local programme manager. From the interviewees' point of view this should be a governing body formed as review board as the highest authority.

In terms of the responsibility for the operationalisation of monitoring and evaluation activities – planning, collecting and processing relevant data – this should be assigned to, owned and driven by the local programme manager and her/his team; maybe operationalised by a dedicated specialist team. The local programme management office is seen as supporting body for the local CoB/Fs to achieve their change programme and implementation goals.

Table V-4: Interviewees’ supporting quotes on “governance”

Interviewees’ supporting quotes on “governance”
<i>“...being very, very clear up front on who ... is accountable for that...” – [S]</i>
<i>“...important to define communication and escalation lines because if you give it a free flow, unmanageable...” – [V]</i>
<i>“...prerequisites ... of course that there is a willingness to keep track of what is happening.” – [N]</i>
<i>“...owner of the KPIs and success factors is the business.” – [A]”</i>
<i>“...you need the business to own the change ... the business then tracks the success...” – [I]</i>
<i>“...you clearly need someone dedicated monitoring the overall progress.” – [E]</i>
<i>“...you need to do a lot of tracking. You need to have someone who is thorough, knows the activities we agreed ... You need to have someone who actually goes into the information and evaluates that, and asks where did it go wrong, tries to deep-dive into it and compare the sources.” – [I]</i>
<i>“...must be a dedicated team ... who does ... reviews and this team ... need to consist of the different businesses who are impacted. Not project team members, but business team members.” – [K]</i>
<i>“...must have good knowledge of what the project wants to achieve.” – [K]</i>
<i>“...you also need a lot of experience ... the more you want to measure ... the more you need someone who actually knows what am I actually measuring. And this is the experience which is very valuable.” – [I]</i>
<i>“...the governance structure ... how we set up at global level is quite key ... because you need to get your key stakeholders involved because ultimately they take the decision.” – [V]</i>
<i>“...we have is global class of business structures, we have ... the local and global element, we have ... processes across ... classes of business and functions ... this needs to be managed all at the same time ... we used ... the four box model.” – [V]</i>

Source: Own table

5.2.4 Planning and preparing monitoring and evaluation

The findings in this section centre on planning and preparing monitoring and evaluation. This comprises the following main areas: understanding context and implications; defining what success means; meaningfulness of elements to be monitored and evaluated; consistent approach, appropriate methods, tools and supporting technology.

Understanding context and implications as well as defining, what success means – This is about the identification of what relevant data is about. This requires a comprehensive understanding of the overall context of the company, the objectives of the SCP, its benefits and change impacts as well as coherencies and potential interdependencies within the company and the programme. Interviewees acknowledge the need to clarify what success means by identifying CSFs to be monitored and evaluated, setting target levels, defining success metrics upfront.

Meaningfulness of factors, elements, items, and scales to be monitored and evaluated – The interviewees point to establishing realistic, meaningful metrics and measurable target for hard facts like KPIs as well as soft facts and intangibles like understanding, readiness, or satisfaction.

Consistent approach, appropriate methods, tools and supporting technology – To bring all the relevant information together respondents ask for the development of a disciplined and consistent reporting, monitoring and evaluation approach using appropriate methods and tools, ideally supported by IT technology.

Finally, all this information needs to be documented explicitly, clearly communicated, and understood by all relevant parties in order to seek alignment with relevant stakeholders from the CoB/Fs and within the programme workstreams.

In addition, interviewees mention explicitly the importance of collecting, documenting and retaining baseline data of those things being monitored and evaluated throughout the implementation of the SCP. Otherwise, there is not any data to compare, to demonstrate progress or issues to be revised and improved over time along the change journey.

As a consequence, it becomes evident that these planning and preparatory tasks depend on the governance aspects mentioned above, in particular willingness to monitor but also experience of the company, the programme, and the businesses.

Table V-5: Interviewees’ supporting quotes on “planning and preparing monitoring and evaluation”

Interviewees’ supporting quotes on “planning and preparing monitoring and evaluation”
<i>“...in terms of reviewing obviously project planning is key.” – [K]</i>
<i>“...you have to understand the end-to-end relationships ... the big picture. As soon as you understand this you can start to develop and base on your reporting or steering the whole thing.” – [L]”</i>
<i>“...always define success criteria beforehand in order to be able to measure success and meaningfulness of the project and then for sure also take learnings for the future.” – [B]</i>
<i>“...prerequisite, it is key to know what do I want to monitor and evaluate and how ... in the beginning I need to ... make sure that... list down probably all the criteria ... factors I want to monitor and evaluate, which are key for the success of the whole programme.” – [H]</i>
<i>“...literally putting a number at A. What is the number you are envisioning in B. And then you can measure success.” – [I]</i>
<i>“...important what kind of information or what kind of progress you want to monitor ... which type of information ... spend then a lot of effort to ensure that it is comparable” – [H]</i>
<i>“...it is important ... to develop key figures otherwise you cannot measure.” – [J]</i>
<i>“...that you have some measures where you really can monitor on.” – [N]</i>
<i>“...important that the KPIs are really well supporting the project aim and are providing added value.” – [U]</i>
<i>“...the tool you are using to monitor and evaluate needs to fit with the criteria you want to measure.” – [H]</i>
<i>“...prerequisites even for smaller projects ... to have the right tools available.” – [I]</i>
<i>“...key requirement for a PMO at the end is to create a very disciplined approach.” – [V]</i>
<i>“...baselining and being able to compare. You need to document it, sounds simple, but it is sometimes forgotten ... you need to repeat the exercise... you need to be able to compare it to other companies ... departments ... businesses ... countries. You need to be able to compare it. – [I]</i>

Source: Own table

5.2.5 Transparency

Aspects around transparency, anonymity, impartialness are stressed as prerequisites by many interviewees. First of all, it is argued that the evaluator/s should be impartial in order to avoid bias towards any CoB/F or workstream. Ensuring anonymity is also seen as an important prerequisite in order to avoid fears of repressive measures but instead ensure frank feedback from individuals. In addition, respondents regard the alignment with global as well as local stakeholders as essential. It should be clear to those what is going to be monitored and evaluated, how, when, and for what purposes. Further, research participants underline the importance of transparency in everything evaluators do and how findings come about. This includes open and honest communication, not manipulating, whitewashing, or veiling any data or findings. All these aspects combined are considered as vital to establish another important aspect, confidence and trust in monitoring and evaluation activities and communicated results.

Table V-6: Interviewees' supporting quotes on "transparency"

Interviewees' supporting quotes on "transparency"

"...PMO ... global reviews local, that local does not get lost in patriotism delivering figures that do not represent reality." – [C]

"...prerequisite is definitely that the project management office ... are impartial." – [D]

"...you need to have a PMO Team that is exclusively responsible to monitor unbiased at that." – [R]

"...one of the most important prerequisite is openness. Openness of involved people responsible and also openness with managing resistance is absolutely important" – [F]

"...there needs to be trust ... open and honest ... otherwise people will not open up telling the truth." – [M]

"...giving honest and comprehensive feedback." – [U]

"...key prerequisite ... to align this definition or this list of critical success factors ... I want to measure ... with the ... different stakeholders and sponsors." – [H]

Source: Own table

5.2.6 Understanding cultural differences

As the overall SCP is a global undertaking, cultural aspects in the light of monitoring and evaluation are recognised by some of the interviewees, especially those who worked in several country implementations of the SCP.

Interviewees notice differences in terms of responding to reporting requests, raising and disclosing issues to be solved depending on the country or region monitoring and evaluations are about. In some country implementations progress, deliverables, milestones, and other issues were not dealt with openly and honestly but concealed. Research participants report that there is a need on the global evaluators' side to be able to interpret certain reporting results and statements and to grasp what the situation in the different countries is really about. Finally, from their point of view establishing trust and having close relationships helps to understand a "situation".

Table V-7: Interviewees' supporting quotes on "understanding cultural differences"

Interviewees' supporting quotes on "understanding cultural differences"

"...not only ... close tracking, but also ... close relationship between a global programme perspective and a local ... PMO ... ensure that you... also can read between the lines ... only status reports on a piece of paper are sometimes a bit dangerous ... as you have different cultures... if you are dealing with a global implementation in different cultures ... different regions of the world... you might find a German status report quite open and honest ... helps you ... to mitigate issues ... if you look ... at an ... Asian country ... you will always find green lights, everything is fine." – [H]

"...when you do a survey ... you need to know the cultural element. A participation in a survey of 50% in Germany is extremely high ... you can be very proud ... In Asia, you easily get 100%. You might not get an honest result. While in Germany, the 50% might have been quite honest. So you need to put in the cultural aspect into your measurement." – [I]

Source: Own table

DISCUSSION – Prerequisites for monitoring and evaluation to overcome potential challenges and barriers

In this work, the understanding about the relationship between challenges, barriers, and prerequisites for monitoring and evaluation is that the former two, potentially impeding monitoring and evaluation activities, can be overcome if corresponding prerequisites are met. In this respect, the literature and findings complement each other. Both, literature and the interviews reveal that the key to conduct monitoring and evaluations in change programmes is the willingness to do it (Skinner, 2004b). Since SCPs are mostly initiated from the top management, its willingness is vital to initiate monitoring and evaluation. This is the very starting point and can be considered as the most important aspect. However, this is more easily said than done, as the willingness can be inhibited by a number of factors. Political reasons and hidden agendas with those being accountable for a SCP are considered to be the strongest inhibitor in the literature (Skinner, 2004b; Russ-Eft & Preskill, 2009).

Other reasons not to initiate a formal monitoring and evaluation process as identified in the literature are perceived lack of need, negative experiences from previous evaluations, fear of dealing with negative outcomes and related consequence management, inherent value of the change programme to be implemented. The effort for operationalisation is estimated higher than the benefit (Skinner, 2004b; Millmore *et al.*, 2007; Patton, 2008; Russ-Eft & Preskill, 2009). This is different to the findings from the case study where the challenges are not focused on whether to conduct such activities or not but centre on more operational issues. These are concerned with contrapositive viewpoints over whether to use rather objective-quantitative or subjective-qualitative measures (Butler, Scott & Edwards, 2003). This is related to another challenge identified by both the literature and interviews, monitoring and evaluating soft elements or intangibles like leadership, understanding, readiness, or attitude (Phillips & Pulliam Phillips, 2007).

Further, it is recognised in both arenas that isolating and assigning effects of certain actions in a change programme is not always possible which represents another challenge for monitoring and evaluation (Phillips & Pulliam Phillips, 2007).

The findings from the case on prerequisites are closely linked to the literature from Section 3.4: Evaluation strategies and planning evaluations. The interviewees assign importance to governance in the form of accountability (initiating an evaluation and being accountable for results) and clear responsibility for operationalising monitoring and evaluation. They also recognise the need to have dedicated knowledgeable and experienced resources for such tasks. Both findings correspond with the arguments of Russ-Eft & Preskill (2009). Another key area in the findings refers to dedicated planning and preparation of monitoring and evaluation. Like in the literature (Russ-Eft & Preskill, 2009), interviewees emphasise the necessity of understanding the context of the organisation and the SCP in particular, including its implications. The study participants provide even more detail by stating that they consider it to be essential to define what success means in order to be able to judge on it (Andersen *et al.*, 2006; McLeod, Doolin & MacDonell, 2012; Turner & Zolin, 2012).

Moreover, the findings highlight the relevance of identifying those aspects that need to be monitored and evaluated and that these factors, elements, items, KPIs, or scales should be meaningful. Accordingly, research participants point to the need to set clear target levels for these aspects and document them respectively and also all other evaluation features for future comparison. The literature and the case study findings accentuate the relevance of using a consistent monitoring and evaluation approach (Stufflebeam & Shinkfield, 2007; Russ-Eft & Preskill, 2009) with dedicated methods, tools, and supporting technology to enable effectiveness, efficiency, and credibility. Stakeholder alignment regarding the monitoring and evaluation features is considered to be another essential element for several reasons. First of all, the involvement and engagement combined with open and honest communication fosters transparency, acceptance and as a result trust and confidence in the programme as well as in the monitoring and evaluation process.

Secondly and based on that trust, stakeholders are willing to provide data and information when asked for. This stakeholder perspective reflects also the understanding of existing literature (Russ-Eft & Preskill, 2009).

One seemingly obvious aspect centres on the fact of collecting and safely storing baseline data. This should be ensured throughout the whole evaluation process. However, this was not always the case within the SCP implementation, and consequently it is difficult to compare intermediate or end outcomes and results.

There is one more topic to be discussed, programme management and planning. Literature refers to programme management and planning as CSF extensively (section 2.7.3.5) whereas the findings from this study refer to this topic also as CSF indeed but even more strongly as a prerequisite for monitoring and evaluation. For the programme as such and for monitoring and evaluation of a particular programme approach, structures, roles and responsibilities, methodologies, activities, timelines and resources are emphasised. The significance of planning is even more accentuated in both literature and in the case.

Without proper planning and having the elements as identified (3.4, 5.2.4) monitoring and evaluation would be even harder to accomplish. Therefore, programme management and planning is considered a key prerequisite and CSF at the same time.

To sum up, most important is to achieve and maintain a perception that monitoring and evaluation is valuable and beneficial and to foster the willingness to assess the SCP implementation. The willingness is the very starting point. Without that, it is pointless to proceed. Once achieved the findings on prerequisites should be applied to overcome the identified challenges and potential barriers for monitoring and evaluation.

5.3 General critical success factors to be monitored and evaluated

The previous two sections (5.1, 5.2) shared insights regarding challenges and prerequisites to be considered for monitoring and evaluation SCP as implemented by the case study company. This and the next section (5.3, 5.4) present and discuss the findings on CSFs. Before the CSFs from the case study findings and the literature are related to each other, some general and introductory comments are made.

First of all, the CSFs are structured in a different way. In the literature review chapter 2.7, the CSFs are assigned to three categories such as management and leadership, organisation, and change programme. The findings from the case are only divided into two dimensions: general CSFs and change content related CSFs. The latter corresponds directly with the third category from the literature review. CSFs forming the general dimension within the case include the other two from the literature review since there is no real need identified to have a further differentiation.

Secondly, an interesting observation during the interviews was recognised. Interviewees talked more about CSFs in general and less explicitly about those to be monitored and evaluated. The same phenomenon can be recognised in the literature. When recognised during an interview it was asked explicitly for those CSFs to be monitored and evaluated. Moreover, CSFs most often identified and most strongly emphasised are of general character (5.3.1 – 5.3.9) rather than related to the specific change content (5.4.1 – 5.4.4). This observation is also reflected in the literature, both within literature dealing with managing change in organisations in general and also within those fields being concerned with dedicated types of projects like OSC, BPC, or ERP changes.

Frequently, literature from the latter also identifies the most important CSFs as being those that are not directly linked to the specific change content but need to be considered in various types of change implementations. This offers the potential for transferability of the findings to other contexts.

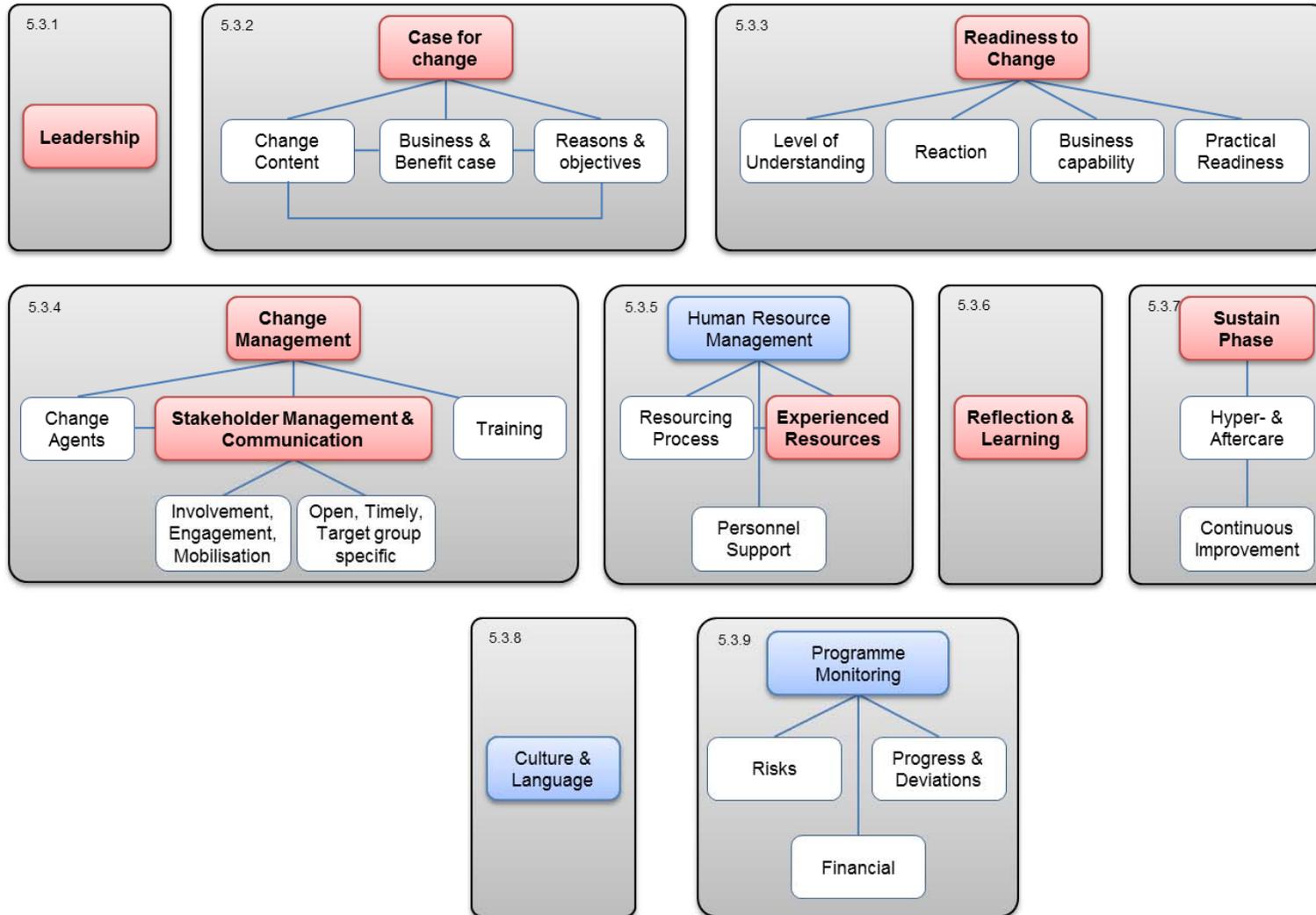
Moreover, many of the most significant CSFs seem to be of a soft nature (e.g. leadership, understanding case for change, readiness to change) rather than hard factors or KPIs (e.g. financials, progress, deliverables). This makes it more challenging to make monitoring and evaluation results widely accepted since this opens the door for potential criticism. The softness of CSFs as well as the issue of credibility links back to the *challenges and barriers* as discussed in the previous two sections.

Subsequently, the CSFs are presented and discussed in descending order of significance evaluated from the researcher's point of view. However, very often this understanding is also reflected in the literature. The findings on CSFs are divided into two separate sections. Section 5.4 provides insights into change content specific CSFs that are directly linked to the types of changes. This section presents and discusses the identified CSFs to be monitored and evaluated throughout a SCP and its implementation in general (5.3.1 –5.3.10). The findings refer to the following main nine areas: leadership, case for change, readiness to change, change management, HR management related aspects, reflection, and learnings, sustain phase, culture and language, programme monitoring and evaluation as well as a final group of miscellaneous general CSFs identified in the literature but to which no major importance is attached by the interviewees of this research.

Where necessary, the findings are cross-linked (indicated by italic words). Many more connections are identified but a thorough discussion would go beyond the scope and word limit of this work. The most important ones are integrated in this work. The full picture can be found in Appendix 22: Findings connected.

As effectively as possible, the CSFs are presented in descending order of importance from the researcher's understanding about the findings. The figure below illustrates the elements of this chapter. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings chapter.

Figure V-3: General critical success factors to be monitored and evaluated



Source: Own figure

5.3.1 Leadership

The area of leadership is given most emphasis and is valued as most influential to success of the SCP and its implementation by the research participants. Since the SCP is of significant character to various stakeholders, it requires the highest possible management attention globally as well locally.

The Global Programme Director (Interviewee N) confesses that his role could have been positioned and aligned even higher in the hierarchy of the line organisation. This would have supported him in discussions with peers then at the highest leadership level of the Downstream business. In fact, he was one level below.

Irrespective of whether on a global or local level it is recognised that such a change is first and foremost a senior leadership task where change leadership – change management on senior leadership level – is required.

Many interviewees clearly articulate how important leadership in such a programme is, that leaders need to understand the case for change – the full picture, impact and consequences of the programme. Furthermore, local management ownership and commitment of most senior business leaders and the country chair, their buy-in, backing the decision and supporting the programme are also regarded as essential. This is not always easy as they also have to accept and to cope with the change, which is mainly induced by their global counterparts.

In the local programme implementation high management attention was achieved by the institutionalisation of a dedicated management decision board deliberately for this programme (DCT) being the highest authority in country for programme purposes. This board was supported by a so-called Operational Coordination Team (OCT), consisting of second and third level managers and subject matter experts from CoB/Fs and programme workstreams. These two bodies combined and the overall programme structure enabled and fostered alignment, interaction, corporation, teamwork, and team play among senior leaders across CoB/Fs and workstreams.

The findings on leadership are closely linked to those of integration management (5.4.1). Alignment within leadership teams includes seeking a common and shared understanding about the programme, aligning differing agendas and goals of the different businesses according to the programme goals. This is seen as a precondition of being able to manage severe programme issues and a prerequisite for alignment further down and across the programme and the organisation across CoB/Fs.

Via the OCT, alignment and integration management are joined, supported by an end-to-end reporting disclosing handoff points from one CoB/F to another. This was then put up one level to the DCT in case final decision-making was required.

In the SCP, there was particular focus on leadership mobilisation, management engagement and this again was institutionalised especially by the C&E workstreams “Guide Change & Mitigate Risk”, “Mobilise leaders”, and “Engage & Communicate with Stakeholders” (see again 4.4.4 or Appendix 6). This was also used to engage, mobilise, and support their middle managers enabling them to communicate to their business and briefing their staff accordingly.

Interviewees also referred to leadership and characteristics they should encompass with role model function such as courageous, willing and able to negotiate with global programme leaders, resilient, assertive, credible, reliable, well-respected and accepted in the organisation, as well as being committed and dedicated to the change implementation.

As mentioned in section 5.3.5 it is also seen as a leadership task to free up resources for the programme but also for themselves helping individual leaders to be free from operational tasks. They still have their day-to-day job and to run the programme in parallel. Finally, the leaders should be supported so that they are able to perform their important role for and within the SCP.

Table V-8: Interviewees' supporting quotes on "leadership"

Interviewees' supporting quotes on "leadership"

"...a project of such a scale and magnitude ... was referred to in quarterly reports... SCP was announced to the stock exchange and the company's shareholders." – [C]

"...one of the points that I discussed also with Person BK [Executive Director of the global Downstream business] who was at that time ... not my direct boss, to hang it [Interviewee's N role] up ... higher ... in the organisation. To really make clear this ... is a project that the CEO or the Director of Downstream supports. I was in fact one step too far away... not being an issue, but it would have sent a clear signal to the organisation. And would have also helped me in the discussions with the peers then at the Downstream leadership team to convince them or to twist their arms to do certain things which was now more difficult. Because in fact they were one level higher. So I think I would have put that higher up." – [N]

"Top Change Manager is the CEO. Period. This is not to be delegated. Leadership task." – [L]

"...leaders to lead ... all depends on how strong you are as a leader ... leaders have to be strong. The leaders need to make time for that [SCP]. The leaders have to go into details. They have to make decisions." – [L]

"...one of the most important factors right in the first phase is that you have senior, senior, senior leadership... It can't be high enough." – [W]

"...first is really to understand ... the change ... that begins with the management, that the management has a clear understanding of what ... are we doing and why are we doing this, can explain and communicate the change." – [E]

"Of course it has different impact if you miss senior commitment." – [D]

"...high level of buy-in of the Downstream management team ... the local most senior managers in the organisation... And all these people supported this major change..." – [E]

"...leadership and ownership by leadership ... decisive as I said before ...a key success factor is leadership buy-in." – [K]

"...critical success factors ... the most important one is that the leadership team of the organisation supports the strategic change without hesitation and not in half-hearted way." – [N]

"...main thing is ... make sure that your business leaders support the change..." – [E]

"...one of the critical success factors...the DCT...where you had to disclose and explain severe unsolved issues ...or... where you are behind schedule ... DCT people really derived solutions. That is decisive." – [Y]

"We managed the whole thing via leadership. We integrated the whole organisation, we involved ... the management teams, from the beginning... one and a half years [before Go-live] without any help from Global ... and we rocked it ... And ...Go-live was perfect." – [L]

"It is important that the leadership team of the company [or country] understands what is all behind [strategic change programme]." – [L]

"...Operational Coordination Team ... there was the clear message given by our LS DR [country chair]... this is your responsibility business ... please monitor your KPIs." – [A]

Interviewees' supporting quotes on "leadership"

"...get ... alignment in the [SCP] leadership team at the highest level about what is it you try to achieve, what is it going to cost, what is it not going to deliver etc." – [N]

"Coordination within DCT which I would simply describe as coordination to overcome silo-mentality." – [Q]

"...that is a leadership role. The mobilisation needs to come from the top leader." – [K]

"...equip ... team leaders and line managers with these kinds of changes ... that they can brief their own teams on the impact it has on the processes or the team itself or even individuals." – [U]

"...he [Interviewee L] was very strong and made it clear to the global guys and they in the end accepted it...one of the key success factors ... have strong leadership in the project ... people who ... cannot only provide a strong lead but who are also well respected in the local organisation." – [O]

"But that was not something that the global people found funny. They were not very satisfied. But we had a strong lead here ... he [Interviewee L] said ...this is the way how it's being done and we will not provide any more information ... he was so strong, so he could really push it through and then it was the benefit for us all here locally..." – [O]

"...coaching of leaders, helping them to develop. Not that they are not good leaders, but helping them to develop for this situation ... helping ... individual leaders who still have their day-to-day job to run this programme in parallel. And this is something you can look at as well ... to support the leaders." – [I]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Management and change leadership is one of the most decisive factors and drivers for successful change implementation, and strategic changes in particular. Both, literature and case study findings share the same view. Top management support, their buy-in, commitment and ownership for the change are those terms being emphasised most strongly in the literature (e.g. Hrebiniak (2006), Whelan-Beryy & Somerville (2010), Pinto & Slevin (2008)). The case study findings also strengthen the importance of highest possible management attention.

Moreover, the interviewees clearly underline the significance that the leaders *understand the case for change* of the programme early – the full picture, impact, and consequences.

This provides the foundation for further decision-making and subsequent actions, such as *programme planning, stakeholder management, communication, coordination, and alignment*.

This work underlines the importance of leaders being able to influence and move others into purposeful actions (Hrebiniak, 2006). The term change leadership exposes that *change management* or the management of change on senior leadership level is required as clearly stated in the interviews. As a reminder, McKinsey's global study (McKinsey, 2008) points out that those transformations where the CEO or relevant business leaders are clearly visible and strongly involved are more successful compared to projects where this is less the case. However, not only the top management is regarded as essential but also middle managers as interface between top management and employees. This is also reflected in the literature and in the case study findings. In the case, management and leadership mobilisation were achieved by the *OCT* as such as well as through common management engagement sessions and away-days. Moreover, the need for management *alignment* is exposed in this work (literature and case), since many different CoB/Fs are affected in a SCP. This requires a dedicated coordination and *integration management* on top-management level. In the case, this was accomplished by the *DCT*, the highest management decision board being accountable for the SCP realisation in DACH. This body consists of all top leaders from all affected CoB/Fs, local programme leader, country chair and the local leads of the major programme workstreams. The *OCT* was another body that was decisive for the implementation success. It was responsible for deciding on operational issues related to the strategic change programme implementation, one level below DCT. It consisted of second and third level managers and subject matter experts from their CoB/Fs and programme workstreams. Both bodies conducted a lot of monitoring and evaluation activities on a regular basis in an integrated manner, DCT monthly and OCT weekly, mainly on change content related issues.

These two bodies ensured all those significant requirements for monitoring and evaluation are met as discussed in Section 5.2 and this also demonstrates the willingness to monitor and evaluate.

With regard to monitoring and evaluating management and change leadership as such, the findings suggest review of the following: participation of senior managers in important meetings and events, how they assign and free up key knowledge holders and subject matter experts, how managers and leaders behave in meetings (silent, resisting, actively promoting the change and looking for solutions rather than always arguing against the change).

The level of detail provided by the case study findings related to “how” and “who” in terms of conducting monitoring and evaluation activities (DCT, OCT: Table V-31 and overall in 5.5.1) was not found in the literature. More detailed information about what to monitor and evaluated when, how and by who can be found in Section 5.7 (Figure V-9: Framework for monitoring and evaluating CSFs in strategic change programme implementation). This is also applicable for subsequent sections.

5.3.2 Case for change

Every interviewee talked about the importance of having a clearly defined case for change. They stated that successful change processes always have a compelling case for change and a sense of urgency. Research participants emphasised the need to fully understand early what the programme is all about and what concrete effects are to be expected, in particular by those with overall responsibility for the implementation and accountable for the results. From the interviewees' point of view, the case for change should comprise the big picture of the SCP including context, reasons and drivers, business benefit case, outlining upcoming changes, according impacts, dependencies and interrelations. The interviews revealed the importance of explicating what the change is about, explaining the situation as-is and outlining the anticipated world.

This would refer to the concrete change content, its scope, impact, meaning, and implications for the company as such but also for each CoB/F. The context and the reasons why this programme is to be undertaken need to be made equally clear to all relevant stakeholders as potential alternatives and opportunity costs.

As recommended by the research participants these explanations should also refer to clear objectives and anticipated outcomes and results, which are linked to the business case. The compelling business or benefit case needs to be prepared, calculate, and broken down into various organisational dimensions (anticipated benefit, distribution of costs). Further, interviews stated that it should be explained and aligned within leadership team of all CoB/Fs. All this information needs to be worked out explicitly being able to explain it deliberately to all relevant stakeholders and to achieve understanding and acceptance as much as possible (see also 5.3.4.2, 5.3.3). This information should also include or be followed by explanations how the SCP is going to be implemented. This is dealt with in section 5.3.4 and 5.3.4.2 in particular. The case for change can also be understood as prerequisite for institutionalising the integration management (5.4.1.2) since without having a clear picture about the case it cannot be set up.

Table V-9: Interviewees' supporting quotes on "chase for change"

Interviewees' supporting quotes on "chase for change"

"...you need to understand the A, the start and the B, the where you want to be ... regardless how big the change is from A to B, this is the key thing to understand." – [I]

"...first is really to understand what the change is. Then understand why we are doing the change ... that begins with ... that the management has a clear understanding ... what are we doing and why are we doing this, can explain and communicate the change." – [E]

"...every business needs to understand what is the change which is coming..." – [A]

"...the case for change should be clear and the sense of urgency should be clear." – [T]

"...you have to ... make clear the overall relationships quite early..." – [L]

"...building a compelling case..." – [D]

"...fully understand the impacts and the benefits of the change programme..." – [K]

"...conception, initialisation ... the idea of what needs to be achieved is there as a critical success factor ... that affects where you embed the strategic thinking in your project." – [N]

"...key success factor was that we tried to explain people why we did all this change. This is one of the most important things that people understand whatever you do, why you are doing it." – [A]

"...essential to take the people with you on the journey that they understand why it is being done." – [B]

"...proper reasoning why we should do that." – [D]

"...first critical success factor reflect upon where do I want to be... what is my vision ... what is my aim?" – [Y]

"...it is important that you have calculated a good business case that is realistic..." – [B]

"...be very clear in the initialisation and ... conception phase what are the benefits ... make ... case very clear to the whole organisation ... understandable for each individual." – [K]

"Critical success factors ... identifying what your business case is, your business benefits." – [S]

"...business case for the project in terms of profitability ... real ... tangible targets ... We had one on global level but not at local level." – [V]

"...business case ... understandable for stakeholders..." – [F]

"...get the messages down to your employee level ... not only the manager needs to understand it..." – [A]

"...you need .. to ... know, how do you get such a big company behind an idea" – [I]

Further quotes in Appendix 18, p.lxxviii

Source: Own table

DISCUSSION and RELATION to the LITERATURE

In principle, the literature and case findings identify the same aspects. However, the literature relates the case for change tied more to strategy implementation on a rather higher strategic level (Noble, 1999b; Beer & Eisenstat, 2000). The findings from the case study look at strategy and the case for change more related to the SCP and its implementation as such. However, the synthesis and connection of both are vital for successful SCP implementations.

Thus, for the case it would have been helpful if the link to the overall strategy, the big picture, context, drivers, and chain of causality were understood earlier in the change process. In the beginning, the understanding centred on the ERP implementation as driver. However, in fact the change was driven by *business model changes* resulting in *business process and organisation structure changes*.

This in turn needed to be built up within the *IT/ERP* systems in particular, which is subject to change itself. This misunderstanding or late understanding caused quite some change content related problems since the implications cross-CoB/Fs could not have been managed appropriately. This is discussed further in Section 5.4.1. However, it is recognised that the understanding of the case for change is closely linked to *change content related CSFs* and due to the case as such also to alignment and coordination, which is termed *integration management* in this work.

A compelling case for change concretises what the programme is all about. This builds on the literature (Noble, 1999a; Shehu & Akintoye, 2011; Jacoby, 2012; Williams *et al.*, 2012) and includes components as presented in the table below.

This compelling case for change does not only need to be described and documented but also clearly *communicated* and well understood at all levels throughout the organisation, and in the affected CoB/Fs in particular (Bryson & Bromiley, 1993; Bedingham & Thomas, 2006; Pinto & Slevin, 2008; Campbell, Edgar & Stonehouse, 2011).

Table V-10: Components of a compelling case for change

Components of a compelling case for change
• Context of the organisation and its strategy
• Drivers and reasons to change
• Meaning and implications for the company as such but also for each CoB/F
• Objectives and anticipated outcomes formulated in a business benefit case broken down into various organisational dimensions
• Outline of the SCP with its upcoming changes, scope, subsequent impacts, dependencies and interrelations

Source: Own table

A broad and at the same time in-depth understanding is significant for successful change implementation. Consequently, it is important to monitor the level of understanding about the case for change right from the beginning, starting at the top with the *management* and when the case is communicated subsequently also at every level downwards in all areas which are affected by the change.

This can be done for instance with *formal or informal talks* by business leads, line managers, *change agents*. The level of understanding can also be assessed with a *questionnaire*.

5.3.3 Readiness to change

The theme of readiness is regarded as vital by a vast majority of the interviewees. Based on what they talked about, the understanding of readiness paraphrases as individuals' or organisation units' understanding and feelings as well as factual capabilities for the upcoming changes induced by the SCP and its implementation. In other words, it is about mental and practical readiness, being willing and able to deal with the changes properly.

Readiness can be looked at across various dimensions: stakeholders like individuals or CoB/Fs and change content related, like in this case readiness of new global standardised business models, global standardised processes, and organisation design models, IT systems readiness as well as compliance compared to the global standards. Consequently, readiness deals with soft as well as hard aspects or facts. The former builds the ground for the latter. Hence, before the readiness of the hard facts can be looked at, the soft facts need to be understood. As a matter of fact, soft elements like understanding are a precursor for dealing with hard facts.

Understanding comprises the elements of the *case for change* (5.3.1), knowledge about the programme in general, what it is all about, its impacts and meaning, but also the when, how, who needs to be understood. In addition, linked to all this understanding, the underlying reasoning for the programme is considered to be necessary.

Readiness is influenced by the level and kind of information as such (content) but also how, when, who communicates as well as how individuals are treated and affected (job changes) by the programme. The mental readiness to change can be observed and recognised as reactions, behaviours, or mental states that in turn are composed of thinking about programme, attitude, and mood, level of acceptance, commitment and support, motivation, satisfaction or resistance.

On the "hard" side, individuals' readiness to change refers to the ability and capability to accomplish certain tasks in the programme (if assigned to it in whatever role) as well as being able to perform a potentially new or changed job or role after the changes are implemented.

These aspects refer to skills and knowledge and are linked to the findings of onboarding, knowledge transfer, and training (also related to sections 5.3.4.3, 5.3.5.1/2).

Business readiness on the hard side is related to the change content of the programme and is concerned with the CoB/Fs' capability to manage and implement the changes in their area (related to 5.3.9, 5.4.1.3, 5.4.2 – 5.4.4). This includes being able to accomplish all relevant programme tasks, running the daily business, as well as managing self-initiated and own business projects that are not related to the overall strategic change programme.³² This business readiness also includes the preparedness of the people working in respective CoB/Fs that is a combination of soft elements like understanding and willingness but also hard skills, functional, technical, and professional competence.

Also from the quotes below it can be recognised that readiness is linked to other CSFs identified by the interviewees, such as *leadership* (5.3.3), *case for change* (5.3.1), *stakeholder management and communication* (5.3.4.2) as well as *alignment and integration management* (5.4.1).

Table V-11: Interviewees' supporting quotes on "readiness to change"

Interviewees' supporting quotes on "readiness to change"

"...success factors ... is really that ... the employees, the management are ready for ... understand the change, support it ... that you prepare the organisation and the processes in the organisation, that this change can be implemented." – [E]

"...key for such an implementation is really that people have understood why you are doing this ... that you get a really good feeling whether your organisation is really able or ready to implement this big change." – [A]

"...key success factor ... you need to review somehow also the soft elements ... did people understand what ... and why you are trying to change it ... one of the difficult things how to measure it...you should focus on ... the people area and ... monitor this stuff." – [A]

"...I do not know whether you want to call it monitoring ... I hope every manager listens to his employees ... feedback from your employees ... still the best monitoring where you get feedback if things are going wrong or right. That is at least my view ... my learning out of 30 years here in CSC." – [A]

"One thing is whether they understand it. The second thing is whether they accept it. The latter is more difficult for sure. The former is easier." – [R]

³² The SCP was given the highest priority in the Downstream business and all other projects were subordinated.

Interviewees' supporting quotes on "readiness to change"

"Critical success factors ... acceptance of the change programme within the organisation ... people need to understand and accept the changes, why they are happening, when and what the impact is for them ... this is important to be monitored and evaluated throughout the whole change journey." – [H]

"...awareness sessions ... we checked staff briefings ... whether they [employees] understood the future organisation and whether they feel that they are well informed." – [W]

"...critical success factor is also that the people after the implementation, after such a dramatic change, as we had it here, are still motivated and willing to work for CSC and support the new processes and the way the organisation is designed and works." – [E]

"...we had people in the businesses ... trying to get ... to have a regular temperature check, if people are ... accepting what needs to be done ... if they are following the implementation." – [H]

"...process understanding ... did people understand the training..." – [C]

"...end user ... measurements, we called it change readiness assessments ... 'Do you understand what your role will be when we go live?'" – [I]

"...change readiness assessments that we did in the organisation. We asked the whole end user community, couple of weeks and months before Go-live 'How ready are you? Have you understood your training stuff? Have you understood your new job? Is your boss talking to you about your new job?' etc." – [K]

"...assessment process of your staff ... would be helpful ... really see that the people are ready to ... their new roles." – [E]

"...looking on business readiness, testing readiness, training, organisation design readiness ... every business needs to understand what is the change which is coming ... and what does this mean in respect of organisation ... you need to measure it ... are you implementing your businesses in the right way." – [A]

"...you need to check with your businesses are you able to deal with all this programme stuff...because on top of the [SCP] implementation which was already quite a challenge ... we had 500 projects on the list ... the business itself had also business projects which are not all aligned with SCP [at the beginning] ... you need to challenge this...we had a business plan for all businesses [called "Integrated Cluster Project Plan, ICPP" – Interviewee Y] ... you need to ask on a monthly basis, at least ... on a biweekly basis, are you still able to run your programme... there was a permanent challenge via the DCT at that time whether the businesses ... able to run this project." – [A]

"...in parallel to those readiness reviews [BRR] we had a checklist which we looked into on a biweekly basis by country ... dashboard approach ... with traffic lights for various key areas, business related, IT related, Change & Engage related ... we ... discussed with the local PMO and global PMO on a biweekly basis." – [V]

"...satisfaction surveys. If you ask the people in the project team: Are you happy with the work you do? Do you feel comfortable with the work packages that you got? Do you feel overloaded or not?" – [K]

Further quotes in Appendix 18, p.lxxviii

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Like the *case for change*, readiness to change is also reflected in the literature and in the case study results in a similar manner. However, the majority of the literature concentrates on mental readiness, whereas the case study findings add and stress the importance of practical readiness. The former is concerned with thinking and attitude about the change. Organisational change is often accompanied with feelings of discomfort and uncertainty leading to resistance if not taken care of and managed professionally (Creasey & Taylor, 2014). Since a SCP mostly affects the whole organisation or business unit at all levels, managers and employees might be concerned about the changes because they fear losing authority, influence, control or, even worse, their job (Huq, Huq & Cutright, 2006; Abdolvand, Albadvi & Ferdowsi, 2008; Campbell, Edgar & Stonehouse, 2011).

This might impact on moral, trust, work satisfaction and consequently on productivity (Lee & Teo, 2005). In order to prevent unnecessary resistance *stakeholder management* and *communication* play a decisive role (Section 5.3.4.2) which in turn is linked to the level of understanding about *case for change*. The latter is a kind of prerequisite for stakeholder management and communication. Only if the case is understood can relevant stakeholders, their thinking, and attitude be guided, shaped, and influenced by communication, involvement, and engagement to prevent or overcome resistance and in achieving mental readiness. Moreover, *leaders* and also *change agents* play an important role to achieve a high level of acceptance and readiness to change, in particular when and how they communicate about the change and how individuals are treated. This is more strongly accentuated in the case than in the literature, and hence, adds an important emphasis to the literature. Interviewees even emphasise the importance of maintaining the motivation and willingness to work for the company after the SCP was implemented.

The second dimension in terms of readiness focuses on practical readiness. In this work it is understood as CoB/Fs' and individuals' capacity (time, resources) and capability (knowledge, skills) to accomplish certain tasks in the programme and to manage and implement the planned change in their areas. Accordingly, business readiness includes the preparedness of the people working in respective CoB/Fs, which is a combination of soft elements like understanding and willingness but also hard skills, functional, technical, and professional competence. Again reference is made to Todnem By (2007) who claims that there is a correlation between the level of readiness to change and the successful management of changes.

Consequently, mental as well as practical business readiness needs to be monitored throughout the change process. Mental readiness can be monitored formally (*survey*) or informally (*talks*), for instance by line managers or *change agents*. Dedicated *outside programme reviewers* are recommended to undertake evaluation of business readiness.

5.3.4 Change management

The next area identified as critical to success relates to change management. In this case, it consists of several fields, which could also have been presented as separate themes. However, the findings are grouped according to the composition of the change management workstream in the SCP (Change & Engagement [C&E], Section 4.4.4). Change management as a whole is dealt with before associated themes are addressed in more detail. Interviewees regard it as key enabler and one of the most important factors for successful implementation. C&E was institutionalised by a dedicated comprehensive methodology (business change implementation methodology: BCIM) providing methods, guidelines, tools and templates supporting the planning, structuring, organising, execution and implementation of the SCP. The main objective of this workstream is to explain, get in the programme into the mind of the stakeholders, engage, convince, and prepare them for the upcoming changes. C&E is viewed as a kind of risk management to avoid, mitigate, and/or reduce conflicts between programme and CoB/Fs, managers and employees, programme and work council or between any other stakeholders.

Interviewees recognise that change management requires or is a specialised skill and therefore numerous dedicated qualified and experienced people are needed for those activities. It is even more strongly emphasised by the Programme Manager for the DACH Cluster (Person L) who stated that change management is first and foremost a senior leadership tasks.

Table V-12: Interviewees' supporting quotes on "change management"

Interviewees' supporting quotes on "change management"

"...that is key. And that is why we spent from the beginning a lot of effort on the change management...change management activities are key for such programmes..." – [N]

"People underestimate the importance and the value of Change & Engage in projects like this and even in the operational business." – [V]

"I think this is one of the key factors ... for me it is more than 50 per cent ...of the success story." – [A]

Interviewees' supporting quotes on "change management"

"...very important piece and success factor at the end of this change programme is the Change & Engage part" – [H]

"...definitely we have seen the evidence that we need dedicated people." – [I]

"...Change management is key. And that is also why we had pretty senior people on it, [Interviewee T] here is a very good example." – [N]

"I think the workstream 'Change & Engage' is one of the very, very critical parts for the success of SCP or for any of those large scale change programmes." – [T]

"...finally the programme has been that successful because of the most critical of all success factors change management on management level. That has been decisive..." – [Y]

Further quotes in Appendix 18, p.lxxix

Source: Own table

The findings comprising associated themes are addressed in more detail in subsequent sections 5.3.4.1 Change Agent per business line and function, 5.3.4.2 Stakeholder management and communication, and 5.3.4.3 Enablement – knowledge transfer and training. The discussion and relation to the literature follows after the final subsection (5.3.4.3).

5.3.4.1 Change Agent per business line and function

Change agents are identified as another key enabler to success in the change process. They are representatives from their CoB/Fs being described as ambassadors of the change and acting as interface and kind of mediator between the change programme and their line organisation. The task of a change agent is about supporting the leader of his/her line organisation to drive the change, facilitate communication and seek involvement and engagement of internal and external stakeholders. Another significant task was about to manage the organisation design changes under the umbrella set by line management, HR, Programme Management.

Moreover and as a consequence from the organisation design and corresponding job changes, a change agent was also responsible for training issues. These comprise selecting and assigning training packages for the employees working in his line organisation to prepare them for the upcoming job changes. Change agents are responsible for providing information to their businesses/functions and feeding back information back to the programme. By actively seeking feedback a change agent gains an impression of the level of understanding, reactions, ideas, thoughts, potential resistance, and overall readiness from his/her line organisation. Very often, they are the PMO's first point of contact to channel and receiving information. Overall, change agents are a means to leverage change readiness and they also function as a change monitoring instrument. They are closely connected to or even embedded in their CoB/Fs and at the same time a part of the change programme organisation.

These kinds of roles, responsibilities, and tasks require deep knowledge of the CoB/F, the company and a comprehensive understanding of the overall programme and its impacts. Moreover, there is a need to be well respected within their line organisations as well as being able to act as a leader and exert influence formally and/or informally in their group. Consequently, staffing for this position is crucial and demand matching task requirements with capabilities, experiences, and strong social skills such as communication, team-working and networking skills.

As a summary, interviewees recognise that very good change agents influenced implementation success in their areas significantly. Even more significantly, some of them are convinced that change agents can make a difference for implementation success as their CoB/Fs are better informed, well prepared and ready for the upcoming changes.

Table V-13: Interviewees' supporting quotes on "change agent per business line and function"

Interviewees' supporting quotes on "change agent per business line and function"

"...lot of ... effort was put into the 'Change & Engage' organisation. Both centrally in the PMO, but also in the businesses ... change manager per function ... change agent for big businesses and functions ... this was definitely a key success factor" – [H]

"...Change Managers in all the classes of business and functions ... were responsible to provide information to the people in the classes of business and functions." – [O]

"...have a proper network of change agents ... those are the ambassadors of the new processes and need to ensure that this is widely communicated into the organisation and well understood." – [U]

"...very often ... first contact and they give the message to their teams ... explain ... and ... get people convinced that this is the right way ... having somebody from their own organisation telling them 'We need to do this'." – [A]

"...a number of change agents which have had sufficient seniority and also intellectual capacity to help bringing this to a success." – [U]

"...change agents in all the departments and sites. They really acted as an ear into the organisation and also gave feedback on the atmosphere on the businesses and on the ground." – [E]

"This change agent network has ... fulfilled a number of purposes which could have easily been assigned to the leadership team. However, the leadership team doesn't always have the time to look at all these things nor ... the line managers have always been able to do this. Therefore, we have had this 'Change & Engage' team." – [U]

Source: Own table

5.3.4.2 Stakeholder management and communication

The findings on stakeholder management and communication are closely linked and therefore presented in one section. This is also represented by the C&E methodology within the SCP. All interviewees identified stakeholder management and communication as one of the most critical success factors for the programme. This comprises activities like involvement, engagement, and mobilisation, managing expectations, preparing, supporting and communicating to people as well as establishing a close relationship between strategic change programme and affected CoB/Fs.

First of all, this would start off with an identification and analysis of potentially interested and affected target groups or people (stakeholders). A stakeholder analysis includes a characterisation in terms of what kind of interest they have, how they are affected by the programme, their roles and responsibilities, how they could influence the programme positively as well as negatively; looking at attitudes and level of support for the programme. Accordingly, stakeholder management deals with how these stakeholders can be informed, guided and coached, involved, engaged and mobilised, familiarised and acquainted with upcoming changes as well as trying to assign a kind of responsible persons to look after and manage “their” stakeholder/s. This can be accomplished via different activities, channels and/or people, like formal meetings, informal talks, via local Programme Manager on leadership level, programme workstream leaders with change agents, or via change agents with their line organisation.

Stakeholder management is also about providing possibilities for cross-departmental exchange and networking, which links it to integration management again (5.4.1, 5.4.1.2). Furthermore, it is also concerned with operational activities, like supporting, preparing, and enabling line managers for their staff briefing with regard to preparing them for the upcoming changes, overall and related to their respective job in particular. Consequently, stakeholder management is seen as a comprehensive and continuous task throughout the whole programme from initialisation to sustain phase. Interviewees underscored early engagement of key people or teams. These do not necessarily need to be people formally high up in the hierarchy. Hence, it is essential to identify the most critical ones (e.g. work council, formal or informal leaders, subject matter experts), those who have greatest influence on the programme, fostering as well as antagonising forces.

The other field directly linked to stakeholder management deals with communication as a means to an end of successful stakeholder management. Based on the stakeholder analysis information, communication needs are disclosed which build an essential basis for the communication plan.

It matches information and messages with channel/medium (e.g. town hall, road shows, manager or employee engagements, formal meeting, informal talk, newsletter, programme or company intranet, e-mail, change agent communication), target group (e.g. global programme people, local programme staff or groups, line managers, employees, work council), timing and frequency. Likewise to stakeholder management, extensive communication activities taking place continuously in every phase of the programme need to be aligned with the overall programme plan. Basically, communication is about informing, explaining, convincing, managing expectations, receiving feedback from relevant stakeholders. Change communication should include the elementary information about the case for change and the programme itself, such as the why, what, who, when, meaning (impact and consequences) of the programme. The execution of communication should start as early as possible. It is regarded as important to get in touch with business people (e.g. managers, team leads, end users), keep them regularly engaged and updated as well as proactively seeking their feedback.

Interviewees underlined the importance that communication is conducted on an understandable level, providing an understandable reasoning, using an appropriate language (avoiding too many technical terms and/or abbreviations) which is target group specific as much as possible. Moreover, the information provided should be early, timely, honest, and transparent. The research participants advise that communication should not white-wash the situation, facts, problems, challenges, or any other issues.

Finally, it is also mentioned to communicate intermediate successes such as milestones, quick wins and other positive messages to create or maintain a positive attitude and momentum for the programme.

Table V-14: Interviewees’ supporting quotes on “stakeholder management and communication”

Interviewees’ supporting quotes on “stakeholder management and communication”
<i>“I think that is a leadership role. The mobilisation needs to come from the top leader.” – [K]</i>
<i>“...guide change mobilise leaders ... very important. Via General Managers, the management ... to convey the change ... success factor ... mobilisation ... did I reach all stakeholders. Did I involve all those.” – [F]</i>
<i>“In terms of the ... critical success factors ... ensure that such a massive change project is being successfully conducted ... most important ... proper and comprehensive stakeholder management to ensure that all parties are involved and engaged ... change journey ... critical to have everybody well understanding the change...” – [U]</i>
<i>“...critical stakeholders who could be, who could do maybe also things that would be difficult for the project, could make our project time difficult, then there needs to be a closer contact with them to make sure that maybe we can get their buy-in.” – [O]</i>
<i>“...have an early involvement of the staff council, explaining what is coming” – [A]</i>
<i>“...communication you can measure ... is a critical success factor across-the-board ... especially mobilisation, implementation...” – [C]</i>
<i>“...continuously keeping the people involved in the plan and the people affected by the plan, to keep them up to date when things are happening, when is something expected of them without surprises ... Otherwise you will lose the people and will not have them properly engaged.” – [D]</i>
<i>“...conceptualisation ... need to have a communication plan...” – [V]</i>
<i>“...critical success factor is communication ... towards impacted organisations and ... end user ... stakeholders and sponsors ... top-down but also cross ... functions or cross involved people and involved project team members ... ensure that every workstream ... is aligned with the other ... and everyone is aware of what is happening, when and why.” – [H]</i>
<i>“...set your ambition level and manage ... expectations, let everybody know what you actually are going to deliver, to avoid frustration and deception afterwards. And throughout that conception phase and mobilisation you need to keep the monitoring.” – [D]</i>
<i>“...is really key... get the message to people on an understandable level...you are not talking to only your management ... you are talking to your business people, your employees ... explain to a worker ... what is coming ... because they are as well crucial for our process.” – [A]</i>
<i>“...you have to have to convince them as early as possible.” – [N]</i>
<i>“...important success factors is for sure communication and openness, honesty. That needs to be transparent.” – [F]</i>
<i>“...always the same learning ... be open, transparent, communicate properly” – [L]</i>
<i>Further quotes in Appendix 18, p.lxxx</i>

Source: Own table

5.3.4.3 Enablement – knowledge transfer and training

Enablement in the form of knowledge transfer and training is mentioned as CSF to be monitored and evaluated in the context of a SCP by a great majority of the interviewees. Under the umbrella of the C&E workstream training was one dedicated work package with a dedicated team aiming to achieve practical readiness, preparing and enabling the organisation and its members for the upcoming changes. In the SCP, training was closely linked to organisational design (OD) changes implying job and role changes. Even more strongly emphasised, most of the OD changes resulted in changes in the training area, as the training was organised based on jobs and roles. Training is strongly linked to change content related CSFs to be monitored and evaluated.

Knowledge and skills training is delivered to prepare people, their operational capability, and ability to perform business operations and tasks as to be accomplished in the new ways of working induced by business process, organisational as well as IT changes. Hence, training should ideally comprise general knowledge about the programme and respective change content, getting to know the changes and implications as well as practising all relevant tasks a person needs to accomplish his/her, maybe new, job, roles and responsibilities. Training efforts will only be successful if people are able to perform their duties that very often require understanding the full picture or at least the end-to-end perspective of those business processes they are involved in.

The interviewees covered a variety of aspects that need to be considered in managing training efforts in such a SCP. As the programme was organised centrally from a global programme team, early knowledge transfer from global to local trainers is required. Research participants argue for the involvement also of local experts and their knowledge into the training content development process. Many aspects are not known on a global level, which needs to be localised, even though it is a global simplification and standardisation programme.

In particular, it is important to plan and provide sufficient time for translation and localisation in case global training material cannot or is not allowed to be used in local countries. In some countries, the work council requires people to be trained in the respective local language.

Other training related important factors are mentioned such as designing trainings target group and skill level specific. Furthermore, interviewees recommend integrating contextual and daily operations oriented components as well as using a variety of training delivery methods. However, in the programme it became evident that instructor-led training is the most effective training delivery method, especially when conducted by local trainers and even better by internal staff.

Another issue mentioned concentrates on having useful and efficient technical tools available (hardware, software) for training schedule management supported by a knowledge management system.

With regard to monitoring and evaluation the research participants referred to aspects like number of trainees to be trained, effective attendance and number of declines accordingly, trainings hours delivered to end users, qualitative as well as quantitative training feedback, level of understanding and knowledge gaps.

Table V-15: Interviewees' supporting quotes on "enablement – knowledge transfer and training"

Interviewees' supporting quotes on "enablement – knowledge transfer and training"

"...OD and training key success factors for the whole programme because if people are not trained or their authorisations are not correct then the whole thing does not work. Insofar ... main drivers to enable the whole thing." – [B]

"...measure training ... because this is ... one of the key success factors. But ... with having all these staff council regulations here in Germany this is quite a challenge, because in other countries you really can monitor people and this is not at all allowed here in Germany." – [A]

"...one of the biggest ... challenges is to train up an organisation and ... thousands of people, to bring them up to speed to use the new processes ... to use the system ... properly at Go-live ... training events are quite key." – [V]

"...try to get a good level of feedback whether it is really in the mind of the people and whether we are on the right way..." – [A]

Interviewees' supporting quotes on "enablement – knowledge transfer and training"

"...preparing the training courses. For this task you ... definitely need a qualified group of trainers." – [U]

"...you need to train them ... they need to be up to speed ... in a position to do these processes and live the new ways of working after the implementation ... in their new role ... in the new setup." – [E]

"...have the right tools to make it efficiently." – [K]

"...key trainers ... reported on a weekly basis how well they [business and end users] are doing..." – [O]

"...how well the new processes are used, do all people know their job ... in the new hierarchy for instance ... have there been changes in job descriptions... these are critical factors." – [C]

"We ... monitored after the training, success in terms of ...attendance ... Then did the end users perceive the training as useful ... did you feel the way of delivering the training was suitable, do you think you are well prepared now for your future role..." – [W]

"Knowledge gaps need to be timely addressed." – [U]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Change management is recognised as one of the most important CSF for implementing strategic and other change programmes in organisations, both in the literature and also the findings from the case build on this. However, general literature deals with this topic as a whole and does not specify it very often. Whereas the findings from the case also add and subsume *stakeholder management, communication, training, change agents* as vital components. The latter reflects the understanding of specialised change management literature (e.g. Creasey & Taylor (2014), Hayes (2010)). The case study company developed a dedicated business change implementation methodology (BCIM) for the SCP as outlined in Section 4.4.4.

Therefore, stakeholder management, communication, training, and change agents are considered to be integrated elements of change management and not considered separately. IBM's "Making Change Work" study (2008) claims that the use of consistent change management methodologies and methods leverage project success.

Stakeholder management and communication are considered to be vital means to ensure change implementation success. The findings do not differ from the literature. Stakeholder management and communication are closely linked since the latter is regarded as a means to an end of the former (Andersen *et al.*, 2006). The former is about identifying and managing stakeholder's interests, needs, and attitudes towards the change and its potential outcome. Therefore, their power and potential influence also need to be taken into consideration (OGC, 2007).

This can be done with involvement, engagement, and mobilisation, managing expectations, preparing, supporting and communicating to people as well as establishing a close relationship between the SCP and affected CoB/Fs. The findings from the SCP further reveal that it is also important to seek *alignment* with and among different stakeholder groups, cross-CoB/Fs, and workstreams. The overall aim is to achieve an *integrated* understanding about the *case for change* and the characteristics of the SCP as well as to jointly solve critical change content related issues.

Communication is stated most frequently and even as one of the most important factors considering successfully managing change in organisations (Bryson & Bromiley, 1993; Yang, Sun & Eppler, 2009). Change communication should be based on a communications plan matching information and messages with channel/medium, target group, timing, and frequency. In particular, it should include the elementary information about the *case for change* and the programme itself. Moreover, the findings build on the request stated in the literature that communication should be providing messages on an understandable level, target group specific, open, honest, timely, and also seeking feedback (Andersen *et al.*, 2006; Turner & Zolin, 2012).

The communication plan and reactions to respective activities and information provided can be monitored regularly via diverse measures (e.g. *formal meetings, informal talks*, by attentive listening, programme intranet click statistics). The measures from the previous chapter obtaining information indicating that more or deliberate stakeholder management is required are also relevant here.

The relevance of change agents is not as strongly emphasised in the literature as in the case. Interviewees confess that good change agents made a difference and positively influenced the implementation process as they prepared their CoB/Fs for Go-live very well. They can also take on an important role in monitoring and evaluation, for instance checking the level of understanding about the *case for change* and *readiness to change* in their areas. This would be rather informal by observation, listening, *talking* to people.

Another CSF in the arena of change management identified to be monitored and evaluated deals with the subject of *training*. A great majority of the interviewees and also the literature on BRP and ERP point to training as an important component in such projects. Its relevance is grounded in the need to learn new ways of working, work flows, IT system handling by end users (Al-Mashari & Zairi, 1999; Finney & Corbett, 2007). Monitoring and evaluation training related issues centre on training attendance and acceptance, level of understanding, capabilities and abilities to perform business operations and tasks as to be accomplished in the new ways of working. Most often, this is conducted via training feedback sheets. However, *change agents* can also conduct informal evaluations while talking and listening to people.

Overall change management with its integrated components plays a decisive role in achieving mental and practical *readiness to change* and consequently implementing changes successfully.

5.3.5 Human resource management

The field of Human Resources (HR) is referred to by all research participants. It comprises three main domains: personnel support managing HR issues like pressure and stress, outplacement management, performance and recognition, retention and career planning; resourcing processes like on and off boarding; and quality of resources. Emphasised mostly and most strongly is the need to have well-experienced and knowledgeable people working for the programme. This includes programme work as well as work to be done in the CoB/Fs globally as well as locally.

The discussion and relation to the literature follows after the final subsection (5.3.5.3).

5.3.5.1 Staffing and resourcing process

Another CSF being stressed enormously deals with availability and allocation of resources. This is about staffing and the resourcing process to get knowledgeable and experienced resources for the programme (5.3.5.2). The research participants expose the necessity of addressing and being clear about resource requirements early in the programme, identifying what kind of resources are needed.

Further, it is stated that the recruiting process should start early because it usually takes longer than expected and the importance of freeing up key resources if they are bound. Attracting the best, most knowledgeable and experienced key people is considered to be decisive for the success of such a crucial programme which aims at designing and implementing the organisation and operations of the future. In order to being able to attract those kinds of people it is recommended that a dedicated HR development and retention plan should be offered. This should consider and include recognition of performance with performance appraisals and rewards as well as attractive future job and career perspectives for the time after the implementation and sustain phase. In fact, it should be in the interest of respective line managers to assign their best people to respective roles in the programme, which does not seem always to be the case.

Once people are recruited, a comprehensive and structured onboarding process including knowledge transfer should help to get new resources up to speed quickly.

Furthermore, many interviewees advocate that key people should stay as long as it is required for their respective role and not to replace and assign them to other jobs prematurely. Experienced resources and key knowledge carriers should be kept after implementation and Go-live for the sustain phase, subsequent country implementations, or at least for onboarding and knowledge transfer of new resources. Hence, the contributors strongly recommend not starting the off-boarding process too early (see also section 5.3.7). In addition, they ask for a clear HR strategy with clear policies and guidelines for the off-boarding process to reintegrate programme people into the line organisation – for those having been assigned to the programme full-time.

The ideal staffing and resourcing process comprehends identification of resourcing requirements, attracting and recruiting, onboarding, personnel development, knowledge transfer to keep knowledge inside the organisation as much as possible, and finally off-boarding. All this is valid for both central global as well as local resources.

Table V-16: Interviewees’ supporting quotes on “staffing and resourcing process”

Interviewees’ supporting quotes on “staffing and resourcing process”

“...one of the learnings ... resourcing in such ... change programmes ... is really, really, really resource intensive...” – [T]

“...during the mobilisation ... 'Do we have the people to do the work? Do we have the people on the country side to implement the plan?’” – [N]

“...key critical project resources identified, resourcing of project teams needs to be done.” – [E]

“...leaders need to be fully on board and need to push the programme into their own organisation. And they need to free up resources...” – [K]

“...key, you need to have that master plan ... You need to manage particularly ... the resource requirements in country and at global level ... tracking and monitoring freeing up resources was ... 20% of my time as ... Assurance Manager ...” – [V]

“...if you do not attract people in the beginning telling them we run a very structured off-boarding process you will not get those into the project ... quite important.” – [V]

Interviewees' supporting quotes on "staffing and resourcing process"

"...making sure that people are the right people ... staying in the project ... which is important. We tried to make sure that those people dedicated to project activities stay over the whole period and do not get replaced." – [V]

"Keeping the experience in, also for future implementations" – [I]

"...people who should be dedicated full-time to the project and not as a part-time person." – [O]

"...monitored the off-boarding process to get all these people back into jobs" – [E]

Further quotes in Appendix 18, p.lxxx

Source: Own table

5.3.5.2 Knowledgeable and experienced resources

In combination with the previous section, knowledgeable and experienced resources are identified as one of the most important success factors for a SCP as undertaken by the case study company. Almost every interviewee highlights that the quality of people is a key to success in such a programme as the business models, processes, organisation structures and systems of the future are designed and implemented to regain or maintain the company's competitiveness. They mention aspects like getting the best internal people obtaining internal business, process as well as IT knowledge, and having the right mix with knowledgeable people from outside. Moreover, it is noted that not only knowledge but also practical experience and seniority are vital as well.

Table V-17: Interviewees' supporting quotes on "knowledgeable and experienced resources"

Interviewees' supporting quotes on "knowledgeable and experienced resources"

"...you ... need a lot of experience ... this ... is something you do not learn out of a book." – [I]

"...one key success factor ... is knowledgeable resources ... not only the technical side ... but at the same time the process side of the change ... you cannot change your system without changing your process ... and vice versa. Therefore you need to have knowledgeable people who understand both sides ... there must also be a good mix of these people ... they understand both sides ... you need ...to ... have a good mix of people overall in your team." – [K]

"...key success factor there is that you take almost the business critical people to run those projects." – [N]

Interviewees' supporting quotes on "knowledgeable and experienced resources"

"...key success factor ... we made sure that we get the best people with the right knowledge of the business, with ... expertise in IT, so we get really the key people ... involved in the project driving it." – [V]

"...what we learned quite soon is that on top of the project which we had locally and centrally, you need a lot of business people... you need a high number of very engaged people in the business..." – [A]

"...it was really the people, so the project management and the local senior management as well as the employees that made the difference here." – [D]

"...have experts internally ... it is quite important ... you need business experts and change and process experts ... ensure that you have a good decent mix of people understanding the business, and people understanding how to change the business." – [H]

"...right mix of people ... knowledgeable people. Very difficult to monitor ... to monitor maybe not so much, but to evaluate. Very very difficult ... milestones obviously ... reaching milestones gives a good indication ... if certain areas in your project team fall behind ... it has either something to do with work overload ... So, you have the right resources, but it is simply too much ... Or you do not have the right resources to actually cope with that work because of their knowledge that they potentially do not bring to the table ... you need to find a way to differentiate between the two." – [K]

Further quotes in Appendix 18, p.lxxxii

Source: Own table

5.3.5.3 Personnel support and guidance

The programme also included the relocation of a large extent of the customer service department centralised in a customer shared service centre outside DACH resulting in local staff reductions. Consequently, the interviewees emphasise a proper outplacement management with special care for leaving staff. Furthermore, it is recommended to provide dedicated coaching for line managers who have to reduce the number of staff to prepare them for these unpleasant conversations.

As the programme was very comprehensive and of demanding nature more than half of the interview sample point out explicitly the meaning of managing HR issues like workload distribution, time pressure and stress. They emphasise taking care of the people, dealing with individual staff matters, providing individual support and guidance to overcome severe personal issues.

Ideally, preventive measures are in place like well-being and health care services, time management courses, raising awareness with managers and employees regarding potential dangers such as long-lasting high workload and stress. In case any issues need to be solved, interviewees strengthen the need to provide special care, support and guidance for occurring individual matters. Consequently, the research participants recommend monitoring number of hours worked and workload distribution across affected units and workstreams, stress levels, and number of staff ill, overall employee satisfaction.

Table V-18: Interviewees’ supporting quotes on “personnel support and guidance”

Interviewees’ supporting quotes on “personnel support and guidance”

“...such a huge change process which also has to do with reduction of jobs ... prepare rules and handling of affected people ... also dedicated preparation for line managers to conduct this kind of difficult conversations with their employees” – [M]

“With negatively affected staff ... recommended to hold briefings with them ... in order to look jointly at the change impact onto them, onto their jobs, onto their roles” – [U]

“...stress level, work load, and any other symptoms or causes for stress ... we had a stress management programme in place ... discussed ... with ... managers or ... team leaders of the project teams ... a lot of initiatives to prevent stress in the project teams ... we monitored stress levels.” – [E]

“...we monitored overtime as well ... some staff ... huge amounts of extra hours collected during the project phase, we asked them to really go on leave ...” – [E]

“...critical success factor ... that the people after the implementation, after such a dramatic change ... are still motivated and willing to work for CSC” – [E]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Both findings from the case study and the literature clearly accentuate the significance of the availability and allocation of knowledgeable and experienced resources for a SCP implementation. Finney & Corbett (2007) expose this by emphasising that having the “best and brightest” is crucial for project and implementation work. Moreover, this is not only vital for the implementation phase but throughout all phases.

Further, there is consensus that multidisciplinary and knowledgeable teams are critical to understand all aspects of the SCP and in particular the needs and particularities of the CoB/Fs in order to be able to align and implement the changes (Subramoniam, Tounsi & Krishnankutty, 2009).

Since attracting the best, most knowledgeable and experienced key people is seen as decisive for success, a basic prerequisite for recruiting is being clear about resource requirements early in the change process. The findings add to the literature the need to provide a perspective for these people, especially for the time after the programme implementation. Otherwise, the interviewees consider it as challenging to successfully attract required key people. With the gained experience, it is less likely that these even more experienced people return to their former line jobs.

Another aspect adding to the literature refers to the advice given by many interviewees not to start the off-boarding of key people too early. They consider it as very useful and efficient to keep them at least for the *sustain phase* or even longer and to assign them to subsequent country implementations of the same SCP. Otherwise, valuable knowledge gets lost or is not available at first hand.

In terms of monitoring and evaluation, the organisation should look at skill profiles for recruiting, checking workload in various programme areas, verifying whether, and how progress also with regard to quantity and quality of deliverables. If some areas are lagging behind frequently, it might be an indication that it is too much work in general, people are not the “best and brightest” or that they are not capable of managing the required workload. This could be monitored via *meetings* and *status reports*, *formal and informal talks* with business or *workstream leads* or *change agents*, or programme *reviews* for instance.

5.3.6 Reflection and learning

The findings on reflection and lessons learned are referred to by every interviewee and emphasised enormously. This is discussed in various dimensions. First of all, a company should learn from its own experience, from former change projects or programmes. Here interviewees mention very often learnings from the company's strategic merger with a competitor having taken place approximately ten years ago. Some of the learnings were incorporated in the SCP.

Furthermore, research participants recommend bringing in experience and learnings from other companies and consultancies to leverage experience and competence. However, there are also critical voices, which advise not to rely too much on consultancies, more specifically on just one, as this could cause too strong dependence. Furthermore, the warnings signify that externals never know internal specifications, which might sometimes cause issues, which would not have occurred if external recommendations had been challenged more intensively.

In addition, learning in the course of the SCP is strongly emphasised, first of all, from previous country implementations – learning from positive as well as negative experiences. Moreover, taking and incorporating learning from one's own implementation as it progresses is also strongly accentuated. Overall, this continuous learning and improvement in the course of the programme requires a systematic and continuous collection of data, storing (ideally in a knowledge management database) as well as making it available for all those who need to know and are interested. This was done globally as well as locally. In the course of the programme, there was extensive critical reflection on the standard programme approach, its methodologies, methods, tools, roles and responsibilities and any relevant issues in order to make the programme implementation better for current and subsequent country implementations. Moreover, lessons learned from the CoB/Fs were also collected regarding change content related issues (business model, process, organisation design, and IT changes). Consequently, open, honest, constructive feedback on any issues that emerged was systematically sought.

The case study company also shared its experiences from the SCP with other companies and even with competitors. Overall, this attitude is embedded in the corporate culture, which requires an open, transparent, and sharing culture to provide and share knowledge, experience, and feedback (linked to section 5.3.8).

The interviewees accentuate strongly that collecting and applying lessons learned is one of the most important success factors to be considered for such a massive programme. Finally, the interviewees underlined not just collecting lessons learned but the need to incorporate and use the findings respectively.

Table V-19: Interviewees' supporting quotes on "reflection and learnings"

Interviewees' supporting quotes on "reflection and learnings"

"We did not hesitate to invest money and bring experience in ... like Consulting Company B and Consulting Company XYZ. Bring people in who have done it before ... this was the best decision ... bring in someone ... who has done the mistake before ... Do it better ... CSC was very good in doing that..." – [I]

"We have also looked at other companies, much smaller ones...So we had discussions with them...But we tried to learn from those companies as well." – [N]

"...the biggest learning ... a sad story ... the 'Country Cluster in Northern Europe' implementation... this was one of the ... good factors for us that this ... implementation went live before us ... because we got a lot of pre-warnings." – [A]

"We learned from other countries' mistakes ... There was a central team engaged in summarising the learnings and then looking at what can be done better in other countries ... And I have done three different things in the programme, and I have seen continuous improvements." – [B]

"...lessons learned from every deploy ... were requested ... and ... subsequently also being implemented into the global standard deployment model, to ensure that every learning from every deploy is being used ... for the whole deployment methodology we are using for SCP." – [H]

"...take learnings from other countries, implementations ... very critical ... success factor..." – [O]

"We have strongly benefited from experience made in other implementations." – [U]

"I have been in 'Country A in North America' for a couple of weeks to share my know-how." – [J]

"...OCT or DCT travel to CEE ... and explained what we did here, handed over ... information and ... knowledge so ... people were ... capable of doing the job themselves ... worked very closely together in the beginning... benefited a lot from the experience that Interviewee L shared." – [O]

"...People were still calling us and saying 'Can you please share with me.' Then we went through ... step-by-step with all the details." – [T]

Interviewees' supporting quotes on "reflection and learnings"

"...it makes sense to keep the project team ... to let those people who have gained the experience on one implementation of one to the next." – [W]

"...What CSC is doing well as well is they are sharing it with other companies who are doing something similar ... very senior leaders ... volunteer to ... share their experience. We have done it several times with very major companies who are doing a similar programme also ... with 'Competitor A' ... they have extremely ... smart people in CSC. They still did not hesitate to listen to people coming in. And their learning might be, let me tell others as well ... It is a sharing culture" – [I]

"...Reuse lessons learned not just for the sake of having them collected but with the purpose of using it, take time to review former lessons learned... Do not reinvent the wheel where not necessary..." – [W]

Further quotes in Appendix 18, p.lxxxii

Source: Own table

DISCUSSION and RELATION to the LITERATURE

There is dedicated subject matter literature on "learning organisations" (e.g. Senge (2006)) identifying reflection and learning as important aspects to be considered in organisations in general. However, the literature taken into consideration for this work, especially those sources being concerned with CSFs for SCP implementation, does not refer to reflection and lessons learned as CSF as strongly as the findings from the SCP do. Hence, the case findings add to the existing literature and body of knowledge. This is particularly important in those cases where implementations of the same programme are rolled out in sequence providing the possibility of learning from similar and previous programme activities. This CSF was referred to by every interviewee. It was emphasised enormously and discussed in various dimensions.

First of all, the research participants recommend that an organisation should learn from its own experience, from former change projects or programmes prior to any SCP activities. Moreover, they consider it as beneficial to listen to other companies and consultancies leveraging their own experience and competence. Further, the interviewees particularly stress the importance of learning from previous country implementations of the same programme prior to one's own implementation.

It is recognised that lessons learned can be based on positive (what worked) as well as negative experiences (failures). In addition, the interviewees suggest systematic collection of learning and, even more importantly, incorporation of lessons learned. The latter builds on corresponds with the emphasis Patton (2008) sets on evaluations pointing out that they only make sense if their results and outcomes are being applied or used. In the SCP, the DACH implementation benefited from previous countries and in the same manner shared its learnings with subsequent countries. In the course of the overall change journey the programme approach with all its approaches, structures, methodologies, and methods was continuously adapted and improved. Overall, this attitude is embedded in the corporate *culture*, which requires an open, transparent, and sharing culture to provide and share knowledge, experience, and feedback.

Collecting lessons learned, reflecting on, and using the results is in itself a kind of monitoring and evaluation activity. In order to monitor it, the PMO should initiate and review this systematic data collection and reflection process on a regular basis, not only at the end of the implementation. The activity as such should be conducted in every CoB/F and workstream globally as well as locally and stored in a knowledge management system so that it can be used subsequently.

5.3.7 Sustain phase

Almost every interviewee stressed topics being assigned to the sustain phase after a programme has been implemented.³³ The research participants focus on three main areas: post-implementation aftercare, continuous development and improvement, and post-implementation review (summative evaluation). The significance of the sustain phase is emphasised to a very large extent as this phase is regarded as being decisive for realising success by capitalising on the SCP implementation. Moreover, interviewees claim that the post-implementation phase is the most underestimated phase. Consequently, it is recommended to consider the sustain phase already in the conception phase. From a strategic-to-tactical perspective, interviewees recognise the need to be clear about the setup of a dedicated PMO successor organisation early in the process of the SCP. This includes scope of tasks, according roles and responsibilities, dedicated and experienced resources. The research participants identified the need to keep the momentum after the implementation and not to fall back into “old” habits and ways of working.

Moreover, for the sustain phase, coordination of continuous improvement activities, those aspects that are identified not until post-implementation phase or any issues that have been postponed on purpose (e.g. de-scoped programme features or business improvement initiatives) should be instituted. In addition, the follow-up organisation should be responsible for the coordination of the implementation of those changes (business model, process, organisation design, and system changes and features) that advance as new countries Go-live.³⁴

From an operational perspective, strong emphasis is placed on aftercare directly after Go-live to identify and solve emerging issues. Knowledge gaps need to be identified and closed, for instance via retraining or coaching people. This requires an institutionalised and dedicated support model with a clear organisation, structure, and tasks.

³³ Sustain phase is a term used by the case study company which is thematically identical to “Stabilisation & Continuation” from Krüger’s framework (Section 2.5)

³⁴ So called Retrofits: comprises any activity required to close the gaps between successive releases of Streamline processes/policies, organization models (GSOM) or IT (GSAP and CAP). It is the progressive upgrading of the SCP systems, processes, and organisation.

Consequently, dedicated resources for this period are still needed to work on these issues, which highlight the importance of keeping experienced knowledge carriers, and not to start the off-boarding of key people too early. Furthermore, project responsibilities and knowledge transfer should be handed over to the PMO successor organisation as well as to the CoB/Fs.

Regarding the summative and outcome evaluation aspects (Sections 3.1.2, 3.6.3) within the sustain phase findings, interviewees state concurrently the importance of monitoring and evaluating the effectiveness, appropriateness and usefulness of the implemented changes (linked to 5.3.9). In order to manage the sustain phase effectively and efficiently they, first of all, accentuate the necessity of establishing a systematic, consistent, stringent and consequent approach and control mechanisms for monitoring, evaluation, quality assurance as well as reflection and learning. Post-implementation reviews are about real-life practicability and practical work experiences whether the implemented changes are fit for purpose and really fulfil business and customer needs. These reviews assess the capability of a country as a whole but also each local CoB/F to disclose their ability to cope with and operate in the new ways of working.

On an operational level, the assessments identify, analyse, document any issues and deficiencies and why they are not working properly. Moreover, implemented changes need to be reviewed with regard to compliance compared to the global standards (business model, processes, organisation design, IT systems), also including those agreed step-outs and workarounds that need to be implemented at a certain later point in time.

With regard to numbers, interviewees advise to compare actual effects and outcomes, monitoring business benefits realisation, business and other KPIs and how they develop over time with the business case and calculative benefits. Interviewee U points to the necessity to challenge, question and scrutinise the actual solutions, status, achievements, and results.

Further, he emphasises the importance of understanding and questioning KPIs, in particular their relevance, meaningfulness, and validity after change implementation. He indicates that maybe some of the KPIs previously used are not meaningful anymore.

Finally and as covered in Section 5.3.6 in detail, interviewees underline the importance of capturing lessons learned about the change process and its outcomes to be used and applied for subsequent implementations of the same programme or future undertakings.

Table V-20: Interviewees' supporting quotes on "sustain phase"

Interviewees' supporting quotes on "sustain phase"

"...sustain [phase] ... very important to understand with such a project, it is not over after implementation ... this is not possible with processes and organisations [structures], IT neither, because the world is advancing heavily ... most important point, to understand nobody can go home after Go-live. This is permanent, change" – [F]

"...sustaining ... in my view, critical key success factor that determine whether such a strategic change programme will be a success or not." – [N]

"...usually ... people do not think about sustaining ... bring into the conception ... how you are going to sustain the systems that you build." – [N]

"...sustaining is ... underestimated, not only here, generally in projects. We tend to implement and then keep the sustaining for the business ... is a success factor to have the sustaining phase almost as long as the implementation phase ... depending on the size of the project ... really waiting until you are at the B and not leaving before when you have individual project steps. So that is something which is ... key ..." – [I]

"...you need to make sure that the structure in country which supports 'Sustain & Improve' activities is set up properly." – [V]

"...Germany was one of the more experienced countries ... Germany was probably one of the first Go-lives ... that had a ... properly spelled out and properly planned, where we had a reasonable 'Sustain & Improve' organisation in place." – [D]

"...a very clear onboarding plan ... started ... three months before Go-live, in order to prepare that network." – [D]

"Keeping the momentum in the leadership team as well as in the operating business to carry on with initiatives, closing the loose ends, working on improvement activities has been in all deploys a challenge." – [V]

"...interesting to see how many business improvement initiatives we got afterwards ... caused by the implementation but also caused by other country implementations..." – [A]

"...setup of the organisation and the preparedness of the organisation for running ... hyper care ... the tense period ... monitor and track progress being made on a daily basis." – [V]

"...starting at Go-live ... key trainers they evaluated how well certain processes were carried out and what the problems are." – [O]

Interviewees' supporting quotes on "sustain phase"

"...we had very good reports coming from our key trainers. They were placed in the business during Go-live ... they were supporting ... the areas where they were experts ... they reported on a weekly basis how well they were doing ... very helpful ... to see how well all the processes were really carried out in certain areas." – [O]

"...sustaining phase, the support model should be working and executed as commissioned." – [U]

"...post-implementation there was very intensive monitoring ... which was very good as we worked on issues, inefficiencies in processes, in very structured manner ... because we retained ... OCT ... [DCT]..." – [R]

"...you need to monitor ... the complete country to understand if the people are comfortable with the changes..." – [F]

"Four years after Go-live ... we still have a global organisation in place ... 'Sustain & Improve' organisation, but also a local team that is still working on monitoring the processes, and improving the processes, and implementing upgrades in terms the ERP system, but also in terms of processes." – [E]

"You have to look at and identify continuously...where the problems are." – [F]

"...sustaining ... refining ... correcting little stuff ... you realise ... this is more complicated than before or this does not work as such or this should work smoother. Then you probably need to refine or change little steps." – [H]

"...be ... rigid with findings from reviews. Reviews are being done, are being conducted, are being read by leaders." – [K]

"After a few months, you can ... run a post-implementation review, perhaps in combination with a compliance check ... you ensure that the change is really implemented as planned and also lived by the organisation." – [U]

"...document which defines ... the loose ends after hyper care ... definitely managing the loose ends..." – [V]

"...hyper care meeting ... Part of ... and key of this meeting ... was that we locked all the loose ends, all those issues that have not been resolved, open defects, not resolved step-outs and workarounds." – [V]

"...benefit tracking..." – [B]; "...project benefits...one-time items..." – [C]

"...business case is the starting point. Did we actually achieve what we intended to achieve, after Go-live. If not, why not? What do we have to do?" – [F]

"...benefit realisation ... you set up right in the beginning, you check actually the different phases against it but really tracking who can just once you are live..." – [S]

"...in sustain ... not just track ... benefit KPIs but ... also track business KPIs ... we checked whether we are at least as good as before and what we need to do to get better on typical business KPIs..." – [S]

"...there are no short-term benefits. Such a thing [SCP] is long-term oriented..." – [B]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

With regard to the sustain phase, the literature refers to communicating quick wins and achievements and not declaring success too early. Further, some authors mention that this phase is about maintaining momentum after implementation and embedding the change in the organisation and daily operations (Kotter, 1996; Clardy, 2013). Like Stufflebeam & Shinkfield (2007) for instance, other authors include summative evaluations in the sustain phase but do not note this as a CSF. The case findings add to Kotter (1996) and Clardy (2013) by even more strongly exposing the significance of the sustain phase as a dedicated CSF for implementing change in organisations. Interviewees claim that the post-implementation phase is the most underestimated phase. However, it is decisive for the overall implementation success because all changes become reality and need to be institutionalised or continuously improved where necessary. Almost every interviewee stressed topics being assigned to this phase. They identified three main areas such as post-implementation aftercare, continuous development and improvement as well as post-implementation review (summative evaluation).

Although it is the final phase in a change implementation process, it should be considered already in the conception and finally prepared in the implementation phase. This preparation centres on a dedicated and institutionalised PMO successor organisation being responsible for managing those issues having been postponed intentionally, aspects identified after Go-live, or any other continuous improvement activities.

According to the findings, this organisation should be responsible for the implementation of those changes (BMC, BPC, OSC, IT/ERP changes) that advance as new countries Go-live.

The interviewees highly appreciated the way post-implementation aftercare was managed and conducted, within the first couple of weeks after Go-live. *OCT* and even *DCT* were involved in daily monitoring, evaluating and decision making on all those business critical aspects being identified. This was mainly done based on status and system reports on the most important business KPIs.

Furthermore, monitoring and evaluation was focused on identifying and closing knowledge gaps where operations could not have been accomplished, as they should have been according to the new standards and new ways of working.

It can be recognised that the findings from the previous chapter are linked to this one, illustrating that continuous *learning* and improvement is considered as important also in the sustain phase. Further connections are disclosed since the interviewees underline the importance of keeping *experienced knowledge* carriers for the sustain phase. The off-boarding of key people should not commence too early because further important tasks need to be conducted for which SCP knowledge is key. This aspect is not identified in the literature having been reviewed for this work.

Finally, the research participants consider it to be important to conduct post-implementation reviews. These *summative evaluations* are about monitoring and evaluating the effectiveness, appropriateness, and usefulness of the implemented changes. The review should also reflect on real-life practicability and practical work experiences as to whether the implemented changes are fit for purpose and really fulfil business and customer needs.

5.3.8 Culture and language

As the SCP is a global programme involving more than 30 different countries, cultural aspects are identified as a key aspect being aware of by a number of interviewees. Not only national or regional cultural issues are stressed but also other cultural dimensions like company culture as well as CoB/F or workstream specific culture and language.

With regard to regional and country cultures, first of all, it is considered to be important to be aware of potential differences even though people are working for the same company and within the same programme.

Interviewees notice the importance of listening and being responsive to the differences and taking the people along with you on the change journey. Further, they state that this needs to be done in every culture but in different ways. Consequently, a kind of adaptation to the cultural characteristics is considered to be necessary.

In those country implementations where cultural differences are expected to be an issue a trusted relationship between responsible people globally and locally, the ability to read between the lines as well as close monitoring are regarded as necessary.

Interviewee F, who was responsible for around ten different countries to manage improvements in the sustain phase of the programme, points out that not only regional or national cultural differences need to take into account but also differences in language used by the programme and from one CoB/F to another. He refers to the use of technical expressions, abbreviations and other specific vocabularies, not taking for granted that everyone is familiar with these terms and their meaning. This is again linked to the already mentioned CSF of alignment (5.4.1)

Another aspect regarding culture deals with company culture. This is recognised by almost every consultant within the interview sample and those who worked in other companies before, and also by some senior employees. They referred to company culture as a CSF.

Those characteristics being mentioned as positively influential are as follows: company taking care of their people; not much distance between leaders and regular employees; keeping positive programme and team; undertaking social events; listening and sharing culture; discussing and exchanging views openly; sharing experience and knowledge internally as well as with other companies (even competitors); courage to challenge defaults set by the global programme team; allowing and being flexible to adjust tools and processes if felt not to be fit for purpose; hard-working but also listening to needs; very professional and cooperative team in the local PMO including change agents with sufficient seniority and also intellectual capacity helping to bring the programme to success.

Table V-21: Interviewees’ supporting quotes on “culture and language”

Interviewees’ supporting quotes on “culture and language”

“...by understanding the cultural differences, only by understanding the differences in ways of working, you will make this a success.” – [K]

“...you need to ensure that the country as such and that the cultural aspect is taken into consideration throughout the whole journey on SCP ... cultural aspect is quite important. Keep in mind.” – [H]

“...read between the lines ... only status reports on a piece of paper are sometimes a bit dangerous ... if you are dealing with a global implementation in different cultures in different regions of the world. ... you might find a German status report quite open and honest and you might find a lot of information that helps you in order to mitigate issues. But if you look, for example, at ...an ... Asian country like Thailand, you will always find green lights, everything is fine.” – [H]

“...the person who is responsible... the roll out manager in the country ... needs to be fully trusted, because he in the end is responsible for providing a successful implementation. ... not only look at the paper but .. also ... speak to the people to understand why have you shown red... endangering ... Go-live ...” – [O]

“...you probably need to monitor more closely to make sure they really understood what we require from them. ... not only via phone conferences ... for instance one week I was working in Prague, the next week ... in Warsaw.” – [O]

“...and here I am not talking about English or German, but rather business unit specific language ... that is the language of IT and business ... IT language is completely different to the language from the various businesses/functions...” – [F]

“...what I feel was done very well and thoroughly was keeping ... the positive spirit up... consistently was ensuring that the positive spirit was kept up in terms repeating the success messages when there was a success.” – [H]

“...sharing it with other companies... very senior leaders in our company they volunteer to come in and share their experience... they also listened to ... Consulting Company B, they listened to Consulting Company XYZ. ... they have extremely ... smart people in CSC. They still did not hesitate to listen to people ...” – [I]

Interviewees' supporting quotes on "culture and language"

"Afterwards I have been interviewed by companies like Tetra Pak, Linde and others and also 'Consulting Company XYZ' asked me several times. ... And when I ... talked to people from Linde or ...the SAP people and the 'Consulting Company XYZ'" – [L]

"...they are ... open to share the lessons also with the other countries ... is great that overall the entire programme ... supported this." – [O]

"...my personal experience has been very well in cooperation with the Project Management Office which I felt to be very professional and hard-working but also listening to the needs, being flexible to adjust tools and processes if they were felt not to be fit for purpose." – [U]

"...people do not want to leave. I mean, I think people don't leave CSC... not many people leave CSC if they are not forced to ... there is also not much distance between leaders and regular employees." – [W]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

The aspect of organisational culture is quite often mentioned in the literature when organisation change is considered. Most often, importance is assigned to having a culture that motivates and promotes change and a working environment characterised by confidence and trust in managers and employees, constructive teamwork across organisational levels, participation and recognition (Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; IBM, 2008).

Similarly, the interviewees build on the cultural dimension, however, not as often and strongly as the literature does. An interesting observation was made. Maybe, interviewees take many things for granted or as something normal. The culture of the CSC is characterised for instance by how the company cares for its people, low distance between leaders and employees, work is being accomplished with positive team spirit and a knowledge sharing culture, inspiring programme culture with a lot of hard work and rewarding individual and group achievements. However, mostly the consultants among the interviewees and the researcher himself recognise these positive organisational cultural characteristics in particular.

Although some interviewees recognise that the people and the manner leaders are leading made the difference in DACH, culture as such was not assigned the same importance as the other CSFs.

Nonetheless, the cultural dimension needs to be taken into consideration especially due to the global character of the SCP. Hence, understanding cultural differences is a key point to be taken into account when it comes to monitoring programme progress for instance. Research participants, in particular those who worked in several country implementations of the same SCP, identified this as an important point. They reported that the way reporting is done, shared and discussed, differs from country to country or at least from region to region (e.g. Western Europe compared to Asia). This extends to intermediate programme reviews or surveys with questionnaires.

The results should always be questioned considering the cultural particularities (open, honest and direct feedback, lower participation rate with surveys but open and honest answers [e.g. Germany]; indirect feedback, fear of losing face when reporting issues and problems, nearly 100% participation rate but critical responses might be lacking [e.g. some countries in Asia]). This is not identified in the literature being considered as relevant for this study in the first instance. However, there is literature on culture that covers related issues (e.g. works of Geert Hofstede or Richard Lewis).

5.3.9 Programme monitoring and evaluation

The focus of the findings in this section is on the importance of monitoring and evaluation of such a programme. However, it is not immanently, automatically, or necessarily linked to CSFs to be monitored like the other sections. Therefore, the findings here do not reflect so much strategic or holistic perspectives across all five phases of a programme. The findings rather focus on typical project or programme management oriented perspectives. This covers formative, process or implementation monitoring and evaluation (Sections 3.1.1, 3.6.2) mainly considering risks, progress, and financial resources.

As a first step, with regard to risk management the interviewees assigned importance to anticipate potential risks from previous country implementations for instance. Further, interviewees recommend to identify risks for each domain (CoB/F, workstream) being relevant to the SCP. Overall, the research participants report and recommend conducting risk mitigation in a structured manner using risk matrixes, issue logs, and watch lists and to monitor these on a regular basis being able to intervene as fast as possible. However, besides all kinds of risk management there can still be some uncomfortable situations the programme has to stand.

The area of progress monitoring is referred to by a great majority of the research participants. They mentioned the significance of reviewing and monitoring the scope of the programme and scope creep; critical and intermediate milestones; most critical deliverables; level of achievement and deviations compared to programme, workstream and business plans; completion rates, open issues; KPIs. All these aspects need to be looked at from an integrated perspective (global – local – programme – business and vice versa). Consequently, in order to being able to pinpoint the essentials an appropriate, meaningful and effective reporting structure and approach need to be set up and adhered to (related to programme planning and management 5.2.2 and governance 5.2.3).

In order to complement the findings on programme monitoring and evaluation, financial information should be considered as object to be monitored and evaluated in such a programme.

The interviewees mentioned several figures to be looked at, not as CSFs to ensure a successful SCP implementation but in order to be able to judge on its outcome. The following figures are identified as being important to be monitored and evaluated throughout the programme and after its implementation in particular: budget and respective deviations as actual programme implementation costs, savings and cost reductions, process and IT costs, business case compared to actual benefits. With regard to budget, it is advised to plan this thoroughly at the beginning of the programme as it is regarded as challenging to renegotiate for additional budget in the course of the programme.

Overall, the findings from this section are linked to other findings such as planning as prerequisite (5.2.2, 5.2.4) and also to other CSFs to be considered for monitoring and evaluation like leadership (5.3.1), case for change (5.3.1), readiness to change (5.3.3). Without understanding the case for change, programme planning with all its ingredients and respective risk management and other monitoring activities would not be aware of what to be looking at. Moreover, monitoring of (mental or practical) readiness can be considered as a kind of risk management. Finally, programme management and monitoring is considered to be a leadership task.

Table V-22: Interviewees’ supporting quotes on “programme monitoring and evaluation”

Interviewees’ supporting quotes on “programme monitoring and evaluation”

“...pre-alarm ... from ... ‘Country Cluster from Northern Europe’ implementation ... we had a lot of sessions to figure out ... the key risks.” – [A]

“...when setting up a project ... What are the critical workstreams ... and then define critical milestones per workstream ... critical path” – [G]

“...you need to check with your businesses are you able to deal with all this programme stuff...because on top of the [SCP] implementation which was already quite a challenge ... we had 500 projects on the list ... the business itself had also business projects which are not all aligned with SCP [at the beginning] ... you need to challenge this...we had a business plan for all businesses [called “Integrated Cluster Project Plan, ICPP” – Interviewee Y] ... you need to ask on a monthly basis, at least ... on a biweekly basis, are you still able to run your programme... there was a permanent challenge via the DCT at that time whether the businesses ... able to run this project.” – [A]

“...risk mitigation ... risk matrix ... You have to look for your risks.” – [F]

Interviewees' supporting quotes on "programme monitoring and evaluation"

"We tracked issues ... detailed list with problems and issues ... tracked and monitored if they were solved or not ... watch list for each business unit ... identified the show stoppers." – [B]

"...issue log ... there we defined challenges, difficulties, problems, inconsistencies ... process does not fit, data is not available etc." – [Y]

"...such a big organisation ... you ... need to live with ... hiccups if you are running a change programme ... really important to ... be aware of ... that ... this can happen ... most likely that you will have different hiccups. ... ensuring that you have ... mitigation actions in place." – [H]

"...keeping strict monitoring of progress of certain tasks ... meticulous project planning to keeping to progress ... precise monitoring ... scope creep, scope deviations, and progress and timing..." – [D]

"...progress tracker ... like a one-pager with the most critical deliverables per workstream." – [E]

"...implementation...quite important to look at ... details, is the change taking place ... where are we according to what we defined as project scope. What has been achieved already." – [C]

"...critically monitoring deviations..." – [Q]

"...we had various kinds of intermediate milestones ... all sorts of milestone tracking ... key part of your project, planning KPIs with all the different IT milestones, all the different change management milestones..." – [S]

"...if you implement time-wise ... ensure that your set milestones and goals are met. Because they might also influence other consecutive milestones..." – [H]

"...project plan ... monitor against ... actual status ... whenever you set the first milestone in this plan, depending on how you set up the plan, then you should start monitoring ... monitor against time ... quality ... achievement ... progress as such. You can use the status reporting." – [H]

"...reasonable and increasingly improving dashboards for KPIs..." – [C]

"...weekly reporting for the DLT [Downstream Leadership Team]... with all those end-to-end diagrams ... integrated end-to-end reporting..." – [L]

"When we went into the economic crisis we had much more pressure to try to justify ... additional countries. And we did have to stop 1-2- countries ... on the way, because we did not have the budget ... to do it. We were spoiled, we had enough money when we started." – [I]

"...conceptual phase ... budget to be prepared and approved ... you need to continual monitoring the budget" – [U]

"...scoping person needs to be looking at the figures, at the numbers, at the business case, and monitor it ... scope, progress, budget and any deviations." – [D]

"...will probably take some time until you will see the financial benefits..." – [W]

"Monitoring ... such a huge project ... have milestones to be achieved ... and really based on these milestones make the Go-No-Go decision. Did we really achieve the parameters? Yes? No?" – [G]

DISCUSSION and RELATION to the LITERATURE

Programme monitoring in itself is considered as being a CSF for change implementations. The literature centres on typical project or programme management related aspects and the findings building on similar facets do not differ significantly. Most often, literature and findings refer to the following aspects: programme scope and scope creep, potential risks and financials, programme progress, level of achievement and deviations compared to programme plan, workstream and business plans, critical and intermediate milestones, completion rates of most critical deliverables, open issues, and business KPIs (Al-Mashari & Zairi, 1999; Cleland & Ireland, 2006; Huq, Huq & Cutright, 2006; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009). In addition, some interviewees and authors stress to monitor the implementation process as such (Bedingham & Thomas, 2006) and validating whether it worked and to what extent outcomes have been achieved (Clardy, 2013). Finney & Corbett's (2007) opinion underlining the need to conduct post-implementation reviews is also reflected in the case study findings as discussed in the previous chapter. Like Okumus (2001), also the findings point to the need for informal top-down, bottom-up as well as lateral monitoring and feedback. However, the main focus for project and programme monitoring and evaluation is rather on change content related aspects and less on CSFs. Presumably, this is due to the fact that neither in the literature nor in business practices a framework, method or tools are yet available (gap) as explicated at the end of the second literature review section (3.8).

5.3.10 Further miscellaneous general success factors

Subsequently, those CSFs are briefly considered which are identified in the literature but to which no major importance is attached by the interviewees: *rewards systems* and incentives, *technology* and systems supporting the change process and its implementation, *suppliers* and third parties. Some authors consider it to be important to modify the reward systems to support the overall change effort (O'Toole, 1995). Others consider it to be vital to reward and promote individuals and teams during the change implementation for particular accomplishments (Al-Kandi, Asutay & Dixon, 2013). Pinto & Slevin (2008) identify technology and supporting systems as being important to implement the changes and operate the change content. Some authors identify suppliers and third parties (consultants, vendors, other contractors, or external partners) as a CSF to be taken care of. This is important in those cases where their capabilities are used to support or implement the change or where they are directly affected, for instance by process or IT interface changes (Al-Mashari & Zairi, 1999; Williams *et al.*, 2012).

Presumably, these CSFs are not mentioned in particular by the research participants since these aspects were taken into account, available and/or because they have not caused major issues. Another reason could be that other CSFs, for instance leadership or change management, have compensated for these CSFs.

There are two aspects mentioned in the interviews related to consultancies, which are not to be underestimated. A few critical voices advise not to rely too much on consultancies, more specifically on just one, as this could cause too strong dependence. Furthermore, warnings signify that externals never know internal specifications in detail. This might potentially cause issues that would not have occurred if external recommendations had been challenged more intensively by considering internal subject matter expert know-how.

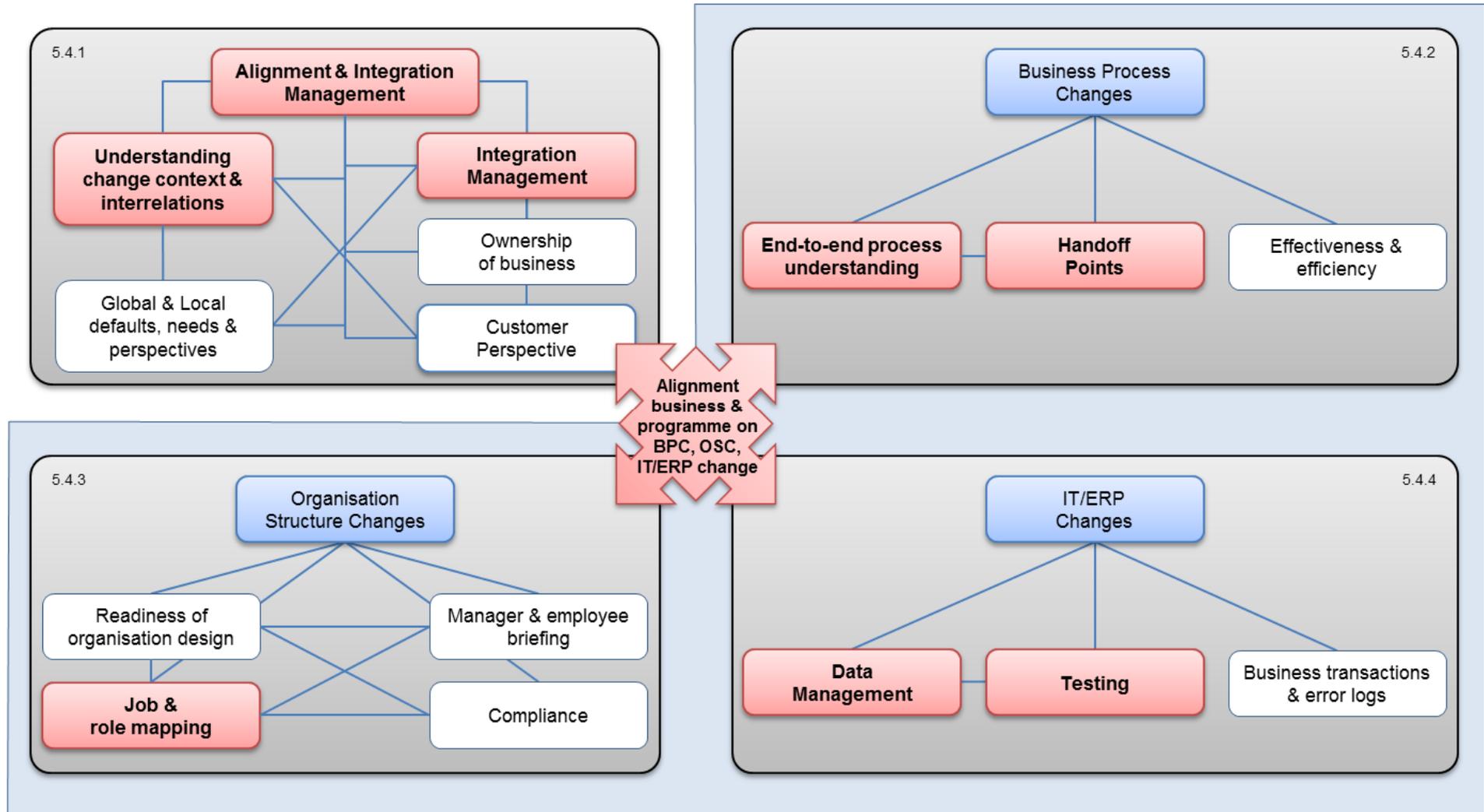
The next section discusses the relationship (similarities and differences) between case study findings and the literature with regard to change content related CSFs.

5.4 Change content related critical success factors to be monitored and evaluated

The previous main section (5.3) looked at general CSFs to be monitored and evaluated within SCP implementation. This section is concerned with change content related CSFs to be monitored and evaluated to ensure programme implementation success. The change content is related to the content of the SCP as outlined in Section 4.4: business models changes, business process changes, organisation structure and design changes, IT/ERP changes. Business model changes are understood as an umbrella for the other three subject areas. As a consequence of the comprehensiveness of the overall programme scope and structure, an additional theme is regarded as a CSF. It is not dealing with the specific change content in detail as such but aligning and integrating all the different stakeholders and their perspectives on these change content related aspects. Moreover, since the specific change content affects customers considerably, needs from their perspective should be considered as well. This is considered as another CSF to be monitored and evaluated, and therefore integrated in this change content related section. Consequently, this section is divided into four sub-sections: alignment and integration management (incl. customer perspective), business process changes, organisation structure changes, and IT/ERP changes.

The figure below illustrates the elements of this section on findings on change content related aspects to be monitored and evaluated. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings section.

Figure V-4: Change content related critical success factors to be monitored and evaluated



Source: Own figure

5.4.1 Alignment and integration management

The subject of alignment and integration management is mentioned and stressed as one of the most decisive CSFs within the context of the SCP. The greatest learning within the case and also in this research study is that all the changes should not be looked at and managed in isolation. In contrary, the findings on alignment and integration management in particular disclose the significance of managing the changes in an integrated manner.

The findings are divided into subchapters dealing with encouraging and seeking proactively mutual, shared understanding and alignment among stakeholders as well as between and from different levels and dimensions.

The discussion and relation to the literature follows after the final subsection (5.4.1.4).

5.4.1.1 Alignment between global and local programme and business teams

One important aspect of alignment identified by the interviewees outlines the alignment of global with local representatives from the programme workstreams and CoB/Fs. Alignment is about seeking mutual understanding of global and local perspectives. Since the SCP is a global programme being implemented on a country-by-country basis, local programme and business people need to understand the overall global scope, context, and respective local implications. In turn, global programme and business people need to understand local particularities causing potential conflicts regarding the global simplification and standardisation targets of the programme. Some of the interviewees question that over-standardisation might also cause solutions which are not fit for purpose, working effectively or efficiently. Instead, they argue for the need of balancing a high level of standardisation with local business needs especially with regard to local legal and fiscal requirements. They acknowledge the programme's flexibility to localise the global approach where needed as they consider this essential to agree on temporary step outs and workarounds or fix adaptations due to legal or fiscal requirements.

During the implementation phase there was frequent exchange between the teams with discussions, clarifications, negotiations, instructions, reporting, and global support for local teams virtually but also in person. Furthermore, in order to seek mutual understanding of global and local perspectives the four-box-model was set up (Figure IV-6).

Finally, interviewees add another dimension, which needs to be aware of in the global context: potential cultural differences (5.2.6). Although people belong to the same company working on the same programme the style of working and thinking can differ from country to country. This needs to be taken into account by global people in particular.

Table V-23: Interviewees' supporting quotes on "global – local alignment"

Interviewees' supporting quotes on "global – local alignment"

"...fiscal and legal requirements ... you cannot generalise ... strategic change programme ... if it also comprises standardisation for sure a critical factor..." – [C]

"...example ... if you want to change business models as part of SCP ... you need to find out first of all ... what kind of business models do you have in country? What is different? What does fit into your standardisation and simplification journey? And what doesn't? That is part of the scope definition ... then we have to get to an agreement with countries and country leaders...we have with global and local a clear decision point, clear alignment. Based on this ... have ... a scope document which documents everything. This is the basis where you ... can measure ... track ... monitor" – [V]

"...having people ... not only people on a global level but get lots of locals involved. This is not only important in terms of the project being successful but also to get support from the locals ... someone coming from global. They have no idea what is happening on the local level." – [W]

"...it is very important to understand the global perspective..." – [Y]

"...there are things we [local] cannot follow and we need to go back to the central [global] team and having a discussion..." – [A]

"...these informal discussions were really good, also with Person I our counterpart... speaking very open and she was also here quite often in person... regular conference calls together with these other countries. So we also benefited from their experience." – [O]

Source: Own table

5.4.1.2 Integration management – alignment across businesses, functions, and workstreams

Alignment in the form of local programme and cross-CoB/F coordination was mentioned most and emphasised most strongly by the research participants. It is recognised as the major success factor for the implementation of the SCP. This decisive factor was identified as learning from an implementation disaster prior to the DACH implementation. The disaster was mainly caused by a silo-mentality way of thinking and working within each CoB/F and workstream. The turnaround, to overcome the silos, was achieved by what was called integration management: enabling and enforcing cross-CoB/F and programme workstream exchange. The overall aim is to gain a shared view and integrated understanding about the overarching context of the programme, its changes and respective impacts across all affected CoB/Fs and programme workstreams. The particular focus was on the end-to-end understanding, linkages, interdependencies, relationships, interfaces, and hand-off points from one affected area to another, especially for the most critical business processes. This kind of alignment was formally mainly institutionalised by two bodies, DCT and OCT. In the OCT especially, full transparency was achieved and weaknesses were disclosed which helped to manage and solve critical issues jointly. As soon as people recognised the benefits of these regular meetings and close contact informal exchange across CoB/Fs and programme workstreams emerged. People jointly reflected on any changes with according impacts. Consequently, everyone was aware of what is happening, when and why.

A prerequisite for this integrated style of working is to align also different goals from the different CoB/Fs to accomplish one common business agenda. This alignment was on the responsibility of the highest leadership level, the DCT. They also decided on finance and making resources available (5.3.5.2). The main prerequisite to achieve local alignment is business ownership for the programme and its implementation.

Table V-24: Interviewees’ supporting quotes on “integration management – alignment across businesses, functions, and workstreams”

Interviewees’ supporting quotes on “integration management – alignment across businesses, functions, and workstreams”
<p>“...look to your change programme you need to reflect very soon, what are the elements from 'Supply' impacting 'Distribution', impacting refineries and probably 'Commercial Fuels' or whatever ... quite some key elements, which impacted other business areas....” – [A]</p>
<p>“We ... offshored a lot ... we are dependent on other countries ... this is something the business needs to understand...” – [A]</p>
<p>“...Interviewee K, Person AC and I. We moved to the global ... PMO and harmonised or standardised the integration approach across multiple process and business areas ... kind of matrix. We developed this approach which has been used for subsequent implementations since then.” – [C]</p>
<p>“...DCT coordination with the aim to overcome silo-mentality way of thinking...” – [Q]</p>
<p>“...strong integrating structure like we had with the DCT, like we had in the OCT. That was important.” – [R]</p>
<p>“...you need to have a good Integration Manager ... or Integration Management organisation ... if it is a strategic change programme usually the whole organisation is changed ... whole ERP system ... ways of working in terms of processes ... different parts of the organisation are affected in different ways. Only by bringing the different change impacts together and understanding the dependencies between things that need to change in the different areas into a sequence, into one plan, and into one consistent structure, that is key ... you need someone or a group of people who integrate very closely and who make dependencies and integration points clear to everyone that you do not get fights between different areas ... need to look at during ... mobilisation ... obviously implementation and ... sustain phase ... understand the end-to-end process.” – [K]</p>
<p>“What are the hand-off points, what are the integration points, where do we need alignment, where do we need agreement on common standards or on common ways of working.” – [K]</p>
<p>“...one of the key learnings for me, what was called Icebreaker later on ... that was the end-to-end integration thing.” – [L]</p>
<p>“...ensure that every workstream ... is aligned with the other workstreams, and everyone is aware of what is happening, when and why ... keep track of all the interdependencies...” – [H]</p>
<p>“...get ... alignment in the SCP leadership team at the highest level...” – [N]</p>
<p>“...end-to-end thinking ... key driver is the ownership of the business here” – [T]</p>
<p>“...really understand the full process from wall to wall ... own small piece and ... know what consequences little flaws on their process side would have to others ... that is really a key thing.” – [U]</p>
<p>“How do I measure whether my integration management is working properly? ... very difficult question ... you ... obviously have some check points in your programme ... testings ... review points ... stage gates ... if there are certain milestones to be reached and one or the other class of business or area is always falling behind, it also seems or is an indication that your integration management is not working properly.” – [K]</p>

Source: Own table

5.4.1.3 Interrelated change content

Before the three content related dimensions are dealt with in detail this section is about interrelated change content considerations.

The findings show greatest emphasis on BPC followed by OSC related topics whereas IT/ERP related factors are dealt with least. This contrasts with the understanding shared and emphasis given in the beginning of the overall change journey. In early phases until the DACH implementation, the programme was primarily understood and managed from an IT perspective. The findings clearly recommend deciding on business model changes first, followed by process and organisation structure and design changes. In fact, IT is just a means to an end to implement the process and organisation structure changes induced by the business model changes. This logical order should be understood on the highest senior management and programme level first and early in the change process. IT is the most tangible part (hardware and software) of the SCP. It enables and operates the business models that become evident in business processes and organisation structures.

First of all, the findings highlight the importance of business (not IT) ownership for the SCP as the intended changes aim for improvements in business effectiveness and efficiency. Furthermore, since the programme is of very comprehensive and complex scope and nature the business should agree on scope priorities and which changes should be implemented first, as not everything can be realised at the same time. Consequently, interviewees recommend monitoring scope and scope creep, progress and timing. In addition, the interviewees consider it to be necessary that top business as well as global and local programme management identifies interdependencies within the scope and the respective change content. This means understanding the basics and aligning the content related changes and respective impacts and consequences (what kind of change induces what kind of impact and where (which process/es, organisation unit/s, IT system/s or component/s, and in which country/ies).

Within the global context of the programme, the participants of the study attach importance to country specific aspects. One deals with the selection of appropriate pilot countries where the overall programme approach and some of the changes are tested regarding overall feasibility. Interviewees advise selection of those countries that represent the overall global business of the company to the highest extent possible – for instance, where most important or most business relevant processes are used but on a small scale. This should enable the business to draw conclusion from, learn, and develop further the overall programme. The second aspect deals with legal and fiscal specifications that differ from one country to another. As a result, especially local people in authority should be aware of and agree on step outs and workarounds³⁵ with global authorities. Those in turn, monitor closely the overall compliance of local changes according the global standard (business models, processes, organisation design, and how this is incorporated into IT systems).

In this work, and within the context of the case, offshoring is regarded as a theme resulting from the business model changes. In this particular case finance and customer service processes as well as organisation structures are changed, relocated and finally centralised in several dedicated service centres around the world (outside DACH). Hence, offshoring is not being dealt with in a separate section but in those where it is mentioned in the respective context (5.4.1.4, 5.4.2 or 5.4.3).

³⁵ A given business or country follows an exception to the SCP design by adopting existing practices.

Table V-25: Interviewees' supporting quotes on "change content interrelated"

Interviewees' supporting quotes on "change content interrelated"

"...in such a programme ... you have ... to clarify the overarching context to be combined quite early ... The SCP has been 'sold' as an IT project in the beginning ... the first years, when they did „Pilot Country C', 'Pilot Country B' till 'Country Cluster North Europe' and also in the beginning in Germany, the whole project was far too heavy on IT ... driven too much by IT-minded people ... That's not what it was. However, and Interviewee N will confirm that ... in the organisation there was no understanding of what it was about. It had not been made clear to the organisation right from the outset how far-reaching the changes are ... and this is why Pilot Country C fell flat on the face and Pilot Country B went tits up and why the 'Country Cluster North Europe' blew up in our faces ... it is an integrated change process for the whole organisation and not just an IT SAP project." – [L]

"...with having these IT and business process changes you got a lot of changes in your organisation and you get this first right before you implement your system, and not the other way round." – [A]

implemented first as not everything can be realised at the same time.

"...if you want to have a global implementation like this, you cannot do everything in the same time..." – [A]

"...offshoring... needs to be taken into consideration ... to be analysed in detail and thought of carefully ... if you are changing and at the same time offshoring processes, it is quite difficult because you always have interdependencies ... you cannot do both at the same ... time. So if you change ... processes ... and at the same time offshore processes, this is really ... difficult and ... dangerous ... this is something that needs to be ... taken into consideration throughout all phases ... especially conception phase" – [H]

"...be clear which processes you want to re-engineer. And once you have scope agreed I think you got clap the elephant in pieces and agree on how are you going to implement that." – [S]

"...only by offshoring and you see then in those tests there are a lot of issues around handoff points ... data consistency... then you see that the person who has ... put in the data, has not understood the full process until the end when data then moves offshore for example ... is also a good indication of whether your integration management works or not. That would be some ways of measuring of how your integration management works. – [K]

"There was an overview per process. And then [DCT meeting] each business took its stand whether they see any problems." – [R]

"A huge checklist ... 230 or whatever criteria ... around ... the big headlines ... business readiness ... compliance ... monitored on an ongoing basis ... is the system ready, defects being resolved ... people readiness, training, organisational design, is that fit for purpose in the system, is it set up properly. Are the ... roles to names in the organisation fit for a Go-live ... that is that whole piece ... are ... financial controls signed off ... are all the critical applications, the systems they are interfacing with, is that in place." – [V]

"...very good preparation with people who really know the processes and effects of process changes..." – [R]

Source: Own table

5.4.1.4 Customer perspective

Retrospectively, as a kind of learning, interviewees recognise the importance of engaging with and integrating customers' perspectives early in such a global SCP. Although the changes are implemented internally within the CoB/Fs, there are many customer interfaces to be considered (e.g. sales, ordering taking, invoicing, and customer service). Therefore, the interviewees advise considering both perspectives – inside out as well as outside in. In order to achieve this, they recommend involving customers early, explaining the impacts on their side, actively seeking their feedback, and monitoring their implementation readiness as well. Consequently, the majority of the interviewees referred to customer satisfaction index to be monitored and evaluated throughout the programme and after the changes are implemented in particular.

Table V-26: Interviewees' supporting quotes on "customer perspective"

Interviewees' supporting quotes on "customer perspective"

"...you cannot have an internal survey only on customer satisfaction. There needs to be something the customer actually tells you ..." – [I]

"...mobilisation of external customers: ... how do you get best customers interested in supporting something which is currently working for them flawlessly. It causes on their side additional costs ... additional effort. So what's in it for them? ... you need to really create the business case for them as well - key success factor." – [V]

"...make sure that they allocate the right people, knowledgeable people to our project because if they miss a deadline it will have a negative impact on us ... have that discussion with them high level first, get them involved into plan on the page activities at early stages, particularly ... key global customers ..." – [V]

"...for me critical is to involve the end customer and to provide it with the full picture of the anticipated final outcome." – [J]

Customer satisfaction ... reflects to some extent or hopefully in the way the people treat ... customers, not only the processes, but also in the way people interact with ...customers ... there are a lot of indirect measurements that give you a feel of has the cultural change been achieved." – [N]

"...with your customers, did you discuss with your parties you are interfacing with the journey, the next steps forward, are they aligned...make sure that the whole organisation including external partners are fit and ready for the Go-live at a certain period of time." – [V]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Integration management is the first and most important CSF with regard to the change content related CSFs. The findings build on the literature and even more strongly emphasise this as the most important CSF in their SCP, together and combined with leadership.

Everything starts with the alignment of corporate, business and implementation strategy with the SCP and its change content (Figure V-5 below). Based on that, integration management goes beyond information sharing and is about alignment and coordination across organisational units, functions, locations and borders (Beer & Eisenstat, 2000; Hrebiniak, 2006; Iveroth, 2011). This includes the consideration of implications for external stakeholders, like customers or suppliers, if they are affected. Integration management comprises alignment and coordination with regard to the programme organisation as such as well as to the specific change content that needs to be managed in an integrated manner. It is mainly concerned with cross-discipline coordination of implementation activities and cross-discipline problem-solving in particular (Shehu & Akintoye, 2011). The core value of integration management is overcoming divisionalised structures and silo-mentality way of thinking.

The learning from the case discloses the significance of an implementation aligning and integrating all change content components with each other. ERP systems operate business processes and run the underlying business model/s. Changes in business models induce BPC and consequently ERP changes. This in turn, both affect several CoB/Fs as processes and work flows follow through the organisation and do not stop at department borders. As a result, the different perspectives, impacts, and consequences of all the changes need to be considered in an integrated manner. These findings build on Davenport (1998), who notes that BPC and ERP have recursive relationships and consequently any fundamental improvement in either of these brings improvement in the other.

The key learning within the SCP implementation process and from the case study findings is that the key to success is to manage the changes and its implications in an integrated manner cross-CoB/Fs and workstreams.

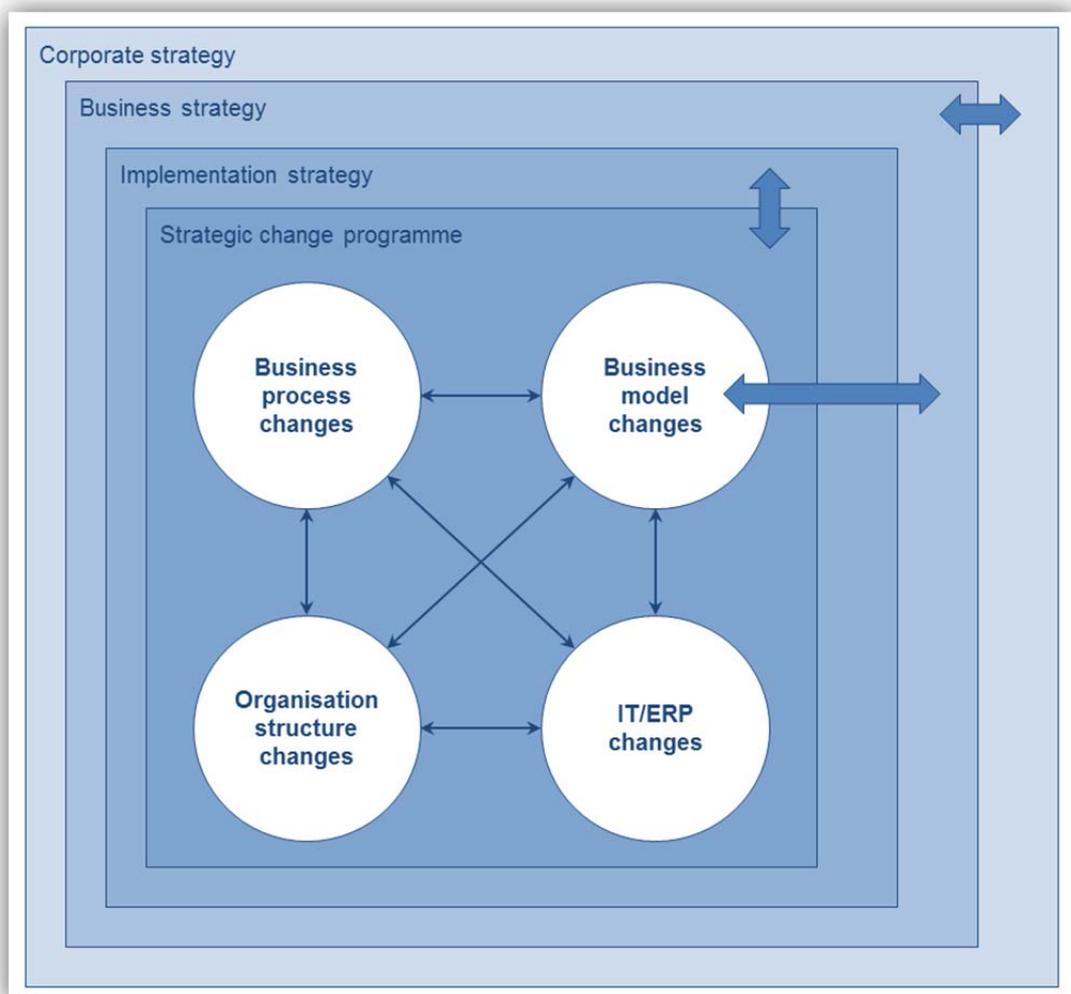
Vital components in this were the *DCT*, *OCT* and the *integrated reporting and monitoring* across all process areas and CoB/Fs. A lot of monitoring and evaluation was conducted by the DCT and OCT. Moreover, the coordination and alignment between global and local teams and their partially contrary views was essential. Local programme and business people need to understand the overall global scope, context, and respective local implications. In turn, global programme and business people need to understand local particularities causing potential conflicts regarding the global simplification and standardisation targets of the programme. The challenge is to balance a high level of standardisation with local business and “glocal/lobal” customer needs.

All these dimensions are illustrated in Figure IV-5 (p.121), Figure IV-6 (p.122), Figure IV-7 (p.123), and Figure V-7 (p.266). The combination of these made the difference in the SCP. As a result, the DACH programme team, and afterwards all subsequent implementations learned the underlying logic: business strategy drives *BMC*, leading to *BPC* and *OSC*, which consequently need to be integrated and built up within *IT*, and not vice versa. *IT* should never be the driver but an enabler to *BMC*, *BPC*, and *OSC*. This is illustrated in Figure V-5 below.

In addition, integration management should also consider the customer perspective. Very often with internal changes, which the SCP is mainly concerned with, external perspectives with regard to customers are not as strongly considered, as they should be. The literature review undertaken for this research observes the same incidence. Among those sources being relevant to this research, only three references are found considering it as important to take the customer perspective into account (Finney & Corbett, 2007; Pinto & Slevin, 2008; Recardo & Heather, 2013). This mirrors one of the key learnings from the case.

The customer perspective was anticipated rather than listening to customer voices and really understanding their requirements, needs, and interfaces. In particular, their acceptance regarding the Customer Service Centre and related processes was underestimated. Due to the relocation into shared service centres, customer service is more centralised, standardised and less customised. In combination with invoice inaccuracy this caused a tremendously decreasing customer satisfaction index. Meanwhile, some of the customer service processes are turned back, revised, and reorganised in a separate “Offer-to-Cash” organisation. As a result, the customer perspective (needs, requirements, attitude, and loyalty) is another CSF to be taken into consideration, and to be monitored and evaluated.

Figure V-5: Aligning and integrating strategies and change content



Source: Own figure

Integration management is one of the two most significant CSFs, together with *leadership*, for SCP implementation. This is at least valid for the context of the case. Leaders should be aware of the critical importance of integration management. They need to initiate and manage it continuously. This responsibility should be with the Country Chair and the local Programme Manager in a kind of tandem style.

Besides the need for alignment and integration management, there are aspects to be considered in each change content dimension itself to ensure successful implementation. Integration management is the basic prerequisite to manage the change content appropriately. The findings on change content related CSFs are presented and discussed in subsequent sections 5.4.2, 5.4.3, and 5.4.4.

5.4.2 Business process changes

The findings on BPC centre on understanding the processes, level of adoption as well as their effectiveness and efficiency. Most strongly accentuated is the end-to-end understanding of the current and new processes as the most important change content related CSF for this SCP. The end-to-end perspective does not only include the understanding of the processes as such but also interfaces and handoff points in particular and how the changes affect the different CoB/Fs and SCP workstreams. This is identified to be understood across CoB/Fs and workstreams as well as at all levels of the organisation from top senior management to bottom line employees globally and locally. This was a major learning point early in the overall change journey since the first significant cluster implementation struggled tremendously. It did pay attention to the end-to-end perspective but rather looking on the programme from every single CoB/F and from an IT perspective. Based on this learning the end-to-end aspect was institutionalised into the programme approach for subsequent country implementations (Appendix 19). Particular focus was on those processes that were most significant for the Downstream business. The DACH team identified the critical handoff points, interfaces, and interdependencies and developed an integrated end-to-end reporting based on that. This is regarded as very important since many of the new processes are compartmentalised and spread across several countries and CoB/Fs involving many different people. The compartmentalisation is especially prominent where processes and organisation structures were offshored.

Moreover, the impact of process changes on the organisation design should be understood since it is most often the case that certain process changes result in organisation design changes (job roles, responsibilities, job descriptions). Consequently, process and task requirements need to be aligned with respective jobs designs (roles, responsibilities) and job descriptions. Finally, the processes need to be mapped into the IT system aligned with the organisation design.

With regard to monitoring, the interviewees refer to many factors to be monitored and evaluated.

The most important ones are processes understanding at various organisational and programme levels, and linked to this the end-to-end and integration management. Before Go-live, global processes should be checked against business needs in terms of practicability as well as to monitor progress and milestones (number of processes readily designed, roles assigned respectively). In line with this, the programme teams conducted compliance checks, global defaults versus actual local manifestations.

Once the processes are implemented, the interviewees recognise the need to monitor and evaluate process effectiveness (meeting business and client needs) and efficiency (time, costs, number of working steps, system-controlled, paperless, and electronically supported versus manual work) in business practice, their usefulness, and acceptance from customers and end users' perspective. More specifically, it was looked at daily business process performance and business transactions focusing on the most important business KPIs (order processing, ability to deliver "On Time In Full", invoicing/invoice accuracy). According to the business process and KPIs, the interviewees reflected on monitoring the extent to which people are following the processes (e.g. number of transactions running into error logs). This can be split into speed of adoption (how quickly employees begin using the new process, system, technology), ultimate utilisation (participation rate – how many employees are engaged and practicing the 'new way of doing things'), and proficiency (how effective employees are when they do implement the change) (Prosci, 2010).

Table V-27: Interviewees' supporting quotes on "business process changes"

Interviewees' supporting quotes on "business process changes"

"...end-to-end reports ... integrated reporting ... break down structure... end-to-end handoff report ... different locations, Rotterdam ... Hamburg ... Manila ... Chennai ... where are weaknesses ... 17 locations across ten process areas ... colour coding with traffic lights ... you have to understand the end-to-end relationships ... As soon as you understand this you can start to develop and base on your reporting or steering the whole thing." – [L]

"Process changes imply potentially organisation changes. It [SCP] was also about standardised processes and therewith standardised organisations. So, planning becomes important." – [Q]

Interviewees' supporting quotes on "business process changes"

"...critical that the process map or the business model is being set up and completed ... you need to have something visible for all stakeholders especially for the end-users who need to conduct these processes later on that they really understand the end-to-end process view. This is very key ... if users do not really understand the full process from wall to wall but only their own small piece and would not even know what consequences little flaws on their process side would have to others. So that is really a key thing." – [V]

"...end-to-end testing ... key success factor ... you need to measure also the readiness of the handoff points" – [U]

"...we worked with a lot of geographies, lot of locations ... it had to be developed into the lowest level of detail ... In Germany ... were the service providers ... people in 'City B in UK' ... doing the finance. People in 'City A in Poland' doing the 'Customer Service Centre' and people in India turning out the management reports and the KPIs ... that is why it needs to be absolutely monitored. Is this ready, that process ready, flagged with responsible people who could do, who could perform the actions who are responsible for ... you need ... every single process, every single job has to be described to the lowest level of detail..." – [D]

"...really dry-run new processes with ... sample data ... put in people that are currently executing the existing process to ensure that these people ... from their ... business knowledge, can evaluate whether the new process is fit for purpose and works as designed. Or if there are things that need to be adjusted or refined. Because something has been missed during the translation ... from old to new processes on a piece of paper." – [H]

"...have we developed the processes in the various businesses ... have we developed that? When are they ready to be converted? ... keep ... pressure on ... process owners, the people that are accountable for defining the simplified set of processes ... track time wise and quality wise ... Have we indeed been able to reduce the complexity of our processes ... 'Where are the savings ... are these processes significantly simpler?' ... monthly process owner meetings ... to check the progress ... to design a process and at the same time develop an indicator, a KPI that tells ... whether the process is efficient and runs efficiently rather than trying to do it at the end ... right choice was to have process owners for each of the processes across a number of businesses ... split up the ... phases of developing the processes then converting it to IT." – [N]

"...process cycle times...supply...delivery...invoicing...receiving and processing payments..." – [F]

"...I remember a country implementation ... 400 business KPIs, which is crap ... monitor your key business areas. At the end ... you need 30 or 40 ... you ... monitor your overall business and you know what is going on..." – [A]

"In parallel what we need to make sure is that those people understand which KPIs might change based on running different processes or different business models." – [V]

"...key trainers ... evaluated how well certain processes were carried out and what the problems are ... we had the possibility to provide support right at the point where it is needed. – [O]

"...You need to monitor your daily business transactions ... you need to have a solid basis to see whether people follow the processes ... how many transactions run into error log ... understand ... processes ... This was one of the key areas..." – [A]

Further quotes in Appendix 18, p.lxxxii

DISCUSSION and RELATION to the LITERATURE

Those aspects being identified as critical within the field of BPC in the literature and in the findings of the case centre on business process design (Al-Mashari & Zairi, 1999; Jurisch *et al.*, 2014). The key aspects to be monitored and evaluated are process effectiveness (matching business and customer needs) and efficiency (time, costs, ease of handling). Moreover, the integration of the business processes within the IT/ERP system is also regarded as vital for monitoring and evaluation. This can mainly be conducted by simulations and *testing*.

The findings from the case add two significant CSFs to those from the literature, which should be monitored and evaluated: end-to-end process understanding as well as the identification and understanding of handoff-points. These are the most important change content related CSFs within the SCP. Many of the processes were changed and/or relocated, for instance into Finance or Customer Service Centres. Processes are now flowing all over the world and people cannot ask a colleague next to him/her or across the corridor in the next office. It is vital to understand who is responsible for which process steps but also to know the consequences in the end-to-end perspective if certain things are not being done as they should be. The BPC causes virtualisation of work in many areas. The end-to-end perspective across all CoB/Fs and locations was monitored with a dedicated end-to-end reporting, which was discussed within the OCT on a weekly basis, and if necessary also with the DCT.

5.4.3 Organisation structure and design changes

The findings on organisation structure and design changes also include aspects of off-shoring. As mentioned in previous chapters changes in the organisation are a result of the business model and business process changes. The quotes illustrate below these interrelations, which stress the themes of alignment, coordination, and integration management again.

The interviewees mentioned that the global standard organisation design model should be ready for implementation. Moreover, they note that there should not be any design changes (e.g. job and role design, role to job mapping) for countries, which are in the implementation phase shortly before Go-live. This would affect staff to job mapping significantly and therefore the training workstream was impacted most of the time since training was organised according to jobs and roles (5.3.4.3). As a result, role mapping is emphasised as being important for the success of the SCP since roles are the key to authorise a person to conduct respective tasks within a process or a workflow. Inadequate role mapping would cause process inefficiencies or even operations to come to nothing and run into error logs.

Furthermore, the research participants appreciated the preparation of line managers who were briefed (line manager briefing) for the briefings with their subordinate employees (staff briefing) about potential job and role changes. This ensured a kind of preparedness and readiness to change which is one of the major findings in section 5.3.3. These briefings were introduced by the DACH implementation. Afterwards, they become a standard in the overall programme approach in the OD workstream.

The business model changes also caused restructuring and relocation of both customer services and some of the financial services that in turn resulted in head count reduction. This was monitored by the OD workstream after it was negotiated, agreed, and aligned with the work council and the respective CoB/Fs.

Overall, key in such a change programme is to manage the challenging combination of process, organisation design, IT changes which need to be aligned accordingly since all these changes are interrelated. Hence, the interviewees regard proper documentation and description as an important success factor, such as process documentation with specific jobs and roles that should be created or changed and mapped accordingly into the IT system.

Like in the other workstreams, compliance of organisational structures, job and role mapping compared to the global standard organisation model is one of those elements which were monitored.

Table V-28: Interviewees’ supporting quotes on “organisation structure changes”

Interviewees’ supporting quotes on “organisation structure changes”
<i>“...have clarity of these typical three things, my org, my system, and my people in this typical triangle ... And that was a very very good point and that should definitely be preserved. So the approach also to how org design is being set up is very very important...” – [K]</i>
<i>“...having a clear understanding of my future organisation ... which jobs ... how many people...” – [C]</i>
<i>“On the OD side, on the organisational design side I think excellent job. Perfect implementation.” – [K]</i>
<i>“...for authorisations and distribution of roles ... there the critical success factors are that the [organisation] design is ready...” – [B]</i>
<i>“...this is of particular importance. Org design change is very important, that you understand ... did we cover everything. Are all activities, roles ... mapped reasonably. Do we have backup solutions, holiday replacements ... is it clear where the handoff points are ... That is important.” – [F]</i>
<i>“...role mapping is a serious task ... really take it serious, buy-in, commit to it, get ownership and we could clearly observe that those businesses that did it seriously they succeeded and others where they said ... role mapping we delegated to a certain very low level, the eye opener came later...” – [T]</i>
<i>“...organisation changes ... influence on people ... Whenever people are moved away from familiar surroundings ... into a new organisation, there is fear, resistance, and there you need to communicate...” – [Q]</i>
<i>“...we tracked a lot from an OD perspective ... how far the org design is in every domain, how many people have already been briefed...” – [B]</i>
<i>“...the whole approach how the SCP was approached ... roles ... reflected in the system ... proper process documentation ... roles and ... jobs, they are defined, are documented and clearly articulated ... the combination of org design, of IT role design, and of process documentation is absolute key...” – [K]</i>

Interviewees' supporting quotes on "organisation structure changes"

"...we did a lot of FTE tracking..." – [B]

"...the implementation of the organisation changes ... in the jobs and job descriptions ... that was exemplary... how it was done in Germany. The global programme learned a lot from us." – [C]

"There are compliance reviews in terms of the organisational design. Have all organisations adjusted their roles and authorities to the standard organisational model...is your organisational structure ... compliant to what SCP is saying ..." – [A]

"...you want to monitor whether the new organisation setup fits for the new processes, or for the change in the processes ... it is more complex ... you need to probably do interviews, asking the people what they feel about the new organisation in ... conjunction with the new processes if that works for them. And you probably need to have ... factors where you really can measure ... the turnaround time from process step 1 to ... 2 match the estimations or the expected outcomes. And is the organisation you have set up fit for purpose or does the organisation need to be adjusted." – [H]

"...there are certain essential aspects being important for the daily business operations but which are not mapped or designed anywhere ... there are many activities which do not have anything to do with GSAP ... but you have to accomplish these as well ... this requires adaptations to reality." – [R]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

The literature and the findings on OSC share the importance of the organisation design comprising all the different jobs being built of different roles (Jones, 2002; Recardo & Heather, 2013). In a global SCP, like in the case, a standardised organisation with standardised jobs is built across the globe. Consequently, job and role mapping is identified as a key aspect to be monitored. In that respect, it is considered to be important to monitor compliance of the organisation design as such but also of all jobs according to the global standard organisation model. This can be achieved for instance with *databases* comparing the local design with the global defaults. Again, the integration of the organisation design, its jobs, and roles into the IT/ERP system is recognised as being central to be monitored. This means how organisation design, jobs, and roles match with the business processes and IT. The integration aspect can be monitored and evaluated via user-acceptance tests.

The findings add to the work of Jones (2002) and Recardo & Heather (2013) by attaching importance to manager and employee briefings in which all organisation design, job, and roles changes are explained.

The interviewees identify this as one of the very important accomplishments to achieve acceptance and *readiness to change*. According monitoring can be done with checklist verifying whether briefings have taken place or change readiness *surveys* receiving feedback on whether people understand their new job and roles and the overall *case for change*.

Consequently, the findings in this section are linked to other CSFs, such as *leadership, stakeholder management, communication, and case for change and readiness to change*. Moreover, monitoring can also be conducted via *informal evaluation talks*, for instance done by *change agents*.

5.4.4 IT/ERP changes

The main findings in this chapter are about understanding the scope and IT/ERP impact of the overall SCP. The findings are mainly focused on data management, testing, and IT based monitoring of business performance and KPIs starting with Go-live. As dealt with in previous chapters, IT/ERP is considered as a means to an end to implement and operate business models, processes, as well as organisation structures.

As a starting point and kind of prerequisite for the IT activities to be conducted, interviewees recommend clarifying scope, system requirements, and capabilities to implement the changes and operate the business models and business processes. This refers to the scope of the overall SCP and its interdependencies.

Awareness of and monitoring IT cost of the implementation is identified as another important aspect. However, the interviewees point out that the business should always take the ownership and the lead for such a programme and not let IT drive it, even though IT might cause most visible costs. Nevertheless, there are interdependencies as the IT systems run business models and processes and unless a system is ready for Go-live the changed business models and processes cannot be operated.

One of the findings on IT, which was highlighted frequently, is concerned with data management. This comprises activities around data preparation and readiness, data cleanse, data consistency and accuracy, data conversion and migration. This area is of significant importance since data is considered as an important asset and input factor for doing business. For instance, data is one of the key elements for customer service and customer relationship management. Thus, data needs to be transferred from the old to the new system appropriately which needs to be conducted and monitored closely from the interviewees' point of view. Moreover, they recognise the importance of understanding data impact, which is about understanding the consequences if any of the data activities are not accomplished properly.

Another key area identified is that of testing. Prior to Go-live many testing activities were conducted and appreciated by the research participants. They refer to the necessity of defining a realistic and manageable test scope and scenarios reflecting the key business areas and operations. Moreover, emphasis is put on knowledgeable people for conducting user acceptance tests enabling meaningful and effective assessments. Strongly recommended and stressed are so-called Live Environment Simulations (LES) and Confirmation Acceptance Tests (CAT). These improve and validate business readiness, with significant business involvement simulating business prior to Go-live (end-to-end process test with real data). Thus, end users are exposed to a real life business situation in a safe environment and strengths/weaknesses can be identified.

Finally, once the new business models, processes, and IT systems are up and running interviewees recognise a need to monitor daily business transactions, KPIs, error logs, or any other emerging issues. These findings also relate to those from Section 5.3.7: Sustain phase, which deals among other things with after and hyper care.

Table V-29: Interviewees’ supporting quotes on “IT/ERP changes”

Interviewees’ supporting quotes on “IT/ERP changes”

“...with having these IT and business process changes you got a lot of changes in your organisation and you get this first right before you implement your system, and not the other way round.” – [A]

“...Enterprise Resource Planning, that is mainly the implementation of the hardware of the IT-side of things but should always run ... to the beat of the business ... especially ... during the DACH implementation it seemed to be that the ERP roll-out was beating the drum ... the reason was because that was the most expensive part of the whole programme. So, if they create delays then that would cost us most. You know as well how many ... consultants were involved ... any delay on their side would incur the most cost.” – [D]

“...Do we understand what the system is capable of? What is not possible? ... to be understood latest in conception phase...” – [F]

“...you have to specify the system requirements...” – [U]

“ERP ... that is a hard Go live ... you either start to use your new SAP system or you don’t ... milestones are, I want to go live with Germany on 1 July [2008] and then either you go live or not. If you are delayed that is a KPI in itself which will most likely ... delay the whole programme...” – [S]

“...having data quality right ... look at data as a company asset rather than a burden...” – [N]

Interviewees' supporting quotes on "IT/ERP changes"

"...have all the customer master data correct ... tax codes correct ... volumes and the prices correct ... invoice layout correct ... invoice accuracy ... imagine if you send out invoices and every fourth ... is ... not correct. This will not help you in getting your customer relationship into a proper state." – [U]

"...you need to figure out ... key data elements which you need to get right to for example to do your financial reporting ... monitor whether this data correctly translated into the system. Because I think this is something you need to monitor as well. Is your setup in the system correct? So does this really apply to the SCP laws?" – [A]

"...data consistency..." – [K] "...data conversion ... you need to have rules ... SCP was quite strict in implementing rules ... clean up data in your old system ... you need to monitor quite closely." – [A]

"...thoroughly planning data migration ... in terms of data cleansing activities, data mapping et cetera ... defining the readiness in terms of data cleanse or data migration." – [U]

"For data cleansing we were monitoring percentage of data that would be ready to be moved via our migration tools into the new system. And we had milestones defined for 10, 30, 50, 80 what have you per cent and we were tracking against." – [S]

"...various kinds of intermediate milestones ... related to testing like unit tests, integration tests ... user acceptance test, we had a live environment test, so various different milestones." – [S]

"...different stakeholders for these tests ... business user ... who wanted to test daily operations ... which is very good..." – [B]

"...critical success factor ... how are user acceptance tests going..." – [C]

"...test the IT systems based on predefined scenarios ... pick a number of key users, super-users" – [U]

"...end-to-end testing ... key success factor ... you need to measure also the readiness of the handoff points based on LES ... You need to have a very rigorous approach when you run LES, a very rigorous approach to identify the defects in the system, identify the knowledge gaps of people, identify even ... where processes do not work, so these types of things." – [V]

"...new processes ... you can probably develop them on a global level but test them locally. Get people on board who know their business locally." – [V]

"...test whether your system is running ... whether the processes fit the system ... whether the end users have received successful training, whether they are able to fulfil their role ... all kinds of dry runs and testing activities is really important, especially considering the scale of the project." – [V]

"...you need to have a solid basis to see whether people follow the processes. So how many transactions run into error log. ... You need to monitor your daily business transactions." – [A]

"A huge checklist ... 230 ... criteria ... around ... the big headlines ... business readiness ... compliance ... being monitored on an ongoing basis ... Go-live KPIs ... operational KPIs ... compliance KPIs..." – [V]

Further quotes in Appendix 18, p.lxxxii

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Data management and testing are those CSFs that are identified in the literature as well as in the case study (Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Kronbichler, Ostermann & Staudinger, 2009). Data management is critical and needs to be monitored since data should be considered as a core asset of today's companies and organisations. This is particularly emphasised by the research participants. If data (e.g. customer master data) from the legacy systems is not prepared and migrated into the new system appropriately, severe issues can arise, like invoice inaccuracy, incorrect order volumes, pricing, and delivery dates, or the like. This will cause decreasing customer satisfaction and impede customer relationships. This was one of the most severe issues that occurred in the case. Consequently, data cleanse, preparation and migration should be monitored closely. Linked to that, system testing and simulations support this activity disclosing potential problem areas when analysing business transaction error logs. Moreover, the literature refers to the need to understand the business requirements and implications of ERP before starting any implementation (Momoh, Roy & Shehab, 2010). This again is related to *integration management*.

The next section deals with findings, discussion and respective relations to the literature regarding the operationalisation of monitoring and evaluation of an in SCP implementations.

5.5 Operationalisation of monitoring and evaluation

As the previous sections identified challenges, prerequisites as well as CSFs to be monitored and evaluated in a SCP as implemented by the case study company, this section is about the operationalisation of monitoring and evaluation. Thereby, the overall chapter covers two main aspects, “who” is doing monitoring and evaluation (5.5.1) as well as “how” to conduct it with regard to methods and tools (5.5.2).

As the findings of these sections are often closely linked, the combined discussion and relation to the literature follows after the findings of both have been presented (at the end of section 5.5.2).

5.5.1 Who – doing the monitoring and evaluation

This subsection identifies different people, groups, or bodies being responsible for and conducting monitoring and evaluation activities. Research findings mainly comprise the following three groups: business management, programme management, and outside reviewers. Although these are distinct groups, the findings are strongly interlinked. Since the programme structure and approach imply alignment and integration management across CoB/Fs and programme workstreams on global as well as local levels (Section 5.4.1) these groups and respective monitoring and evaluation activities cannot always be separated from each other. In the contrary, the activities are accomplished jointly to a large extent since many bodies are set up in meetings combining stakeholders from various areas within the company and the SCP which is exemplified by the four-box-model (Figure IV-6 and in Figure V-7 as an amended version illustrating the main information flow, meeting and reporting structure within the programme).

As the findings on prerequisites for monitoring and evaluation outline (5.2) interviewees assign the accountability for the programme and its results to senior business management (General Managers/leaders of respective CoB/Fs).

The overall responsibility for managing the operationalisation of monitoring and evaluation is assigned to the PMO, the programme leader (Cluster Programme Manager, Interviewee L) and the successor organisation.

Despite the interwovenness within these primary groups, monitoring and evaluation can be done more or less on all levels, focusing on different timeframes and dimensions (from strategic to tactical and operational), different levels of importance, different purposes, different phases (pre-, during or post-implementation) and different levels of information.

Table V-30: Interviewees’ supporting quotes on “Who – doing monitoring and evaluation”

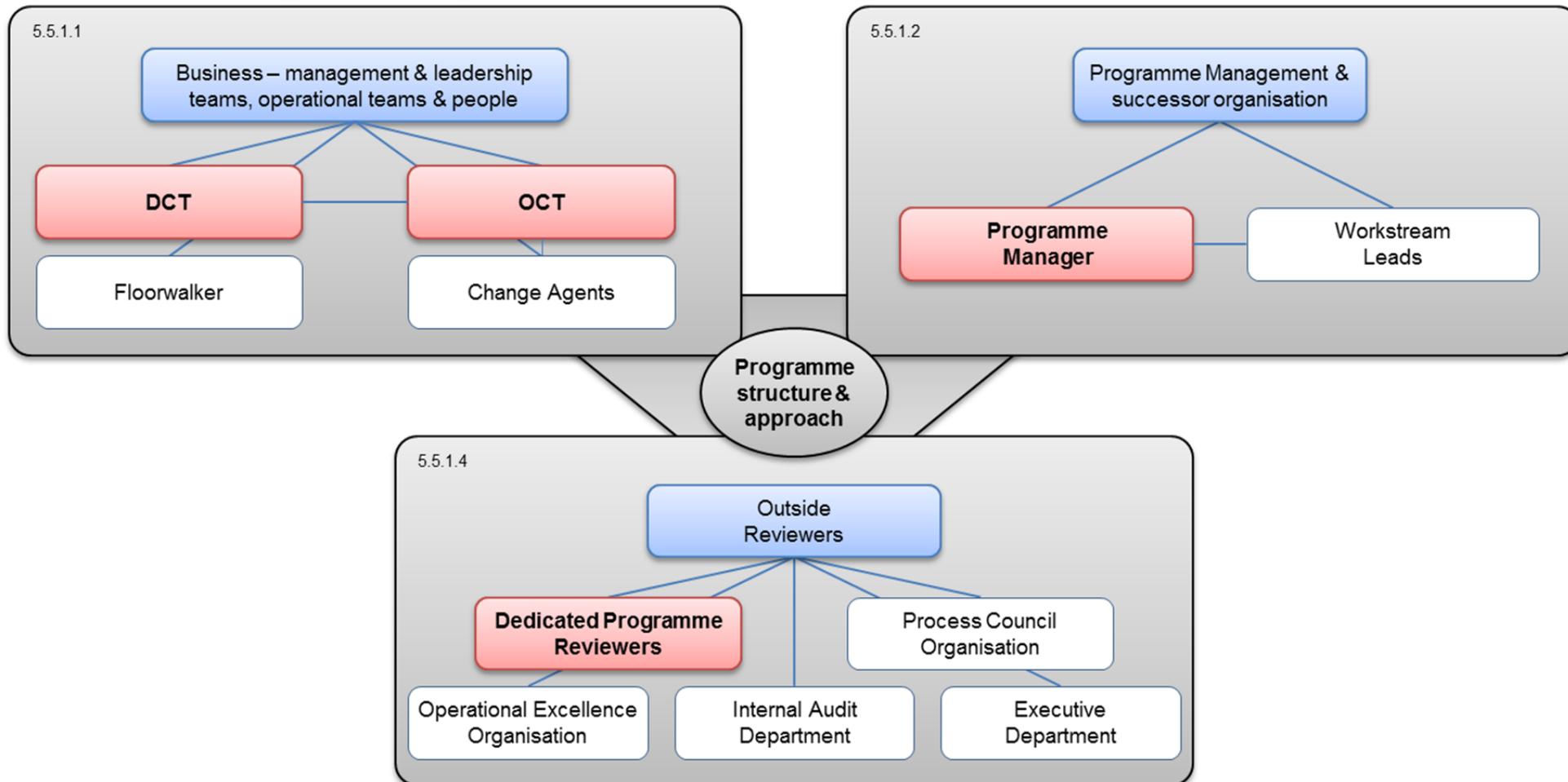
Interviewees’ supporting quotes on “Who – doing monitoring and evaluation”

“In terms of the responsibility for monitoring and evaluation ... this can be done more or less on all levels ... the project organisation doing their bit ... operational teams doing their bit ... supporting organisations doing their bit ... they might all look at the project but from different angles ... This brings transparency ... the project organisation might ... most likely have the focus pretty much on the implementation of the project, whilst the operational teams should have the focus on the process execution starting from Go-live ... they should all be involved but with different focus and maybe also different level of importance...” – [U]

Source: Own table

In subsequent sections, quotes from the interviewees regarding the different groups or bodies are presented to express who and what can be and has been done in the SCP implementation of the case study company. The figure below illustrates the elements of this section on findings on responsibilities conducting monitoring and evaluation activities. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings section.

Figure V-6: Who – doing the monitoring and evaluation

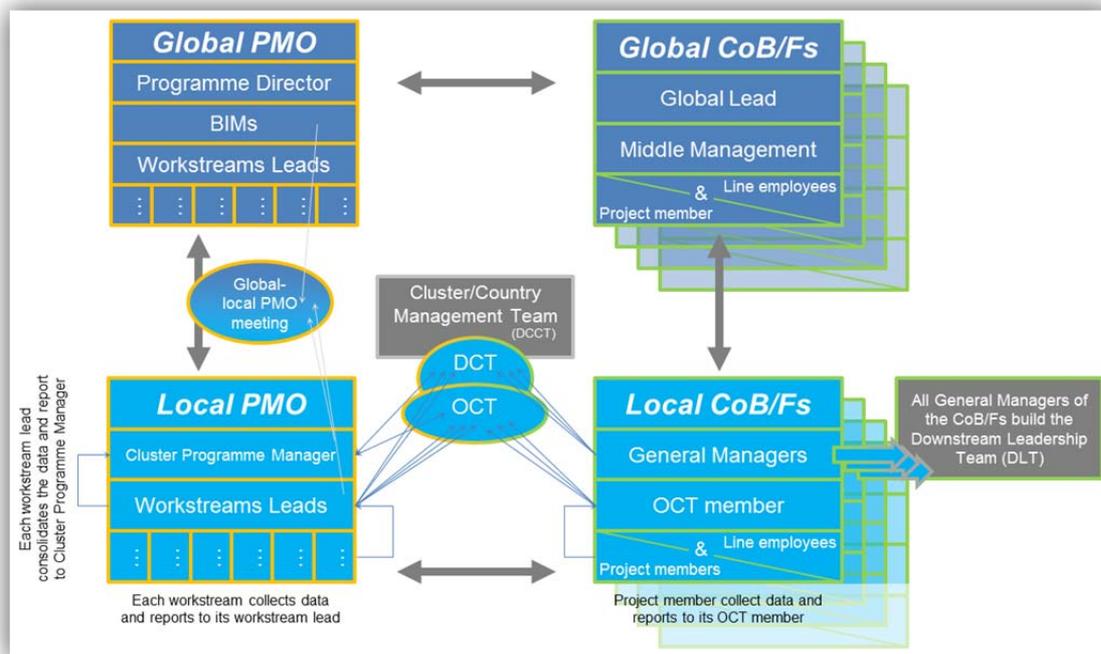


Source: Own figure

Many meetings and reviews were set up as joint meetings of global PMO and CoB/F, global and local PMO, local PMO and CoB/F, or other dedicated bodies like DCT and OCT as exemplified within the figure below. It illustrates an extended form of the four-box-model (Figure IV-6) as outlined in Section 4.4.5. It provides the basis for the interwovenness and is one of the CSFs as it fosters an aligned and integrated view on the most critical issues within the SCP and its implementation. All relevant areas are covered with this structure and approach.

“I think the setup we choose here was excellent.” – [A]

Figure V-7: Main information flow, meeting, and reporting structure within the programme



Source: Own figure

5.5.1.1 Business – management and leadership teams, operational teams, and people

When the research participants refer to this group they talk about people being involved in monitoring and evaluation representing or being active in any of the CoB/F in whatever global or local role. The findings include the following bodies and roles: General Managers and DCT members, middle management team leads, OCT members, change agents³⁶, business analysts³⁷. Many interviews regard it as vital that the business understands the reasons for and doing the monitoring and evaluation, especially their KPIs, deliverables, milestones and all their areas of responsibility. Much of the data and information collected was then reported upwards internally within a CoB/F and then also forwarded to the PMO.

From a more operational and granular perspective, monitoring can be conducted by change agents within the respective CoB/Fs. Identified as a CSF in 5.3.4.1, they acted as the interface between their area and the programme. The monitoring and evaluation would take place in the phases until Go-live and shortly afterwards where they look for the level of understanding, change capability, and overall attitude regarding the programme within their CoB/Fs. Respective findings are to be fed back to those responsible within the programme management.

After Go-live, the interviewees appreciate having operational support for operational people working at their desks. The case provides so called “Floorwalkers” as the first point of contact for questions around the new processes and IT applications. They also solve issues around organisation design roles and respective IT authorisations. Moreover, they are in close contact with global Process Focal Points, support their CoB/F in any Go-live issues and they also provide feedback to programme people when identifying any issues to be worked on. Very often Floorwalkers are experts from their field assisting, Super Users, or local trainers of respective CoB/F deliberately selected for this kind of monitoring and support. These findings are linked to those from Section 5.3.7: Sustain phase.

³⁶ Double role: 50% business, 50% programme

³⁷ Often also double role: 50% business, 50% programme

Table V-31: Interviewees’ supporting quotes on “business – management and leadership teams, operational teams, and people”

Interviewees’ supporting quotes on “business – management and leadership teams, operational teams, and people”

“...every business was responsible for their KPIs ... what we achieved in this OCT... you need operational people here who understand the daily business. They are able to ... understand their... interpret the KPIs, what is going on, and they need to start working ... this was monitored ... we monitored ... on a daily basis ... round table ... everyone from the ... OCT, was asked to show up here on a daily basis...” – [A]

“They [CoB/Fs] needed to report in their class of business to their global counterparts ... their global leads ... because also they had to consolidate information ... they not only provided information to Interviewee L but also into their global lines ... they had ... weekly meeting with Interviewee L ... explain ... what has happened, what are the issues everybody was well aware when we did this round [OCT] ... one and a half or two hours meeting ... very useful.” – [O]

“We had dedicated people in charge in the different CoB/Fs ... who reported ... on a four-weekly basis ... thereof a short standard report was created ... structured simply ... colour coding ... where we could see quickly issues running out of the rudder ... these things were discussed in the four-weekly DCT meetings ... decided on corrective measures...we had a kind of risk matrix, progress matrix ... where we identified the implementation risk per project, probability or challenge of implementing compared to not implementing it...identified issues where we [DCT] had to intervene ... very often those projects causing impacts beyond their borders ... insofar systematic monitoring and evaluation...” – [Q]

“...if the business does not see an added value of a tracking exercise, or a success measurement, or any change activity, then something is fundamentally going wrong. So what you do with any change team, PMO team, or project team, you are supporting the business to get from A to B.” – [I]

“...you need the business to own the change ... only if the business ... tracks ... success, but you [PMO, C&E] enable them. You provide them with the tools, you explain it to them, you do the onboarding, you follow up, you provide assurance, you check, ask the questions. But only if they themselves ... actually go into their baseline they set ... their comparable data ... So what is success for ... the business. And let them monitor their success. Then they will also support the whole journey.” – [I]

“...change agent network ... change agents in all the departments and sites. They really acted as an ear into the organisation and also gave feedback on the atmosphere in the businesses and on the ground. And also everyone was able to give feedback...” – [E]

“...people understand ... or accept ... to assess it, you need to do surveys and you need to probably also seek for face-to-face discussions ... people that are ... working for you in that sense that they are people that are trusted in the organisation. And this someone is doing, sort of ... a sense check ... people that are ... change agents, but also people that are not obviously in this role. Having ... a trust [worthy] person.” – [H]

“...after implementation ... we had Floor Walker for some time...” – [M]

“...hyper care after Go- live ... checkpoints ... Floorwalkers who ... give feedback saying like I have the feeling we need to do something more here.” – [W]

Further quotes in Appendix 18, p.lxxxiii

5.5.1.2 Programme management and successor organisation

The PMO and its leader (Interviewee L) is seen as an important and main coordinating body managing data collection, information processing, and reporting. Consequently, it is in close contact with all CoB/Fs (local), programme workstreams (global PMO, local workstreams) as well as with the OCT and DCT. The findings from the interviewees' accounts include the following bodies and roles: Global PMO, local PMO and its successor organisation, Cluster Programme Manager and his leadership team, local Programme Planner, scope control board, workstream leads and other project team members.

Again, the quotes of the research participants emphasise the interwovenness of the business and programme bodies and people.

Table V-32: Interviewees' supporting quotes on "programme management and successor organisation"

Interviewees' supporting quotes on "programme management and successor organisation"

"...responsible is the project leader and the top management. The doing should be with the PMO..." – [F]

"...dashboard approach ... with traffic lights for various key areas ... discussed ... local PMO and global PMO on a biweekly basis." – [V]

"On global level there was a Programme Director, a Programme Management. Of course the Programme Management monitored progress and success on a global level ... on local level ... we did this too ... within the DCT... every four weeks ... kind of risk matrix, progress matrix ... where we identified ... implementation risks" – [Q]

"... it is key that the business is doing it, that people are understanding it, why we are doing it ... you need a monitorer, and the monitorer is ... Interviewee L at that time. And he was quite in connection with the LSDR , as we call it..." – [A]

"...transparency ... with the reported we developed ... I sent the reporting to the DLT on a weekly basis... with all these end-to-end diagrams..." – [L]

"...every new business project had to pass a so called Scope Change Control Board, with Interviewee L, Interviewee S, with Interviewee A, ...respective business lead had to prove... evaluate his project ... understand the impact on the business, on the SCP..." – [Y]

"...PMO organisation. Sometimes they were a pain in the neck, when they were asking you for progress figures, about costs and money ... those people keeping you on track every time and again." – [D]

Interviewees' supporting quotes on "programme management and successor organisation"

"...SCP approach ... superordinate instance ... PMO, which collected criteria and challenged it ... because often the business is under pressure ... they are not white-washing reports, but maybe report or describe different than someone who has the overall view and who classify it with regard to the overall context ... makes sense having such an umbrella function ... there has to be such an instance rather than every business monitoring its success criteria and creating reports..." – [B]

"...have a certain role in the project, like a ... project planner ... the planner ... should have a high level overview of about all the different workstreams and all the different change processes ongoing. So the planner might be an ideal position ... having every information that is required to ensure proper planning and execution of the project ... might also ... monitor these factors ... If not the planner ... it is worth thinking about having an extra role with only one person that is focussing on these, on measuring and evaluating the factors defined." – [H]

Further quotes in Appendix 18, p.lxxxiii

Source: Own table

5.5.1.3 Outside reviewer

The participants of the study consider it to be important to also have neutral and impartial people, teams or institutionalised bodies conducting monitoring and evaluation activities. They state the impartialness can be achieved by conducting these activities through outsiders that are not directly involved in those things being monitored and evaluated. This would foster reliability and trustworthiness in the results. At the same time, these people or bodies should be acquainted with and knowledgeable about the evaluand (SCP) in order not to diminish the evaluation findings.

The interviewees refer to the following bodies and roles: outside person or team of reviewers like an executive department (e.g. of strategy and controlling: operational excellence office), specialist team or task force, outside local programme and business reviewers (global group of reviewers evaluating local programmes), process or operational excellence councils. These people or teams might be used for different purposes and consequently in different phases of the SCP (in the course of the programme to assess progress and readiness; after its implementation for post-implementation reviews assessing efficiency and outcomes).

Table V-33: Interviewees' supporting quotes on "outside reviewers"

Interviewees' supporting quotes on "outside reviewers"

"You need to have someone who is more or less impartial and can take a step away from the emotional conversations ... an impartial scoping team that asks the right questions and focusses on the numbers, that is important..." – [D]

"...probably an executive department ... neutral observer ... if it is a global project and you have a local implementation you dispatch a global reviewer ... in other organisations it is done by internal audit department." – [C]

"...people ... who have ... a very very good understanding of the organisation and who have for a very very long time ... worked on the programme maybe ... they would monitor the whole programme ... the reviewers that group of people consisting of each business area from the business but not in the project team or in the local implementation..." – [K]

"...business readiness reviews ... where we fly in core experts from the group from the various countries, businesses and functions and do a one-week assessment..." – [V]; ... per business ...and also workstream ... it was looked at its readiness... kind of ... programme audit ... reviewer interviewed business people and the responsible manager ... asked questions about data conversion, test preparation ... wandering from the implementation path ... identifying need for action..." – [C]

"...process councils ... on country/cluster level ... looked at KPIs, where are potential improvement points. Very strongly focused on processes, less on organisation." – [F]; ... a specific team for a certain period of time to manage the 'Sustain & Improve' initiatives post Go-live" – [V]

Further quotes in Appendix 18, p.lxxxiv

Source: Own table

5.5.2 How – methods and tools for monitoring and evaluation

The final findings section on monitoring and evaluation is about "how" monitoring and evaluation can be operationalised by presenting methods and tools to be used with an implementation of a SCP as undertaken by the case study company. The research participants identified the following four main categories: meeting and reporting, reviews and assessments, dialogues and feedback, surveys with questionnaires. Some of these methods are supported by technology-based tools like browser-based toolkits, databases, or intranet portals. However, first of all interviewees refer to classic programme monitoring and evaluation based on project or programme plans.

Table V-34: Interviewees’ supporting quotes on “how – methods and tools for monitoring and evaluation”

Interviewees’ supporting quotes on “how – methods and tools for monitoring and evaluation”

“...plan on a page of course tailored to country specifics ... standard plan on a page ... used over a period of 24 months ... specifies various checkpoints ... related to progress being made ... on change side ... business model side ... process side ... resourcing side ... checking the deliverables ... key success factor...” – [V]

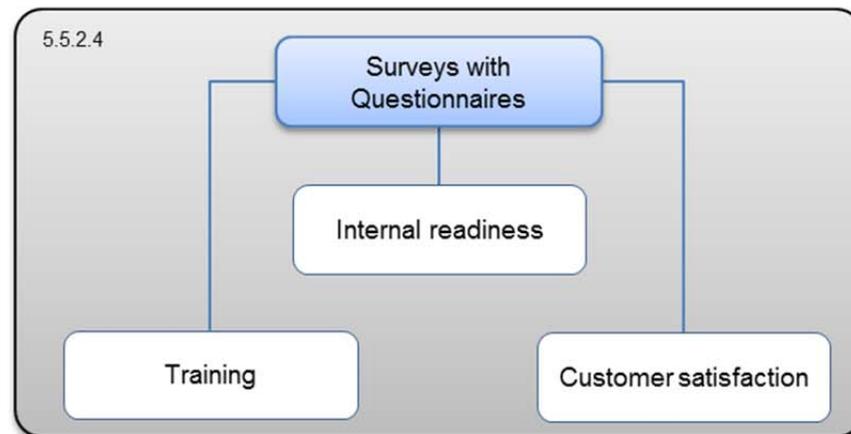
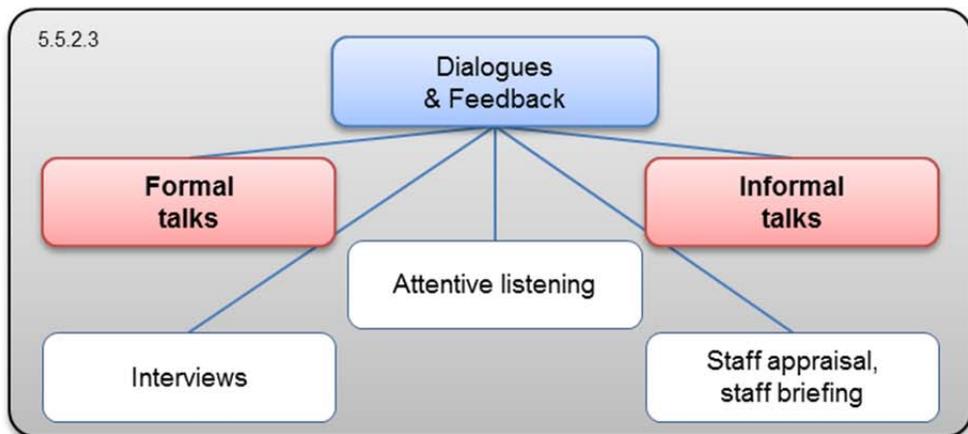
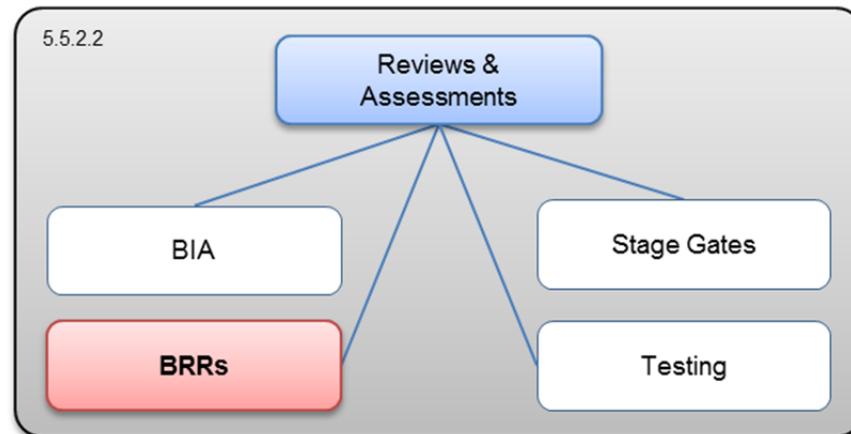
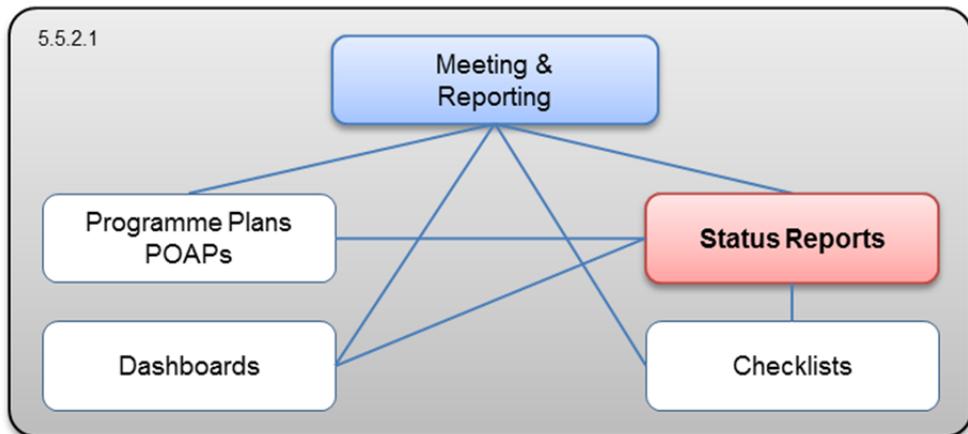
“...it is important what kind of information or what kind progress you want to monitor ... which type of information ... if you want to ... implementation progress according to plan ... the best thing is to use status reports, to ensure that every ... every criteria you want to monitor ... time ... quality ... achievement, progress...” – [H]

“...project plans ... critical path ...to be confirmed by responsible people in the business that they are prepared and conducted and accomplished necessary preparatory operations ... ready ... for the next step ... they need to present evidence, showing examples ... really critical questioning ... satisfactory progress ... done in meeting and telephone conferences...” – [G]

Source: Own table

The figure below illustrates the elements of this findings section regarding methods and tools to support and conduct monitoring and evaluation. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings section.

Figure V-8: How – methods and tools



Source: Own figure

5.5.2.1 Meeting and reporting

The first category deals with typical and standard programme management related features, conducting meetings³⁸, requesting and discussing reports. These meetings are conducted throughout the whole change process starting from initialisation until sustaining phase. A SCP, especially a global programme, affects many different global and local dimensions like countries and clusters, CoB/Fs, organisational and programme levels and workstreams. Therefore, it is regarded as important to include all relevant stakeholders in an appropriate meeting and reporting structure.

Moreover, the findings reveal that most of the meetings, if not all, are conducted in a recurrent frequency depending on the various bodies, groups, workstreams or teams and their meaning for the programme. Furthermore, all these meetings need to be aligned with each other also according the overall global and local programme implementation plan. In these meetings various materials can be shared and discussed like programme plans, status reports, condensed colour coded dashboards or checklists in order to identify progress and deviations, issues and potential problems and deciding on necessary mitigating actions if necessary.

The various meetings can be categorised in three main sets: management and leadership team meetings, programme management office or workstream meetings and any combination of respective participants as outlined in Section 5.5.1.

Furthermore, depending on the programme phase, meetings vary in frequency and topics to be monitored and evaluated, and also which stakeholders are involved to make decisions and take mitigating actions. Meetings and reporting does not stop with the implementation date and Go-live. The intensity of post Go-live meetings and reporting is emphasised in the research study in particular (5.3.7).

³⁸ Meetings include both traditional meetings where people participate in person as well as virtual meetings conducted via telephone and video conferences or any combination of these. This is especially the case in global programmes where people are involved from many different locations, globally as well as locally.

Table V-35: Interviewees' supporting quotes on "meeting and reporting"

Interviewees' supporting quotes on "meeting and reporting"

"They needed to report in their class of business to their global counterparts or to their global leads ... So they not only provided information to Person L but also into their global lines." – [O]

"...weekly reporting ... done on a team basis and then ... consolidated in a country report ... that was important ... you also had counterparts on a global basis ... and had weekly calls with that person. Not only the overall 'Change & Engage' lead on a global level but also OD lead and Training lead ... people that were deep into these activities ... very close monitoring how the activities were going in their specific area." – [O]

"...checklist ... we looked into on a biweekly basis by country starting even in the beginning ... dashboard approach ... with traffic lights for various key areas, business related, IT related, 'Change & Engage' related, more generic part around issues ... core issues. This dashboard ... we ... discussed with the local PMO and global PMO on a biweekly basis." – [V]

"...traffic light system ... the DCT ... was able to identify the big issues anytime." – [B]

"...status reports also reports on deviations on step outs where you see things that are not according to your standard plan." – [D]

"What always has been monitored through status reports is implementation progress..." – [H]

"Every project stream ... had to report progress on a weekly basis." – [A]

"...regular reporting for the global DLT..." – [C]; "...weekly reporting, I sent it to the [local] DLT on a weekly basis..." – [L]

"...it is key not only process performance, business performance as well, both ... those KPIs were discussed in management team meetings with IT representatives ... to get a feel on how did the business go the day before, any gaps, any processes didn't work, any interfaces didn't work, just let us know immediately. That got fed into those business meetings. Based on those ... meetings they escalated the ... real issues and prioritised already, escalated it ... into ... IT team meetings by business and function. The essence ... of that discussion got fed into a lunchtime meeting. In the lunchtime meeting it was the central [global] PMO, the local PMO, all senior leaders ... in country around the table and discussing progress being made and then dedicated tasks to resolve issues, defects et cetera in the afternoon ... daily reports sent out to various key stakeholders ... hyper care ... six weeks long...big hyper care Go-live checklist ... on a daily basis..." – [V]

Further quotes in Appendix 18, p.lxxxiv

Source: Own table

5.5.2.2 Reviews and assessments

On top of the regular reporting, the interviewees recognise the usefulness of certain checkpoints to review and assess the readiness of CoB/Fs and programme workstreams according to or compared with the overall global and local programme plan. The SCP of the case study company conducted five types of assessments and reviews; Business Impact Assessment (BIA), Business Readiness Reviews (BRR), Stage Gates, Live Environment Simulations (LES), and Post-implementation reviews which are very much appreciated by the research participants.

A particularly recommended type of review is called Business Readiness Review (BRR). These are standardised reviews to assess the SCP Go-live readiness of local CoB/Fs and local programme workstreams. With guidelines, checklists and predefined lists of questions the reviewers assessed all relevant areas (e.g. process understanding, organisational design, aspects of IT and data management, training). These reviews determine whether the business and project initiatives are completed or in progress according to the plan. Furthermore, they are looking at plans for upcoming months to assess the feasibility of success, determining whether the risks and issues relating to the achievement of individual activities and the overall plan are manageable.³⁹

In the meantime, between BRRs, additional quality checks and reviews on progress against project plans per workstream deliverables were conducted at intermediate milestones. These so called “Stage Gates” in the different phases of the change process are separated by “gates” at which progress is assessed: e.g. job and role design, staff to role and job mapping, data cleanse, data conversion, alignment of organisation design and GSAP design, end-to-end testing, staff to training package mapping, training material preparation, training infrastructure and training schedule. The Stage Gates reports needed to be signed-off by appointed reviewers and were also forwarded to OCT and DCT.

³⁹ In the beginning of the overall SCP journey two BRRs were conducted in a period of 24 months (BRR1: middle of implementation time [after 12 months], BRR2: four months prior to Go-live). In the course of the change journey, it was recognised that an additional BRR0 right at the beginning of the programme in country seemed to be necessary to raise awareness (in addition to the BIA) and to disclose progress in subsequent checkpoints. This BRR0 was integrated into the methodology after the DACH implementation.

Continuation of the change process is decided by the key decision makers of the programme aligned with bodies from affected CoB/Fs. The decisions are based on reports compared to predefined dimensions and deliverables. The overall intention is to judge a country's, local CoB/Fs' readiness for a deliberate implementation of a Go-live date.

Another kind of assessment that is recommended and appreciated by the interviewees is testing, more explicitly so called Live Environment Simulations (LES). These simulations validate business readiness with significant business involvement. LES simulates business prior to Go-live. End users are exposed to a real life business situation in a safe environment where strengths and weaknesses are identified. The simulation should cover all critical business processes that might occur in the first week after Go-live. These tests also reveal general process and system effectiveness and readiness from a design and conception perspective. Moreover, such simulations disclose potential skills and knowledge gaps about end-to-end processes, roles, responsibilities, and in dealing with IT interfaces.

For the phase with and after Go-live, interviewees consider post-implementation reviews to be necessary. These assessments should review outcomes and effectiveness of the SCP implementation. Further, they identify open issues and potential improvement points for a continuous improvement process. These reviews might also include work-sampling studies where employees are asked to record interruptions in their daily operations and how much time it takes for certain tasks and processes. By analysing these records, process inefficiencies can be disclosed. The interviewees also note the importance of learning from post-implementation reviews and lessons learned from previous country implementations, especially with regard to key risks (5.3.7).

Moreover, since the use of IT can be regarded as standard in today's programme management approaches, the research participants also mention these kinds of tools to support programme monitoring and evaluation activities. They refer to the following software tools, databases, checklists, and knowledge management portals:

Programme Management Toolkit (PM Toolkit) in which many information are stored and managed; e.g. checklists, watch list of key risks in affected businesses/functions or workstreams; issue logs with concrete description of open issues to be solved.

Role Mapping and Training Database as a tool used to store Global Standard Organisation Models (GSOM), localised organisation designs and role mapping for all CoB/Fs involved in the SCP, training package information based on the role mapping. This database ensures a standardised approach to role mapping across different implementations but allows an element of localisation of global designs to suit local CoB/F requirements. An extensive reporting functionality is included, for instance roles, jobs, role to job mappings, end users, user to jobs to roles reports, training packages and how they are linked to roles. A “*Learner Portal*” as knowledge management system provided information for each person to be trained. Via this intranet-based tool training attendance and training feedback is monitored. Through a combination of these tools, any organisation design and training related issues are monitored to ensure successful implementation in that respect (e.g. any organisation design and training changes, compliance, and deviations from the standard).

Table V-36: Interviewees’ supporting quotes on “reviews and assessments”

Interviewees’ supporting quotes on “reviews and assessments”

“...explain to the businesses the first time what is coming on process and organisational side ... after the 'BIA' we had two 'Stage Gates' ... has been measured how far we are and what does it mean ... We had 'Business Readiness Reviews' ... checked if the business is ready.” – [A]

“...in the countries at various times ... so called Business Readiness reviews ... for instance we looked at readiness after ... mobilisation phase for leaders ... after BRR0... Then another second and third review ... per business progress and compliance regarding the overall standardisation ... assessed with a traffic light system ... looked at data conversion, test preparation ... not only businesses but also programme workstreams ... identified need for action...” – [C]

“...key success factor ... business readiness reviews, various checkpoints where we fly in core experts from the group from the various countries, businesses and functions and do an one-week assessment ... identifying the core concern areas where countries are behind ... or where countries are well on target ...we looked as well in the classes of business and functions specifics ... whether they have delivered on the milestones they should have...” – [V]

Interviewees' supporting quotes on "reviews and assessments"

"...have some check points in your programme ... testings ... review points ... stage gates ... And when you see in these stage gates, that the different areas that need to work together in your programme finger point at each other ... Then you easily see, this is definitely something where I have not integrated well. So that is maybe one indication, when you do reviews and stage gates and you see that kind of behaviour it is a good indication that integration management is not working properly." – [K]

"...pre sign-offs for the respective phases, whether the businesses envisage the changes, whether they are prepared ... very intense in the respective businesses and then reported to OCT and DCT." – [R]

"...test cycles to understand or to really dry-run new processes with ... test data ... sample data ... put in people that are currently executing the existing process to ensure that these people ... from their ... business knowledge, can evaluate whether the new process is fit for purpose and works as designed..." – [H]

"...test some processes with offshore locations ... only by offshoring and you see then in those tests there are a lot of issues around handoff points ... data consistency ... that is also a good indication of whether your integration management works or not." – [K]

"...end-to-end testing ... key success factor ... you need to measure ... readiness of ... handoff points based on LES" – [V]

"...run a post-implementation review, perhaps in combination with a compliance check ... in the sustaining phase ... key performance indicators ... roles and authorisations in the system you can check whether the organisation is capable of running the processes ... further improve or even get the organisation closer to the standard." – [U]

"Relentless learning from all those who have done it before, talking to every country that has gone live before us. And talk to every country going live subsequently, in order to learn, where the weaknesses are..." – [L]

"...watch list ... where we identified really critical show stopper..." – [B]

"...checklist which we looked into on a biweekly basis by country ... dashboard approach ... with traffic lights for various key areas ... discussed with the local PMO and global PMO on a biweekly basis ... another checklist which we checked by ... class of business and function ... let ... business and functions define ... what are their key KPIs ... to measure ... twofold ... One ... is ... to measure ... stability of the business to deliver ... on current processes and ... KPIs. In parallel ... we need to make sure ... that those people understand which KPIs might change based on ... different processes or different business models." – [V]

"A huge checklist ... 230 or whatever criteria around ... the big headlines ... business readiness ... compliance and that sort of stuff ... all the trackers ... are being monitored on an ongoing basis." – [V]

"...role mapping and training database ... after stage gate ... semi-automated change control process in the database..." – [H]

"...learner portal ... users ... do a self-assessment. And for the ILTs ... the trainer was assessing which user participated ... we monitored ... training participation ... training completion of every end user which ... was fit for purpose and was perfect." – [H]

Further quotes in Appendix 18, p.lxxxiv

5.5.2.3 Dialogues and feedback

Dialogues with other people are recognised as the simplest and one of the most important forms of monitoring and evaluation. This includes formal as well as informal communication with various stakeholders, like interviews and feedback, staff appraisal, staff briefing, observation as well as attentive listening. Consequently, the findings in this section are connected to several sections, mostly to readiness to change (5.3.3), change management (5.3.4, 5.3.4.2), Who – doing the monitoring and evaluation (5.5.1). Besides all formal forms like meetings, reporting, reviews, or surveys interviewees strongly emphasise the importance of informal talks.

Table V-37: Interviewees' supporting quotes on "dialogues and feedback"

Interviewees' supporting quotes on "dialogues and feedback"

"I do not know whether you want to call it monitoring ... I hope, every manager listens to his employees ... still the best monitoring where you get feedback, if things are going wrong or right." – [A]

"...you need to review somehow also the soft elements ... did people understand what you are trying to change and why ... one of the difficult things how to measure it ... get feedback from the employees whether they understood it or not. And this is not only one session ... this is a really continuous process." – [A]

"...if you want to evaluate how well stakeholder activities are running then need to interview ... key stakeholders..." – [O]

"...Change Managers [change agents]... whose task was to seek and forward feedback to us [DCT] where we need to work on ... explain better ... where we had the impression people did not understand or did not support it [SCP]..." – [Q]

"...during lunch time... I talked to my colleagues regularly ... or our social events ... where I did my networking..." – [J]

"...critical success factor is also that the people after ... such a dramatic change ... are still motivated and willing to work for CSC and support the new processes and the way the organisation is designed and works ... change agents ... gave feedback on the atmosphere on the ground ... need to take into account." – [E]

"...if you want to assess whether the change programme is understood ... you cannot capture ... in a status report ... you need to do surveys and you need to probably also seek for face-to-face discussions ... people that are ... working for you in that sense that they are people that are trusted in the organisation ... doing sort of ... a sense check ... Or ... probably ... change manager, change agents, but also people that are not obviously in this role. Having someone that is ... a trust [worthy] person." – [H]

Further quotes in Appendix 18, p.lxxxv

Source: Own table

5.5.2.4 Surveys with questionnaires

Surveys with questionnaires are identified as particularly useful for approaching a fairly large quantity of different people and stakeholders in an efficient manner. In addition to dialogues, meeting and status reports and reviews, the participants of this study refer to surveys with questionnaires as a useful tool to monitor and evaluate several aspects of a programme implementation. The interviewees note that questionnaires are appropriate for seeking feedback in various dimensions within the organisation, the change programme but also outside the company on the following themes:

- Level of understanding regarding the change in general or even more specifically on certain topics
- Change readiness and satisfaction of employees and project team members, especially regarding level of acceptance, attitude or thinking or about the programme
- Training related aspects like attendance or training effectiveness
- Customer satisfaction

Table V-38: Interviewees' supporting quotes on "surveys with questionnaires"

Interviewees' supporting quotes on "surveys with questionnaires"

"...for sure surveys ... if you want to reach a large volume of people ... employees ... managers ... departments ... we are talking about hundreds of people here in DACH..." – [F]

"...end user ... measurements, we called it change readiness assessments. They are very good ... success factor ...involves a lot of communication ... feedback loop ... the survey goes to every individual end user ... We do follow up with feedback..." – [I]

"...survey testing whether this engage approach has reached all people ... and how they have perceived this approach ... whether they feel well informed about the project." – [W]

"...satisfaction surveys ... in the project team 'Are you happy with the work you do? Do you feel comfortable with the work packages that you got? Do you feel overloaded or not?' and so on ... anonymous surveys..." – [K]

"...regular questionnaires can be done if you want to involve for instance the entire programme people how they feel the programme is running ... assess whether the programme setup this right, whether there is maybe something wrong and we don't see it right away." – [O]

"...feedback... we did with all these surveys 'Do you understand what has been communicated?' ... measure training success with surveys..." – [C]

Source: Own table

DISCUSSION and RELATION to the LITERATURE

Academic literature on operationalisation of monitoring and evaluation is not that comprehensive, at least not those sources identified for this thesis (e.g. Stufflebeam & Shinkfield (2007), Patton (2008), Russ-Eft & Preskill (2009)). Even practitioner oriented literature like PMI handbooks for project (PMI, 2013a) or programme management (PMI, 2013b) and others (Klarner & Raisch, 2007; Kerzner, 2013; Stackpole Snyder, 2013) focus on “what” rather than explicitly on “how” and by “whom” monitoring and evaluation in a SCP can/should be operated. The literature is lacking “how” and “who” in concrete terms with transferable and applicable examples for business practice in a pragmatic and useful manner. This work ascribes this lack to the need to accommodate operations to the particular context and conditions that differ from one organisation or programme to another. However, this research takes the view that there are aspects in nearly every context that can be transferred to other situations, at least to some extent. This is discussed in Section 6.1: Contribution and value of this work.

This case study research takes a more operational and practical view on concrete activities as well as people or groups to conduct monitoring and evaluation in a SCP. The case builds on some of the methods the literature refers to (Taylor-Powell & Steele, 1996; Stufflebeam & Shinkfield, 2007; Russ-Eft & Preskill, 2009; Mertens & Wilson, 2012; PMI, 2013b). These methods are related to the literature as follows (case related methods in brackets): analysis of documents (reporting, POAP, watch list, action list) and databases (role mapping and training database, project management toolkit for issue logs), expert review or quality assurance (BRR, Stage Gates), interview (conducted rather as informal talks), logs (issue log, error logs, process or IT defects/ deficiencies with testing), observation (in meetings or informal talks), simulation and testing (IT testing job, role mapping in combination with processes), survey (after meetings).

The most important findings centre on meeting and reporting, reviews and assessments as well as dialogues and feedback. The former two represent rather formal procedures, whereas the latter also includes informal evaluation.

However, this does not mean that there is no informal discussion and “indirect evaluation” also in the former, but the primary intention differs. Most of the monitoring was conducted via meetings, most importantly *OCT* and *DCT* meetings, but also meetings in each workstream and affected CoB/F. In addition, dedicated *change agent* meetings helped to share information and exchange views from the different *CoB/Fs* with the *PMO*. Furthermore, one of the key activities recognised in the findings strongly emphasises the significance of so-called “Business Readiness Reviews” (BRRs). These BRRs meticulously checked the Go-live readiness of all local *CoB/Fs* but also relevant workstreams (mostly focused on prerequisites, key deliverables, and achievements). They took place three times in the 24-months implementation cycle (at the beginning, around half-time, and approximately four months prior to Go-live) and were conducted by dedicated outside programme reviewers from the global programme team. Learnings in the course of the overall global change journey revealed the necessity of extending BRRs from initially two (latter two) to three. In addition, intermediate assessments, so-called Stage Gates (intermediate milestones), monitored and evaluated progress between these BRRs.

It can be acknowledged that a lot of qualitative monitoring and evaluation is or can be conducted by people talking and listening to stakeholders, formally as well as informally. Dialogues with people are recognised as the simplest and one of the most important forms of monitoring and evaluation. This includes formal as well as informal communication with various *stakeholders*, like interviews and feedback, staff appraisal, staff briefing, observation as well as attentive listening. Besides all formal forms like meetings, reporting, reviews, or surveys, the research participants strongly emphasise the importance of informal talks, seeking information never being stated in a status report or formal review for instance.

With regard to the “who”, the findings from the case accentuate the significance of the DCT, OCT, and the local Programme Leader. BRRs are considered to be vital, as explained above. Therefore, dedicated outside programme reviewers play an important role in that respect as well. The aspect of “who” to conduct which monitoring activities is not being identified in literature relevant to this work. This offers proposition for further research (Section 6.2). Nonetheless, it is integrated within the monitoring and evaluation framework developed based on the findings from this research study.

5.6 Summary

This section summarises the main aspects of the findings and the corresponding discussion in the context of the literature. This is presented in tables and bullet point lists for each of the sections 5.1 – 5.5 (Table V-40 – Table V-44 below).

In order to provide an overview, Table V-39 below lists these sections (short title) with their respective numbering as well as commencing page numbers (columns: Theme; Section, Page). In addition, the table links the figures illustrating the findings from the interviews to each section, with their corresponding page number (column: Illustration). Finally, the tables summarising the findings and discussion are listed for each section, also with their corresponding page number (column: Summary).

Table V-39: Overview tables summarising the findings and discussion

Theme	Section, Page	Illustration	Summary
Challenges	5.1, p.164	Figure V-1, p.167	Table V-40, p.286
Prerequisites	5.2, p.167	Figure V-2, p.168	Table V-41, p.286
CSFs in general	5.3, p.182	Figure V-3, p.184	Table V-42, p.288
Change content related CSFs	5.4, p.237	Figure V-4, p.238	Table V-42, p.288
Who – doing...	5.5.1, p.263	Figure V-6, p.265	Table V-43, p.290
How – methods & tools	5.5.2, p.271	Figure V-8, p.273	Table V-44, p.291

Source: Own table

The combination of the figures within the sections and subsequent tables serve as a comprehensive overview identifying the main findings of this work.

Table V-40 below summarises those aspects identified as the most important challenges and barriers when monitoring and evaluation of a SCP is considered.

Table V-40: Challenges and barriers for monitoring and evaluation

Challenges and Barriers for monitoring and evaluation
<ul style="list-style-type: none"> • Complexity of strategic change programme as such • Political reasons and according hidden agendas • Willingness to monitor and evaluate • Perceived lack of need to monitor and evaluate • Negative experiences from previous evaluations • Fear of dealing with negative outcomes and related consequence management • Contrapositive viewpoints on monitoring and evaluation (objective vs. subjective/hard vs. soft facts) • Soft elements to be monitored and evaluated • Difficulty to define and measure success • Isolating and assigning effects of certain actions

Source: Own table

Table V-41 below summarises the findings on prerequisites to be considered for monitoring and evaluation. The findings comprise four main thematic categories: strategic analysis and target setting, programme planning, governance for monitoring and evaluation, planning and preparing monitoring and evaluations as well as seeking transparency about such activities.

Table V-41: Prerequisites for monitoring and evaluation

Prerequisites for monitoring and evaluation
Strategic Analysis & Target Setting
<ul style="list-style-type: none"> • As-is analysis of the company’s actual competitive position (external and internal key aspects) as foundation for the SCP to-be developed • Setting aims, objectives and target levels to be achieved as a result of the programme implementation
Programme planning – approach, structure, methodologies, activities, timelines and resources
<ul style="list-style-type: none"> • Thorough, well thought through and structured programme approach, methods, tools • Programme management planning: scope, activities, timelines, resource estimates • Dedicated workstreams with clear responsibilities, definable work packages with dedicated programme teams and clear responsibilities • Effective reporting and meeting structure • Integrated country and business programme plan
Governance – leadership, accountability, responsibility, and dedicated resources
<ul style="list-style-type: none"> • Willingness to monitor and evaluate right from the initialisation phase • Based on programme plan setting up governance structure in the beginning of a programme with clear accountabilities, escalation lines, and responsibilities for operationalisation and conducting monitoring and evaluation activities • Dedicated resources accomplishing all tasks needed to monitor and evaluate the SCP and its implementation effectively and efficiently

Prerequisites for monitoring and evaluation (continued)

Planning and preparing monitoring and evaluation

- Understanding change context, implications and interdependencies of the SCP
- Setting aims, objectives and targets to be achieved, monitored and evaluated
- Defining, describing, documenting what success means, identifying CSFs
- Meaningfulness of factors, elements, items, and scales to be monitored and evaluated
- Collecting baseline data

Transparency

- Openness, anonymity, objectivity, neutrality and impartialness of activities and people responsible for monitoring and evaluation to build trust and confidence in this process and the results
- Alignment with stakeholders regarding monitoring and evaluation features

Source: Own table

The findings on CSFs are divided into two main categories. The first one presented in Table V-42 below centres on CSFs being identified as essential which are not directly related to the change content of a SCP (brown header and frame). These general CSFs comprise the following nine topics: leadership, case for change, readiness to change, change management (incl. change agents, stakeholder management & communications, training), Human Resources (incl. resourcing process, knowledgeable and experienced people), reflections and lessons learned, sustain phase, culture and language, programme monitoring and a group of further miscellaneous general CSFs.

The other category of CSFs is concerned with, directly linked to or caused by the particular change content the SCP is about (turquoise header and frame in Table V-42). This set of CSFs consists of alignment and integration management and customer perspective as an umbrella for the purely change content related areas of business process change, organisation structure, and design change as well as IT/ERP change.

Table V-42: Critical success factors to be monitored and evaluated

Critical Success Factors to be monitored and evaluated in general
Leadership
<ul style="list-style-type: none"> • Senior change leadership, high management and leadership attention • Leadership buy-in and level of ownership, dedication and commitment to change of most senior business leaders and country chair • Alignment within leadership team and commonly shared understanding about the case for change and the full picture, impact and consequences of the SCP • Middle management mobilisation for the SCP
Case for Change
<ul style="list-style-type: none"> • Understanding early what the programme is all about (change content), big picture including context, reasons and drivers, business benefit case, outlining upcoming changes, according impacts, implications, dependencies and interrelations • Needs to be clearly communicated and understood throughout all affected parts of the organisation and at all hierarchical levels
Readiness to Change
<ul style="list-style-type: none"> • Level of understanding about the SCP (case for change and implications) • Reaction towards the changes: attitude, mood, satisfaction, motivation, acceptance, commitment, resistance, atmosphere, thinking about programme, behaviour • Capability and ability to manage and implement the changes (businesses, workstreams, management, employees)
Change Management
<ul style="list-style-type: none"> • Key enabler, driver and success factor; one of the most important factors for successful implementations, comprises subsequent aspects: change agents, stakeholder management & communication, training
<i>Change Agents</i>
<ul style="list-style-type: none"> • Ambassadors of the change, often representatives from their business units • Interface between programme and their business units • Important role for monitoring and evaluation (e.g. level of understanding about case for change, mental as well as practical readiness to change) Good change agents influence implementation success in their areas significantly, can make a difference for implementation success (better prepared organisation, readiness, better informed people)
<i>Stakeholder Management & Communication</i>
<ul style="list-style-type: none"> • Identifying stakeholders' interests, needs, and attitudes towards the change and its outcome • Mobilisation, engagement, involvement, preparation and support of and for people, manage their expectations, seeking stakeholder alignment and integrated understanding about the change cross business units/functions and programme workstreams • Communication: transparent, open, honest, timely, target group specific; explaining, convincing, providing and seeking / receiving feedback
<i>Training</i>
<ul style="list-style-type: none"> • Training and enabling people for upcoming changes, capabilities and abilities to perform new/changed operations, processes, job, tasks
Human Resources
<i>Resourcing Process</i>
<ul style="list-style-type: none"> • Managing resource requirements, on-boarding, off-boarding, being clear about and addressing resourcing requirements early • Availability and allocation of resources when needed, freeing up critical resources • Off-boarding not too early, critical resources to be kept for sustaining phase
<i>Knowledgeable & Experienced Resources</i>
<ul style="list-style-type: none"> • Right mix of knowledgeable people, quantity and quality of resources, "best and brightest" throughout all phases • All critical business change content related aspects need to be covered

Reflections & Lessons Learned

- Learning from own as well as others’ experiences from former projects/programmes
- Learning from previous country implementations of same SCP (from positive as well as negative experiences: success factors & key failures, risks & concerns)
- Continuous learning and improvements in the course of the programme
- Systematically collect, store (knowledge management system), incorporate and share lessons learned

Sustain Phase

- Mostly underestimated phase, should be almost as long as implementation phase
- Decisive for realising success, capitalising on strategic change programme
- To be thought of and planned early in the programme, preparation and establishment of proper post Go-live organisation setup (institutionalised)
- Post-implementation aftercare
- Post-implementation review, continuous development and improvement, keeping momentum
- Retaining important resources and knowledge carriers

Culture & Language

- Culture that motivates, promotes, and enables change: working environment characterised by confidence as well as trust in managers and employees, participation, recognition; constructive teamwork across organisational levels and boundaries
- Global programmes need to be aware of national or regional cultural aspects (style of working, how monitoring and reporting are valued and conducted)
- Awareness of different languages (technical terms, abbreviations) cross-businesses and functions, occurring even in one company and country

Programme Monitoring

- Classic programme monitoring planning and preparation of objectives, target levels, timelines and milestones (e.g. progress, deviations, level of achievement of deliverables, open issues, KPIs, readiness)
- Formal and informal top-down, bottom-up as well as lateral monitoring and feedback
- Post-implementation reviews

Further miscellaneous general CSFs

- Reward systems and incentives supporting the change and respective activities
- Technology and systems supporting the change process and its implementation
- Suppliers and other third parties to be considered, consulted, involved, and informed

Change content related critical success factors to be monitored and evaluated

Alignment & Integration Management

- Understanding change context and interrelations across borders, locations, businesses, functions and workstreams, overcoming silo-mentality way of thinking and working
- Achieving and working in an overarching integrated perspective and manner on the programme and its impacted areas
- Balance different viewpoints: global vs. local view on over-standardisation vs. local needs, effectiveness and impact
- Alignment of changes in business models, business processes, organisation design and IT by integration management, understanding recursive relationships
- Compliance of change content according to global standards

Customer Perspective

- Inside-out as well as outside-in perspective, understanding customer requirements and needs
- Involving customers early and seeking their feedback regarding the upcoming changes

Business Process Change
<ul style="list-style-type: none"> • End-to-end process understanding across borders, businesses, and functions • Identification and functioning of handoff points • Process design, effectiveness, and efficiency • Aligned with and integrated into IT/ERP system
Organisation Structure and Design Change
<ul style="list-style-type: none"> • Readiness of organisation model (job and role design, role to job as well as staff to job mapping, job descriptions) • Alignment with business processes • Organisation design mapped properly into ERP system • Line manager and staff briefing (job and role changes)
IT/ERP Change
<ul style="list-style-type: none"> • Data management: data preparation, cleanse and conversion, data as core asset of an organisation • Testing: Confirmation Acceptance Test, Live Environment Simulations

Source: Own table

Furthermore, the key findings on operationalisation of monitoring and evaluation activities refer to two main areas: methods and tools that can be and were used in the SCP as well as responsibilities to conduct monitoring and evaluation activities. The findings referring to the latter (Table V-43) identify in principle three main areas of responsibility: the business, its teams and people; the programme management; outside reviewers.

Table V-43: Who – doing the monitoring and evaluation

Operationalisation of monitoring & evaluation
Who – Doing
Business – management & leadership teams, operational teams & people
<ul style="list-style-type: none"> • DCT: Dedicated senior management decision board with managers (highest level) from all affected and involved areas met and monitored main progress, readiness and main issues on a monthly basis (at and after Go-live on a daily basis) • OCT: Dedicated Operational Coordination Team monitored progress of change content and readiness on weekly basis (at and after Go-live on a daily basis), responsible for deciding on operational issues • Change agents as interface between line organisation and SCP
Programme Management & successor organisation
<ul style="list-style-type: none"> • PMO: Programme Manager, his/her team and other programme workstream leads conducting standard programme monitoring and reviewed integration management reporting • Successor organisation monitored need, scope and implementation of continuous improvement issues
Outside Reviewers
<ul style="list-style-type: none"> • Dedicated specialist global team for local programme reviews; especially for Business Readiness Reviews (see Table V-44)

Source: Own table

The main findings dealing with methods and tools for monitoring and evaluation are categorised in four main areas: meeting and reporting, reviews and assessments, dialogues and feedback, and surveys with questionnaires. Those findings are summarised in the table below.

Table V-44: How – methods and tools for monitoring and evaluation

Operationalisation of monitoring & evaluation
How – Methods & Tools
Meeting & Reporting
<ul style="list-style-type: none"> • Programme plans and checklists: monitoring progress and deliverables per CoB/F and workstream, mainly qualitative measures, ticking boxes and/or reviewing completion rate • Status reports: regular meetings discussing implementation progress according to plan (time, quality, achievement); based on overall context and structure of the programme, regular (weekly/bi-weekly/monthly) reporting per CoB/F, workstream and respective sub-teams; every project stream to report progress on weekly basis (local team members to respective workstream team leads, team leads to Global counterparts and to local PMO, local PMO to local senior management and to Global PMO), key categories per workstream with colour coding emphasising most important issues
Reviews & Assessments
<ul style="list-style-type: none"> • Business Readiness Reviews (BRR) to verify Go-live readiness: review of all businesses, functions and programme workstreams at the beginning, in the middle of the programme and finally four months prior to Go-live • Stage Gate reviews between major BRR milestones • Testing and Live Environment Simulations
Dialogues & Feedback
<ul style="list-style-type: none"> • Formal as well as informal talks and networking with people (interview, feedback talk, staff appraisal, staff manger and briefing, observation, attentive listening) • Exchange and work with key stakeholders • Seeking and receiving feedback on e.g. level of understanding about the programme, attitude, reactions and taking concerns seriously
Surveys with Questionnaires
<ul style="list-style-type: none"> • Change readiness assessments: asking for and checking level of understanding, acceptance, thinking and attitude about the programme • Training feedback, experience, attendance, success • Satisfaction of project team members, employees, customers

Source: Own table

Building on this Chapter V Findings and Discussion, the framework for monitoring and evaluating strategic change programme implementation is developed in the next section.

5.7 Developing the framework for monitoring and evaluating critical success factors in strategic change programme implementation

Based on the synthesis from literature and the case study findings as well as grounded in the academic and professional experience from different consulting projects, a framework for systematic monitoring and evaluation of SCP implementation has been developed which is introduced and presented in Figure V-9 below (p.295).

First of all, the structure and components of the framework are explained. The top row indicates all categories the framework is about: WHAT, WHEN, and HOW to monitor and evaluate, as well as WHO is conducting it.

“WHAT” is represented in the first column, which lists general (brown) as well as change content related CSFs (turquoise) including some aspects to monitor these. Further, the next category also belongs to “what” and indicates the type of change for which a CSF needs to be taken into consideration. This section comprises BPC, OSC, IT/ERP changes. “Overarching – Integrated” expresses that a CSF needs to be looked at across all these change types.

The next category “WHEN” (grey) points to the phases of a SCP in which a CSF should be monitored and evaluated. The labels of the phases correspond with Krüger’s (2009) framework as outlined in Section 2.5.

The red section consists of “HOW”, methods and tools for monitoring and evaluation, as well as “WHO”, bodies, groups, single persons conducting a respective activity. “HOW” comprises five main categories – Meeting & Reporting, Reviews & Assessments, Dialogues & Feedback, and IT Systems – each containing again dedicated methods. “WHO” includes the following three main groups: Business Management & Leadership Teams, Programme Management & Successor Organisation, Outside Person, or Team of Reviewers.

An “X” indicates the relevance of a CSF for which type of project, in which phase it should/could be monitored and evaluated, with what kinds of methods and by whom. The numbers at the end of a row/column just sum up the “Xs” and the “yellow-reds” illustrate where most of the “Xs” are located. Since this work follows a subjective and interpretive philosophy, numbers do not play a predominant role. However, it helps to identify “crowded” areas.

The yellow-red numbers indicate that the most CSFs need to be monitored and evaluated in the implementation phase. But also, many CSFs are assigned to the mobilisation and sustain phase. There are also quite some CSFs to be looked at throughout the whole change process. With regard to methods and tools, the framework displays that dialogue and feedback are suitable for many monitoring and evaluation activities. This highlights the importance, and challenge at the same time, of qualitative monitoring and evaluation. Business and programme meetings and reporting as well as business readiness reviews and intermediate stage gates play a vital role, too. Regarding the “who”, the framework reveals that business leads, OCT, change agents, the programme manager as well as workstream leads can/should conduct many monitoring and evaluation activities. In addition, the relevance of the DCT needs to be taken into account, although it has less “x” than others do. The DCT was one of the decisive factors for the SCP.

This framework represents an evaluation framework on a micro-level containing more detailed information compared to those from Section 3.5: Sources, methods, and frameworks for information collection. The latter illustrates rather macro-level plans. It can be recognised that this framework goes beyond the typical programme monitoring and evaluation perspective. The combination of the framework, its components and the synthesis on prerequisites for monitoring and evaluation to overcome potential challenges and barriers can be understood as a kind of checklist to set up such a framework in a SCP. This combination represents the overall contribution to professional practice and the distinctiveness of this thesis (discussed further in section 6.1).

The next and final chapter concludes this thesis (Chapter VI Conclusions).

CHAPTER VI CONCLUSIONS

6 Introduction

As the previous chapter presents, discusses, and relates the research findings to the literature, this chapter concludes the thesis by exposing the contribution and value of this work. Furthermore, the limitations of this study are explicated and propositions for further research are outlined before final conclusions and recommendations are made. The work closes with a personal reflection reviewing the researcher's journey and research process.

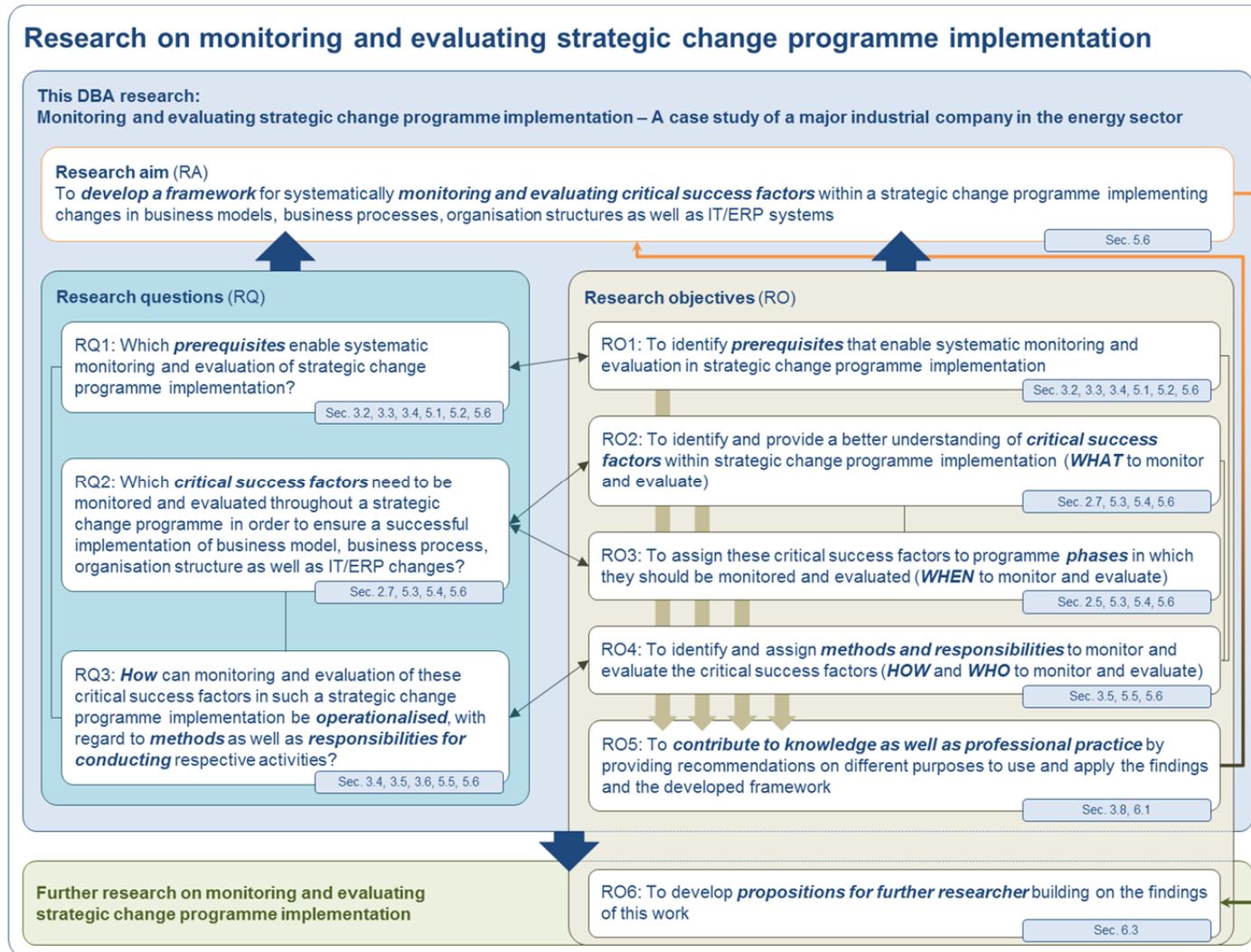
6.1 Contribution and value of this work

The primary intention of a DBA is the contribution to professional practice whereas the main aim of a PhD is a contribution to knowledge. This DBA research provides contributions to both, however, with a stronger emphasis on the former. The aim of the following subsections is to explicate the contribution and value of this work by summarising the research findings according to the research objectives as outlined in section 1.4. Again, Figure VI-1 below illustrates the linkages between research aim, research questions, and research objectives. In addition, the figure signposts to the sections where respective topics and content are dealt with – indicated by 'Sec.' and numbering of the section.

Subsection 6.1.1 comprises the accomplishments according to research objectives RO1, RO2, RO3, and RO4 (prerequisites, CSFs, when, how and by whom to conduct monitoring and evaluation). Research objective RO5 is covered within subsections '6.1.2 Contribution to professional practice' and '6.1.3 Contribution to knowledge'. Research objective RO6 is dealt with in section '6.2 Limitations and further research'.

In doing so, the research aim is achieved and the research questions are answered.

Figure VI-1: Linking research aim, research questions, and research objectives



Source: Own figure

6.1.1 Accomplishing the research aim and objectives by summarising corresponding research findings

Table VI-1 below addresses research objective ‘RO1: To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation’ by summarising the research findings from sections: 5.1 Challenges for monitoring and evaluation, 5.2 Prerequisites for monitoring and evaluation, condensed in 5.6 Summary of CHAPTER V Findings and Discussion in Table V-40 and Table V-41.

Table VI-1: Accomplishing research objective RO1

RO1: To identify prerequisites that enable systematic monitoring and evaluation in strategic change programme implementation

Prerequisites

- Willingness of the top management to monitor and evaluate and considering monitoring and evaluation as valuable tasks with valuable outcomes
- Overcoming challenges and potential barriers like political power struggles and hidden agendas, perceived lack of need to monitor and evaluate, negative experiences, contra-positive viewpoints for operationalisation, soft elements or intangibles to be monitored and evaluated
- Governance with clear accountability and responsibilities for monitoring and evaluation, with dedicated resources for operationalisation
- Identifying meaningful aspects to be monitored and evaluated
- Setting and documenting clear target levels
- Developing and applying consistent monitoring and evaluation approach
- Stakeholder alignment about monitoring and evaluation features as well as honest communication to foster transparency, acceptance, trust and confidence
- Collecting and storing baseline data
- Overall programme management and planning support for monitoring and evaluation: clear programme approach, structures, roles, and responsibilities, comprehensive and dedicated methodologies, activities, timelines and resources

Source: Own table

Table VI-2 below addresses research objective ‘RO2: To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)’ by summarising the research findings from sections: 5.3 General critical success factors to be monitored and evaluated, 5.4 Change content related critical success factors to be monitored and evaluated, condensed in 5.6 Summary of CHAPTER V Findings and Discussion in Table V-42.

Table VI-2: Accomplishing research objective RO2

RO2: To identify and provide a better understanding of critical success factors within strategic change programme implementation (WHAT to monitor and evaluate)

Critical success factors in general

- Management and change leadership owning and driving the change programme
- Level of understanding about the case for change as well as mental and practical readiness to change on all levels of the organisation and within the change programme
- Change management supporting the change process, including stakeholder management and communication, change agents, training
- Attracting knowledgeable and experienced resources, keeping key knowledge carriers also for post-implementation phase (not off-boarding too early)
- Collecting and incorporating lessons learned throughout the change process
- Sustain phase, most underestimated but success critical phase where all the changes come alive and continuous improvement works needs to be carried out
- Culture that motivates and promotes change, working environment characterised by confidence and trust in managers and employees, constructive teamwork across organisational levels, participation and recognition, as well as global aspect and cultural differences to be taken into consideration
- Typical project and programme management monitoring, like programme scope and scope creep, potential risks, financials, programme progress, level of achievement, deviations compared to programme plan, workstream and business plans, critical and intermediate milestones, completion rates of most critical deliverables, open issues, business KPIs
- Reward systems and technology supporting the change implementation process
- Constructive relationship, involvement and alignment with external stakeholders like consultants, vendors, suppliers, other contractors or external partners

Change content related critical success factors

- Integration management as coordination and alignment in two dimensions: (1) programme and business/functions alignment as organisational bodies; (2) integrating, coordinating and aligning the change content related aspects across affected businesses/functions and workstreams on global as well as local levels
- BPC: business process design according to global standards, its effectiveness and efficiency, end-to-end process understanding and handoff points, respective integration into IT
- OSC: organisation design according to global standards, job and role mapping and respective integration into IT
- IT/ERP changes: data management (cleanse, preparation, conversion, migration) and testing of BPC, OSC and IT/ERP changes itself
- Considering and integrating customer perspective and needs, although primarily internal changes but with impacts and consequences on externals and customers in particular (e.g. order taking, invoicing, customer service)

Source: Own table

Research objective *'RO3: To assign these critical success factors to programme phases in which they should be monitored and evaluated (WHEN to monitor and evaluate)'*:

This objective has been achieved by combining Krüger's model (Section 2.5), interviewees' references (have been asked for assigning the CSFs to phases in which they should be monitored and evaluated: interview question 2 in Table IV-7) as well as the researcher's own knowledge and experience from business practice. Within the developed framework as explained in section 5.7, the CSFs are assigned to respective phases (Figure V-9: grey column "WHEN").

Table VI-3 below addresses research objective *'RO4: To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)'*. It summarises the research findings from section: 5.5 Operationalisation of monitoring and evaluation, condensed in 5.6 Summary of CHAPTER V Findings and Discussion (Table V-43 and Table V-44).

Table VI-3: Accomplishing research objective RO4

RO4: To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)

HOW – Methods and tools

Meeting and reporting:

- Programme plans, status reports, checklists, watch list, action list, issue logs, error logs: regular meetings discussing implementation progress according to plan (time, quality, achievement), monitoring progress and deliverables per CoB/F and workstream on a regular basis (weekly/bi-weekly/monthly), mainly qualitative measures, ticking boxes and/or reviewing completion rate

Reviews and assessments:

- Business Readiness Reviews and Stage Gates: meticulous reviews of all CoB/Fs and programme workstreams regarding Go-live readiness (prerequisites, key deliverables, achievements) [at the beginning, in the middle of the programme and four months prior to Go-live]; intermediate assessments (Stage Gates) monitoring and evaluating progress between these readiness reviews

Dialogues and feedback:

- Interviewing, talking and listening to stakeholders; networking and exchange with key people; seeking and receiving feedback on e.g. level of understanding about the programme, attitude, reactions (e.g. formal and informal talks; staff appraisal, staff briefing, observation, attentive listening)

Surveys with questionnaires:

- Change readiness assessments: asking for and checking level of understanding, acceptance, thinking and attitude about the programme; training survey: feedback, experience, attendance, success; satisfaction survey of project team members, employees, customers

RO4: To identify and assign methods and responsibilities to monitor and evaluate the critical success factors (HOW and WHO to monitor and evaluate)

Who – Conducting monitoring and evaluation activities

- Dedicated senior management decision board with managers from all affected and involved areas monitored main progress, readiness and issues on a monthly basis (at and after Go-live on a daily basis)
- Dedicated Operational Coordination Team (2nd and 3rd level senior people) monitored progress of change content and readiness on weekly basis (at and after Go-live on a daily basis)
- Business leads monitored and evaluated progress, deliverables, and readiness of their CoB/F (programme reporting)
- Programme leader and workstream leads monitored and evaluated progress, deliverables, and readiness of their teams and workstreams for which they are responsible for: local team members report to respective workstream team leads, team leads report to global counterparts and to local PMO, local PMO report to local senior management and to global PMO; local PMO deliberately reviewed integration management reporting; PMO successor organisation monitored need, scope and implementation of continuous improvement issues
- Change agents as interface between line organisation (CoB/Fs) and programme organisation monitored and evaluated progress, deliverables, and practical readiness within their responsible area, helped to share information and exchange views (mental readiness: level of understanding about the programme, attitude, reactions) from the different CoB/Fs with the local PMO
- Outside reviewers: dedicated specialist global team for local programme reviews; especially for Business Readiness Reviews (see above)

Source: Own table

6.1.2 Contribution to professional practice

This section addresses research objective '*RO5: To contribute to (knowledge as well as) professional practice by providing recommendations on different purposes to use and apply the findings and the developed framework*' focusing on professional practice.

As a starting point, it is referred to Stufflebeam & Shinkfield (2007) again, who note that evaluations only being conducted at a programme's end neglect the fact that evaluations can contribute significantly to planning and guiding programmes towards successful ends.

The findings and the framework can be used in a variety of ways, for different purposes and for current or new SCPs and their implementation: to plan, prepare, structure, organise, and set up a SCP, to plan, prepare, structure, organise, and set up according monitoring and evaluation activities as well as to conduct formative and even summative evaluations. This is explicated in subsequent table.

Table VI-4: Contribution to professional practice

Contribution to professional practice
<ul style="list-style-type: none"> • Initiating and planning a SCP – The findings supports decision makers for a SCP to consider the CSFs enabling and leveraging a successful implementation and consequently to initiate, plan, structure, prepare, organise, set up a SCP accordingly – particularly in the initialisation and conception phase [Section: 5.3]. • Planning, initiating, conducting monitoring and evaluation – The findings support decision makers and those responsible for monitoring and evaluation in a SCP to consider the findings on prerequisites avoiding/overcoming potential monitoring and evaluation challenges and barriers to plan, structure prepare, organise, set up, and conduct monitoring and evaluation activities as well as use/apply respective findings (planning, initiating, conducting formative evaluation) [Section: 5.1, 5.2]. • CSFs to be monitored and evaluated – The findings support decision makers and those responsible for monitoring and evaluation in a SCP to consider the CSFs and when they should be monitored and evaluated, CSFs in general as well as related to the respective change content (formative evaluation) [Section: 5.3, 5.4]. • Selecting methods for conducting monitoring and evaluation – The findings support decision makers and those responsible for monitoring and evaluation in a SCP to select and assign methods and tools for operationalising monitoring and evaluation activities [Section: 5.5.2]. • Deciding on who to conduct monitoring and evaluation – The findings support decision makers and those responsible for monitoring and evaluation in a SCP to decide on who should conduct respective monitoring and evaluation activities [Section: 5.5.1]. • Applying the framework – The framework as a whole or parts of it, as it is are or customised to individual organisational needs might be integrated into an organisation's methodology and methods to manage SCP implementations (if available internally) – for formative evaluation purposes (target groups: decision makers, evaluators, programme leader, programme planner, departments responsible for managing change in their organisations e.g. inhouse consulting, organisation department, process improvement department and the like) [Section: 5.7]. • Reviewing an implemented SCP – The findings support decision makers, evaluators and others being responsible and/or interested in conducting a summative evaluation of an implemented SCP in order to assess its accomplishments with regard to prerequisites, CSF or monitoring and evaluation operations. This might provide lessons learned and indications concerning certain things to be preserved and/or changed for future undertakings [Section: 5.2, 5.3, 5.4, 5.5, 5.7]. <p>→These contributions and the corresponding findings address particularly GAP 1 and GAP 3 as outlined in Section: 3.8 and Table III-15 (p.98). The main contribution to professional practice, based on the findings, is the developed framework for monitoring and evaluating SCP implementation [Section: 5.7, Figure V-9]</p>

Source: Own table

Applicability and transferability of the research findings – Based on the claims above, attempts to transfer, apply or use the findings mainly gathered from a single case study research in other contexts should be approached thoughtfully and carefully. However, there are findings that might be applicable to other contexts than the original case, at least to some extent.

First of all, the general CSFs offer the potential to be considered in different change contexts (other types of change, e.g. Mergers & Acquisition, Outsourcing, other OSC projects) since the literature also identifies these CSFs without specific focus on particular change content. Moreover, change content related literature on BPC, OSC, and ERP changes recognises most of the general CSFs as well.

With regard to the specific change content related CSFs to be monitored and evaluated, it seems realistic to translate the findings from this research to a similar context where these three change types are to be implemented (other organisations). At least the findings should be considered as to whether or to what extent they might be applicable or useful.

Concerning the methods used for monitoring and evaluation, it can be noted that these are standard methods and not customised in that sense being completely impossible to be translated into another context (meeting and reporting, reviews and assessments, dialogues and feedback, surveys with questionnaires).

Despite these prospects, the context of a company/organisation (e.g. particularities like corporate/organisational culture) and change content related aspects always need to be considered and must not be neglected. Finally, monitoring and evaluation is very much dependent on the willingness to monitor and evaluate of the top management. Without that, the findings and the framework as such are of limited use. Not only in that respect but overall, management and change leadership are the most decisive success factors for SCP implementation.

Presenting and discussing the research findings with case study participants and other people having been involved in the SCP – As indicated in Section 4.6.6, the findings of this work have been presented to the case study company in order to receive feedback on the research outcomes and get an impression of its contribution to professional practice. Appendix 23 lists and illustrates the material used for the presentation and discussion. The Chairman of the Executive Board (Interviewee N: former Global Programme Director of the SCP) stated explicitly that he completely agrees with the findings and he also expressed his total agreement with the learning from the case. Overall, the audience agreed with the findings and appreciated the work as a very good assessment of the SCP, related activities and its accomplishments. The overall implication of the collective feedback is that the audience considers the outcomes of this work to be very useful and beneficial in multiple ways. First, they recognise the advantage of having been provided with a more neutral view and assessment on the programme activities and its achievements. If they had done it themselves, it could have been "more biased and maybe politically influenced", and therefore would be less credible. This will facilitate arguing for certain things to be considered in future projects/programmes by referring back to the findings of this work (bearing in mind a potentially different context). Secondly, even though they knew some of the findings partially already (based on lessons learned collected in the course of the SCP journey), they appreciate that this research provides a more comprehensive and integrated perspective than they could have targeted at, due to their daily duties.

Based on this cognisance, Person T confessed that knowledge management is an area where the company could do much better because it is not institutionalised. Much learning was captured but cannot be found anymore. Moreover, a lot of valuable knowledge is lost or it is not known who to ask. Furthermore, she suggested incorporating the research findings into the BCIM for future undertakings (to be used in various ways, e.g. as overall guideline, checklist of whether relevant/key aspects are considered; use the framework as it is).

Some participants of this managerial audience wanted to be provided with even more detailed material about the findings as they intended to use it for their current projects/programmes. The SEPA Downstream Implementation Manager considered the material to be very beneficial. He intends to apply it at least to some extent in his current SEPA implementation activities. This project is also of a complex nature where he considers alignment, coordination, and overall integration management as key to success (e.g. alignment and integration cross CoB/Fs and country borders, inter-company as well as cross border transactions, interfaces to external stakeholders like suppliers and customers). The Programme Manager DACH Corporate Advisory & Projects mentioned that the findings on CSFs as such and in combination with the findings on monitoring and evaluation would be a tremendous support in his work to check against current undertakings as well as to setup new projects. Person T also asked for additional material from the research. She is involved in the Offer-to-Cash organisation working on the relocated and reorganised customer service area. Her key learning from the presentation centres on the end-to-end understanding of the processes and handoff points and how to monitor these appropriately. This is still an area where the company is working on improvements and where she intends to use the study outcomes to assess their current setup and activities. Moreover, since the SCP is still under way, Person N as well as the SEPA Manager expressed the intention to take the findings, the learning from the case as well as the framework to approach those programme and business colleagues being accountable and responsible for the SCP implementation of the remaining two countries.

One of those has been postponed several times due to its size, complexity, and criticality. Person N and the SEPA Manager assume that the research findings might support managing the key CSFs identified as leadership, alignment, coordination, and integration management as well as knowledgeable and experienced resources.

The discussion did not go far enough in sharing thoughts about potential barriers to use/implement the framework. However, Person N stated that the company did not have a choice but to conduct the SCP at that time. This links back to the key factor impeding monitoring and evaluation: "willingness" to do it. This might be grounded in implicitly assuming a programme implementation benefit, and questioning monitoring and evaluation needs if the programme has to be conducted anyway. Those two aspects might be the main potential barriers to implement/apply the framework or parts of it.

The discussion with the former colleague (4.6.6) revealed his recognition that many of the findings being applied would be helpful to overcome many of the problems his project is struggling with. He particularly considers the findings on integration management, stakeholder alignment and management, leadership, and understanding the case for change as those vital CSFs to be monitored and evaluated in the context of his current IT project. He assumes that these aspects might be of significant benefit since the scope of the project is also huge, and hence requires coordination, alignment, and integration of all relevant parties and stakeholders. Finally, he thought about transferring findings regarding OCT and DCT to his context because such active managing and operational bodies are lacking there.

As a result of these discussions and reflections with different parties having been involved in the SCP, whether they participated in the research or not, the discussions and reflections indicate that this research contributes to professional practice in more than the original context.

Whether the framework will work and consequently lead to more successful implementations, deriving better capabilities to manage and lead the change process with less resistance and organisational learning for future change implementations, can only be figured out by applying it in a real-life context.

6.1.3 Contribution to knowledge

This section addresses research objective ‘RO5: To contribute to knowledge (as well as) professional practice) by providing recommendations on different purposes to use and apply the findings and the developed framework’ focusing on knowledge.

The contribution to knowledge comprises several areas of monitoring and evaluating SCP implementation: additional knowledge on prerequisites, better understanding of CSFs, more detailed level of formal knowledge with regard to the operationalisation.

Table VI-5 below explicates this in more detail.

Table VI-5: Contribution to knowledge

Contribution to knowledge

Prerequisites for monitoring and evaluation

- Additional knowledge on **prerequisites** to be considered for planning monitoring and evaluation in a SCP to overcome potential challenges and barriers as identified in the literature [Section: 3.3, 5.1, 5.2]
- The findings on prerequisites and the corresponding contribution are also prerequisites to address GAP 1 (as outlined in Section: 3.8 and Table III-15 (p.98)) preparing the ground to learn more about methods, tools, and responsibilities for operationalising monitoring and evaluation in SCP implementation (addressed below).

Critical success factors to be monitored and evaluated

- The findings add new knowledge by indicating **linkages between the CSFs**. This is one of the unique contributions of this thesis. [Section: 5.3, 5.4, Appendix 22]
- Further, the findings and the framework build on the literature and providing new insights into **CSFs** in a strategic change programme implementation by **assigning them to certain phases in which they should be monitored and evaluated**. [Section: 5.7, Figure V-8: grey column “WHEN”]
- In general, the research findings provide a **more comprehensive and better understanding of CSFs** in SCP implementation. The specific aspects are referred to subsequently, where the differences between the findings and the literature are expressed, either in a different level of emphasis attached to certain CSFs or even new CSFs are identified. [Section: 5.3, 5.4]

General critical success factors:

- The findings emphasise the following CSFs stronger than the literature: leadership, case for change, change agents, reflection and learning, sustain phase
- **Leadership**: although comprehensively dealt with in the literature, the findings emphasise the importance of the role of leadership as CSF even stronger; in particular in combination with the CSF ‘Integration Management’, since leaders are the first ones to overcome silo-mentality way of thinking and initiating cross-business/function teamwork, alignment, and coordination; furthermore the significance of leadership is stressed as individuals or groups for conducting monitoring and evaluation in a SCP (‘Who’, see below) [Section: 5.3.1, 5.4.1, 5.5.1]

Contribution to knowledge

- **Case for change:** stronger emphasis of significance of understanding the case for change early in a SCP and all those aspects that are related to it (overall context with drivers and reasons to change; meaning and implications for company and each business/ function; objectives and anticipated outcomes formulated in a business benefit case; detailing upcoming changes, scope, subsequent impacts, implications, dependencies and interrelations) [Section: 5.3.2]
- **Change agents:** relevance of change agents not as strongly emphasised in the literature than in this research, findings reveal that good change agents made a difference and positively influenced the SCP implementation as they prepared their business/function for Go-live very well; change agents also take on an important role in monitoring and evaluation [Section: 5.3.4.1]
- **Reflection and lessons learned:** this research identified the aspect of lessons learned as deliberate and new CSF – There is dedicated subject matter literature on “learning organisations” (e.g. Senge (2006)) identifying reflection and learning as important aspects to be considered in organisations in general. However, the literature taken into consideration for this work, especially those sources being concerned with CSFs for SCP implementation, do not refer to reflection and lessons learned as CSF as strongly as the findings of this work do. Hence, the case findings add to the existing literature and body of knowledge. [Section: 5.3.6]
- **Sustain phase:** literature refers to communicating quick wins and achievements and not declaring success too early; some authors mention that this phase is about maintaining momentum after implementation and embedding the change in the organisation and daily operations (Kotter, 1996; Clardy, 2013); others, like Stufflebeam & Shinkfield (2007) include summative evaluations in the sustain phase but do not note this as a CSF; The findings of this work add to Kotter (1996) and Clardy (2013) by even more strongly exposing the significance of the sustain phase as a dedicated CSF for implementing change in organisations. Interviewees claim that the post-implementation phase is the most underestimated phase. However, it is decisive for the overall implementation success because all changes become reality and need to be institutionalised or continuously improved where necessary. [Section: 5.3.7]

Change content related critical success factors:

- **Customer perspective:** could also have been assigned to the general CSF section; however due to the change content and how it affected customers considering their perspective is assigned to the change content related CSFs to be considered and monitored and evaluated – Very often with internal changes external perspectives with regard to customers are not as strongly considered, as they should be. The literature review undertaken for this research observes the same incidence. Among those sources being relevant to this research, only three references are found considering it as important to take the customer perspective into account (Finney & Corbett, 2007; Pinto & Slevin, 2008; Ricardo & Heather, 2013). This mirrors one of the key learnings from the case study findings. As a result, the customer perspective (needs, requirements, attitude, and loyalty) is another CSF to be taken into consideration, and to be monitored and evaluated. This adds emphasis to what only a few authors identified. [Section: 5.4.1.4]
- **Understanding processes end-to-end & handoff points:** The findings add two significant CSFs to those from the literature, which should be monitored and evaluated: end-to-end process understanding as well as identification and understanding of handoff-points. These are the most important change content related CSFs within the SCP. Many of the processes were changed and/or relocated. Processes are now flowing all over the world and people cannot ask a colleague next to him/her or across the corridor in the next office. It is vital to understand who is responsible for which process steps (handoff points) but also to know the consequences in the end-to-end perspective if certain things are not being done as they should be.[Section: 5.4.2]

→ The findings on CSFs and corresponding contributions address GAP 2 as outlined in Section: 3.8 and Table III-15 (p.98).

Contribution to knowledge

Operationalisation of monitoring and evaluation

Academic literature on operationalisation of monitoring and evaluation is not that comprehensive, at least not those sources identified for this thesis (e.g. Stufflebeam & Shinkfield (2007), Patton (2008), Russ-Eft & Preskill (2009)). Even practitioner oriented literature like PMI handbooks for project (PMI, 2013a) or programme management (PMI, 2013b) and others (Klärner & Raisch, 2007; Kerzner, 2013; Stackpole Snyder, 2013) focus on “what” rather than explicitly on “how” and by “whom” monitoring and evaluation in a SCP can/should be conducted. The literature is lacking “how” and “who” in concrete terms with transferable and applicable examples for business practice in a pragmatic and useful manner.

- **How** – Extended theoretical (and practical) insights into “how” (methods and tools) to conduct monitoring and evaluation: This research takes a more detailed, operational, and practical view on concrete activities as well as people or groups to conduct monitoring and evaluation in a SCP. The findings build on some of the methods the literature refers to (Taylor-Powell & Steele, 1996; Stufflebeam & Shinkfield, 2007; Russ-Eft & Preskill, 2009; Mertens & Wilson, 2012; PMI, 2013b). These methods are related to the literature as follows (case related methods in brackets): analysis of documents (reporting, POAP, watch list, action list) and databases (role mapping and training database, project management toolkit for issue logs), expert review or quality assurance (BRR, Stage Gates), interview (conducted rather as informal talks), logs (issue log, error logs, process or IT defects/ deficiencies with testing), observation (in meetings or informal talks), simulation and testing (IT testing job, role mapping in combination with processes), survey (after meetings). [Section: 5.5.2]
 - **Who** – New theoretical (and practical) insights into responsibilities “who” to conduct which monitoring and evaluation activities: With regard to the “who”, the findings from the case accentuate the significance of the DCT, OCT, and the local Programme Leader. BRRs are considered to be vital, as explained above. Therefore, dedicated outside programme reviewers play an important role in that respect as well. The aspect of “who” to conduct which monitoring activities is not being identified in literature relevant to this work. These findings add new knowledge. [Section: 5.5.1]
- These contributions and the corresponding findings address GAP1 in particular, but also GAP3 as outlined in Section: 3.8 and Table III-15 (p.98)

Source: Own table

The combination of the framework, its components, and the synthesis on prerequisites for monitoring and evaluation to overcome potential challenges and barriers can be understood as a kind of checklist to set up such a framework in a SCP. The findings on prerequisites and the framework as the combination of WHAT (CSFs), WHEN (programme phase), HOW (methods), and WHO (responsibilities) to conduct monitoring and evaluation in SCPI demonstrate the distinctiveness of this thesis contributing to knowledge as well as professional practice.

To close the loop opened in section '1.4 Research aim, questions, and objectives' and closed by this section 6.1, it can be noted that the thesis accomplished its research aim: *To develop a framework for systematically monitoring and evaluating critical success factors within a strategic change programme implementing changes in business models, business processes, organisation structures as well as IT/ERP systems'* and corresponding research objectives and answered the research questions. Furthermore, the identified gaps in the literature as well as professional practice (Section: 3.8, Table III-15) are successfully addressed and filled to a large extent. Nonetheless, this research has its limitations and consequently provides propositions for further research. This is covered in the next section.

6.2 Limitations and further research

The limitations of this research provide propositions for further research. The research setting was focused on a global SCP implementation in the Downstream business within the oil and gas industry. Within this setting, it looked at the DACH implementation and also touched slightly on global aspects of the SCP. The research participants comprise mainly German and some Dutch interviewees.

Although this research and its context is already of a comprehensive scope – BMC, BPC, OSC including aspects of downsizing and shared service centres, ERP changes – there is potential for further research nonetheless.

First of all, the framework for monitoring and evaluating CSFs in SCP implementation as such can be applied and its usefulness and practicability in proposing amendments based on new research findings can be scrutinised.

Further business practice oriented research can be undertaken by examining the findings (prerequisites, CSFs, operationalisation of monitoring and evaluation) in other contexts.

For instance, alternative SCPs with different change content can be looked at (e.g. M&A, outsourcing, social media integration into the workplace), same change content but different scale and/or in a similar context but in another industry or non-profit sector, or even in the same company but with a different change content. Since this case study mainly involved German and Dutch interviewees, further research about the same change content might aim to include more international research participants. These propositions for further research might examine the findings of this research by comparing them with findings from different research settings. This might evolve similar or different findings or emphases on prerequisites and CSFs.

Moreover, a proposition for another comprehensive literature review and research in business practice can be recognised regarding operationalisation of monitoring and evaluation in SCP. Further research could be focused on the “who” (explicit bodies, teams, people, roles) to conduct what kind of monitoring activities (“how” [methods, tools]).

Both academic and business practitioner oriented literature are lacking recommendations and examples about which explicit bodies, teams, people, or roles should/could conduct what kind of monitoring and evaluation activity. Additional research could further scrutinise which concrete methods and tools could/should be used for which purposes in a SCP implementation.

One aspect identified in this work, but which could not have been studied in more detail due to scope restrictions, deals with the linkages within the findings. The figures in Appendix 22 illustrate the case findings per chapter and linkages to other findings chapters. Connecting lines illustrate these linkages identified within the interviews. All these connections are integrated into one table to present the full picture of the findings and their connections to each other at the end of Appendix 22. This offers many propositions for quantitative research by examining these linkages in single or multiple sets.

For instance, it could be investigated whether these linkages can be proved in a quantitative manner. Another approach could study whether and how strongly certain CSFs influence others (e.g. leadership or stakeholder management and communication influencing the level of understanding about the case for change). Further research could also aim for identifying a ranking among the CSFs.

Moreover, another starting point for subsequent research could be the aim to develop new/reliable “scales” that can be used to evaluate the identified CSFs in a qualitative or even quantifiable manner (e.g. scales to determine the level of understanding about the case for change, level of readiness, extent of leadership, effectiveness and efficiency of stakeholder management and communication). This might lower the level of softness of certain CSFs.

Table VI-6 below summarises the propositions for further research.

Table VI-6: Accomplishing research objective RO6: To develop propositions for further researcher building on the findings of this work

RO6: To develop propositions for further researcher building on the findings of this work

- Applying the framework, assessing its usefulness and practicability and consequently proposing/making amendments based on new research findings
- Examining the findings of this work (prerequisites, CSFs, operationalisation of monitoring and evaluation) in other contexts: other types of change projects/programmes (e.g. M&A, outsourcing); project/programme with same change content but different scale; or even in the same company but with a different change content; or in a similar context (change content and scale) but in another industry or non-profit sector
- Conducting a similar research study but with more international interviewees and examining whether the findings differ compared to this work
- Further research on the operationalisation of monitoring and evaluation activities especially with regard to “who” conducting which monitoring and evaluation activities as well as on “how” (methods and tools to be used) to conduct these activities
- Testing and verifying the identified linkages within the findings as indicated within sections 5.3.1 – 5.3.9, and Appendix 22; examining these linkages in single or multiple sets in order to “test” them in a quantitative manner; investigating whether and how strong certain CSFs influence others; or identifying a ranking among the CSFs
- Develop new/reliable scales that can be used to evaluate the identified CSFs in a qualitative or even quantitative manner (e.g. scales to determine the level of understanding about the case for change, level of readiness, extent of leadership, effectiveness and efficiency of stakeholder management and communication). This might lower the level of softness of certain CSFs.

Source: Own table

6.3 Final conclusions and recommendations

Successful strategy implementation depends essentially on the management of the people side and less on factors related to the organisation or systems (Minarro-Viseras, Baines & Sweeney, 2005). The most important CSFs in SCP implementation are non-change content related. However, most important is the early understanding of the change content itself by the top management in order to be able to lead the non-change content related CSFs. The remaining aspects of managing a SCP to success centre on managing the non-change content related aspects. It is not the technical things causing the most striking problems or even programmes to fail, it is the way things are managed in SCP implementations, how the change content related CSFs and aspects are addressed, integrated, coordinated, and aligned.

As soon as the “big picture” and every detail are understood, non-change content related aspects are at the core of managing the change process. This is very much about leading, not managing, the change.

First of all, it is essential to understand the case for change – context, change content, implications, meaning, consequences, reasons, and objectives – and to leverage this understanding within the organisation. In order to achieve this it is recommended to use change management practices, which, among other things, includes stakeholder alignment and stakeholder management as well as communications. This in turn leverages the readiness to change of all affected stakeholders. Therefore, committed and dedicated change leaders with ownership to lead the change in an integrated manner are required.

Furthermore, it is significant to identify and take on board the “best and brightest” people within and outside the organisation to manage the change content. Collecting lessons learned and reflecting on these throughout the change process ensures continuously being able to compare a current situation and achievements with the initial plans. This provides valuable information where amendments seem to be necessary.

Finally, after implementing a strategic change, the subsequent sustain phase is not to be underestimated since here all changes come to the fore, to real “business” life. This is the phase where the continuous improvement works starts to fully benefit from the intended strategic changes.

In order not to go through this whole strategic change process in blindness, monitoring and evaluation is vital to disclose and provide all relevant information that is needed to be able to manage and lead the change process to a successful end. Therefore, early in the change process it is important to be aware of the overall situation and context of the organisation, targeted upcoming changes, case for change in its entirety as well as all relevant CSFs. First of all, the willingness of the top leaders to monitor and evaluate is of highest importance to conduct such activities. Without having achieved and sustained this, it does not make sense to proceed.

Once achieved, the prerequisites for monitoring and evaluation need to be considered early in the strategic change process to plan, set up and conduct respective activities. This includes programme planning and governance for monitoring and evaluation (accountability, responsibility, dedicated resources, willingness, and ownership). Furthermore, planning monitoring and evaluation of the strategic change process is vital. Therefore again, the case for change needs to be understood in its entirety, but also defining what success means, identifying CSFs to be monitored, setting meaningful target levels, developing and applying a consistent approach are considered as decisive. Finally, there is a need to accomplish stakeholder alignment regarding all these monitoring and evaluation features and seeking transparency with open and honest evaluation communication. If all these aspects are considered it is regarded as highly likely that the strategic change implementation will be successful.

6.4 Personal research reflections

This reflection on the research processes touches various fields, which influenced it or are an outcome of it. These fields centre on personal circumstances, topic changes, my learning from the case study, and my personal skill development.

First of all, I consider it to be important to briefly explain my life circumstances that influenced my personal life and this work tremendously. I started the DBA part-time programme while working as a management consultant for one of the biggest consulting companies in the world. As learning from my experiences made during my MBA, which I also did in parallel to my client-facing, tremendously high work loaded and travel intensive consulting job, I changed my job internally to work as a Business Development Manager. As a mixture between consulting and sales, this was a rather office based job with lower travel intensity and only selective client facing times. The intention was to be better able to coordinate and align the business workload with the DBA research work and duties. However, after a short period the job change was called off due to internal circumstances and policies. As a result, I had to work as a consultant again. The workload and the requirements of my business job and my research could not have been aligned. The whole situation and circumstances caused a four-month period of illness. Since the DBA was of highest priority to me, I decided to change my life at the age of 36, quitting my job, giving up my company car, my flat and reduce my standard of living, returning to my parents' house and living like a student again – for the sake of this thesis.

These developments and the whole process were and still are a very helpful experience. It helped me to refocus on the essential. Today, I know my personal limitations even better. I work with more focus and concentrate on those areas that are of greatest importance to me. Currently, I am working as an external part-time lecturer at a German University of Applied Sciences, which allows a better alignment with the DBA. Moreover, I can even share or test some of my research findings.

The job change also caused a change in the research topic and related aim, questions, objectives and anticipated outcomes since they were related to the former employer to some extent. Moreover, the research topic, title, and scope altered several times in the process from initial proposal written for the application at the business school, first assignment after the taught blocks, to mid-point progression, annual progression to the final scope and current title. The final change was made based on a discussion with Interviewee K. In our interview, he asked me for my description and understanding of the term “large scale organisational change implementation”. Based on my explanation he suggested rephrasing it into “strategic change programme implementation” since this would describe the programme better.

A key learning point from the interviews resulted in the need to extend the scope of my research, since it was initially focused only on the ERP changes within the SCP. However, the findings expose the necessity of looking at the SCP in its entirety and in an integrated manner because only then could it be managed and implemented successfully. Consequently, the scope of the research has been enlarged⁴⁰ which causes the extended word count. I recognise that in academic research most often topics are researched in a rather narrow and in-depth scope. My “real world research” (Robson, 2011) can be characterised rather as the opposite. However, from my point of view the comprehensiveness presents the distinctiveness and core value of this research. Moreover, the reactions and feedback from the case study company on the presentation of the findings clearly demonstrate that it was worth doing it that way. The company directly asked me for more information to apply the findings for the final two country implementations of the SCP but also within other projects.

This research work contributed to my professional development enormously as well. I increased my theoretical knowledge and practical experience about strategy implementation. Furthermore, I developed a better and more thorough understanding about CSFs and also how things are interrelated in such a SCP.

⁴⁰ Extended literature review on strategy, strategy implementation, programme implementation, programme management, business models, business processes, and organisation structure changes

Overall, I leveraged my understanding about change in organisations on a higher level than I had experienced as a consultant before. I already knew many things theoretically about my research field before. However, by talking to the interviewees I experienced and “felt” what they mean with certain topics being discussed. By listening and digesting the interviews, I now really practically understand what is theoretically written in an article, book, or study. The findings become vivid and the interviews made the findings come alive. I gained so much from the interviews and I feel that I swallowed, digested, and internalised all the experience the interviewees shared with me. This is especially the case for the understanding of leadership (including the importance of DCT, OCT), integration management, knowledgeable and experienced resources, the relevance of change agents, and the sustain phase. Maybe, this is only possible because I was part of the SCP, although it was almost three years ago that I left the SCP.

An interesting observation was made. Without having been part of the SCP, it would have been very challenging to understand many parts in the interviews to a considerable extent. This was also one remark made by one of the independent coding volunteers. He told me that it was sometimes quite difficult to link interviewees’ accounts to the research aims, objectives, and questions and to assign an appropriate code without having further contextual knowledge and experience. My insider knowledge helped me to understand background and context of responses, relationships and interdependencies, explanations, meanings, subtle comments, expressions, technical, company or programme specific terms or abbreviations without the need to seek further clarification. This insider knowledge also supported reviewing the three translated interview transcripts. I made quite some amendments, although the transcripts were translated by a professional interpreter. However, she admitted that translations were sometimes difficult because she was not aware of or did not know the terms and context specifics.

The research process also helped me to sharpen my critical reading skills, being more critical than before, questioning what is written, stated, or what authors are claiming.

In addition, today, I am better able to understand academic research approaches and this way of thinking. The whole practitioner oriented academic experience helps me in various fields: for lecturing job, supervising Masters Theses but even more importantly for a next business job. All experiences undertaken, additional and developed skills will potentially help greatly to work in even more senior positions in the near future.

Finally, it was the right decision to do a DBA, and not a PhD. I recognise that my thinking still centres more on business practice related topics than on theory. According to Robson (2011), I am more a “Real world researcher” than an “Academic researcher” (Table IV-1, p.102). This became even more apparent when I participated in the BAM 2013 conference where I presented my article about the preliminary findings (Neumann, Sloan & Robson, 2013). Very often, I asked myself at the end of a speech or presentation: “So what, how can the essence of that be used in or improve business practice?” I share the impression of a work group discussion at the conference, the relationship between academia and business practice should be improved and intensified. Academia should be attractive for business practice and vice versa (Gummesson, 2000).

Overall, I enjoyed the research journey as such and I would do it again. However, I would rather do it in a fulltime than in a part-time mode.

Since there were even more severe private and research related issues impeding the research journey than outlined in the beginning of this chapter, but not explicated further, I am very satisfied with how I managed all these critical personal circumstances.

I am proud of what I achieved and how I arrived at the end of this research journey – this thesis!

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Appendix 1 Literature review of critical success factors for strategic change programme implementation

Management & Leadership	
Critical success factor	Reference to literature
<p>Management and leadership</p> <ul style="list-style-type: none"> • Top senior management attention, commitment, dedication, engagement and support • Executive sponsorship • Managers' ability to execute and implement not just formulate a strategy, realistic estimation and expectation about implementation process (complexity, capacity, capability, duration, effort), realistic expectations of results • Competent managers with ownership • Change leadership • Willingness to provide authority, power and resources • Leader's change related actions • Leadership style, well accepted leaders • Leadership focus to implementation (planners = "doers") • Involvement of managers from all levels (especially middle management) • Trust and confidence in management 	<p>(Alexander, 1985; Reed & Buckley, 1988; O'Toole, 1995; Bartlett & Goshal, 1996; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Beer & Eisenstat, 2000; Aaltonen & Ikävalko, 2002; Jones, 2002; Andersen <i>et al.</i>, 2006; Hrebiniak, 2006; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; OGC, 2007; IBM, 2008; McKinsey, 2008; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Yang, Sun & Eppler, 2009; Momoh, Roy & Shehab, 2010; Van Hau & Kuzic, 2010; Whelan-Berry & Somerville, 2010; Campbell, Edgar & Stonehouse, 2011; Brännmark & Benn, 2012; Capgemini, 2012; Kienbaum Management Consultants, 2012; Williams <i>et al.</i>, 2012; Al-Kandi, Asutay & Dixon, 2013; Clardy, 2013; El Sayed, Hubbard & Tipi, 2013; Habib, 2013; Recardo & Heather, 2013; Smith <i>et al.</i>, 2013; Creasey & Taylor, 2014)</p>
<p>Ambassadors</p> <ul style="list-style-type: none"> • Advocates of the change • Project champions • Empowered decision makers, • Change agents, change managers, facilitators 	<p>(Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Finney & Corbett, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Van Hau & Kuzic, 2010; Clardy, 2013)</p>

Organisation	
Critical success factor	Reference to literature
<p>Strategy</p> <ul style="list-style-type: none"> • Strategic analysis, built on strengths and values of the organisation, future blueprint, concrete future capability • Context makes a difference in the choice of planning and implementation, being flexible to adapt to changing circumstances, validity and relevance of strategy and proposed solution • Strategy formulation impacts its implementation, strategy to change, alignment of strategy formulation with change implementation, linking strategy to change programme • Business plan 	<p>(Reed & Buckley, 1988; Bryson & Bromiley, 1993; Kotter, 1995; O'Toole, 1995; Taskinen & Smeds, 1999; Cleland & Ireland, 2006; Hrebiniak, 2006; Nah & Delgado, 2006; OGC, 2007; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Yang, Sun & Eppler, 2009; Shehu & Akintoye, 2011; Williams <i>et al.</i>, 2012)</p>
<p>Case for change</p> <ul style="list-style-type: none"> • Clearly defined vision, mission, goals, objectives, clarifying and establishing a common understanding of change strategies, context, and reasons for change • Level of understanding on change impact, consequences, meaning, interrelatedness, cause-effect relations (complexity) • Understandable and realistic business and benefit case • Being aware of trade-offs, positive as well as negative effects 	<p>(Reed & Buckley, 1988; Beer, Eisenstat & Spector, 1990; Bryson & Bromiley, 1993; Kotter, 1995; O'Toole, 1995; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Beer & Eisenstat, 2000; Lee & Teo, 2005; Andersen <i>et al.</i>, 2006; Bedingham & Thomas, 2006; Cleland & Ireland, 2006; Finney & Corbett, 2007; OGC, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Whelan-Berry & Somerville, 2010; Campbell, Edgar & Stonehouse, 2011; Shehu & Akintoye, 2011; Capgemini, 2012; Williams <i>et al.</i>, 2012; Al-Kandi, Asutay & Dixon, 2013; Clardy, 2013; Habib, 2013; Nyström <i>et al.</i>, 2013; Recardo & Heather, 2013; Jurisch <i>et al.</i>, 2014)</p>
<p>Readiness to change</p> <ul style="list-style-type: none"> • Capacity and capability to change (practical readiness) • Focus on people, awareness of affected people, identify barriers to change • Overcoming resistance, taking concerns seriously, fear about losing authority or job, uncertainty/feeling uncomfortable about future, scepticism, turn into motivation/willingness to change (mental readiness) • Employee satisfaction with amount and quality of information on the change • Mindset, attitude, trust 	<p>(Bryson & Bromiley, 1993; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Oreg, 2003; Lee & Teo, 2005; Andersen <i>et al.</i>, 2006; Huq, Huq & Cutright, 2006; Oreg, 2006; Finney & Corbett, 2007; Holt <i>et al.</i>, 2007a; Rodenstock, 2007; IBM, 2008; Cameron & Green, 2009; Françoise, Bourgault & Pellerin, 2009; Campbell, Edgar & Stonehouse, 2011; Oreg, Vakola & Armenakis, 2011; Capgemini, 2012; Al-Kandi, Asutay & Dixon, 2013; Clardy, 2013; Habib, 2013; Recardo & Heather, 2013; Creasey & Taylor, 2014; Jurisch <i>et al.</i>, 2014)</p>
<p>Knowledgeable and experienced resources</p> <ul style="list-style-type: none"> • Quantity and quality of people • Capabilities, know-how • Skilled people ("best and brightest") • Resource allocation • Project team • Composition of teams, teamwork, balanced team 	<p>(Alexander, 1985; Bryson & Bromiley, 1993; Eisenstat, 1993; Belassi & Tukel, 1996; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Okumus, 2001; Hrebiniak, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Williams <i>et al.</i>, 2012; Habib, 2013; Nyström <i>et al.</i>, 2013)</p>

Organisation	
Critical success factor	Reference to literature
<p>Customer perspective</p> <ul style="list-style-type: none"> • Understanding the voice of the customer • Requires understanding of customer needs and requirements, consultation and attentive listening to customers • Understand organisation's strengths, weaknesses, and performance gaps • Solicit suggestions for improvement and alternative ways of structuring • Customer acceptance and satisfaction 	(Finney & Corbett, 2007; Pinto & Slevin, 2008; Recardo & Heather, 2013)
<p>Organisational structure and design</p> <ul style="list-style-type: none"> • Most organisational changes need to be reflected within the organisation design and structure • Efficient organisation structure aligned with new requirements • Important implications for an organisation's ability to manage contingencies, achieve competitive advantage, and increase its efficiency and ability to innovate, • Aligned structure and control processes 	(Okumus, 2001; IBM, 2008; Yang, Sun & Eppler, 2009; Capgemini, 2012; Jones, 2013)
<p>Organisational culture</p> <ul style="list-style-type: none"> • Ability to manage cultural change • Change supporting culture, culture that motivates and promotes change • Working environment • Confidence and trust in managers and subordinates • Constructive teamwork across levels, participation, recognition among employees, morale • Empowerment • In global programme also reflecting on potential national cultural differences 	(Al-Mashari & Zairi, 1999; Okumus, 2001; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; OGC, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Capgemini, 2012; Habib, 2013; Jones, 2013; Smith <i>et al.</i> , 2013)
<p>Reward systems</p> <ul style="list-style-type: none"> • Adaption of reward systems according to implemented changes, adjust performance measures • Monetary and non-monetary incentives • Promotion and rewards also in the course of the change implementation, rewarding change supporting achievements and activities 	(O'Toole, 1995; Al-Mashari & Zairi, 1999; IBM, 2008; Al-Kandi, Asutay & Dixon, 2013; Habib, 2013)
<p>Technology</p> <ul style="list-style-type: none"> • Supporting systems to implement the change and to run the change content 	(Pinto & Slevin, 2008)
<p>Suppliers and third parties</p> <ul style="list-style-type: none"> • Consultants, contractors, vendors, external partners • Selection of consultants and contractors • Relationship to third parties, involvement and alignment • Effective use of consultants and other external parties and their required input/capabilities to implement the change, vendor support • Reliance to consultants and vendors • Familiarity of externals with internal specifications 	(Al-Mashari & Zairi, 1999; Okumus, 2001; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Kronbichler, Ostermann & Staudinger, 2009; Williams <i>et al.</i> , 2012; El Sayed, Hubbard & Tipi, 2013)

Change programme	
Critical success factor	Reference to literature
<p>Alignment and integration management</p> <p>Related to organisation:</p> <ul style="list-style-type: none"> • Coordination and stimulation of collaboration across functions, businesses or borders • Aligning different views, consensus • Support between different levels, cooperation • Reducing barriers around units, foster knowledge sharing • Continuously align business with internal and external environment mandated by top management <p>Related to change content:</p> <ul style="list-style-type: none"> • Alignment and integration of all change content components with each other (e.g. business model, business process, organisation design, and IT changes) and with overall corporate, business, and implementation strategy 	<p>(Alexander, 1985; Reed & Buckley, 1988; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Beer & Eisenstat, 2000; Okumus, 2001; Cleland & Ireland, 2006; Hrebiniak, 2006; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Shehu & Akintoye, 2011; Al-Kandi, Asutay & Dixon, 2013; Habib, 2013; Creasey & Taylor, 2014)</p>
<p>Business process change (BPC)</p> <ul style="list-style-type: none"> • Aligned with business strategy • Effective process design • Appropriate methods, tools and techniques to design processes • Operational process efficiency (before, after) • Monitoring business processes <p>Related to OSC:</p> <ul style="list-style-type: none"> • Alignment with organisation structure • Adequate approach for job integration • Definition of jobs, roles responsibilities <p>Related to IT:</p> <ul style="list-style-type: none"> • Alignment with IT • Effective IT infrastructure • Proper integration into IT • Measures to measure processes • IT infrastructure including hardware, software, and other technologies play a significant role in/to supporting the change project • Different computing systems and software applications of departments involved to be linked physically or functionally throughout the change project 	<p>(Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Whelan-Berry & Somerville, 2010; Capgemini, 2012; Habib, 2013; Jurisch <i>et al.</i>, 2014)</p>
<p>Organisation structure changes (OSC)</p> <ul style="list-style-type: none"> • Aligned with corporate and business strategy • Considering various options, “not one size fits all” 	<p>(Jones, 2002; Recardo & Heather, 2013)</p>

Organisation	
Critical success factor	Reference to literature
<p>IT/ERP changes</p> <ul style="list-style-type: none"> • Bridging gaps between IT and process teams • Understanding business requirements and implication of ERP before implementation • System analysis and respective selection of vendor and components • ERP implementation methodology • Software configuration • Business and IT legacy system consideration especially in global programmes where differences from one country to another (country related requirements) • Data management (conversion and integrity) • System testing <p>Related to BPC and OSC:</p> <ul style="list-style-type: none"> • Customisation of IT system according to processes and organisation design job and role redesigns, authorisations 	<p>(Huq, Huq & Cutright, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010)</p>
<p>Change management (often comprises stakeholder management, communication, training)</p> <ul style="list-style-type: none"> • Approach, methodology • Dedicated resources 	<p>(Hrebiniak, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Burnes, 2009; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Hanafizadeh & Osouli, 2011; Shehu & Akintoye, 2011; Brännmark & Benn, 2012; El Sayed, Hubbard & Tipi, 2013; Creasey & Taylor, 2014; Jurisch <i>et al.</i>, 2014)</p>
<p>Stakeholder management</p> <ul style="list-style-type: none"> • Mobilisation, engagement, involvement, participation • Familiarise people with upcoming changes • Involve people for designing solutions, conducting activities, or participating in events 	<p>(Kotter, 1995; O'Toole, 1995; Al-Mashari & Zairi, 1999; Andersen <i>et al.</i>, 2006; Bedingham & Thomas, 2006; Cleland & Ireland, 2006; Hrebiniak, 2006; OGC, 2007; IBM, 2008; Thiry, 2010; Whelan-Berry & Somerville, 2010; Shehu & Akintoye, 2011; Brännmark & Benn, 2012; Capgemini, 2012; Turner & Zolin, 2012; Al-Kandi, Asutay & Dixon, 2013; Creasey & Taylor, 2014)</p>
<p>Communication</p> <ul style="list-style-type: none"> • Communication plan • Two-way communication: information about the change programme and receiving feedback • All relevant information about the change and its implementation (what, why, how, when, who, how, where) • Open, honest, transparent, regular, frequent, timely 	<p>(Bryson & Bromiley, 1993; Kotter, 1995; Al-Mashari & Zairi, 1999; Beer & Eisenstat, 2000; Okumus, 2001; Jones, 2002; Andersen <i>et al.</i>, 2006; Bedingham & Thomas, 2006; Hrebiniak, 2006; Huq, Huq & Cutright, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Yang, Sun & Eppler, 2009; Van Hau & Kuzic, 2010; Whelan-Berry & Somerville, 2010; Shehu & Akintoye, 2011; Turner & Zolin, 2012; Al-Kandi, Asutay & Dixon, 2013; Habib, 2013; Creasey & Taylor, 2014)</p>

Organisation	
Critical success factor	Reference to literature
Training <ul style="list-style-type: none"> • Education, knowledge transfer, practical readiness • Training needs analysis • Understanding, skills, knowledge and capabilities about the changes (new ways of working) • Investment in training and training technology 	(Alexander, 1985; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; IBM, 2008; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Momoh, Roy & Shehab, 2010; Van Hau & Kuzic, 2010; Whelan-Berry & Somerville, 2010; Caggemini, 2012; El Sayed, Hubbard & Tipi, 2013)
Programme management and setup <ul style="list-style-type: none"> • Programme planning, scope, resource requirements/estimations, milestones, budget • Time management, enough time for planning and implementation • Programme structure approach • Detailed programme plan, methodologies, methods, tasks, and actions • Governance framework, matrix organisation for strategic and complex programmes • Roles and responsibilities, accountability 	(Alexander, 1985; Bryson & Bromiley, 1993; O'Toole, 1995; Belassi & Tukel, 1996; Al-Mashari & Zairi, 1999; Taskinen & Smeds, 1999; Okumus, 2001; Andersen <i>et al.</i> , 2006; Cleland & Ireland, 2006; Hrebiniak, 2006; Huq, Huq & Cutright, 2006; Nah & Delgado, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Françoise, Bourgault & Pellerin, 2009; Kronbichler, Ostermann & Staudinger, 2009; Van Hau & Kuzic, 2010; Shehu & Akintoye, 2011; Turner & Zolin, 2012; Williams <i>et al.</i> , 2012; Al-Kandi, Asutay & Dixon, 2013; Clardy, 2013; Nyström <i>et al.</i> , 2013; Recardo & Heather, 2013; Jurisch <i>et al.</i> , 2014)
Risk management <ul style="list-style-type: none"> • Identification of risks • Crisis management/troubleshooting, ability to handle unexpected crises and deviations from plan • Analysis and ownership of issues • Flexibility to react to unforeseen developments 	(Alexander, 1985; Al-Mashari & Zairi, 1999; Bedingham & Thomas, 2006; Finney & Corbett, 2007; Pinto & Slevin, 2008; Williams <i>et al.</i> , 2012) Alexander, 1985; Al-Mashari & Zairi, 1999; Bedingham & Thomas, 2006; Finney & Corbett, 2007; Pinto & Slevin, 2008; Williams <i>et al.</i> , 2012)
Monitoring <ul style="list-style-type: none"> • Validating the change process, compared with schedule/plan, • Continuously monitor progress and status, monitor implementation process • Monitor impact of changes and interventions • Robust monitoring system, controls, operational measures and follow up systematically • Post-implementation reviews and assessments 	(Reed & Buckley, 1988; Taskinen & Smeds, 1999; Okumus, 2001; Bedingham & Thomas, 2006; Cleland & Ireland, 2006; Huq, Huq & Cutright, 2006; Finney & Corbett, 2007; Ngai, Law & Wat, 2008; Pinto & Slevin, 2008; Françoise, Bourgault & Pellerin, 2009; Caggemini, 2012; Williams <i>et al.</i> , 2012; Clardy, 2013)
Lessons learned <ul style="list-style-type: none"> • Knowledge management • Capturing experience • Organisational learning 	(Okumus, 2001; Andersen <i>et al.</i> , 2006; Françoise, Bourgault & Pellerin, 2009)
Sustain phase <ul style="list-style-type: none"> • Maintain momentum • Embed/anchor change • Handover to business after completion • Communication and anchoring quick wins and success • Do not declare success too early • Continuous improvement 	(Kotter, 1995; O'Toole, 1995; Shehu & Akintoye, 2011; Caggemini, 2012; Clardy, 2013; Recardo & Heather, 2013)

Source: Own table based on literature review

Appendix 2 Bibliography

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Appendix 3 Guiding Principles For Evaluators

The table below comprises an extract of the Guiding Principles For Evaluators of the American Evaluation Association (2004) taken from Mertens & Wilson (2012).

The complete principles can be found at: <http://www.eval.org/p/cm/ld/fid=51>.

Principle	Description
Systematic inquiry	Evaluators should conduct systematic data-based inquiries about the programme being evaluated.
Competence	Evaluators provides competent performance in the design, implementation, and reporting of the evaluation, including demonstration of cultural competence.
Integrity/honesty	Evaluators need to display honesty and integrity in their own behaviour and attempt to ensure the honesty and integrity of the entire evaluation process.
Respect for people	Evaluators must respect the security, dignity, and self-worth of the respondents, programme participants, clients, and other stakeholders with whom they interact.
Responsibility for general and public welfare	Evaluators should articulate and take into account the diversity of interests and values that may be related to the general public interests and values.

Source: Based on Mertens & Wilson (2012, p.28)

Appendix 4 Programme Evaluation Standards

Standard	Description
Utility	<p>The utility standards are intended to increase the extent to which program stakeholders find evaluation processes and products valuable in meeting their needs.</p> <p>U1 Evaluator Credibility Evaluations should be conducted by qualified people who establish and maintain credibility in the evaluation context.</p> <p>U2 Attention to Stakeholders Evaluations should devote attention to the full range of individuals and groups invested in the program and affected by its evaluation.</p> <p>U3 Negotiated Purposes Evaluation purposes should be identified and continually negotiated based on the needs of stakeholders.</p> <p>U4 Explicit Values Evaluations should clarify and specify the individual and cultural values underpinning purposes, processes, and judgments.</p> <p>U5 Relevant Information Evaluation information should serve the identified and emergent needs of stakeholders.</p> <p>U6 Meaningful Processes and Products Evaluations should construct activities, descriptions, and judgments in ways that encourage participants to re-discover, reinterpret, or revise their understandings and behaviors.</p> <p>U7 Timely and Appropriate Communicating and Reporting Evaluations should attend to the continuing information needs of their multiple audiences.</p> <p>U8 Concern for Consequences and Influence Evaluations should promote responsible and adaptive use while guarding against unintended negative consequences and misuse.</p>
Feasibility	<p>The feasibility standards are intended to increase evaluation effectiveness and efficiency.</p> <p>F1 Project Management Evaluations should use effective project management strategies.</p> <p>F2 Practical Procedures Evaluation procedures should be practical and responsive to the way the program operates.</p> <p>F3 Contextual Viability Evaluations should recognize, monitor, and balance the cultural and political interests and needs of individuals and groups.</p> <p>F4 Resource Use Evaluations should use resources effectively and efficiently.</p>
Propriety	<p>The propriety standards support what is proper, fair, legal, right and just in evaluations.</p> <p>P1 Responsive and Inclusive Orientation Evaluations should be responsive to stakeholders and their communities.</p> <p>P2 Formal Agreements Evaluation agreements should be negotiated to make obligations explicit and take into account the needs, expectations, and cultural contexts of clients and other stakeholders.</p> <p>P3 Human Rights and Respect Evaluations should be designed and conducted to protect human and legal rights and maintain the dignity of participants and other stakeholders.</p> <p>P4 Clarity and Fairness Evaluations should be understandable and fair in addressing stakeholder needs and purposes.</p> <p>P5 Transparency and Disclosure Evaluations should provide complete descriptions of findings, limitations, and conclusions to all stakeholders, unless doing so would violate legal and propriety obligations.</p> <p>P6 Conflicts of Interests Evaluations should openly and honestly identify and address real or perceived conflicts of interests that may compromise the evaluation.</p> <p>P7 Fiscal Responsibility Evaluations should account for all expended resources and comply with sound fiscal procedures and processes.</p>

Standard	Description
Accuracy	<p>The accuracy standards are intended to increase the dependability and truthfulness of evaluation representations, propositions, and findings, especially those that support interpretations and judgments about quality.</p> <p>A1 Justified Conclusions and Decisions Evaluation conclusions and decisions should be explicitly justified in the cultures and contexts where they have consequences.</p> <p>A2 Valid Information Evaluation information should serve the intended purposes and support valid interpretations.</p> <p>A3 Reliable Information Evaluation procedures should yield sufficiently dependable and consistent information for the intended uses.</p> <p>A4 Explicit Program and Context Descriptions Evaluations should document programs and their contexts with appropriate detail and scope for the evaluation purposes.</p> <p>A5 Information Management Evaluations should employ systematic information collection, review, verification, and storage methods.</p> <p>A6 Sound Designs and Analyses Evaluations should employ technically adequate designs and analyses that are appropriate for the evaluation purposes.</p> <p>A7 Explicit Evaluation Reasoning Evaluation reasoning leading from information and analyses to findings, interpretations, conclusions, and judgments should be clearly and completely documented.</p> <p>A8 Communication and Reporting Evaluation communications should have adequate scope and guard against misconceptions, biases, distortions, and errors.</p>
Evaluation Accountability	<p>The evaluation accountability standards encourage adequate documentation of evaluations and a meta-evaluative perspective focused on improvement and accountability for evaluation processes and products.</p> <p>E1 Evaluation Documentation Evaluations should fully document their negotiated purposes and implemented designs, procedures, data, and outcomes.</p> <p>E2 Internal Meta-evaluation Evaluators should use these and other applicable standards to examine the accountability of the evaluation design, procedures employed, information collected, and outcomes.</p> <p>E3 External Meta-evaluation Program evaluation sponsors, clients, evaluators, and other stakeholders should encourage the conduct of external meta-evaluations using these and other applicable standards.</p>

Source: Yarbrough et al. (2011)

Appendix 5 What does success look like in the context of the case?

What does a successful SCP look like?

- Maintains CSC's position as the leading global Downstream business
- Confirms CSC as the employer of choice
- Simpler, standard processes – only promising what we can deliver and delivering what we promise
- Delivers operational and functional excellence – more satisfied customers
- Operates a cost base our customers are prepared to pay for
- Doing things right first time, every time
- Provides a strong foundation for future growth

What does a successful Go-live look like?

- Business Continuity at Go-live - our businesses are fully compliant and continue to serve customers smoothly and efficiently
- We have a stable GSAP and Connected Portfolio that enables us to run our business day-to-day (in every step of making, moving, marketing and selling products and managing our finances)
- Our customers and vendors are aligned with new processes and policies and experience the full benefits of the new processes and policies
- We have accurate, meaningful and transparent management information
- Our staff are energised, they find it easier to work within the new processes and systems and ultimately have more time with their customers
- There is a plan in place to drive through the benefits – everyone knows the part they play in realising the benefits and continuing to increase our efficiency
- We are legally and fiscally compliant

Source: Case study company

Appendix 6 Change & Engagement



Source: Case study company

Guide Change & Mitigate Risk

Getting the right plans and processes in place to make the change happen

Mobilise Leaders

Preparing and getting leaders ready to lead the change by equipping them to be able to navigate their staff through the change journey and deliver the SCP commitments

Align the organisation

Assessing implications for changes to people's work and ensuring organisation change is managed; ensuring that the right organisation is built by designing a new organisational structure, creating/changing jobs and mapping roles accordingly

Prepare the Workforce

Providing awareness, education and training; equipping people to work in new ways by providing training in relevant areas (organisational design, processes, GSAP)

Engage & Communicate with Stakeholders

Ensuring that people are well informed throughout the change journey, getting people ready to make the change by providing a local communications and engagement framework based on a common approach with consistent messaging

Appendix 7 Initial and introductory information for potential research participants



INTRODUCTORY INFORMATION ABOUT THE RESEARCH

This research study is being conducted by Jan Neumann in the context of his professional doctorate in business administration (DBA) at Newcastle Business School (NBS).

University	Researcher	Organisation
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Working title of the thesis

**'A case study about a strategic change programme
of a major industrial company in the energy sector
to identify an effective framework
for monitoring and evaluating
the implementation of large scale organisational change'**

Keywords:

Strategic change, key success factors, monitoring and evaluation, framework

Subsequently a description and background information about the research are presented.

Aim of this research

The aim of this research is to explore approaches to monitor and evaluate strategic change programmes and their implementation; and to develop a framework to monitor and evaluate these.

Main question

What kind of key success factors need to be considered to develop a framework for monitoring and evaluating a strategic change programme and its implementation?

Anticipated contribution and benefit to professional practice in general

- To develop a framework for monitoring and evaluating a strategic change programme throughout its change process as implemented within the case study organisation. This framework is to support those responsible for managing the change to ensure a successful implementation.
- To provide a better understanding about key success factors, what and why to monitor and evaluate these throughout a strategic change programme.
- On a project level the monitoring and evaluation framework aims at disclosing and providing information on whether intended objectives are being achieved or adjustments to objectives or mitigating actions in the project are necessary.
- To provide recommendations about why and how to use such a framework.

Anticipated contribution and benefit for case study company

- Indications about the achievements of the SCP (focus on Germany) and based on that lessons learned as organisational learning for future change projects or programmes
- Evaluation of the contribution of the 'Change & Engage' activities to the SCP
- Recommendations for potential improvements of the Business Change Implementation Method (BCIM), extension of BCIM with the new developed framework

Methodology and methods

Semi-structured interviews (face-to-face or telephone); documentary analysis of project documents; findings from primary data collection to be mapped, compared, set in the context of findings from critical review of respective literature

Target group for interviews

Key people involved and affected by the SCP in different roles at different levels (approx. 20 different interviewees)

What does the researcher intend to achieve with these interviews?

- To collect subjective accounts and information about the SCP and its implementation
- To collect information about what and how the SCP was monitored and evaluated throughout its implementation
- To identify critical success factors to be monitored and evaluated in the course of a strategic change programme to ensure its successful implementation
- To discuss under which circumstances it makes sense to monitor and evaluate a strategic change programme and its implementation

Appendix 8 Conceptual and structural elements of the monitoring and evaluation framework to be developed

Critical success factors to be monitored and evaluated	Phases of a large-scale organisational change initiative				
	Initialisation	Conception	Mobilisation	Implementation	Sustaining
General elements related to an organisation, its environment, history, development, etc.	<ul style="list-style-type: none"> • ... • ... • ... 	<ul style="list-style-type: none"> • ... • ... 	<ul style="list-style-type: none"> • ... • ... 	<ul style="list-style-type: none"> • ... • ... 	<ul style="list-style-type: none"> • ... • ... • ...
Change content related elements (ERP, BPR, re-organisation)	<ul style="list-style-type: none"> • ... • ... • ... 	<p>In order to be able to monitor and evaluate, relevant information needs to be collected from relevant target groups and stakeholders throughout different phases</p>			
Change process related elements	<ul style="list-style-type: none"> • ... • ... • ... 	<ul style="list-style-type: none"> • ... • ... • ... 	<ul style="list-style-type: none"> • ... • ... • ... 	<ul style="list-style-type: none"> • ... • ... • ... 	<ul style="list-style-type: none"> • ... • ... • ...

Source: Own graphic

Appendix 9 Empty framework of the potential end product as contribution to professional practice

WHAT					WHEN									HOW							
	Categories of critical success factors				Type of change					Phases in which to be monited and evaluated				Evaluation		Methods - operational doing					
	BPR	Reorganisation	ERP	Offshoring	Overarching	Initialisation	Conceptualisation	Mobilisation	Implementation	Sustaining	Throughout - across all phases	Quantitative	Qualitative	
List of critical success factors																					
...	X				X	X				X	X					X		X	X		
...			X				X				X	X	X						X		
...		X						X							X						X

Empty framework as template or example

Source: Own figure

Appendix 10 Interview guide used for pilot study

Interview questions (pilot)

General questions about monitoring and evaluating organisational change implementation	
1	What do you think, what are relevant elements/factors for a successful large-scale organisational change implementation to be considered for monitoring and evaluation? 1.1 In general 1.2 Content related (<i>here</i> Enterprise Resource Planning, Business Process Reengineering, Re-organisation) 1.3 Change process related (organisation change implementation incl. pre- as well as post implementation phases)
2	How do you assign these elements/factors to the different phases of a large-scale organisational change initiative (initialisation, conception, mobilisation, implementation, sustaining)?
3	What do you think, under which circumstances does it make sense to monitor and evaluate a large-scale organisational change initiative and its implementation?
4	In your opinion, who should be responsible for monitoring and evaluation of large-scale organisational change implementation?
Strategic change programme (SCP) related questions	
5	What was your role in the SCP?
6	In your own words, what was/is the SCP about (in general, overall)?
7.1	Can you identify concrete objectives of the SCP? Do you know about the concrete objectives of the SCP? Please describe them.
7.2	Which objectives should have been achieved by the SCP and to what extent have these been achieved?
8	What are your experiences in the SCP with regard to its implementation?
9	How did the SCP affect (impact, consequences) your organisation/department/personal work?
10	Based on which criteria do you evaluate a large-scale organisational change implementation as successful/unsuccessful? (ex post) With regard to this how do you evaluate the SCP implementation?
11.1	What was good and should be preserved for future implementations of organisation change initiatives?
11.2	What was decisive for the SCP-implementation? Why?
11.3	What are potential improvement points?
12	What and how has been monitored and evaluated in the course of the programme to ensure a successful implementation?
13	What do you think, what and how should have been monitored and evaluated in the course of the programme to ensure a successful implementation?
14	Did/do you feel motivated to take the action necessary to achieve the SCP strategy? Please explain.
15	Does/did systematic evaluation of the SCP implementation and its results take place? 15.1 If yes: What is being done? 15.2 And how is it being conducted? 15.3 If no: Why?
Change management related questions	
16	What role did the change management work stream 'Change & Engage' (C&E) play in and for the SCP?
17.1	Can you identify concrete objectives of the C&E work stream? Do you know about the concrete objectives of the C&E work stream?
17.2	Which objectives should have been achieved by the C&E work stream and to what extent have these results been achieved?
18	What kinds of organisation change management activities have been undertaken to support a successful implementation of the SCP?
19	Why did these activities contribute to the successful implementation of the SCP?
20	What do you think, how do change management activities contribute to the overall success of a large-scale organisational change initiative?

Source: Own source

Appendix 11 Interview guide used for main study

Interview questions

General questions about monitoring and evaluating large scale organisational change implementation	
1.1	What do you think, what are the critical success factors to be monitored and evaluated to ensure a successful large-scale organisational change implementation? In general?
1.2	Content related change (here strategic change programme: Enterprise Resource Planning, Business Process Reengineering, Re-organisation, Near-/Offshoring)?
1.3	Change process related (prior to, during and after the implementation)?
2	Please assign these critical success factors to the following phases: initialisation, conception, mobilisation, implementation, sustaining
3	In your opinion, how should these critical success factors be monitored and evaluated throughout the change process (operational doing)?
4	What do you think, which prerequisites need to be met to monitor and evaluate a large-scale organisational change process effectively?
5	In your opinion, who should be responsible for monitoring and evaluating a large-scale organisational change process (e.g. organisation unit, staff position, certain role in the project, PMO etc.)?
Strategic change programme (SCP) related questions	
6	In your own words, please describe what was/is the SCP about (in general).
7.1	Do you know about the concrete objectives of the SCP? Please describe.
7.2	To what extent have these objectives been achieved?
8	Based on which criteria do you evaluate a large-scale organisational change implementation as successful/unsuccessful (ex post) and how do you evaluate the SCP implementation then?
9.1	Please describe your role in the SCP.
9.2	How did the SCP affect you, your job/personal work, department, and or class of business or function (impact, consequences)?
10.1	Please describe your experiences in the change process of the SCP. In your opinion, what was decisive and should be preserved for future implementations and why?
10.2	In your opinion, what could be improved for future implementations?
11.1	Does/did systematic monitoring and evaluation of the SCP take place to ensure a successful implementation (in the course of it or afterwards [results])? If yes: What has been monitored and evaluated and how?
11.2	If no: Why?
11.3	In your opinion, (in addition) what should have been monitored and evaluated and how?
Change management related questions	
12	What do you think, how do change management activities contribute to implementations of large-scale organisational change initiatives?
13.1	What do you think, what role did the change management work stream 'Change & Engage' (C&E) play in and for the SCP?
13.2	Do you know about the concrete objectives of the C&E work stream? Please describe.
13.3	To what extent have these objectives been achieved?
14	What (kinds of) organisation change management activities have been undertaken to support the change process in the SCP?
15	Did these activities contribute to the successful SCP change process? How and why?

Source: Own source

Appendix 12 Interview and transcript information⁴¹

Participant synonym	Staff / consultant	Type	Date, location	Interview language	Words, duration	Transcript review and confirmation
Person A	Staff	Pilot	07.03.2012, meeting room headquarter Germany	English	10,790 75 min.	07/2012, confirmed
Person B	Staff	Pilot	07.03.2012, meeting room headquarter Germany	German	9,288 65 min.	08/2012, confirmed
Person C	Consultant	Main study	30.06.2012, researcher's home	German	12,281 77 min.	09/2012, confirmed
Person D	Staff	Main study	26.07.2012, meeting room Netherlands	English	11,523 83 min.	08/2012, confirmed
Person E	Staff	Main study	27.07.2012, meeting room headquarter Germany	English	6,772 60 min.	09/2012, confirmed
Person F	Staff	Main study	30.07.2012, meeting room headquarter Germany	German	12,018 85 min.	09/2012, confirmed
Person G	Staff	Main study	30.07.2012, telephone	German	8,194 58 min.	08/2012, confirmed
Person H	Staff	Main study	31.07.2012, meeting room headquarter Germany	English	8,806 70 min.	08/2012, comments, confirmed
Person I	Consultant	Main study	31.07.2012, meeting room headquarter Germany	English	10,814 69 min.	09/2012, confirmed
Person J	Staff	Main study	01.08.2012, participant's office located German headquarter	German	13,184 79 min.	09/2012, confirmed
Person K	Consultant	Main study	01.08.2012, meeting room headquarter Germany	English	10,994 84 min.	09/2012, comments, confirmed
Person L	Staff	Main study	02.08.2012, telephone	German	8,048 45 min.	10/2012, confirmed after anonymisation
Person M	Staff	Main study	02.08.2012, meeting room headquarter Germany	German	7,841 53 min.	10/2012, confirmed

⁴¹ Alphabetical order was assigned by sequence of scheduled interviews. However, due to postponements interviews were not always conducted in this sequence.

Participant synonym	Staff / consultant	Type	Date, location	Interview language	Words, duration	Transcript review and confirmation
Person N	Staff	Main study	02.08.2012, participant's office headquarter Germany	English	6,745 50 min.	10/2012, confirmed
Person O	Consultant	Main study	01.08.2012, meeting room headquarter Germany	English	9,407 64 min.	10/2012, confirmed
Person P	Staff	Main study	06.08.2012, participant's office headquarter Germany	German	14,743 95 min.	09/2012, confirmed
Person Q	Staff	Main study	07.08.2012, meeting room headquarter Germany	German	6,053 45 min.	10/2012, confirmed
Person R	Staff	Main study	07./08.08.2012, meeting room headquarter Germany	German	9,323 62 min.	10/2012, confirmed
Person S	Staff	Main study	07.08.2012, meeting room headquarter Germany	English	4,626 40 min.	10/2012, confirmed
Person T	Staff	Main study	08.08.2012, meeting room headquarter Germany	English	6,916 50 min.	10/2012, comments, confirmed
Person U	Staff	Main study	15.08.2012, meeting room headquarter Germany	English	9,461 75 min.	10/2012, corrections, confirmed
Person V	Staff	Main study	15.08.2012, meeting room headquarter Germany	English	9,982 75 min.	11/2012, comments, confirmed
Person W	Consultant	Main study	15.08.2012, meeting room headquarter Germany	English	10,270 75 min.	11/201, confirmed
Person X	Staff	Main study	16.08.2012, meeting room headquarter Germany	German	8,199 57 min.	10/2012, confirmed
Person Y	Staff	Main study	16.08.2012, meeting room headquarter Germany	German	10,644 80 min.	10/2012, confirmed

Source: Own table

Appendix 13 Interviewees' roles and responsibilities in the course of the strategic change programme

Roles	Inter- viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
1	A	Staff	Integration Managers in GSAP implementation team	IT	One of three Integration Managers in GSAP implementation team comprising 120 IT people, key area people side, managing daily issues	DACH
2	A	Staff	Technical Cluster Integration Manager	IT	Responsible for managing the implementation of this technical changes, managing staff council issues, key stakeholder management	DACH
3	B	Staff	Local Organisation Design team member	C&E	Guiding Retail, Distribution and PGS businesses, also responsible for business engagement in general	DACH
4	B	Staff	Business Analyst	PMO	For Distribution as OD team member assisting business in OD related issues, resource planning for programme activities for Distribution	DACH
5	B	Staff	Global Organisation Design team member	C&E	Centrally responsible for the organisation design for Turkey and BeNeFruX (Belgium, Netherlands, France, Luxembourg) , serving as global counterpart for local OD country teams > engagement of local teams, explaining approach, methods, providing guidance	Global
6	B	Staff	Organisation Design Lead	C&E	Responsible for implementation of global organisation design model according to global defaults and aligned with local legal and fiscal requirements	CEE
7	B	Staff	Support for Change Management Lead	C&E	Assisting overall Change Lead in all change management related topics based on experienced made in DACH implementation	CEE
8	C	External	Programme Controller	PMO	Responsible for local programme controlling for PMO as well as businesses	D
9	C	External	Member of training team	C&E	Support for local training team	D
10	C	External	Member of local PMO	PMO	Post Go-live support for LSC solving integration issues	D
11	C	External	Integration Manager	PMO	Managing integration issues between programme, business and IT on cluster level	ACH
12	C	External	Member of global PMO	PMO	Developed and integrated standard Integration Management approach 'Icebreaker' into global programme approach and support roll-out for local countries	Global

Roles	Inter-viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
13	C	External	Member of global PMO	PMO	Developed changes in PMO approach/structure (function of Streamline Accountable Executives [separate organisation] eliminated to give responsibility for implementation from SAEs back to businesses, reintegrated into respective businesses)	Global
14	D	Staff	Deployment consultant	Business	Business deployment role/deployment consultant (internal staff), team lead, delivering business changes; processes, policies mainly in Aviation and Marine on Accounts Receivable and Credit side; looking at and integration of sales order processing side, planning, invoicing and IT	Global
15	D	Staff	Process Focal Point	Process	Supporting the business setting up their Super User and Sustain & Improve networks (from scratch)	Global
16	D	Staff	Manager of the Process Focal Points	Process	Responsible for managing all Process Focal Points (process subject matter experts) from the different process areas	Global
17	D	Staff	Retrofit Manager	Process	StBC Retrofit Manager (Sell to Business Customer Manager), supporting all those countries or those businesses on the new changes that were coming, even though they went live (helping to understand improvements and continuous changes because of new countries are going live with new/additional processes)	Global
18	D	Staff	Retrofit & Improvement Manager	Process	For OTC (Offer-to-Cash) processes	Global
19	E	Staff	HR Account Manager	HR	Accountable for the design of the project teams, project organisations, the resourcing of all project teams; coordinate consultation processes, be partner of change management team; coordinate and steer the off-boarding of project teams in Germany, Austria, and Switzerland (150 CSC staff plus contractors in the projects teams)	DACH
20	F	Staff	Organisation Design Lead	C&E	Responsible for implementation of global organisation design model according to global defaults and aligned with local legal and fiscal requirements	DACH
21	F	Staff	Change Management Lead	C&E	Change Management Lead (implementation)	ACH

Roles	Inter-viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
22	F	Staff	Change Management Lead	C&E	Change Management Lead (Sustain & Improve phase = post Go-live)	DACH
23	F	Staff	Retrofit Manager	PMO	Responsible for coordinating all Retrofit related aspects	DACH
24	F	Staff	Integration Manager	PMO	DACH, BeNeFrUx = 11.000 out of 35.000 employees being live on SCP	DACH
25	G	Staff	Change Agent	Business	Lubricants business for Sales & Marketing organisation	D
26	H	Staff	Training Scheduling Co-ordinator	C&E	Coordination of all training schedule administration related issues	D
27	H	Staff	Training Change Co-ordinator	C&E	Coordination of all training schedule related curriculum and training package changes requests, interface to organisation design team	ACH
28	H	Staff	Local Organisational Design team member	C&E	Responsible for the organisational changes after Go-live in DACH	DACH
29	H	Staff	Global Organisation Design Focal Point	C&E	Interface supporting local organisational design leads	Malaysia, Hong Kong, Singapore, South Africa
30	I	External	Global Organisation Design Lead	C&E	At the very beginning of the programme (2004), defining methodology, define what needs to be done (Global)	Global
31	I	External	Member of local PMO	PMO	Responsible for developing and setting up Sustain & Improve organisation for DACH and subsequently establish concept/approach for overall programme (especially for HR implications)	DACH
32	I	External	Member of global PMO	C&E	Responsible for supporting and caring for CEE implementation	Global
33	I	External	SCP Communications Manager	PMO	Responsible for communication for 36 countries being live on SCP	Global
34	J	Staff	Delegate of one of the local refineries	Business	Responsible for ERP related tasks (data, testing, communication, training, general information and issues about the programme)	D
35	K	External	Programme Planner	PMO	Local planner for DACH implementation	DACH
36	K	External	Assistant to the Cluster Programme Manager	PMO	Assisting him on various tasks having been in his area of expertise (supporting Retail, B2B business units, supporting portfolio decision)	D
37	K	External	Training Lead	C&E	Leading training workstream	D

Roles	Inter-viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
38	K	External	Integration Manager	PMO	Managing integration issues between programme, business and IT on cluster level	DACH
39	K	External	Integration Manager	PMO	Managing integration issues between programme, business and IT on global level, institutionalisation of Integration Management approach (“Icebreaker”)	Global
40	K	External	Assistant to Cluster Programme Manager	PMO	Assisting local Cluster Programme Manager based on experiences made from previous country implementations where he was involved	India, United Arab Emirates, Oman
41	K	External	BRR Reviewer	PMO	Conducting Business Readiness Reviews reviewing local country/cluster implementations	Global
42	L	Staff	Cluster Programme Manager	PMO	Responsible manager for the local implementation in DACH	DACH
43	M	Staff	Employee	Business	Affected employee and supporting Change Manager Retail regarding communications, no official or dedicated role in the programme implementation	DACH
44	N	Staff	Programme Director	PMO	Leading overall global programme consisting of 3,500 people, 60 reporting to him	Global
45	O	External	Change Management Lead	C&E	Change Manager, so called shadow/counterpart of official Change Manager who was working part-time in that role (Person T)	DACH
46	O	External	Organisation Design Lead	C&E	Sick leave cover for local OD Lead (Person F)	D
47	O	External	Training Lead	C&E	For very short time as long as vacancy was filled	D
48	O	External	Change Management Lead	C&E	Change Manager, so called shadow/counterpart of official Change Manager	nd a
49	P	Staff	Works council representative	Works Council	Managing staff issues being relevant in the context of the strategic change programme and its implementation, negotiation with local programme leader, country chair and CoB/F leads	D
50	Q	Staff	Country Chair	Management Board	Local Senior Downstream Representative, in parallel Portfolio Management during D implementation	D

Roles	Inter-viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
51	R	Staff	Finance Manager Commercial Fuels	Business	Lead of Commercial Fuels business with regard to Finance	DACH
52	R	Staff	Corporate Finance Manager	Business	Controller for D, Corporate Finance DACH	DACH
53	R	Staff	Member of the Executive Board	Management Board	Member of the Executive Board in D representing Finance	D
54	S	Staff	Power shooter	IT	Solving technical issues	HUN
55	S	Staff	Technical Integration Manager	IT	One of three Integration Managers in GSAP implementation team responsible for all programme technical issues	DACH
56	S	Staff	Technical Implementation Manager	IT	Responsible for improvement and business imperative projects	DACH
57	T	Staff	Change Management Lead	C&E	Official Change Manager (D) working part-time in that role, backed up by Person O	D
58	U	Staff	Change Manager Finance	Business	Communication and stakeholder management interface between CoB/F and programme, preparation of CoB/F Lead and employees for upcoming changes, responsible for organisation design (role, job mapping) and training (curriculum mapping) related topics	DACH
59	U	Staff	Global Knowledge Lead	Business	For the 'Bill-to-cash' process, covering Billing, Accounts Receivable and Credit Management, as part of the global Credit team	Global
60	U	Staff	Migration Manager	Business	Responsible for four processes on sender side, Credit Management, Intra-Group (CSC-to-CSC business), Treasury processes (all activities around banking - and Accounts Receivable)	Global
61	V	Staff	Business Integration Manager/Assurance Manager	PMO	Responsible for guiding several local country or cluster implementations, global counterpart to local CPMs	Global
62	W	External	Member of change management team	C&E	Responsible for planning	DACH
63	W	External	Training Delivery Manager	C&E	Responsible for coordination of all training delivery related activities	DACH
64	W	External	Training Lead	C&E	Team lead responsible for all training related topics	DACH

Roles	Inter-viewee	Staff / External	Role description	Organisation	Responsibilities	Country / Cluster
65	X	Staff	Employee	Business	No official programme role, but in Distribution business SME for programme implementation relevant aspects	D
66	Y	Staff	Team member developing streamlined processes	Business	Team member developing streamlined processes prior to SCP for PGS	D
67	Y	Staff	Lead Programme Planner	PMO	Responsible for all local programme planning activities in close relation with local Programme Manager	DACH
68	Z	External/ Re-searcher	Trainings Schedule Administrator	C&E	Training schedule administration, assigning trainees to training courses, send invitation, review participation, rescheduling	D
69	Z	External/ Re-searcher	Curriculum Mapping Coordinator	C&E	Guidance and coordination of all change managers and all those people being responsible in the CoB/Fs for mapping training courses to roles and jobs	ACH
70	Z	External/ Re-searcher	Team member of training team	C&E	Task Force	DACH
71	Z	External/ Re-searcher	Retrofit Training Manager	C&E	Trainings schedule administration, curriculum mapping, solving dedicated issues, preparation of training reporting	DACH

Source: Own table

Summary interviewees' roles

			Interviewees																									
			A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	
Staff	Internal	20	x	x		x	x	x	x	x		x		x	x	x		x	x	x	x	x	x	x		x	x	
	External	5			x						x		x				x								x			
Roles/s	# of roles	67	2	5	6	5	1	5	1	4	4	1	7	1	1	1	4	1	1	3	3	1	3	1	3	1	2	
	DACH	22	x	x	x		x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x		x	x	x	
	Other countries	6		x				x				x					x			x	x							
	Global	9		x	x	x				x	x		x			x							x	x				
	CoB/F	7/(9)		(x)	(x)				x			x			x						x		x	x			x	
	Programme	17	x	x	x	x	x	x		x	x		x	x		x	x					x		x	x	x		x
	Other	3																	x	x	x							

# people	Role in implementation (Country / Cluster)
12	DACH only
4	DACH + Other country/s
3	Global only
4	DACH + Global
2	DACH + Other country/s + Global
25	
9	CoB/F roles, insights, perspective
17	Programme roles and perspective
3	Other roles and perspectives
29	
4 thereof	People with double roles, insights and perspective

Source: Own table

Appendix 14 Confirmation and approval of interview transcripts

Sample text email (sent 26 Aug 2012)

Hello Person C (anonymised name),

please find attached the transcript of our interview (original version not anonymised yet). As described in the informed consent form, all names will be anonymised.

If you want to, please verify the transcript and provide me with any corrections or amendments.

As this is a direct transcript of our spoken words, there are some sentences that are incomplete, do not make sense, or have grammatical errors. However, do not be irritated by this. This is normal when transcribing (semi-structured) interviews.

In case I will not receive any answer from your side until Sep 28 2012, I will interpret this as your confirmation being allowed to use this transcript (with anonymised names) for my thesis.

Once again thank you very much for your participation

Best regards

Jan

Appendix 15 Sample transcripts

As explained in chapter “4.6.4 Language” three of the 12 German transcripts were translated into English (Person L, Q, R). These are presented below. The coded passages are highlighted in yellow. The codes/nodes to which these passages have been assigned are not indicated throughout the transcripts. This would have been too complex. Moreover, it would have required a lot of additional manual work. However, in order to illustrate the procedure and complexity some examples are provided in the beginning of “Interview transcript – Person L”. Grey boxes below yellow coded passages present the coding. The headline of a box indicates the number of nodes to which the text is coded (e.g. single, double, quintuple). Also, the hierarchical structure is presented and the node the text is coded to is written in bold and italic letters.

The template with general and case study company related findings is illustrated in Appendix 16. Appendix 17 displays the template with case study company related findings only.

The structure of the templates is not congruent with the structure of this thesis for two reasons. First of all, in order to make the coding efficient, in the template the nodes are listed in alphabetical order. Secondly, the structure changed/developed again in the course of further analysis and writing up.

In addition, an original transcript in English is presented after the three translated ones. It is the transcript of the interview with Person V, which is one of the most coded and cited sources.

Interview transcript – Person L

Interviewer The big picture is about this One-Pager. Later on, I want to create a framework to show how a strategic change programme like the SCP can be monitored and evaluated to ensure that a successful implementation is possible. In the interviews, I would like to identify key success factors and to assign them in the respective five phases of the One-Pager. The big picture is about the identification of critical success factors for a programme like the SCP and when and in which phase these critical success factors shall be monitored and evaluated to ensure that you achieve in the end what you wanted to achieve. It can be a variety of critical success factors depending on how they are evaluated by individual people. And afterwards I want to create a methodical framework out of that. This is the big picture. So let's start with the questions. Please answer questions 1.1, 1.2 and 1.3 in combination with question 2. What are in your opinion the critical factors for success that have to be monitored in a big change project in order to ensure a successful implementation in general or with reference to the contents of the SCP or with reference to the monitoring of the change process?

Person L. First of all I have to read. The first was general?

Interviewer Yes.

Person L The first was general. In my experience ... that in the end ... not only done for the SCP but as you know we also did the CSC and 'Company X' merger. But that was a different story. And I have done several re-organisations. The core learning is to be open, to be transparent, and to communicate clearly. What I have discovered again and again is that when you hesitate too long, when you don't explain to the people upfront what you plan to do and what they have to expect and what will happen in this process and who the senior leaders are feeling responsible and when they communicate ... then it will go wrong.

Coding into the following node: (single coded)

CSF in general

Change management

Information, communication, explain, convince, expectation management, receiving feedback and atmosphere

Openness, honesty, transparency

This is one thing that happened again and again. Secondly, what I see in such a programme is ... you have to try to clarify the overarching context quite early. When you don't do that and I think that happened with SCP ... and I now nearly said it ... why ... went totally wrong in the beginning. The SCP has been 'sold' as an IT project in the beginning.

And therefore the first years, when they did „Pilot Country C’, ‘Pilot Country B’ till ‘Country Cluster North Europe’ and also in the beginning in Germany, the whole project was far too heavy on IT and even in Germany it was driven too much by IT-minded people. Like Person S with the whole team but especially Person Z and all her ‘Consulting Company XYZ’ sales people. The bottom line is that they sold the ‘Consulting Company XYZ’, they assigned a bunch of their consultants to the programme, and they sold an IT implementation.

Coding into the following nodes: (double coded)

CSF in general

Case for change - to be worked, explained, understood, accepted

Change content (from as-is to to-be), scope, impact and implications, interdependencies, big picture, context

Strategic change programme - The case

Learnings

To be improved for future implementations

Case for change - big picture, benefit case, and impact clearly articulated and well understood early

Interviewer But that’s not what it was.

Person L That’s not what it was. However, and *Person N* will confirm that ... they needed that in the beginning. We also needed that in order to get the whole thing going. Because in the organisation there was no understanding of what it was about. It had not been made clear to the organisation right from the outset how far-reaching the changes are ... and this is why Pilot Country C fell flat on the face and Pilot Country B went tits up and why the ‘Country Cluster North Europe’ blew up in our faces.

Coding into the following nodes: (triple coded)

CSF in general

Alignment, balance

Integration management - cross business, IT and programme workstream alignment

CSF in general

Case for change - to be worked, explained, understood, accepted

Change content (from as-is to to-be), scope, impact and implications, interdependencies, big picture, context

Strategic change programme - The case

Learnings

To be improved for future implementations

Case for change - big picture, benefit case, and impact clearly articulated and well understood early

They did not understand how to mobilise the organisation and to tell them that it is an integrated change process for the whole organisation and not just an IT SAP project.

Coding into the following nodes: (quintuple coded)

CSF in general

Alignment, balance

Integration management - cross business, IT and programme workstream alignment

CSF in general

Case for change - to be worked, explained, understood, accepted

Change content (from as-is to to-be), scope, impact and implications, interdependencies, big picture, context

CSF in general

Change management

Stakeholder management - mobilisation, engagement, involvement, prepare, support people - manage expectations

Strategic change programme - The case

Learnings

Learnings and adaptations in the course of the programme

Integration management

Strategic change programme - The case

Learnings

To be improved for future implementations

Case for change - big picture, benefit case, and impact clearly articulated and well understood early

Based on what we only learned later on ... you might remember that we built these overlapping ellipses in Germany.

Interviewer Yes.

Person L This is a key slide, if you can use this in any form. This is actually the learning we had right from the beginning. And with this idea of the ellipsis, we managed to introduce the change. We told them that a standardised organisation will be built, GSOM. That's what it is about. Based on standardised, globalised, normalised and harmonised processes – streamline. Based on the controls behind that. And then you do the IT for this organisation and these new processes and controls and that's represented in IT CAPS and SAP.

Interviewer Exactly.

Person L Yes. I think this went wrong in the beginning. The people have over years ... five years previously the streamline processes had been started. I remember very clearly senior leaders that are now job group B and SEG who put there job group 5 people in these streamline processes. According to the motto, 'I have already seen a lot at CSC. This will die like everything else. I will appoint people ... or people who will retire soon and let them implement the whole thing. They will manage something.' They did not appoint the best professionals and subject matter experts of the organisation to create the future world because the big picture was not clear. And then the big surprise that this adapted SAP programme GSAP represented what people built who had no idea or who were not senior enough. And what the senior leaders had initialled. And then it was implemented and did not work at all. And nobody understood that massive change processes like for example the whole customer master data was behind all that. You might remember that one of our core learnings three months before the Go-live we realised that the 'Country Cluster North Europe' blew in our face ... three, four, five months before. We realised two things they did not accomplish. They did not accomplish the whole finance process, the cash management. And they did not accomplish to understand the fuels process, that whether it concerns Pick Ups or delivery models, that you have to have the right customers and that you have to have the right customers in the right countries. And they had to be informed how we operate in future. And when the customers do not fit to the future, they have to get rid of them. So we sat down with Person AA and Person AB, whom by the way, you should try to interview as well as he is an expert who saved us in Germany on the fuels side.

Interviewer Person AB?

Person L Person AB, he's now the Vice President for the whole Order to Cash process.

Interviewer Well, would he have time for me?

Person L By the way he is also here in the 'German Headquarter'. He was the general Manager of the Lubricants business, no, of the Commercial Fuels business. After the 'Country Cluster North Europe' disaster, he realised "oh shit, 60/70 per cent of my customers do not fit into the future world. Those delivery models, pick up models, business models are no longer represented in the streamline world. I have to change this." And a couple of months before our go-live he told his organisation for the first time what it's all really about. That those customers can no longer be represented in the new world.

Interviewer Even on such a high level it was not communicated openly what was planned with the programme? That total transparency ...

Person L They did not know at all. They did not know. They were not able. Because the IT organisation did the IT rollout, the SOX people did their thing, HR handled the organisation. And the whole streamline thing was not really taken seriously. The senior leaders in the countries did not realize the implications this would entail.

Interviewer I would not have expect that.

Person L. We learned from that and for Germany, we changed it around completely. You might remember that we dropped two thirds of the globalised processes. With Person K and Person I we did everything new. We developed our own training tools. We had our own world ... we explained to ourselves what it was all about. With this ellipse and the communication in the organisation, we did again and again We were the first to say 'This is not a GSAP programme. This is an integrated SCP reengineering.' Based on this ellipse, organisation, processes, controls, IT. We started to explain it to the organisation. And they became more and more aware. And of course we learned a lot from the disaster in the 'Country Cluster North Europe'. That saved us on the Finance side and on the Fuels side and we managed a prime Go-live. But only because the senior leaders understood that it did not work before. In this phase, one of the key learnings for me was what later became the "Icebreaker". What I invented on a Friday afternoon.

Interviewer That was this end-to-end thing, wasn't it?

Person L That was the end-to-end integration. We were sitting together in a room on a Friday afternoon at 5 PM and had a crisis talk with Person AF, Person AB, then the general Manager for the Commercial Fuels business, with the Retail GM, with Person AA back then General Manager for Supply and Distribution and I told them: 'This will not work'. What went wrong in 'Country Cluster North Europe'? What will go wrong here as well? And our 'Consulting Company XYZ' consultants from 'City in England' and the GSAP people could not explain it to us because they had no idea themselves. And what went wrong? We did not talk to each other. We looked at it isolated and for the future, it will only work if we build this icebreaker, if we try to get all these people from the different areas together. You need distribution, the business people the Finance people, the process experts from these areas as well as the IT professionals. And they have to be locked into a room for one or two days. You have to determine the end-to-end handover points. We institutionalised that as learning from the whole issue. And in the end we illustrated the ellipse with this Icebreaker approach.

Interviewer Was that for selected process areas only? For how many processes has this been done?

Person L In the end we did it for everything because nothing worked. We did it for the Fuels end-to-end process, for the Lubricants end-to-end process, for Finance and the Cash end-to-end process. We did it for the PGS end-to-end process. And especially for the Hydrocarbon Management end-to-end process. Of course, we have other interfaces as well. You might remember that Person AC did every Friday those flow diagrams for me, where we tackled for example the whole Offshoring issue. Once we said for a process chain we always retrieved ... these 10, 15, 16 Offshore locations, how ready are they? That had been forgotten as well. So we built six or seven of those icebreakers, which later became a core of the whole programme.

Until then the programme ... till 'Country Cluster North Europe'... had been run in a silo mentality way of thinking and was far too dominated by IT people.

Interviewer I am surprised. I thought that you ... well that at least you knew the big picture. I had no idea that even you had been left in the dark.

Person L Nobody knew, honestly. Nobody knew what the big picture was about because it was ran as an IT programme. When I started in 2006, we got Person K, Person AC ... right away I got these guys and some others whom I trusted. Right at the beginning, we sat down and built the ellipse. We managed integrated from the outset. But we only realised with the weaknesses of the Go-lives, which exploded in our faces that the senior side was not very knowledgeable in the central organisation, they just worked in their silos. And based on the Learnings we said 'Ok, we know that it is an integrated picture. But we have to ensure that the individual functions talk to each other.' And we decide what the future world will look like. I have received quite a beating for that. I was the most hated person in 'City in England', because I challenged everything they proposed. In the end we chucked 50 to 60 percent of the global tools, of the global approaches and did everything new. And in the end, what we constructed became the programme and was rolled out.

Interviewer That's crazy. How could that have been avoided with the benefit of hindsight? What did you set up afterwards regarding monitoring and evaluation activities or points to ensure that it is working?

Person L We set up this integrated end-to-end approach which was formalised by the Icebreakers. That's what we did. Relentless learning from all those who already did that. We talked to everyone in the countries going live before us. And we talked to all whose go-lives were later than ours to find out about the weaknesses. We set up transparency by reporting which did not exist before. We had a weekly reporting, which I forwarded with all these end-to-end images to DLT, to the 'Downstream Leadership meeting affected by SCP. If you talk to Person AC or Person K ... it is amazing what we set up as reporting. What had not been done previously. Every week we looked at all the end-to-end processes with all the offshore locations. Where are the weak points, where are people not cooperating, where is it blocked. And always addressed to the senior level. Always learning, always be transparent, always looking at it from the end-to-end point of view and away from the silo mentality to get everyone together. To do that, we challenged everything coming from the central organisation. And debated whether it was just an IT spawn or whether it was done by people who really thought end-to-end. This way we alienated a lot of people.

Interviewer Yes, that's clear. But retrospectively the success proves you right. But first you had to put up with it.

Person L The success proved us right with Austria Switzerland. Because we also drove Germany against the wall. Even though we learned from what had happened before. We did an excellent Go-live on the Fuels side – the best till then. And we also did an excellent Go-live on the Finance and Cash side. That all worked afterwards. We fell flat on the face with PGS because we tried to implement everything, the whole process without having been in the position to take the organisation along. PGS has learned from that. In the future, they only implemented half of it and then it worked everywhere. That was the learning. And we drove the lubricants process against the wall. Which was important however, because it consisted of quite arrogant guys, especially of the top-most streamline lead who left shortly afterwards. They did not succeed in explaining to the organisation what it was all about. They allowed many adaptations and exceptions and many step outs and work arounds. Therefore, the standard process could not be implemented and it failed. But we really learned our lessons from the Lubricants sector. You might know that we could not deliver to Daimler afterwards and that the lubricants plant drowned.

Interviewer Yes.

Person L Many things did not work. But we learned from it. And afterwards we performed a magic Go-live Austria Switzerland, which was never talked about.

Interviewer Because it worked.

Person L And that's the good sign. Nobody could tell you today whether Austria Switzerland went live at all. Because nobody noticed. We did that completely on our own without help from the headquarters. We just did it because we knew how to do it.

We did it in parallel because it was six months after the German go-live. We did it in parallel all the time. And we got the learning across. It was performed via leadership. We took along the organisation, the leadership, the management teams and included them from the beginning and started one and a half years before, without any central help and rocked it in parallel. And the go-live was perfect. And afterwards the engine was running because we had our tools and templates and everything. And we had people, I put Person K, and Person AC, and Person C in the central organisation. And they helped with the roll-out.

Interviewer But Person L, what do you do if you don't have this learning? If you are the first country? Which kind of monitoring and evaluation is required to ensure it works nevertheless if you do not have these learnings?

Person L Always the same. Afterwards I have been interviewed by companies like Tetra Pak, Linde and others and also 'Consulting Company XYZ' asked me several times. I would always say the same: stand back, reflect on what you want to do, is it a pure IT implementation, or is it an integrated implementation leading to a change process in the organisation, to a transformation within the company. And that has not been done. And when I then talked to people from Linde or so they also said „Oh shit, we never saw it like that. The SAP people and the 'Consulting Company XYZ' people always told us ... this is here ... we roll out SAP. So we said 'But if you that ... you can roll out SAP. You can do it like that but that's only a part of the big picture. If you want to do it right you have to start with the organisation and the processes. The IT system is coming afterwards. And they always understood it the other way around. And that was our mistake. In the first two years it was sold as an IT thing. That's the only thing, everything else is ...

Interviewer Also from 'Consulting Company XYZ' to the global management team of CSC? They also have

Person L Yes, sure. Nobody really understood the dependencies. And only afterwards it was realised what had been missed. It is quite difficult to move such a tanker ship. Sometimes you have to ... and maybe it was right. And maybe we would have ... if we would not have had people like Person Z and Person AD ... if they would not have started off like that ... they did not take prisoners. They have did look left or right ... they have cut off ... they have left scorched earth. But they implemented. But as it was such a bulldozer the organisation did not just sit back to reflect 'What are we doing here? Is all that working at all? Do we have the right approaches?' It took us two years for that. Until the German Go-live ... or three ... to understand what is needed to control the thing. And with the icebreaker and all these things ... first of all the tools. I established the Operational Coordination Team. Nobody understood what I wanted. Person Z slapped it around my ears. But today in the countries with a successful go-live like Turkey or BeNeFruX or South Africa and where I am still quite frequently people tell me Person L you saved us with that. The clear statement is that you can't ... in a 'Downstream Coordination Team' or Country Coordination Team with people from job group A, B or higher. They have no idea about the importance of what they do. They have to make decisions. They don't have time for you on a daily basis three, four months before the go-live and three, four months after the go-live. They don't have five hours every day to control the thing on an operational level. And so we established these Operational Coordination Teams. They all told me: "Person L, that saved us. With this, we were able to put it down to the right level to the people that pull the decisive levers."

Interviewer Yes. Ok.

Person L And we made them fit, the second and third level. It was not Person AA participating but Person AE for Supply and Distribution. Not the Supply Manager but someone who was two levels below. Not the Retail Manager but someone who knew about the process. And they ran our organisation in a kind of parallel world through the process. Of course, you can only start three, four months before the go-live and up to a certain time afterwards. Another learning and that is the same for Mergers & Acquisitions, not necessarily for SCP, I mean leaders to lead. We have ... the whole thing depends on how strong you are as a leader. I have realised after sometime that Person AF is a really great guy. But he would not ... he was more the neutral guy who can hold great speeches which helped a lot because he could motivate the organisation. But he could not lead the management team by order and command. And in the end we realised in this phase quite fast that Person AF is doing the normal business, he is leading the company in the normal business and I took over the management of the company for the phase running in parallel. I met people who were two or three job group higher than me in meetings every week who had to do what I told them whether they wanted or not.

Interviewer And did it work?

Person L It worked. That's what people need in such a phase. The leaders need to be strong. The leaders have to take time. The leaders have to attend to details. They have to make decisions. I declared a vacation freeze in Austria. They were done. They were used to taking a weeks skiing holiday in January and February which I prohibited. From the management team, the top 15 - they had their Go-live on January 1 - nobody could take a holiday from the middle of December till the middle of February. Period. There was rebellion, uproar, tears. They had to cancel holidays. 'You are not daft, you are not going to risk the company just because of a holiday'. That's leadership. And that's also what we learned. Nobody told us that before. That's necessary.

Interviewer You mentioned the DLT reporting before. Can I look up somewhere what has been reported there?

Person L I kept nothing but ask Person K. I think Person K kept quite a lot. I deleted everything. But I think Person K kept quite a bit because he all the end-to-end reports. He is still working for the company. And I believe that he might have kept quite a lot. He might remember that we sent out those integrated reports every Friday hyper care report. That's another learning ... hyper care is about the phase afterwards. We prepared the hyper care three months prior to the Go-live. Others relied on the fact that it will come from the central organisation which we did not believe. We just did it ourselves. We also did our own reports. We also I don't know ... Person K should still have quite a lot of it.

Interviewer I will ask him later again.

Person L I started quite early ... there was always a standard reporting ... in the days before the go-live as well as afterwards I sent a daily textual update to all senior stakeholders with bullet points about what was working out and what was not working out well. So they could also understand the implications for the business. That also became a standard afterwards.

Interviewer Ok. I will have a look. I hope Person K kept everything.

Person L I believe there was some good stuff. Because we really sharpened with ... we had these huge sheets ... broken down on PowerPoint ... where you really ... I think there was ... the best was this end-to-end handover report with 17 locations over ten process steps and to everyone a colour coding with traffic lights. For example the Hydrocarbon Management process, how does it run in Rotterdam, how in 'CSC German Headquarter', how in Manila, and how in Chennai? Have they got something to do with it, have they something to do with it? Where are the weak points? And where do we have a red or a yellow traffic light? And then of course the question: 'What else has to be done?'

Interviewer Before the Go-live or afterwards?

Person L That was before the Go-live. That was definitely ... we learned that from these learnings from the Country Cluster North Europe ... what was available regarding reporting was not sufficient. Because everything had been looked at in isolation. It was either IT reporting from the GSAP team or streamline reporting from the streamline teams or HR reports for GSOM or the SOX people. But nobody reported integrated end-to-end. And that's why it crashed at the handover points.

Interviewer Ok. Good. Yesterday Person K also talked about the integration management. However, he did not mention the reporting so it is good that you mention it again. I will approach him later about that.

Person L So it's coming back to transparency, identifying weak points and to point out who is responsible. On the one hand, in order to prepare ... the Icebreaker ... and we really established them over the years in the programme. And then ... but in the phase three, four months before the Go-live and afterwards accurate, transparent identification of the weak points.

Interviewer Ok.

Person L And then reacting fast.

Interviewer Good. We already did the first set of questions and don't need to do them in detail. When we go to question 4 and 5, in your opinion what are the criteria or preconditions in order to enable an effective and efficient monitoring and reporting? And who should be responsible?

Person L I believe we talked about all that already. What is needed to establish it? You have to understand the end-to-end interdependencies. You have to start with the big picture. Once you know that you can set up a good reporting or control of the big picture. If you think it is an IT programme, you control it via IT parameter and then you drive it against the wall. Or if you think it is a pure implementation programme for globalised processes but you forget the organisation or the IT you also drive it against the wall. You have to make clear what it's all about. You have to define the critical success factors and build your controls and reporting based on that.

Interviewer Ok.

Person L And this has been done in the end. And who is responsible.

Interviewer You.

Person L No. Who is responsible? The uppermost leadership level is responsible for 'Downstream' the DLT, responsible in a country like Germany ... which we established ... the DCCT, The 'SCP' Coordination Team or the Operational Coordination Team. You have to make the business managers responsible for the programme. They must not be thinking this is a Cluster Programme Manager and the LSDR and the PMO. Those are supporting organs. Responsible are the business leaders. They have to prepare their organisation.

Interviewer I mean you were the one where everything was converging. That's what I meant.

Person L That's the ... that is of course ... that is a programme. You always have to have a Programme Manager. And the way we build it I liked that in this phase the Programme Manager and the LSDR, the 'Local Senior Downstream' have the accountability for the company and for the country. And this way it is hung-up high enough and you do it parallel, always this two in a box model. The IT people had a different understanding. They thought their IT Deploy Manager, Person S and the Cluster Programme Manager which was me, and they saw those in a box because they only think about IT. But the big picture is hung-up one level above. That's between the leadership team in the country and the Cluster Programme Manager. They are the ones who are made responsible in the end. Nobody would have held Person S accountable if it went wrong. It would always have been me.

Interviewer Good. We covered most of the questions.

Person L I think we covered most of it.

Interviewer Yes, right. Let me just go through here again. I know what your role was but I need it for the interview transcript. Please describe in short your role or roles in the SCP.

Person L I was Cluster Programme Manager. I was responsible for the complete programme management of all functions that had to do with the rollout of the Go-live in Germany and in Austria Switzerland. On the one hand, this was managing the Programme Management Office. On the other hand, the control in an accountability role of the management teams in the country. And furthermore control of all functions, whether it was 'Change & Engage' or GSAP Deploy Team, training or the streamline teams. And for that, we also built the corresponding control devices. And it was important to see that it was not just a technical function but a massive change process in the organisation. And therefore, topics like Change Management and communication and transparency came up. Including the additional severe issue we had in Germany, namely the workers' council who used that to blackmail us. We negotiated for weeks with the works committee in order to be able to implement at all.

Interviewer How long before?

Person L Actually during the whole time. The thing was hanging in the balance three or four times because the workers' council blocked it.

Of course, the workers' council negotiated things for itself. They said 'I stop the whole Go-live. They got consultants. We had 12, 14-hour days with them and only negotiated. That was quite tough.

Interviewer Because by then it was already clear what it would come down to ... transparent structures of the organisation.

Person L The workers' council said 'This is not just about the introduction of an IT programme. This is an organisational change. You change the basis in order to relocate staff, to reduce staff in the medium term.' Of course, they are right.

Interviewer Yes.

Person L and therefore, they tried to make the most of it. Other portfolio projects had to be blocked in parallel. They did that quite good. But it really stretched our nerves because none of our global people really understood that. What it really meant.

Interviewer How does it work in other countries? Where else do you have a workers' council?

Person L Nowhere else you find such a strong employee participation like in Germany. There is employee participation in certain forms and that's not negative. We say that this is always seen negative abroad. Here it is seen positive. I like what the workers' council does because they are the eyes and ears of the workforce. And they have a right to be informed about the economic committees and why things are done. This means a business manager cannot just relocate jobs to Manila. He has to explain why it is done, what the benefits and the consequences are. And that's new for countries where this does not exist. We still have strong workers' councils, a strong employee participation in Austria, partly in the UK and in the Netherlands and a very strong one in France. But they are all a bit different. I think ours are also a little bit interested in the economic impacts and are not just in blocking. When you have good people there, when you have a strong workers' council it can very helpful. You can achieve a lot in the cooperation between the management of a country and the workers' council.

Interviewer So you would say that it was also helpful to have these intensive discussions in Germany? Or would you say that it was a bit too much?

Person L I would say, how they tried to blackmail us was quite tough.

Interviewer Blackmail even.

Person L That was quite intense what happened there. But in the end, we managed it and signed a contract. It was quite tiring. But it is also a big change. And it had been sold to them as a pure IT project in the beginning. And like everyone else they understood gradually because we had to communicate differently namely with this ellipse and said Person L you talk about organisational structures and globalised processes. That is not only IT.' That was Pandora's box. When I explain it clearly to the employees, I also get the workers' council on the plan.

Interviewer Right. Yes.

Person L Otherwise they might not have understood until it had been live.

Interviewer Yes. Good. We got to my last question. Summing it up which importance had the 'Change & Engage' workstream for the programme? Would you say it was good the way it was set up? Was it a bit overdone? What is your opinion?

Person L For me every change is a change process. For me that's not a workstream. For me that's the backbone of what we do here. The main thing is to understand it and to make it transparent to the employees. This is a change process. That's like Merger & Acquisition, during the merger you run your normal business and in parallel you build the new world which takes over the old one at a certain time. Here it was not much different. And therefore, we had to consider what do we want to communicate to the organisation? How do we want to manage it? From my point of view the workstream itself, the way it was managed centrally in the beginning, was dysfunctional, driven by templates, quite annoying. It was only about ticking off things.

But with our strong local organisation, with Person I, and Person K and many others and also Person AH who joined after Person AG we managed to make clear that the bulk of what was done in 'City in England' was crap. And I think due to our work they set up their tools and templates completely new ... in the end they rolled out what we had built. Because they were lacking the experience centrally. The other ... with many people from 'Consulting Company XYZ' and with junior people who had never been in such a process. I think we had more experience on the local level with a strong Person T, with a strong Person O and the experience of Person AC, und Person K and Person I. We were in an extremely good position.

Interviewer I had the same impression. Considering that it was such a big programme. I have never seen such a good and professional change programme like it has been done at CSC. That was really impressive and every other company - maybe not competitors - but every other company can learn a thing or two from that.

Person L I think so too. That was also, what I told Linde, Tetra Pak or 'Consulting Company XYZ'. You must never see it as an IT implementation. You have to see it as a massive change process which you have to make transparent, which you have to explain and which you have to implement integrated end-to-end. And then you will realise, that the cultural change ... because it is a massive cultural change.

Interviewer Yes, of course.

Person L And the people have difficulties with that. My wife is working for Supply and Distribution. She is fed up. She wants to retire. And why? What you call job satisfaction is now gone. She used to work in the external supplier support. When there was a problem ... a ship did not ... a delivery did not work, she was responsible from A to Z. Now this is divided into 16 sub-steps and she is only responsible for steps 3, 7, 12 and 14. The others are dealt with in Chennai, Manila, Krakow or in 'City in the Netherlands' and all the employees are frustrated. But that's the consequence of it. You have to make clear what it was all about. And therefore, it is a massive change ... you asked about the 'Change & Engage' workstream, well I don't see it as a workstream. Those are tools and templates. It is important that the leadership of the company understands what is behind it. And my core learning to 'Change & Engage' was the CSC and 'Company X' merger. When Person AI realised from the outset that he is the topmost Change Manager. I can't delegate that. I have to make clear to the organisation what it will mean. And I have to make it clear by setting markers. For example the first management level we appointed was 50 per cent CSC 50 per cent 'Company X'. There have been victims. I have been one of the victims. I lost my job because the person from 'Company X' was a more senior purchase manager than me and furthermore he was in the supervisory board. That has to be understood. These messages have to be given to the organisation. Or that the topmost Change Manager is the CEO. Point. Not to be delegated. Leadership function. And we had to find a topic quite fast. As management team, we did 'Who moved my cheese'.

Interviewer I know that.

Person L Back then we tried to explain to the organisation what it was about. And this little parable helped the people. And similarly ... and that is also something that was not really understood centrally at SCP... they tried to solve it technically via tools, templates, samplings, check lists. They did not understand that you have to explain to the people what it is about. And I think that we did that very well in Germany. With a strong Person T, who knew it because she was our 'Change & Engage' Lead during the CSC and 'Company X' merger. We tried to do it in a human way. Person T always said Person L, do not get too technically because this is about people. And even those in the leadership, you might remember that, ... every Wednesday I had my leadership team meeting. Every Wednesday whether they wanted or not. They wanted to meet every two weeks, every four weeks. In the end there were sometimes 30, 40 people in the meeting room. Everyone was in there. Every streamline lead from the individual businesses, GSAP, data people, the training leads, my programme planner, every function and then the individual deploy leads in the businesses, 20, 25, 30 people. Why did I do that? First of all to give them a valve. People screamed at each other; they were bleating at each other, they cried. That was the only opportunity that these guys, who were all leaders, who always had to stand smiling in front of their departments had the opportunity to cry. People collapsed and cried. People were bleating at each other and the only chance was then - which was of course my job - to support them and to get them together again. That's what you have to understand. Or I remember once I was quite peeved because a lot went wrong. Every month I had an activity with the top 20, 30.

We went to the movies together, to the theatre, celebrated or went to an ice hockey game. Every month we did something together. We had to overcome our differences and have ... because we had to ... when a Person O, a Person AJ is not getting along with Person Y or with Person T or with Person S it will go wrong. We bonded them together. They could bleat at each other while knowing that they can do it nevertheless. That was very important. Once I had them in the Parliament, this pub in the town hall. There was a big round table where I could see them all in the eyes. And there were about 20, 25 people. And I held this inflammatory speech; I really did them in because it was necessary. Because sometimes it is no longer working. But I could do it with these guys because they trusted each other and because we had built it up like that. When it was just us the valve was open and everyone could say what he wanted and everyone could do what he wanted, they could scream and cry. But only in this circle and outside this circle everything is forgotten. Very important.

Interviewer Well, I think that has been noticed everywhere.

Person L That was a big thing. When we would have ruined it ... and it was on the verge. If the 'Country Cluster North Europe' would not have burst before we would have made the same mistakes. Because there was nobody from the central units who could explain, what it was about.

Interviewer So you would so say ... that luckily there was this Country Cluster North Europe, because this way one could learn the lessons / learnings quite early in the programme.

Person L Yes, that was very fortunate for the programme. And that we were good enough ... only we could have done that, only our group in Germany, no-one else was able to do that. We implemented it on the Finance and Fuels side and that was outstanding. And then we drove PGS and Lubes against the wall. We learned for Austria Switzerland and did that perfectly. And afterwards the whole programme was running smoothly. And the next 20 go-lives worked. Whether it was India or Pakistan, China, Turkey or South Africa, everything worked. The first implementation that ran against the wall again was 'Country A in North America'. It happened what will happen. Arrogance, stupidity, presumptuousness and the programme had already been partly shut down. Many good people were no longer there. And the ones in 'Country A in North America' just said 'We know everything better.'

Interviewer Oh my god.

Person L And therefore a lot was driven against the wall. In April I was in 'Country A in North America'. On the retail side a lot went wrong with our maintenance. And I asked the Maintenance Manager 'Why, we already did that 30 times before.' 'Yes, but I changed that a little bit here. I built my own little process.' And of course, he drove against the wall. He had not been trained in the LES Sessions and thus it did not work. That's the risk when arrogance comes into play and a know-it-all attitude and I see this risk also for the two last Go-lives 'Country B in North America' and 'Country in Oceania'. The risk ... many good central people are no longer there. And arrogance and presumptuousness in the countries who believe we are different, for us everything is special, we know everything better. A very big risk.

Interviewer Those are the last two then? And then it's it for SCP so to say.

Person L Yes 'Country in South Europe' has also been done in parallel now. Now it has to be decided ... there are some small countries left. It is also a psychological thing, a message. When 40 countries are in the programme and all have the same system and you are not included everyone wants to know why you are not included.

Interviewer You will be sold.

Person L Therefore 'country in Oceania' was included even though it is not known how to continue with 'Country in Oceania'. But you have to keep the option open. And for now, we still have a programme team. It can still be done. If you wait another three years, nobody will be left. And then nothing can be made up anymore.

Interviewer Good. Person L, we are finished. Thank you very much.

Person L Good.

Interviewer Thank you for your time. *Person L* You are welcome.

Interview transcript – Person Q

Interviewer Let's start with questions 1, 1.1 to 1.3. In the interviews, I realised that it is useful to combine it with question 2. What are the critical success factors and in which phase should they be evaluated.

Person Q What do you think are the critical success factors, which should be monitored and evaluated in order to enable a successful implementation of a large-scale organisational change? In general. Well, I start spontaneously. Planning of course, good planning. This includes time line, resource planning, money, budget, target definition, communication. Those are the most important ones coming to my mind.

Interviewer And when we look at the phases, when would you try to monitor what and how? We had planning, time line, resource planning, budget, target definition and communication.

Person Q According to your list planning belongs to the conceptual phase. I think to the initialisation belongs not really what I meant by planning just now but initialisation is rather the target definition. This would also include the examination of alternatives. Yes? This would also include the stakeholder management. To involve the people needed to have the necessary backup. It also depends what kind of a project it is and who is initialising it. Is it top down, is it bottom up, is it middle management upwards etc. But a big change like the SCP has been a top down project. But even there stakeholder management is necessary. Even top down does not work according to law and order instructions which are carried out. There too, the stakeholders have to be taken along. I would see that more in the initialisation phase. To the conception phase belongs what I considered or mentioned under planning. To the mobilisation belongs certainly the ... from the conception phase to the mobilisation, I would say ... especially the question of resources but also a lot of communication ... to take the people along. The implementation includes a feedback loop back to the planning. Are we still where we wanted to be? This also includes a critical monitoring of deviations. And the consolidation includes what by the way many people ... many projects in many projects is not taking place ... that the consolidation is thought along ... belongs a control loop did we get to where we wanted to be? And are there deviations? And I would say it also includes regulatory mechanisms, which ensure that what wanted to be achieved remains achieved and will be counter-steered in case of doubt ... when the jog trot is creeping into the organisation again. That's how I would comment it from my point of view.

Interviewer When thinking about the operational doing – could the definition of the objective and/or the objective discrepancies be done by requesting for example meeting reports in the individual workstreams?

Person Q You would like to know how it is done in practice?

Interviewer Yes, exactly.

Person Q Well, it depends on the project but ...

Interviewer And regarding SCP?

Person Q Regarding SCP ... that certain KPIs are introduced and to determine, based on those KPIs, whether what you wanted to achieve has been achieved and whether it will be sustainable. Customer satisfaction is one. You might have heard that we had quite a few issues. Delivery capacity, adherence to the budget. Are the processes running as planned? It can also be checked via the process steps whether it is running as planned or whether there are deviations. Are there delays regarding the execution of invoices, the execution of contracts, and everything that can be measured operational.

Interviewer And that would then be extracted in numbers from the SAP system?

Person Q That would be extracted in numbers from the SAP system. That's what we did.

Interviewer Regarding the monitoring of the change process, let's say the monitoring of the employees, of the departments, of the Classes of Businesses, what would you see as critical success factors that should be monitored and evaluated whether they change to the positive or negative?

Person Q Communication is the factor for success. We called it Change Management. To explain to the employees on all levels why we do that. And from my point of view the why-question is one of the most important ones. You can only take the employees along when they understand why it is done. Just to say we want a change, which means an organisational change, a change of the work content of individual people, of entire departments is not sufficient. According to my experience, it can only be implemented successfully if you explain to the employees why this is done. Nowadays the people are educated. 40 years ago, you could have said this will be done and that's it. But that's no longer possible.

Interviewer And how would you try to find out whether the employees have understood the „why“?

Person Q I am convinced that the method we used is the right one. We installed Change Managers in individual areas of operation, in individual departments and businesses who had the task to explain the 'why' but also to collect the feedback in order to tell us where rework is necessary, where we have to explain it better, where we had the feeling or to give us the feeling that the people have understood and go along or they did not understand and don't go along or they understood but they don't go along which can also be a topic. You might have to explain it better or you have to include good ideas or resistances in the sense of good ideas and maybe if possible change the direction. In the end, it is about discussions. That is the method how you to measure that the people are with you. Of course, you can send out questionnaires but whether questionnaires are really helpful 'How do you see the change process, do you back it?' ... and things like that can also be done. However, I personally believe in discussions. In a big organisation, this is only possible when it is cascaded.

Interviewer Due to the organisational change new jobs have been created and probably there have been new job specifications. What are the critical success factors that have to be monitored during the project in order to ensure that you achieve what you wanted to achieve?

Person Q Regarding the organisation, the company organisation structure?

Interviewer Yes.

Person Q Planning. That's basically what we did under the keyword GSOM. Process changes possibly involve organisational changes. It was also about standardised processes and thus standardised organisations. And there planning plays a role. In the next step, communication plays a role again because an organisational change has an influence on the people, not only the process but also the organisational change. Whenever people are brought from familiar surroundings, from a familiar organisation into a new organisation there will be fears, resistances and you have to communicate. I give you an example. I think that this aspect – or maybe we deal with this later on – has not been considered adequately in the SCP story. Why do I say this? When you look at such a business process from procurement to invoicing, from production to all the individual deliveries, all those separate steps ... in the past, the organisational units along this chain usually had a wider view. And with the SCP process, implementation people have been divided into smaller slices like I always called it. They were caught in the treadmill and had to do routine jobs. And if someone is used to working more independent with a wider view this change can also be demotivating. And in my opinion this aspect has been missed out.

Interviewer Not to explain it clearly beforehand or the change itself?

Person Q To realise ... the change itself, maybe to realise that this presents a change of the working environment for individual employees, to explain that to the employees and to take them along. Partially, this led to the fact that people left the company and other people who were more like hamsters, got into jobs.

Interviewer Yes, ok. Concerning SCP and whether it ran well or badly and how do you judge it will be dealt with later on. But now I would like to come to questions 4 and 5.

Person Q Which prerequisites have to be fulfilled for an effective monitoring and evaluation of a large-scale change process?

Interviewer Do you understand the question?

Person Q No. Basically, what we talked about before. Or what do you mean?

Interviewer What has to be prepared and which conditions do I have to establish or have to prevail for a useful monitoring and evaluation? When you say that we have to look for the critical success factors and have to debate how to monitor them, we can continue with the next question.

Person Q That's actually the answer.

Interviewer Ok.

Person Q You need a detailed and thorough planning in the details discussed before ... maybe some steps below or some levels below. And then you have to monitor your planning by checking whether you really completed the steps like for example time lines. The typical feedback loops in a project.

Interviewer And who, if we think of SCP, who should in your opinion be responsible for the monitoring and evaluation? Where should it belong in the project- or programme organisation? Or in the organisation at all?

Person Q The general answer is that this depends on the type of project. And SCP was in principle a top down project. In principle, someone with project responsibility, and in SCP that was the management board. But the management board cannot do that on its own ... seen from there it has to be broken down in sub-projects and this task has to be assigned to the respective person responsible for the sub-project. That is to say that we had several Programme Offices. We had a worldwide huge Programme Office overlooking everything. And then we had Programme Offices in the individual countries where the implementation took place and who followed it up on the local level like person L whom you know from back then.

Interviewer Yes.

Person Q But the general answer is: who should be responsible for monitoring and evaluation? That is always the project imitator and the project owner. You cannot delegate that. You can only break it up over levels.

Interviewer Yes. Now we come to the SCP. Before we go into detail, I would like a short description about your understanding of the SCP, what were the targets and whether they have been achieved.

Person Q In my view the SCP has two, three significant facets. First of all, it was a programme for the introduction of a truly global organisation in the businesses. With the target - and in the end everything will subordinate to that - to simplify processes and above all to reduce costs. Primarily it was a cost reduction programme. As mentioned, this has different aspects. First of all leaving regional dominances towards a global organisation via business lines; the corresponding introduction of standardised processes with the emphasis on 'standardised', the same all over the world. Hence the target of cost reduction. And the adjustment of the organisation across all levels to these superior targets. That's how I understood SCP. One can ask whether this was all right, even though the world was wider and whether it has to be like that on a continuing basis but that's another range of topics.

Interviewer And would you say that the targets have been achieved? Partially achieved? On the way to be achieved? Not achieved?

Person Q The target to achieve a global organisation and now I talk about SCP ... of downstream ... to achieve a global organisation has been achieved. Yes. You have global Manufacturing, global Retail, global Commercial Fuels, global Lubes, everything. Standardised processes have been introduced. Yes. I don't know whether the associated cost reduction targets or I would call it profitability have been achieved. That eludes my knowledge because I don't know all the global figures. I can only give an account from hearsay but that's really only hearsay. It was more expensive than planned. And the cost reductions came slower than planned. But that's ...

Interviewer But they are coming.

Person Q Pardon me?

Interviewer But they are coming.

Person Q But they are coming. That's what I see as well. We always get the global overheads, which burden us. And I see that the costs do come down.

Interviewer What do you say to question 8?

Person Q Based on which criteria do you judge the implementation of a large-scale change project as successful or not successful? And how do you judge the SCP to that effect? Well, we already defined the criteria. Those were standardisation, cost reduction by standardisation, cost reduction by streamlining, efficiency improvements in the processes also with the target that the operative people could attend predominantly to their business and their customers. To relieve the operational colleagues from back office activities. Whether that was successful? Yes, we just said that the costs have been reduced. When you look into detail however, there are of course points where you have to say there is room for improvement. Like the English would say ... I would not say that it did not work but there is room for improvement. I will give you an example. One of the features of SCP was that a lot of support functions have been reduced. A lot of activities have been shifted to the operative colleagues. They have to do their travel applications and their travel expense reports, they have to do a thousand administrative jobs themselves. I am not sure this is the right way. Why? If someone has to do certain activities only two, three or four times a year he has to sit down every time thinking how it is done in SAP? And when you shift routine activities to people who can do routine jobs, who like routine jobs, who are motivated by doing routine jobs, than they can do that a lot more efficient than people who have other tasks than to deal with such routine jobs. I don't know whether the travel expense report is the best example. But there are enough examples. Like for example to pay invoices. I receive about three invoices a year. Every time I have to ask how it is done in SAP. I always find someone to help me. That's only an example. That's what I mean by saying that there is room for improvement. Like I said, that's only an example. Irrespective of that there are, as we said before, enough improvement opportunities in the interaction of the individual functions, where we also had difficulties like delivery capacity. Right from the start the whole customer side did not work as fast and good as we wanted. It is getting better slowly. We had to rework quite a bit.

Interviewer We come back to that later. Question 9.1: What was your role during SCP?

Person Q That's an exciting question. When the SCP started, I had nothing to do with Germany. At that time I was in England, in London and dealt with portfolio activities. Portfolio means Merger & Acquisitions. And when I came to my current job in Germany at the end of 2008, the SCP was already running. The implementation took place in the middle of 2008. I joined while the implementation was already running and started by learning the ropes. Well, basically my role was to take care of the communication. I spend a lot of time explaining to the people why it is done. ... to keep the Change Manager networks running, to support them. There were always those who said that we don't need them. And to take care that in the DCT how we call it, that in the Downstream Coordination Team ... the introduction of SCP is not just SAP and the processes but everything we talked about so far, that this is understood as a common task. That Lubes is not saying I do my thing and Retail says I do my thing but that we understand the change processes as a common task and to look at it again and again which we did very intensely, that we do not overextend ourselves in the interactions of activities like the changes that came in parallel to SCP like sales of refineries and organisational changes or relocations of activities to 'City A in Poland'. That was my main part.

Interviewer And your current job description is LSDR right?

Person Q LSDR, yes.

Interviewer And you got into his position in the middle of 2008?

Person Q I think in November. And I was just there when I took back the portfolio part and continued that. I do both.

Interviewer Ok. Still?

Person Q Yes, still.

Interviewer Good. So we come to question 10. A very important question for me.

Person Q Please describe your experiences in the change process of the SCP. What was important and should be preserved for future implementations? And why? What could be improved for future implementations? Well, I start with 10.2. The communication with everyone concerned could be improved. The explanation why it is done. That includes the communication with the workers' council who has a big interest to understand these activities. But not only the workers' council but everyone concerned. And what we learned and what we took up was to engage the middle management and take them with us. It is of no use, and we talked about that before, if you want something top down and individual levels like in our example the middle management do not want it, do not understand it and therefore do not go along and do not go along in their communication to their teams. Because as the management of the company you cannot engage 4000 employees alone. You have to cascade that and that's why we have introduced the SMME, middle managements engagements. Once a year ...

Interviewer SMME?

Person Q Senior and Middle Management Engagement. Once a year we invite about 200 people to a meeting where several topics are dealt with which are important regarding the whole change processes. It started in the first year with cost reduction activities and we explained why it is done. In the second year we familiarised them with middle management and that the SCP implementations and organisational changes could also have implications on the middle management itself. That the communicators themselves could be the ones affected. That's a very difficult balancing act.

Interviewer This sandwich manager role, from top to bottom.

Person Q Yes exactly. And later on we addressed questions like what are the opportunities for growth if we have this behind us. This summer this has Raison d'être ... to explain again and again the „why'. Where do we want to get in Germany, in a shrinking market with a competition in an ever more difficult environment, with sales of refineries ... to explain what we do and why we do it. But also to say what is our long-term goal. What do we want? That's very important.

Interviewer Another question to the middle management. What is understood by middle management?

Person Q How did we define it? Well, if I say about 180 people from 4000 in Germany, then We defined it Job Group 2 and above, so all executive employees and Job Group 3, provided they are Team Leads.

Interviewer Ok.

Person Q Do you know about the Job Group mechanism here?

Interviewer Yes, a bit.

Person Q You know that Job Group 6 and higher are AT employees. Job Group 2 and higher are executive employees according to the German Works Council Constitution Act. And Job Group 3 are typically team leads or specialists. We said Team Leads, Job Group 3, provided they are Team Leads. That's about 180, 200 people. About 5 per cent of the CSC employees, CSC Germany employees, a bit less than 5 per cent. When you deduct the 1500 blue colours from the Rhineland, 'City A in North Germany' and maybe also the fuel depots that would be 1600 less. Then you are ... I would say ... from the white colours 200 to 2000. I would say 10 per cent by rule of thumb.

Interviewer Back to question 10.1, 10.2. What was good and should be preserved? And what could be improved?

Person Q The communication has to be retained on all accounts. Maybe the frequency could be increased. We also started doing that by physically rounding up these 200 people once a year. And by doing web casts two or three times a year. That should definitely be preserved. Furthermore the coordination in the DCT, which I would describe as coordination with the goal to overcome the silo mentality way of thinking.

And vice versa what has to be improved is to overcome the silo mentality way of thinking. It is a balancing act in a matrix organisation like ours that the individual business lines have their business line objectives and people are measured according to those. And sometimes, depending on the topic they might come into conflict with what we call end-to-end targets. That's a permanent task. I see it as one of my essential tasks to reduce this balancing act a little bit. This has a lot to do with persuasion and with argumentation.

Interviewer Further points that were decisive for the SCP?

Person Q Decisive for the success? I think we talked about the essential ones.

Interviewer Ok. Let's continue with the question complex, question 11.

Person Q Did a systematic monitoring and evaluation of the SCP take place to ensure its success? Along the way or afterwards? If yes, what has been monitored? And if not, why? What else could have been monitored and evaluated according to your point of view? I can give you two answers. First of all to 11, yes, of course. On the global level, there has been a SCP office and a programme director, a programme management. Of course, this programme management monitored achievements on the global level. I can answer for the local, regional level, for DACH: Of course we did that as well; that was what I told you before in DCT as a DCT example. And every four weeks and even today, we have a kind of risk matrix, a progress matrix on the table based on which we determined per project the implementation risk, the probability or the difficulty of an implementation versus the risk that it won't be implemented. We looked at this matrix quite regularly. I think we even called it SCP matrix and looked whether there were any points where we had to act on. Often it was about projects, which had an effect beyond ... Insofar a systematic monitoring and evaluation, yes. How did we evaluate it? As just described. Therefore, question 11.2 can be spared. What else should have been monitored and evaluated? Nothing much is crossing my mind here.

Interviewer If it was good, that's ok.

Person Q Yes, yes. Whether the conclusions could always be implemented, enforced easily is another question. But basically, we knew where we were with individual projects.

Interviewer Another question to the SCP matrix. The contents came from the individual workstream leads and then it has been consolidated until ...

Person Q We have with ... with the organisation, back then Person AX whom you also know ... he report directly. Now Person BF is doing that. We still do that; only the volume got smaller because the number of projects has been reduced. In the individual business areas and in the individual function areas we had specific contacts who informed Person AX once a month about the individual programmes. He then drafted a short standard report, which was set up quite simple and clearly laid-out. It was color-coded so one could see this is green, yellow, or red. And you could realise quite fast where something was running out of the rudder. And that was the topic of the monthly DCT meeting. Insofar it was quite satisfactory ... when it was red you could discuss correction measures to get it back to yellow or green and whether that would be possible fast enough or not but that's then a practical question.

Interviewer DCT consisted of the SCP Leads, thus the leaders of the corresponding Classes of Business and Functions. Is that correct?

Person Q Yes, exactly.

Interviewer Ok. Good. We already reached the blue section. You don't need to answer every question in detail but only in general. What is your impression? Which importance has Change Management or 'Change & Engage' as it was called here? What did strike you in particular?

Person Q We already dealt with that. First of all, the importance is enormous as I already said. Namely to take people along, to explain why something is being done. That's the best and easiest way to take people along with you. Even if they don't accept it in individual cases you nevertheless have to give the explanation. Because then the chance that they will go along is bigger. Insofar Change Management plays a very important role.

Whether it could have been better - maybe yes, because the Change Manager role had to be enforced by some DCT colleagues according to the slogan 'That's important in order to take your people along'. Some said they would go along anyway. We don't need that. Because a Change Manager, well, some people implicitly ask what they do all day long. Just sit round and talk. Do we need that?

Interviewer I know these arguments. I also hear this very often. Unfortunately, yes.

Person Q Yes of course. Me too. And that has been a topic where I always had to convince people, to convince the senior management that it is important.

Interviewer That means you also need a clear understanding about the tasks of a role.

Person Q Yes, exactly.

Interviewer You even have a sophisticated method, the Business Change Implementation Method here. Even within 'Change & Engage' were four workstreams. I had never seen that before. Well, I found it good as well but of course, I would like to know how it is seen by the interview partners.

Person Q I think that covers questions 12 and 13. To what extent have those targets been achieved? The targets have been achieved with the reservation I just made, that one had to reiterate with the leaders again and again. It is important to make someone available or 50 per cent available who has time to explain to the employees in the individual businesses or functions why something is done. It was also seen as a support for the respective executive managers.

Interviewer Yes, of course.

Person Q Their task is communication. But not everyone has time for that on a daily basis. Many are also on business trips. The raison d'être of these change angels, change agents was to carry out this task on behalf of the individual executive managers.

Interviewer Yes. Good. We are done with the list of questions.

Person Q That was fast.

Interviewer Yes. It is different. Some talk for one hour. Person L also needed 38 minutes. Do you have anything to add from your side? Some comments for me or to the SCP or ...

Person Q Maybe one addition, one comment. An organisation is always changing. You can experience that very close. There are changes resulting from the SCP Things that need to be improved, which have been learned and which have to be improved. I also believe that an organisation has to be examined continuously whether it still does justice to the external circumstances. And insofar the consideration how organisational changes are initiated and carried out is a very important aspect. Look at the German mineral oil market which will look very different in 10 years time or the German energy market. And every organisation liable to external changes has to be monitored again and again whether it still corresponds to the external circumstances.

Interviewer That means to monitor customers and competitors as well as the customer needs?

Person Q To monitor competitors, to monitor customers, to detect market trends, to understand and to reflect what that will mean for the organisation.

Interviewer Who is doing that here for CSC?

Person Q That's a task of the executive management. That's a task we discuss with staff divisions, with our economist, with our CX, with our economic department. That is a task we tackle at the moment, maybe a bit more specific than the long-term trends. How do we do stakeholder, external stakeholder management, basically lobbying work? How can we influence legislation, public authorities, politics. Is it useful to influence them? How can we gather political thoughts early on so we know what's coming up. We will have a workshop soon to determine whether we are still positioned correctly. And I am sure we can position ourselves better. Because we deal in a complex environment. That starts with discussions regarding environmental specifications for fuel depots and refineries to the discussion about petrol prices.

And that's all quite complex. We are influenced by the energy programme of the federal government, which wants to get away from oil if you read between the lines. We also have a gas business. How will we adjust the balance between oil and gas in our German business? Insofar there are enough changes you always have to keep in mind, which don't take effect tomorrow but the day after tomorrow. Which always have to be examined or the question: 'What does it mean for our business, for our organisation? How do we position ourselves?'

Interviewer The company withdrew from the division renewable energies?

Person Q Yes, we left that.

Interviewer When I was in Rotterdam to interview the colleague there, I saw that the petrol prices were the same at every petrol station. There were no differences. I passed about 10, 15 petrol stations. Here in Germany it is completely different. Do you know whether the prices are regulated in the Netherlands?

Person Q No, there is no regulation but the market is not as dynamic. In the Netherlands, the market is dominated by predominantly big companies and less medium-sized businesses. In Germany, about a third of the petrol stations belong to medium-sized business. And that brings more local dynamic into the market. That is one reason. The second reason is that Germans are especially price-sensitive. That is piqued by publications of the ADAC and the cartel office and what is picked up by the politic and which is often misrepresented. This adds to the price-sensitivity. And that again adds to the market dynamic. No, the prices in the Netherlands are not regulated.

Interviewer I had the impression because there was not even a cents difference.

Person Q That's exactly the perfidiousness. The cartel office is accusing us of price agreements but they can't prove it. Why can't they prove them? Because there are none. The market is so fast and transparent that an attitude change of one entails an attitude change of the other. Think about it. The gasoline price is the only one where the government stipulated that it has to be displayed on a 1 m² display. It is not stipulated for bakers, butchers or anybody else. Only gasoline prices have to be displayed. This contributes to an aligned behaviour – implicitly and per se and which we are accused of by the cartel office. According to the slogan – they do not fix a price, which however is not necessary, because the market ...

Interviewer is transparent anyhow.

Person Q It's the expression of an extreme competition. And we are accused that we behave in alignment in a very strong competition environment. What else should we do? When you are one to two cents more expensive than the petrol station of your competitor on the same road for one hour you can be sure to lose half of your volume. That's how it works in Germany.

Interviewer Nowadays many people also look in the internet and all the tools available, it is very transparent.

Person Q That's how sensible the consumers are. And it is stirred up like that. There was quite a good article in 'Die Zeit' in which finally a few facts have been described which should be known by the consumers. Unfortunately, not many people read 'Die Zeit'. They had an exemplary account about what it will cost to pay one cent more than at a cheaper petrol station and if you would then drive with your family 500 km return. I think they calculated that it would amount to about 4 Euros. That's a pack of cigarettes. But nobody does a calculation like that.

Interviewer No. There will always be 1-Cent-snatchers. The people are happy and might even do a detour of 3 or 4 km.

Person Q The corporate groups, the profits of the corporate groups... These 30 billion published by CSC or the 45 published by 'Competitor C' are not coming from the petrol station business. They come from the upstream business. And are adequate considering the risk of the upstream business. When you look at the return on capital of CSC or of 'Competitor B', the one from Competitor B' is a little bit higher than ours. And when you consider the risks of the oil rigs, not only the technical but also the financial and economic risks, the reputation risks, then a return on capital of 16 or 17 per cent is quite ok.

Interviewer Yes, of course.

Person Q That is to say that you have to move many, many liters to get 30 billion. But the public only sees that the guys make 30 billion ... A and B and they rip us off at the petrol station. And when you say that just one to two cents are earned at the petrol station, they say 'I don't believe that'. Or they say then we have make a big profit with the refineries, Like Bärbel Höhn. And when you tell her in public, like I did, that one should give her a refinery ... maybe she might believe it then. Very fascinating.

Interviewer I will stop the recording.

Person Q Yes, do that.

Interview transcript – Person R

Interviewer The questions are subdivided in three category groups, general questions, questions referring to SCP and Change Management questions. Many questions can be combined and we will not go through every single question. During the interviews, I recognised that the first block of questions 1.1 to 1.3 can be answered in combination with questions 2. Would you like me to read them out?

Person R Yes.

Interviewer Or would you like to read yourself? Yes. Good. What are the critical success factors that should be monitored and evaluated in order to ensure a successful implementation of a large-scale change initiative? In general but also based on the contents here in SCP, question 1.2 and based on the monitoring of the change process. And in which phase should these key success factors be monitored?

Person R Critical factors for success – what crosses my mind? This is like brainstorming. Well, certainly that the whole workforce knows about the case of change, what the change will be about and what the outcome will be at the end. That might sound mundane but outcome means also what does it mean for the organisation and for individuals and what does it mean for individual employees. Those are the three essential points of which the first two are probably more important than the latter. What is important in the long-term - that's why I asked before which part of the SCP is considered here, even though this is general. It is important to ensure relatively ... or during the implementation phase ... to know how to accomplish sustainability. Although criteria such as costs, processes, and FTE are met avoid closing a project too early, the organisation needs to be really ready and stable to operate. It is important that the organisation design is ready and clear, tasks are defined in order to operate the processes. But especially to trigger necessary changes which are coming afterwards. Those are important points. That's quite general. I experienced that with the Finance Functional Plan, with the Finance Migration, activities in Shared Service Centre. You can plan a project well, you can allocate the resources, devise the training ... when you don't bear in mind what will come after Day 1, after the implementation... when key resources are no longer available, the local knowledge is no longer available, when changes happen in the receiving unit because employees change and you did not give thought to how a continuous knowledge transfer will be achieved. Then this will lead to the fact that inefficiencies will creep in again. And in the extreme example, this can mean that you fall back to the grid. When you realise this early enough it's ok. It might crash again. That's in the SCP ... maybe I jump now.

Interviewer That's ok.

Person R From my point of view this did not happen in SCP so far. But we are in a critical phase. The more stable an organisation appears to be the more dangerous it is from my point of view. Because then mechanisms which were required to implement a change suddenly cease to exist. For example when you go from a local organisation, local processes in global processes, in a global organisation and it is not ensured that cross-business local coordination still exist the structure will collapse. As long as you are in the change process, you will pay attention that everything holds together. That legal, fiscal requirements etc. are adhered to on the local level. When it is running more stable, when there are no longer problems in the processes then we as humans are inclined to say that certain control mechanisms are no longer required. The local coordination is no longer required because we have global processes, which are working. When a crisis occurs suddenly, when something is collapsing then those mechanisms, which were available during the implementation, no longer exist.

Interviewer Which mechanisms did you perceive as helpful?

Person R On the one hand it's organisations like the Integration Unit, which ensure that there is a kind of translation unit between global Classes of Business ideas and local cross-business implementations. That's not really needed when everything runs smoothly. However, if you have a new change process the units are not available.

Interviewer Ok.

Person R It is similar to what I call Escalation Focal Points or response team to ensure ... when you have migrated something for example and something is not in the first phase you generally have people giving support, who might go on-site, hold trainings, are available as contact persons. Once they are drawn-off again and it has not been considered that people that have been trained might change again then there is nobody who might come in. That could be those Escalation Focal Points. That could be ... like here the Person F team, the integration groups, that can be project groups or an organisation.

Interviewer And when thinking about monitoring and evaluation – how would you try to set that up, while keeping in mind that those integration teams are still available?

Person R That's a task which in my point of view, in our point of view by units like a Downstream Coordination Team, like a local Finance Leadership Team, like a ... well those cross-business units, which in actual fact have governance tasks. They can ensure that. They keep an eye on it ... and to say ... next to the actual task I have, namely to keep an eye on the local OUs from Corporate Governance aspects ... I also pay attention to how processes which are set-up globally, whether it is HM or PGS, how they affect me locally. Globally managed processes affect local processes. When I monitor locally cross business whether I have certain problems only in single areas or everywhere. Then I know quite fast whether the reason is induced locally because something is not compliant, is not complying the new processes. Or whether the reason can be found somewhere in the global process. Then a local cross-business unit can offer big advantages.

Interviewer And institutionalise that as well?

Person R From my point of view, it has to be institutionalised. That does not mean that such a group has to be very complex. But it has to exist continuously. That's also a problem in our CSC group. Probably for others as well... it is in all likelihood adjusted whether CSC or not.

Interviewer Yes, yes.

Person R Regarding CSC and probably other big companies as well .. it is said too fast: now we have global processes and therefore the coordination units are no longer needed. I think this is a mistake. I think it is important to have an established integration group.

Interviewer Ok. Good. Going back to the points you mentioned in the beginning, that the employees need to know and understand the case for change, what the target is, what the consequences are and the impacts. How would you monitor whether the employees know and understand it?

Person R One thing is whether they know and understand it. The other whether they accept and support it. The second one is of course more difficult than the first one. It can be done by surveys or by providing information. When you want to save costs by a transfer of activities, a migration of activities even though ... local then ... and in fact save costs as CSC group you can prove it by looking at the global costs, by communicating it, by discussing it in town halls. I think that's less problematic. It is more interesting whether it is accepted that there is a case for change, which might have negative effects on individual people, or for oneself.

Interviewer It is more difficult with the acceptance then.

Person R Exactly. When you manage to achieve that it is accepted, that there is a case that the decision is right even though you might be affected in a negative way... When it is communicated openly but also in a way that everyone is taken by the hand ... that it is the right thing for the CSC and even though you might be affected personally that does not mean that you leave here negatively. You might have to leave the company but you leave stronger. There are possibilities outside the CSC group. We will help you. Maybe there are better jobs for you and your skills. Then you can take the employee along with you. The answer is now maybe going into another direction.

Interviewer That doesn't matter.

Person R Often it is a mixture. Only when you make your position clear to the employees that they support something for the benefit of the CSC, which might affect them personally ... But that it can be positive within, or outside CSC and that the company will care for them. Then you have the chance to take a bigger part of the employees along with you.

Interviewer We come back to the effect this had on CSC later on. But for now I would like to return to question 1.2 – change content regarding organisational change, process changes. There also has been outsourcing and nearshoring and offshoring and GSAP has been introduced. What are the success factors regarding change content, what should be monitored and evaluated in order to ensure a successful implementation?

Person R Especially regarding the shifting of activities?

Interviewer In general, to whatever aspects you can provide information. Maybe you have expertise considering the process in Finance for example or regarding the reorganisation and the formation of the Shared Service Centre. Which aspects regarding change content here in SCP do you deem important and should be monitored? You might be of the opinion that the employees or the executive managers need a briefing regarding what will happen to their employees. Or you say that different processes have to be monitored to ensure that they concentrate on Day 1. In your opinion, what are critical success factors? If this is too general, you can answer it within the context of SCP later on.

Person R It is quite general. Maybe we come back in more detail later on. As a basic principle ... but that is trivial ... important is a very good preparation with people who really know the processes and the implications of process changes. This is very general, I know. What I mean is that you should really try to play through what the effects of global changes on local aspects, the local circumstances will be. Of course, you cannot exercise everything but at least you should have a good plan under your belt ... what will happen if something happens which has not been anticipated. Ultimately a business continuity plan. Of course, you cannot have a business continuity plan for everything. But for critical processes, for critical situations, for legal aspects, for fiscal aspects you have to have something under your belt so you can say no matter what happens – if the process develops differently, in case the IT is collapsing, if something is happening I still have to be viable. And this always has to be up to date for the corresponding scenarios. And I have to have people on board because it can be ... when I decide ... what are the critical processes, which are the critical things that have to keep running ... then I prioritise. Certain areas are not so important while others are extremely important. From a psychological point of view, this is not that easy to get across. That is very important.

Interviewer Ok. Let's get to questions 4 and 5. I would like to find out the prerequisites in order to monitor and evaluate a programme like the SCP. Thus from the planning to the sustain phase. Which conditions have to prevail, which instances are required or what are the general conditions where you say ... before we even think about monitoring and evaluation we need to consider the following points. And who should be responsible for the evaluation and the monitoring of the programme?

Person R To the second point: Of course, you need a team, a PMO team, a programme team, an unbiased programme team that is solely responsible for the monitoring. This cannot be done next to the normal daily activities. Answered differently ... what is extremely important ... on the top-most level of decision making, on the topmost management level a consistent vision, you need a consistent picture and a consistent communication about what should be achieved and how that will be kept up via the different levels down to the local responsible business managers. The most critical are usually the levels in the middle.

Interviewer Sandwich Manager.

Person R The sandwich managers, who are either not informed well or who do not think according to the specifications because they have their own agenda and see the result of the process. Will I be a winner afterwards or will my position of power or my decision-making power be changed. And to force these sandwich manager levels to really go along with the process or to back out is very critical. There has to be the intention and consequence from the topmost top management to monitor that. For me it is important ... that you do not monitor ... whether the change process itself is running correctly but the top management has to get a picture whether what has been provided will be implemented accordingly.

That's what we realise on a local level with change processes as well ... when we start initiatives on a local level or the implementation of global initiatives ... also local initiatives ... the support cost challenges and whatever else we did that we are often closer to the employees than to the middle managers who first of all think about their positions and what a change would mean for them. And who sometimes block it or who cannot process the information.

Interviewer Now we are getting to the SCP. I ask that in every interview even though I know a lot already but some questions have to be asked. Please describe in your own words the SCP and what it was about? And please give an assessment whether the targets have been achieved, or partially achieved and about the current status.

Person R I believe in the globalisation context, the globalisation of the CSC group was the main aim – or at least for me this was and still is the main aim – is to streamline business processes and to make them more efficient so decisions can be made faster... business decisions with an impact to the downstream business on the whole. And that entailed the development of certain underlying conditions by IT which in our case has been done by GSAP but it could have been done differently ... To enable global or at least regional decisions with an impact to all national companies; to make this standardisation, this streamlining more efficient. That this did not work one hundred per cent in all areas is quite logical. And we still have problems. But for me the crucial question is where are we today compared to before. Not, here is a problem and therefore the whole change process did not work but how were we positioned ten or five years ago and how are we positioned today – in the sense of decision making with an impact on CSC Downstream on the whole; in the sense of portfolio decision making, in the sense of how we react to activities of competitors. Have we managed to avoid duplication of work or even triple activities. Have we managed to avoid competition within the CSC and within the downstream units by approach the same customers via different channels. And how can we ensure that we present ourselves as one company. And the crucial question for me is whether we managed to concentrate on customers, customer groups and on business models where we really have a competitive edge and whether we strengthened that. And to withdraw from other areas where we are not as good and where we have to invest more than we can get out being better than competitors are. As a global company, we have advantages but also disadvantages. We should withdraw from areas where we have disadvantages if we are not able to change our business models. A classic example is the commercial business where we used to fight for individual customers, for domestic customers for heating oil deliveries year after year ... where we competed against our own subsidiaries, against brand name dealers whom we delivered ourselves and where we knew that we won't have a chance from a cost perspective. We are positioned differently, we have different criteria in the sense of compliance etc. But we fought nevertheless without standing a chance. And therefore, to concentrate on what is ... where we have a chance to be strong, to be stronger, what is our actual strength. And to pull the plug in time in areas where we don't stand a chance. To concentrate on the customers in such a way that you can attune to the mutual expectations. That might have been expanded the scope a bit but that's the point.

Interviewer No, that's good. And your evaluation concerning the SCP – which level of achievement has been accomplished by now in your opinion?

Person R I think we got quite far. We got further than I would have imagined about three years ago. After the GSAP implementation or shortly afterwards I had some doubts. Because we as an organisation and many employees have not accepted for a long time that we cannot serve all customers while claiming at the same time we are a global organisation, and focusing. The more – and that's a still ongoing process – we accept that we have certain strengths but also certain weaknesses, the better it is working. What I mean is ... in certain business models and in business areas we positioned us in such a way that we concentrate on certain customer groups and no longer serve everyone. In the business processes on the other hand we overdid it in certain business processes in the sense that a lot has been automatised ... we fragment or no longer wanted to do certain administrative tasks. And in certain workflow processes, everyone is doing individual partial steps. And as long as everything is running smoothly, it is perfect. But we forgot that there are no processes that are running always 100 per cent. We make mistakes as well, every one of us. We forgot that this might lead to considerable inefficiencies. We have not built in enough checks how this could be avoided. Or we were not ready for that early enough - there is a rethinking taking place currently - to enter in a global process does not have to mean that it is 100 per cent global. It is by all means possible to have an organisation that is breathing, that is positioned different in the bigger operating units than in smaller or in bigger areas different from smaller areas. Accepted non-compliance in the sense of adjustment to reality.

We went head-on into a global process world and global structures which should have been fully optimised. And forgot that this is sometimes not workable and that adjustments are required. In the last 12 to 24 months, we have a strong move within the CSC to make adjustments to reality. I am of the opinion that we made a big step forward and will continue doing so in the next one or two years. But it was high time to do that. Because when you start doing that too late the organisation will lose out. When you have employees who know where things go wrong and they have the feeling that you will not hear that as CSC there are only two possibilities: either they quit inwardly or they really quit. No skill full and competent employee can accept that for a long time.

Interviewer To endure longer. Yes.

Person R That's not possible. And in the moment when there is willingness, not only willingness but a clear approach from top down ... that existing processes are not thrown away but optimised. To always keep in mind what the change will mean for CSC. Can I afford to do a process change or will I give up the globalisation by doing so. What is the pro and con of adjustments. In the moment, this is specified and it is now specified – I am very positive that we can make another major leap.

Interviewer Specified local-regional relating to DACH? Or overall?

Person R It is specified globally.

Interviewer Ok.

Person R Without a global specification, it would not be possible. In the past, in the last two years it has been tried on a local level again and again by saying here a process is not fitting, there the organisation is not right, here a business model is not one hundred per cent. But from bottom up it was basically impossible because we were positioned globally. Only with the global realisation that it is necessary to give the employees air to breathe and to take improvement requests seriously while at the same time making clear that not every proposal will be implemented but that there are things that will be implemented it is a lot better.

Interviewer Will these change requests be examined on a global level? Could these changes be implemented in all 35 countries?

Person R Yes. That is the principle idea, definitely, that ideas for change, ideas for modification, not radical changes of processes but adjustments will be examined whether an idea is so good that it could be implemented on a global level. Or a fiscal or legal compliance problem in a country could be solved which does not have to be implemented in other countries. That will be checked accordingly. The most important aspect of this approach is however, what I said just now, that a mindset change took place top down. In the end, the statement is to take the processes as they are but to check bottom up whether they achieve what should be achieved. If something will not be achieved and you know what could be changed then look for allies and make proposals how it could be improved. And that's the movement via continuous improvement. In various parts of the organisation, onshore as well as offshore, it is looked for further or continuous improvements.

Interviewer Would you say it was useful to do that only in the „Sustain & Improve' phase? Or would it have been useful to start earlier? Or would it not have been possible because you have to see in the daily business where it is leading end-to-end?

Person R It was quite clear that it would lead to inefficiencies but it would have meant a slowdown of the process changes. It is difficult to determine the perfect point in time for continuous improvement. Certainly not during the implementation. That would have led to the fact that many global processes would not have been introduced.

Interviewer Ok.

Person R Not because it was not wanted on a local level but because the interests in the middle management levels are different and so they are in the regions. And Europe is Our processes are a lot better than those in the United States. And in the States, they are of course better than in Europe. Therefore first of all rigorous steps had to take place. And now we have to backpedal a bit. Maybe this could have started a year earlier. I don't know. But the order is right.

Interviewer Yes, ok. The process design came from the global level but do you know how it has been designed? Did they say – ok in these countries we earn money by this or that method of operation, it works so and so fast, and therefore I try to apply it globally? Do you know how a global process was standardised which might not have been the same in any other country or maybe the same in one or two other countries?

Person R I only know it from the commercial side or from the finance side. It was looked which processes are used in several countries. Or where similar processes were used. To see whether there are standardisations. How big were the deviations in the processes in other countries. And countries where the processes were different were told that they had to change accordingly. From my point of view, it is right and it was looked how to ensure that processes which are used in most parts of the world will be implemented as standards. That's the right approach. This leads to two sets of problems. First of all it has not been questioned if what happened in smaller countries and what might have been more efficient could have led to global improvements. Not always what is done by ten countries is the very best. It can also be that someone in Switzerland has a good idea, which however will be ignored because Switzerland is far too small. That is something I saw in certain aspects and which was a problem. And which happened. The second concerns the formation of the SCP process team who decided which processes were set as standards in the end and there are certain areas where processes used in the States were set as standard even though these business models were not representable in Europe. And that led to violations of European business models and did not work. And these are the processes that are now improved again by continuous improvements. These two aspects were not so good.

Interviewer There are 12 main processes? And below those are 1- n sub processes?

Person R Yes.

Interviewer Ok. Good. Is there an end-to-end process map over all 12 process areas?

Person R Yes, there is. Whether it is PGS, MHI, Hydrocarbon Management, or the Cards processes or... With the corresponding process owners who are still available.

Interviewer This way role design and GSAP has been done as well then?

Person R Exactly. That's the next point. Role design and organisation. It is good to design roles accordingly and that's the way it should be done. However, we overdid it in certain aspects in such a way that certain aspects, which are necessary in the daily business, have not been mapped and designed. Especially in the finance organisation there are ... of course you can say there is a controller organisation. The roles will be assigned by me ... just as it is necessary in GSAP to operate the systems. But there are many activities which have nothing to do with GSAP but which still have to be executed. But if those have not been mapped and the roles have not been provided for my organisation and the number of employees have also been mapped accordingly. And the local organisation has to do other activities later on. This causes frictions. Interestingly this is dealt with at the moment by a number of workshops, which are also driven globally. It is important to have a clear message from the top which is taken in by everyone. And now for example the measure to look closely whether the organisation is fit for purpose. Not in the sense that GSOM is questioned but does it cover everything. Namely based on the role – not the GSAP role but the role to be played by the organisation. What is the role of a controller or of a Sales Manager. And derived from that, from the definition of this role it will be checked which activities should be carried out according to GSOM. What is necessary from the actual definition of the role and how big is the gap? And how can the gap be filled? That's an interesting discussion taking place at the moment. And that also means adjustments to reality.

Interviewer Did I understand it correctly that there is a GSAP job description?

Person R Yes.

Interviewer And now it is tried to adapt that to the real life job description?

Person R Yes.

Interviewer So real and maybe manual activities will be connected with the technical ones?

Person R Exactly.

Interviewer Ok. Only for my understanding. What was your role in or during SCP? And what is your role today?

Person R It changed. By the way, that's an interesting story. Of course, we had a project team in the SCP organisation where people changed but we had a lot of stakeholders, which played an important preparation- and implementation role. But they also changed during the programme. And that's a challenge not to be underestimated to continue even though people change. Originally, my role within Commercial Fuels was that of Finance Manager for Germany and also for DACH Cluster. And then due to changes in the organisation, which took place at the same time as SCP ... by a stronger silo mentality way of thinking ... a fragmentation of the organisation, I found myself in the position of European Finance Manager for domestic fuel oil only. But on the local level I had a second role as one of the managers for the CSC Direct Organisation ... as our main section of Commercial Fuels. And with this second role, which insofar was quite fortunate, I got to know what was necessary to prepare our organisation for GSAP. Which businesses can be brought on the GSAP platform without destroying business not representable. And at the same time, I played a role within the European Finance organisation and could propose ideas. Those dual roles – at least on management level – are a brilliant possibility to bring global requirements and local feasibility into line while exerting influence. From my point of view, the classic and consistently challenged matrix organisation of CSC proved itself. It will prove itself if everyone is playing his role in this matrix structure. If it is said not my job description is important but what comes out of it at the end. Which again is questioning the subject matter of GSOM etc. So up to the implementation of GSAP I played this role and was responsible on the commercial side.

Interviewer Implementation then in DACH?

Person R In DACH for Commercial Fuels. And later, after the implementation I got the Controller role here and have a dual role again. I am Controller for Germany and for the DACH Cluster and financial director. Insofar I have a Corporate Governance role and have to pay close attention whether the many global processes lead to local distortions. Are legal and fiscal aspects provided accordingly? And because I am involved in the European controller organisation, I can exert influence, bring up aspects, and feed them in globally. When we realise that we have a problem in the procurement process because the roles are fragmented, that the people are not trained well, that the processes have bugs, I can introduce that in such a way that it might lead via the global controller or the global Downstream Finance Manager to changes in the organisation or in the global processes.

Interviewer Ok. Good. In the other interviews, I also discovered that all who first had a local and then a global role talked differently about the programme than before because they then had a global point of view. During such an implementation, you often only see what affects you personally while forgetting the other parts. Well, they are not forgotten, but they are of no interest. And when you later have a global role, you see it through different eyes. Other colleagues said the same. I think it was also very helpful to have local people in global roles and to help other implementations. They could understand local sensitivities better by saying 'yes, I can understand that, but you have to see it from this or that point of view'.

Person R Exactly. That's a very important point. In SCP we talked a lot about changes in the computer systems and global processes. And this was often IT driven. That also applies to the consultant side ... very strong process IT ... and we were only able to bring in a strong business focus in certain areas. Local or in the DACH cluster ... I have to say we put a strong weight on that because we started about a year or a year and a half prior to the GSAP implementation with a very close integration. There again the Downstream Coordination Team is mainly responsible to think about how to generate value cross business and how we manage to implement this programme without our customers running away. We had a common interest and said that it cannot be achieved if the Retail Manager, the Lubricants Manager, and the Finance Manager sit together but we need people who really understand the implications of these process changes, or of emerging bugs. That means we need a second level, we need an Operational Coordination Team. And every business manager in the first-line management had to nominate someone responsible who understood the process while at the same time having a very good relation to their business manager. And then we established a kind of operational DCT. From my point of view, this was excellent especially in cases of crisis.

Interviewer And how was it set-up? In the DCT you had the SCP leads.

Person R We had the DCCT in there. That was the SCP Country Coordination Team or something like that, responsible for the programme, for SCP, for the SCP implementation programme. It was the DCT with some additional people. But basically the DCT, the extended DCT.

Interviewer Ok.

Person R That was only the organ, which ultimately had the power to say that it will be signed-off or to escalate to the top. But without understanding in detail, what the implications would be. And therefore the OCT came about.

Interviewer Who did it consist of? In the OCT, you had people like Person BP for Credit, who had Credit understanding and team leadership and who could supply resources to carry out tests if needed. Or Person A, who had an operational background and was respected in the organisation. Operational background, organisational background and a standing was important so that the DCT listened to those people.

Interviewer And of how many people did this DCT consist?

Person R Back then the DCCT was a sub set of the DCTs I think it consisted of about 20 people. They did not meet that often. The top of the OCT had the same size. Rather too big but we had to

Interviewer Because it is not possible otherwise due to the different processes?

Person R It is not possible otherwise.

Interviewer Ok. Good. Thanks. We were dealing with question 10. Describe your experiences in the change process of SCP. What was decisive and should be maintained for future implementations of this kind? And why? And what could be improved for future implementations from your point of view?

Person R What was decisive for the change process? Well, basically it was decisive that the change process had been communicated top down. That a strong programme team had been established. Therefore, I believe that it went very well in countries where the Programme Office played a strong role, which were also set up well regarding resources and had a close relation to the local management to include the corresponding businesses. In some other countries, the SCP has not been implemented so well. Namely in countries where the Programme Office did not have close relations. That's very important. Because it is all but a parallel organisation with implications to the business. What could have been done better on the global level is ... that via the business lines...it has not been clearly communicated in all businesses on the middle level that there is no alternative. And in the sense of ... and everyone said yes, it will be implemented. But that it will lead to changes in the Business Model ... in individual businesses for the benefit of the CSC on the whole but at the expense of some countries and especially the far developed countries. That was not always communicated clearly ... that it is accepted that certain businesses in some countries might suffer but that this is important for the benefit of the big picture.

Interviewer Did you notice any other points of improvement? Here in Germany or in other countries.

Person R What was very strong and again very strong in Germany or in DACH was the whole change network. And the change process has been driven very intensely vis-à-vis the employees which was not the same in all countries as far as I understood.

Interviewer Even though the same methodologies were used.

Person R Even though there was the same methodology but it was not done intensely enough everywhere. It is always the question whether the change process and the corresponding tools are implemented or used the way they are specified technically. How it is communicated to the employees. And when it is dealt with only technically by saying this is the process and now I communicate it and that's it then it is of no use. You have to make sure that the employees take it in and understand it. And I think that went quite well in Germany. That is at least my experience.

Interviewer Ok. Other points that were good or not so good? Now from the Finance or Commercial point of view?

Person R From the commercial point of view, the combination of Programme Office and the Business Managers was very good which I think I mentioned before. The Business Management took Ownership. And dealt quite early with the question of what will be the implications of SCP and especially from the system platform to my business. And therefore, I try to somehow implement my business, my current business, my current business model on this platform with work arounds or whatever. Or do I accept that certain businesses are no longer possible with the new platform and I adjust to that early enough and thus simplify my business model before I go to SAP or GSAP for example. And that was very good. There were some businesses who tried ... who did not do it the same way ... who might not have seen big problems like for example the Small Drop business in the Commercial area where it was clear that it will not get onto the platform. They went on the platform with only minor changes of their business model. Which led to problems later on. Therefore, it is very essential to know beforehand if it is possible to bring in the current business model and to draw the consequences early enough. And not to adhere to the existing structures. The exchange cross business however was very good in my opinion. As I said before, to really live the structure, to say that this change process can only be implemented together, countrywide and cross business. And for that purpose there has to be a strong integrated structure how we did not have it in the DCCT but in the OCT. That is important. And in all probability, it is a good learning effect for future changes.

Interviewer Do you know whether things like the DCCT, existed in other countries as well.

Person R Theoretical there were ... formally There were also those DCCTs. It was part of the structure. It was however not everywhere exercised the way it was exercised here. Here it was said, that it is not only a body, which meets from time to time to decide something, but a structure working on the topics. Because with OCT and DCCT we had two boards passing on to each other.

Interviewer And was this combination unique for DACH, because Person L wanted that for example? Or was it ...

Person R It existed in other countries and in the programme. But it has not be exercised. Therefore it is very important ... in the change process itself as well ... not to implement a specification which exists on paper But to identify with it, to live it. And that is not always the case. From my point of view, it is only done when one is really convinced that there is no alternative for the implementation of what is specified. And to have a strong commitment that the business itself should not suffer due to changes. That might not be the case everywhere. That depends on the strength of the leadership team in the country.

Interviewer Good. Let's continue with question 11. Has there been a systematic monitoring and evaluation of the SCP across all phases? I know that it has been done. But what exactly has been monitored or evaluated? And is there anything that you think was missing and what should have been monitored in addition? Or has there been too much monitoring?

Person R That's a good question. Of course, there has been a lot of monitoring. That's quite difficult to answer. For different phases ... well of course there was a global monitoring and also on the local level. Again from the German or DACH point of view ... we have during the whole SCP ... the question is when it should end ... because it is a project and it continues and is embedded in the normal organisation. During the technical implementation, the GSAP implementation ... after GSAP, the post-implementation ... there has been a very intense monitoring. Especially in the post phase, this was very good. Due to the monitoring, we settled inefficiencies in processes, problem areas very structured because we kept the teams also post implementation. We also did not stop with the OCT after the GSAP implementation. The business representatives in OCT and DCCT got to know each other well and therefore they solved problem areas together afterwards like the problems we had in the Fuels-Distribution-Interface. For several months it has been checked on a weekly basis where are problems at the moment, where do we have delivery problems, why do we have stock-outs again, how can this be solved. This structure was kept even though it was not intended. It was similar on the Lubes side where we might have been too naïve in the beginning. There we have ... maybe the organisation was too fissured, I do not know.

We reacted too late to the considerable problems in the customer interface of Lubes. On the Fuels side it was a lot better.

Interviewer What has been monitored pre Go-live in the OCT or from the OCT to the DCCT? Was it work progress or what has been monitored?

Person R It was work progress and how the training went. Pre sign-offs for the corresponding phases whether the businesses know what changes are coming up and whether they are prepared. That was done very intensely in the individual businesses and was carried into OCT and DCCT.

Interviewer And the core points? The DCCT met once a month?

Person R They met once a month. And the OCT was ... I think ... even though it changed in the process. The OCT met more often, from time to time even weekly.

Interviewer What were the core points in the DCCT? What was the procedure in a meeting, what has been discussed and how? Was it dealt with by classes of business or by process area? And how was it structured?

Person R There was an overview per process. And then every business, every class of business stated whether they had difficulties, whether there are enough ... about the training level, whether any impacts on the business are feared. It has been done business by business.

Interviewer Ok.

Person R There was an involvement from Austria and Switzerland because the business was not set up countrywide but in clusters. Even though that was quite difficult. We realised that it is a big advantage to sit together in a room and to discuss the topics personally and not virtually.

Interviewer I experienced that as well. Issues can be clarified much faster if you can go over to someone instead of trying to explain it for an hour on the phone.

Person R Absolutely. In addition, I realised that once the regular meetings were over, automatically small groups found together. Commercial, Distribution and Credits stood together to discuss certain points. That cannot be done virtually.

Interviewer No. Exactly. The last point. You already mentioned it but please state once more shortly and explicitly the change management related success factors for the programme. How important was the „Change & Engage’ workstream? Have there been experiences compared to before where it was said that this is needed? Or has it been done generally because importance was attached to that? How did it come about that there has been such a workstream? And which importance did it have on SCP?

Person R On the one hand, it was provided by the programme. On the other hand, we had good experiences or learnings from the merger process with Company X where we had an intense Change Process, a Change Programme, fulltime Change Manager and where Change Agents implemented the businesses in the end. During the merger process with Company X, we thought that it is working well. And realised only in the second step that there were deficits because the cultural changes had been underestimated which really got to us for quite some years afterwards. And to some extent even until today. Look at the cultural differences in ‘Location B’ between South and North where businesses or units came together that had been competitors before. Over years, they existed like two organisations even though there were one team. The Rhineland is still struggling. There we have a ‘Refinery A’ and a ‘Refinery B’. They have separate locations but we expected that they become one organisation within two, three, four years. But even today, that’s not the case. The cultural differences have been really underestimated. But we learned from that. We said there might not be such big cultural differences with future change processes like the SCP. But we have to deal with how changes, how communication is affecting employees and we need to get input and feedback from the employees early on and have to take that seriously. Therefore I think that it was done especially intensively due to the negative experiences of the merger. Even though the merger has been presented as especially good regarding change. But if you are honest, it was not that good. The merger was good but we had many deficits, which did cost a lot of money afterwards.

And therefore, it is taken very seriously now not only in SCP but also in portfolio change projects. It is not important if someone is officially the Change Manager. Within the project change plays a very important role.

Interviewer The function has to be filled regardless how it is called afterwards.

Person R The function itself. Exactly.

Interviewer Sometimes it has a somehow negative touch because it is said what it is needed for. But the activities need to be done.

Person R Exactly. You have to take care that you are not just taking the wording. When you say we do change management it's in one ear and out the other for the employees. They have to feel being included.

Interviewer That's right.

Person R In the migrations, whether it was Customer Service Relocation or in the Finance area, a big emphasis was placed on that. What is the organisation like today, what will it look like later, which changes will take place in the processes, what will it mean for the individual employees. We always carried out this pre-engagement with the employees longer than it was planned for. Because only if we are of the opinion that it is understood we are prepared for surprises and changes are possible. But meanwhile this is bread and butter in most parts of the DACH world, in the DACH organisation. It is clear that projects have to be prepared well in the sense of change process engagements.

Interviewer Ok. We are now done with my questions. Do you have a closing comment to the topic monitoring and evaluation regarding big change projects? Or did something else come to your mind? Or should we leave it at that?

Person R I don't know. A really important point is the post-processing or the sustainability of all change processes also here in SCP. It has to be taken care of to ensure early on and thus before the implementation that the momentum is kept up, that structures or processes are still there even though they are slimmed to ensure that you are not falling back into the old habit or that it is overdone. I don't know whether it is CSC specific, but this is often forgotten.

Interviewer I don't think that this is CSC specific.

Person R No, or is it? One is extremely focussed on a certain point when something will be implemented, something will be migrated or when a system change will take place or whatever. But you do not pay attention ... and do a post-implementation afterwards. But it is forgotten to how to make sure that the changed structures and processes are maintained. This is a typical with cost reduction processes for example. Great structures how to do cross challenge, how to make zero cost budgeting or whatever. And then it will be implemented and you show what has been introduced successfully. And when you look two years later how it has developed everything is gone again.

Interviewer I also think that this is an important point. Usually it is go-live driven and then, what happens afterwards?

Person R Exactly.

Interviewer Ok.

Person R Good.

Interviewer Thank you very much.

Person R You are welcome.

Interview transcript – Person V

Interviewer We go to the questions and the question set 1 in combination with question 2. For question 2 we need this framework.

Person V Let read me it first. Content related change, enterprise resource planning, business process reengineering, okay. Please assign these critical success factors to the following phases, okay.

Interviewer In this grid here.

Person V Sustain is similar to what we call 'Sustain & Improve'?

Interviewer Yes, right.

Person V What I would say is in terms of critical success factors, first of all is a clear scope. Because the clear scope defines what you monitor, evaluate and what your measure afterwards. This defines your deliverable. So scope needs to be very precise in a way, needs to have, let's say, all parties agreeing to it. The worst, which can happen afterwards, is change in scope. It is of course always a living project, there will be changes, but if you do not close it early enough and you might know from CSO we have got this event we call it BMPR, in place. Have you ever heard it?

Interviewer BMPR? No.

Person V In terms of the processes we start off with we call it of course the conceptualisation and the initiative, the initial phase in terms of defining a scope for a project, take SCP, let's say, at senior level, global level we define the scope of it, the countries involved, the businesses involved and so which is in and which is out. Once we have done that we move into the countries, we do a leadership mobilisation. Leadership mobilisation means we are discussing with the leadership team the objectives and targets of this project, SCP, I take SCP as an example. Then we go through a process in making them understood what will come up in the, let's say, phase over a period of 24 months until we go-live with new organisation, new processes and the new system. Based on the leadership mobilisation we discuss with countries because it smooth already into, let's say, scoping what is different in various areas where you want to more or less implement the change you have defined. Here just as an example, take business models, if you want to change business models as part of SCP we did, then you need to find out first of all so what kind of business models do you have in country? What is different? What does fit into your standardisation and simplification journey? And what doesn't? That is part of the scope definition because then we have to get to an agreement with countries and country leaders on what has to be taken off more or less even business models, stopped at some point in time and what can continue and might be changed. So to get to that tough of decision we run a meeting, which is a final meeting where we decide together with global representatives as well as local representatives, let's say, what is in and what is out. This is BMPR, business model and process, let's say, review session which then automatically leads to a sign off.

Interviewer And this is in the initialisation phase?

Person V This is in the initialisation process and I think this is quite important because in the initial phases we didn't have that BMPR. Everybody thought we are in full agreement on what the scope is and what isn't. So now, we have with global and local a clear decision point, clear alignment. Based on this we have got a scope document which documents everything. This is the basis where you then can measure and track and monitor whether in the, even in the implementation phase, concept, mobilisation and implementation phase, you are doing the right thing. Did they close and stop business model A, B, C and D or not.

Interviewer And this was the focus or the driver was the business model or were the processes?

Person V Both.

Interviewer Both okay.

Person V Because at the end, at the end the core driver is business models because you need to have business processes in place to use business models. So in a way, let's say, we have taken off via the standardisation and simplification objective at the end which we tried to implement, we have taken off very, let's say, complex business models which didn't generate, let's say, the profitability which is required to keep it. In some countries tough decisions because you can imagine in a change project of that type of scope we are running in SCP you could argue in country, in one country it would make sense to keep a business model whereas globally it doesn't. Because globally the costs of managing, let's say, it in a system even might be too high. So couple of key decisions have been taken globally and locally closing the scope. Based on the scope document in the end, what happened then in terms of, let's say, monitoring and tracking process is, first of all, as I said is progress being made on standardising and simplifying the business based on the scope, let's say, document which has been signed off which is business models and processes. Then of course, the second bit is then once we have closed the scope more or less is thinking about how do we setup the project in country. However, we had a, you can imagine after a couple of deploys in countries in SCP after the fifth, sixth deploy, we exactly knew what to implement in country. So there was a clear master plan in place. But that is key, you need to have that master plan. You need to know how to drive and how to manage 'Change & Engage' initiatives. You need to know how exactly you need to drive, let's say, change behaviour in country. You need to manage particularly, let's say, the resource requirements in country and at global level, the support provided at global level etc. So, a clear we call it 'Plan on a page' has been put in place. You know it?

Interviewer Yes.

Person V So based on this plan on a page of course tailored to country specifics but very much in a way, a standard plan on a page we have used over a period of 24 months which then specifies various checkpoints which are then related to progress being made either as I mentioned on a change side, the business model side, the process side, you can argue on a resourcing side are you ramping up at what time - so checking the deliverables on that side. We put in place, that is in this phase a key success factor, put in this place we call it a BRR, business readiness reviews, various checkpoints where we fly in core experts from the group from the various countries, businesses and functions and do an one-week assessment based on prior, let's say, assessments offline. We do a session with the local teams and we come up with a report out and the traffic lights related to this in identifying the core concern areas where countries are behind target or where countries are well on target.

Interviewer These BRRs have been done twice if I remember correctly?

Person V We have even done, let's say, we have even done in the latest deploys three. We start off now even with a BRR0.

Interviewer Okay. As a baseline?

Person V That is in addition to you know the BRR1 and BRR2 we did in, I would say, in 20 or whatever deploys. The reason is, let's say, to have at a relatively early stage, because 24 months is a very long time, at a relatively early stage already a checkpoint on a couple of, let's say, early deliverables.

Interviewer What are the criteria or the elements that have been reviewed in these business readiness reviews?

Person V It is twofold. One is very much linked to and this goes into detail, very much linked to class of business by function is linked to the fact that, has the standardisation and simplification happened as it should be. Did they kill the business models they should kill? Did they detailed out, let's say, to which extent the standard processes can be used in countries, in figuring out potential changes in the system which are required to use, let's say, the country requirements needed for the easiest argument is legal and fiscal purposes. So to find out in detail what needs to be changed and customised in the system to run, let's say, the business in this specific country based on the legal environment they are acting in. That is this one area. The other area, the core criteria and areas we looked into is PMO, and PMO you can look into staffing up the PMO, let's say, we looked into the project charter whether, let's say, the right measures, the right tracking has been put in place. We looked into whenever it is due, let's say, has our preparatory work for training been set up properly.

We looked into also, you might have heard it, is a specific work stream called 'Icebreaker.' Icebreaker is the piece we put in place at a later stage, not in the beginning, but at a later stage of deploys because in our global organisation and running the classes of business and functions globally, our organisation tends to look at it from a more or less, let's say, silo mentality than looking at the integration bit. So we checked also via the BRRs whether the integration, the handoff points of processes working in conjunction with other classes of business and functions are being worked and looked at properly. So that was more or less the PMO piece. Then we looked as well in the classes of business and functions, and looked at classes of business and functions specifics which is then more or less really the tracking on a clear structured checklist whether they have delivered on the milestones they should have delivered and also touching on even, let's say, things like, and it depends on more or less the timing of the journey where are you are in, things like did you discuss with third parties, with your customers, did you discuss with your parties your or interfacing with the journey, the next steps forward, are they aligned. Just to make sure that the whole organisation including external partners are fit and ready for the go-live at a certain period of time. So quite a huge list, a thorough exercise, quite a number of people we flew in to countries. Because I believe, it is pretty important and one key success factor is to show presence face-to-face in country and have those discussions face-to-face. You cannot do this virtually. So that was one of the key success factors of those BRRs. And also you need to create an atmosphere where people in country, different cultures, you need to take this into the consideration as well.

Interviewer Has this been taken into consideration?

Person V Yes. Are able to open up. Because you can only, because we have to rely on a judgement call of people in country. And if they do not open up, if they do not put the issues on the table, keep it under the carpet at the end, will not be able to resolve it and will end up in a disaster at go-live. So, here is a big even change piece related to BRRs. Because you need to get people on board and telling them 'Come on guys, this is something which is not an audit, it is something that helps us jointly to get a grips with the complexities we need to manage in your specific countries or environments.' So we looked into those, so where are the cultural differences are, how we tackle that best and how do we manage that best. So you can imagine China different to Canada and different to South Africa and different to India. By the way, we got a good experience after that. So those are the readiness reviews we are using. However, in parallel to those readiness reviews we had a checklist which we looked into on a biweekly basis by country starting even in the beginning. The checklist, the overarching checklist was that we used relatively quickly, we call it dashboard approach. You might have seen that dashboards with traffic lights for various key areas, business related, IT related, 'Change & Engage' related, more generic part around issues, so what are the core issues. This dashboard, let's say, we have discussed with the local PMO and global PMO on a biweekly basis. In case you see that countries, let's say, run off rail we increased the frequency. Because it is a key requirement for a PMO at the end is to create a very disciplined approach. If you do not have a discussion, which is data based and data driven it is a disaster in a way as you will lose time. So the more you can track the more you can show it based on data whether you are behind target or whether you are ahead of target or whatever the easier the discussion is with both parties. So the dashboard helped. Part of the dashboard was another checklist, which we checked as well, close of business by a class of business and function. Because we let the business and functions define what are their KPIs, what are their key KPIs we need to measure. These are twofold. One fold is, we need to measure, let's say, the stability of the business to deliver current, on current processes and on current KPIs. In parallel what we need to make sure is that those people understand which KPIs might change based on running different processes or different business models. These, let's say, countries at a certain period of time they change needs to switch over to a new KPIs and new business processes at the end. So we need to measure that switch as well as then the updated KPIs running towards go-live. So we had a set of KPIs, it is again things like even invoice accuracy. It is, you know, the famous 'OTIF' measure, one time in full deliveries, those types of measures we looked into. And the trick by the way was and it was not an easy exercise, the trick was to define the right target levels. What is a sufficient target for a KPI, which enables us to go-live? What is an unacceptable performance, which make us think for a Go-decision? And clearly here, we also have to differentiate because the class of business came up with their aspirational targets and the aspirational targets of course from business perspective, from an operational business perspective made fully sense. However, it must not be that this level is a must-level for a go-live for an implementation of SCP and the IT change at this point in time. So we had two targets: one target, which was a must-level for a go-live, and the other target, which was the aspirational target.

Interviewer To be achieved later on?

Person V To be achieved later on. Quite a key discussion because you need to have that discussion and if it comes to the tense period, and this is implementation, moving towards go-live at the end is then you need to get to, if they underperform, you need to have that discussion early. So this kind of metrics you look into in parallel to the dashboards. So in a way it fed the dashboard, very thorough piece of work. And then we did, the classes of business did it, they did compliance reviews. Compliance reviews also linking then into the dashboard and linking into these checklists.

Interviewer Compliance in terms of how close are we to the business model to be achieved and how close are we to the processes?

Person V Both.

Interviewer Yes, both and maybe to the role mapping in the database for SAP.

Person V You can go into those details. But those details, I would say, come later. But in a way you are absolutely right. Because you kick off with business models, processes and then you just execute it. So that was the compliance, by the way I forgot to mention those are part of the BRR as well, overall it is compliance reviews. So another key success factor through the journey, I think, is not only this close monitoring and tracking of KPIs, it is, let's say, having with the management team, the senior managers even team sessions. We called it DCT, you might know, the Downstream Coronation Team in our project, on a regular basis team sessions. We had very focused sessions even on teamwork, are they a high performing team yes or no. Tough decisions to be made if people are not on board. So the whole change behaviour area is a key, let's say, criteria for a success of those projects as well. You might know in many learnings we have come across is the leadership team and the leadership element has been perceived as a key driver.

Interviewer Yes.

Person V We need the DCT, we need the GMs in country, even senior leaders. We need their support, we need in their drive, we need their involvement and all these, let's say, steps reaching to the target and reaching to a successful go-live we need their involvement to a high degree.

Interviewer And these structures as you said, the general managers and the DCT were all the same built up and each every country implementation?

Person V I would say 90% the same.

Interviewer Okay.

Person V However, of course it developed over time. I can say the first five, six, I have been involved in the first five, six deploys but then they after, let's say, we got after ten I think we got to the right structure. Because for a global company it was not that easy, let's say, set up a structure which is, I would even say, a three-dimensional or four-dimensional structure. Because what we have is global class of business structures, we have got the local and global element, we have got processes across the classes of business and functions which we need to manage and this needs to be managed all at the same time. So we used in a way, you might have heard that, we have used the four box model.

Interviewer No, I have not heard about that.

Person V So, in a way the four box model is in simple words is: starting at global level we have got a global PMO being set up and we have got at global level the global VPs, the global representatives of all classes of business and functions, and both have in country a structure; the businesses have their operational structure in country and the PMO, so we have got a PMO in country as well, with country, let's say, project managers, 'Change & Engage' leads and you name it. Those are four boxes. Now the trick was how do we link best and engage best with the key stakeholders at local and at a global level.

Because if you let the communication flow go in all sorts of directions up and down and, you know, from the global business leaders at global level into the CPM team in country it would be unmanageable. So what we have defined clearly is that we drive, let's say, PMO activities only via the CPM, via the global PMO into the CPMs and they liaise at local level with the business leaders and drive the implementation in country via only that access. So it does not go from global into the business. However, you can imagine that the other line local business needs to liaise with global business. If, for example, you come to questions around kill business models they would escalate it up the line into their global leaders, which then would link up with us. Those were the escalation lines because it is quite important to define communication and escalation lines because if you give it a free flow, unmanageable to manage it.

Interviewer Very good, very helpful.

Person V That is what we call the four box model.

Interviewer Full or four box?

Person V Four box. The four boxes.

Interviewer Yes, okay.

Person V Based on this we set up the structure. That was more or less a development based on experience in the past. Now we are using it in all, let's say, projects like even in the 'Upgrade.' So that was one of the other key success factors.

Interviewer Absolutely necessary have this kind of governance structure.

Person V Yes. And again by the way it is not only linked to the four-box model, channelling communication either it is internal or external is a key success factor. Because you can in these type of big, global projects you can, let's say, create an industry of work, unuseful, unnecessary work if you do not communicate, let's say, the messages properly down the line and into global. So here again communication, 'Change & Engage' is working this, very critical. Other key success factors now a bit more in detail, conceptualisation and mobilisation, quality of people. We made sure, a bit learning also in the beginning but then, let's say, all the latter implementations, we made sure that we get the best people with the right knowledge of the business, with the expertise in IT, so we get really the key people into the project, and the key people involved in the project driving it. Usually an organisation tends to put people not as knowledgeable in projects.

Interviewer Because of the daily business they have to manage.

Person V The limited nature and the P&L is more important of course than a project for operational people. However, let's say, we made sure in discussions at global level and at local level that the business understood how important it is for them in leveraging, you know, then more or less the project for a leap jump in profitability afterwards. We made sure that they understand. Only the moment they understand, there was support. So you need to tell them what is in it for the operational business and linked to this by the way is how do you track profitability, cost reduction in parallel to the implementation, which is difficult. However, I think in some countries we got it right. So that is, I think, the other piece the quality of resources you provide for a project, not only for the PMO also in the business. Moving ahead and by the way here tracking and monitoring freeing up resources was, I would say, 20% of my time as I have been one of those previously implementation managers and now assurance managers. Twenty per cent of my time was making sure that people are the right people, people staying in the project that is the other point, which is important. We tried to make sure that those people dedicated to project activities stay over the whole period and do not get replaced.

Interviewer For the country implementation or even further to have some learning sessions

Person V Even in global ????. It happened but also, let's say, the moment you manage at global level various country deploys with clear dedication at the end and you have to train up another person him understanding at a critical phase that is, you know, the three months prior go-live the hyper care period or whatever, to make sure that he understands what needs to be managed, let's say, in this specific country or at global level is difficult. So knowledge transfer in critical phases of this project is very difficult. So keep stability. So stability is the other piece.

Then mobilisation of external customers: so, how do you get best customers interested in supporting something, which is currently working for them flawlessly. I mean I get to them and say 'We want to change the process. We want to change your IT interface.' It causes and their side additional costs, it causes and their side additional effort. So what's in it for them? So you need to really create the business case for them as well - key success factor. Second point is, make sure that they allocate the right people, knowledgeable people to our project because if they miss a deadline it will have a negative impact on us. So reaching out to customers which we have identified early, have that discussion with them high level first, get them involved into plan on the page activities at early stages, particularly with 'Platinum customers', 'Gold customer', you know, our key global customers or the key effort. In some cases it caused additional costs on their side. So that is the other piece in terms of mobilisation. A third piece I wouldn't underestimate is, I would put it under mobilisation as well is, if countries, let's say, have got legal and fiscal changes, let's say, on their cards in some countries we even reached out to talk to the fiscal authorities in terms of telling them what we do and what it would mean for us if they change. I mean, you know, you can change a VAT number easily in a system but if you are changing a fiscal environment, let's say from regional taxation to country taxation and this was by the way one of the big challenges in India. They thought over to postpone it not because we intervened but fortunately, they postponed it. But we reached out to them and telling them that not only for us also for the other industries, for our partners etc. that is an issue. So in a way those types of discussions happened as well. I would put it under, let's say, at least explaining to them what happens on our side. Also explaining to them if we are, let's say, changing our system for example close to a year end at the end because you need to get your annual, let's say, reports right. That is at least also we asked them. So in terms of if things fail what do we do, what do we need to do as backup plan etc. So do not forget that, this piece, it is a specific piece, not relevant in all countries, but in some areas of the world, it was very useful that we did it. Implementation, what is important here? I mentioned the trackers, I talked about it. Just let me think about what we did as well. One key tracker is, we call it the 'sender receiver metrics'. Sender receiver metrics measures whether we have covered all the handoff points, also with traffic lights, with clear names. I have got forgotten to mention it, with clear accountabilities and responsibilities. If you are not clear and it is a single person accountability not a team, it is a minor thing people believe but if you do not dedicate a task to one name you will not succeed.

Interviewer Is this also working Asian countries or in countries for example where groups are more important than individuals?

Person V It did work.

Interviewer Okay.

Person V Definitely, let's say, required a bit more time to change behaviour but it worked, by the way in China very direct. In India it took more time because they tend to dedicate always a team to a task.

Interviewer Yes, this was the

Person V And then you do not know who to look at because somebody needs to be in point. So now we changed that and they accepted it. Because I think if you build up your communication in a way that people understand how important it is that you need to run a very type of disciplined approach the closer you move towards the go-live date of SCP here or GSAP - SCP is bigger as you know - then people understand and follow. So apart from that in the implementation, what is important in the implementation, you know this, we have not touched on training yet. So one of the biggest, let's say, challenges is to train up an organisation and big organisations have thousands of people, to bring them up to speed to use the new processes in the system, to use the system, let's say, properly at go-live. So all the various, let's say, training events are quite key. The other, let's say, area which is quite key is the whole testing area which is system testing. And then at the end, let's say, it is also, it is partly testing our people whether they have understood it. So the system testing, you know, the flow at the end is with the ITC and integrated test cycle and the user acceptance and etc. etc. cut testing and then the LES. So, talking about business, the business element of it, so we run two LES, live environment simulations. We do it over a weekend. We more or less simulate business as usual.

Interviewer I had the impression at that time here in Germany that it was not an end-to-end test it was more slices of a process, but this is just my impression. Is this true? And a learning that you should test later on even in LES end-to-end processes?

Person V Germany was I think that sixth or seventh and we have done 35 now. So what we learned is, and this is why Germany then came up with the Icebreaker approach, we need to do the end-to-end testing. We cannot do it in all process areas. We need to do the end-to-end testing and identify the scenarios where we do the end-to-end testing based on ??? based approach. However, we made sure and this is tricky for a PMO that run it end-to-end that really information is provided to, at handover point, to the next party executing it. We only, let's say, signed off a successful process being run in the testing once it reached the end of it. So you can imagine the coordination of people, coordination of location in that regard was quite key. It is a masterpiece of work by the way. So end-to-end testing differently, key success factor. This is by the way and again where you need to measure, you need to measure also the readiness of the handoff points based on LES in that regard. You need to have a very rigorous approach when you run LES, a very rigorous approach to identify the defects in the system, identify the knowledge gaps of people, identify even, let's say, where processes do not work, so these types of things. A very rigorous and there are IT tools available as PMToolkit, you might know, which we used for issue management. And on the IT side, HPQC they are using as well. So some of these software packages which are on a daily basis during those type of events provide you the picture. So this is I think again key, LES. In LES1 we more or less mobilised 70% of the company, not all users. Core is in this is more I would say, the core of LES1 is more IT driven than really, let's say, LES2. Whereas LES2 is much more training driven in a way, we test the capabilities of people assuming that in LES1 that is where we identified the IT defects, fixed them prior to LES2 and then run LES2. Hundred per cent of the users should be involved in this. However, you can imagine, usually there was always a gap that time went off between those two LES. In many cases too short because they could not fix in the system the defects on time. So then definitely, let's say, you do the IT checks as well during LES2 as well. You might argue in a very complex implementation to do another LES. So LES2 usually comes four to six weeks prior go-live. In some very complex implementations where we are faced with many defects even in LES2 people were asking for a LES3 which we didn't do because just the effort is too big. We did not want to divert, let's say, activities in the business and in IT from resolving defects, from doing the last-minute changes on their side, doing the last minute, let's say, interactions with the customers etc. etc.. So, we did not do a LES3 but I think we did the right thing. What else? Then when it comes to the implementation moving towards sustain, and we call it 'Sustain & Improve', then the setup of the organisation and the preparedness of the organisation for running, we call it hyper care, more or less the tense period where monitor and track progress being made on a daily basis.

Interviewer Business KPIs or?

Person V Both. So what we do is, we put a structure in place, which even starts in onboarding the teams two months prior our go-live. We start tracking the, not only the operational KPIs, we start tracking implementation go-live KPIs which are different from operational KPIs and compliance KPIs. So for example, a classic example would be on a daily basis tracking the resolution of defects. Put the structure in place with the business jointly together with the IT folks, with GSAP. Sit together, monitor progress made in every area. A huge checklist, I think it is 230 or whatever criteria. All the criteria around, you know, the big headlines are, business readiness which of course you can imagine is compliance and that sort of stuff. So all the trackers we have talked about already are being monitored on an ongoing basis. Then on the IT side the big thing is of course everything around is the system ready, defects being resolved, so those types of questions. On the 'Change & Engage' side a long list of trackers around people readiness, training, organisational design, is that fit for purpose in the system, is it set up properly. Are the roles really, let's say, roles to names in the organisation fit for a go-live on April 1 for example. So, that is that whole piece. Then financial controls, are the financial controls signed off, did we looked into everything in that regard. Next criteria, the critical applications, are all the critical applications, the systems they are interfacing with, is that in place. Is the infrastructure in place? Are all the printers in remote locations being set up properly, working properly, also based on the defects being raised in LES? However in some locations it took longer than one-week. You can imagine maybe, in India for example there were locations that really kept people busy just travelling to locations over six hours to a depot, so even the technician was not available at that depot. So travel time six hours one way, 12 hours two ways and they had to fix it, let's say, in the locations. We were caught in India by floods as well in Mumbai.

So, even the antennas receiving data information at the end in remote depots, let's say, did not work anymore. So you need to monitor those types of events in those hyper care sessions. You need to monitor that as well. Quite critical as you can imagine if a printer falls over and you cannot print in countries where you need the invoices on truck, when a truck leaves a depot you have got a huge problem. So, this is a very, very big hyper care go-live checklist and we went through it on a daily basis. We looked into of course we looked into ambers and reds only. So, green we would assume it is okay. And by the way here it is important that and I mentioned that in the beginning that people are really honest. They do not do themselves a favour if they are not honest because then the disaster is coming with no doubt when we go-live.

Interviewer And then you do not have any chance to fix it.

Person V Any chance any more. So that on a daily basis and it worked like a machine. You can imagine, then defect resolution overnight in Chennai and Bangalore and you name it. So, that worked like a machine. I think it was hundreds of people with clear instructions, clear accountabilities worked on it. Then in parallel of course we were in the process we call it 'Go – No Go process' which we ran with the senior managers because ultimately our top team, and I did not touch on this, but the governance structure that is how we set up at global level is quite key as well because you need to get your key stakeholders involved because ultimately they take the decision. Can we go-live, can't we? Are we able to take the risk, yes or no? So more or less two checkpoints, one is two to three weeks prior go-live. That was the you can stop that project just a minute before go-live but that is a disaster anyway because it costs a hell of a lot of money to go back to, let's say, the old structure and systems et cetera. However, we thought three weeks prior go-live we could stop it without a major impact. So, that is why we have chosen to have at checkpoint meeting with our executive steering committee members. We gave them always the information provided by the countries and by the business, which we checked in this 230 line, checklist and then we got in most cases, we got to a GO. That runs in parallel being fed by the hyper care process. You need to on-board people for hyper care processes because they need to learn it. So we did even dry runs. Make sure that people understand it. You cannot just assume that people do what they should do. So we really, let's say, did in countries, at least in my countries I did it, we simulated a day, a day in a hyper care period. So then assuming we went live we followed through with the hyper process which then meant very rigorously KPIs are being gathered in the morning, so business performance. In the end here it is key not only process performance, business performance as well, both. Because we, because then those KPIs were discussed in management team meetings with IT representatives, just to get a feel on how did the business go the day before, any gaps, any processes didn't work, any interfaces didn't work, just let us know immediately. That got fed into those business meetings. Based on those business meetings they escalated the issues, the real issues and prioritised already, escalated it already into the IT team meetings by business and function. The essence then of that discussion got fed into a lunchtime meeting. In the lunchtime meeting, it was the central PMO, the local PMO, all senior leaders by the way in country around the table and discussing progress being made and then dedicated tasks to resolve issues, defects et cetera in the afternoon. Apart from of course the whole communication bit which needs to be managed then globally. So you might have seen reports, our daily reports being sent out to various key stakeholders. So this is hyper care, usually hyper care is around six weeks long. Hyper care is also divided in two phases, one is very much, we call it a supported phase. Supported means a very, very close support from the IT folks, from the GSAP team, from the project team, support to the local teams. The turnaround of defects, the very short distances, or short link into key teams of the IT is a key success factor three weeks post go-live. But you can imagine this is a very expensive machine.

Interviewer You said, you put additional resources in the hyper care phase. Is this then external resources or where do you find the additional resources?

Person V From the business. The IT is set but from the business you need to have additional resources dedicated to the project because here you need to involve for example, classic example is, you need to involve in hyper care much more the sales reps then you did it prior. Where do you get the information from? Well let's say, maybe even invoices are wrong, however, based also on experience what we did by the way is we involve those in the first ten days post go-live because we manually checked every invoice before we sent it out. We made sure that every invoice has been checked by the business and who is best placed to take those invoices and prices, whether the rebates are right, who is best placed, sales reps. Because those have not been involved that much even in LES, to a certain extent yes, but not all of them. We did not hire additional people. We just used more people of the organisation.

Interviewer Okay.

Person V So then you run through two phases in hyper care post go-live, and one is in the hyper care IT support. However, this is an expensive machine and maybe Tobias might have talked about that. This expensive machine you cannot keep for a long time because the whole role-in schedule was already, let's say, set up in a way that this team should be used of the three weeks for the next country deploy. So, a delay in the supported period or an extension in the supported period for this country A would have had an impact on country B. So, then we had at checkpoint again based on the key criteria, the similar criteria in a way we were using for hyper care meetings where we decided to move to the 'assisted period.' The assisted period, let's say, is more or less comparable with a more type of standard management of issues, defects and operational issues which is closer to business as usual than of course the supported period can be. After, by the way and here we are using if you are familiar with this, let's say, we moved then into raising defects via tickets whereas in the previous period, in the supported period, the business did not need to raise tickets. It was just a direct link into IT. So, then we moved into the more business as usual. After six weeks another checkpoint where we have decided can we know close, can we stop hyper care and move to business as usual. Part of that meeting and key of this meeting is and was that we locked all the loose ends, all those issues that have not been resolved, open defects, not resolved step-outs and workarounds. You know what a step-out and workaround is?

Interviewer Yes.

Person V With clear deadlines, timelines, ownership and so on. Because you need to track those in the sustain phase as well. This is usually then more or less the point when we moved to 'Sustain & Improve'. So we made sure again, it is similar, it is comparable to a scope document when you move into the, let's say, implementation, concept and mobilisation and implementation phase, you need to have a document which defines what are the loose ends after hyper care 'Sustain & Improve' have to look into. Then also, you need to make sure that the structure in country, which supports 'Sustain & Improve' activities, is set up properly. You might know, not going into detail is the structure around process councils and even in country, and Germany is got a very, very peculiar and specific setup, I would say luxurious in a way. They have got a specific team, they had a specific team it is now reduced, they had a specific team for a certain period of time to manage the 'Sustain & Improve' initiatives post go-live. Currently, we have the S&I structure, you know, which is, let's say, being worked by a team in country, usually it is two to three people. What they look into is definitely managing the loose ends, gathering the information on potential improvements also coming from the process councils, making sure the country is prepared for any kind of changes in the system post go-live via bundles through retrofit activities or even, let's say, if you have a change in the interim that is something what they need to manage including all the activities that are required in mobilisation of people doing it, testing activities and you name it. So, that is a key point from a deploy perspective as well. And learnings here is usually the organisation is tired.

Interviewer Yes. Always.

Person V So after a hyper care period everybody is relieved now, we move now into 'Sustain & Improve'. People are tired because they worked flat out more or less sixth straight months. Keeping the momentum in the leadership team as well as in the operating business to carry on with initiatives, closing the loose ends, working on improvement activities has been in all deploys a challenge.

Interviewer Because the main focus is always on the implementation.

Person V Implementation done, big relief, and then the business of course tends to, which is correct, tends to think about now fortunately we can focus on operational business. First and foremost it is now making money, reaching the right profitability, delivery on our targets. But the challenge is of course always to understand that improvement activities, of course based on the reason that there is a time lag effect in it, but improvement activities should generate profitability, additional profitability and added value. If not we should not do it. That was one and two?

Interviewer No, this was I would say 90% of all questions you answered. I would say you have answered nearly every question. But I want to know what your explicit role was in the SCP. And you can explain very shortly.

Person V So my role was initially called Business Manager Implementation Manager at global level. My accountability was around, and in simple words, making sure that the deploy from a business perspective is ready for go-live and ready to move into a 'Sustain & Improve' phase, make sure that the integration points, or let's say, at global level I have been the glue between teeth. Make sure that the integration points are being worked between the classes of business and functions. The third point is escalating key and core topics, which need to be decided or discussed quickly to the top management level to get a decision, classic example is business models. And fourth at the end is, make sure that the project structures in country are set up properly, working closely with the project structure in country and the people in country and in particular with country programme managers. But as on a side note, Jan, I can tell you, this is all teamwork. This type of role also the country programme manager in country you can find it in a role description but at the end, I think, we felt accountable, or I felt accountable on everything which was required to deliver towards a successful go-live, so working with the business, working with each and everybody, and even working on that was key by the way as well as the integration with IT, working with IT, close with IT. So, my role in that regard was then making sure that deploys work. My head was on the block if they did not work. Fortunately mine worked. And ultimately of course, let's say, my head was on the block in reporting to the SCP leadership team.

Interviewer Okay. Then one more question is, what was decisive for the SCP and should be preserved for future implementations? And what could be improved for future implementations if you repeat such a programme again?

Person V Help me, what was decisive, you mean?

Interviewer What was decisive for its success and what would you set up again if you have to do such a programme again for CSO? What are good points to be repeated and bad points to be

Person V Yes. Yes. I think good points to be repeated was that we used the first deploys as a learning experience, starting off with, you might know, the 'Pathfinders'. However, we did not execute that properly. There was a big learning in it. So in a way a good learning and we did not miss up the business that much. So we didn't lose that much money. Start with I think non-critical areas, countries you name it, here in our case countries. Test it, test what you had in mind and then implement properly in the more risky areas. One key learning is which we are now using in the 'Upgrade' is, liaise more with other companies, which went through similar experiences and get the learnings on board.

Interviewer Other companies but none competitors?

Person V None competitors, it needs to be all compliant, computational compliant. Absolutely. And you need to be absolutely clear with the support of your lawyers that you can do that and what you can talk about. However, there are industry areas where you can talk to. There are even, let's say, even if there are close. There are some certain areas where you can talk about. So whatever is possible do not rely on your consultants only. Talk to people who have gone through the journey as well. That is something we would change I think. That is a big learning because we could have really saved time and money. So that is the starting point at the end. Also, let me add to the starting point, I know the business case for the project in terms of profitability, you know, the real, let's say, tangible targets was not defined as it should be. Because we might have convinced country leaders, countries, business leaders et cetera quicker with a very robust business case. We had one on global level but not at local level. But we could have convinced them earlier at local level with a clear robust business case. And we thought in the beginning we drive it from a global level and just tell the countries to do it. So a typical type of directive approach which does not work.

Interviewer Top down.

Person V It does not work. What worked very well is at the end at direct approach once you have got the structure in place, a very, very good well thought through and aligned with the business, alignment with the business is key, the trackers what you monitor what you track, it is key that the business is aligned and supports it. If you do not have business alignment you can do PMO work whatever you do, nobody will follow you. Second good learning is get into your PMO starting at global level business people and do not drive it from IT angle only. If you do not have the right business experience in those teams, you will not have the credibility in the business and in countries to implement it. That is what we got right at the end. It was a very good mix of business people and IT people. Then also in terms of, as I said, concept phase big learning for us was closing scope, close scope and do not change anymore. There is always appetite in the business to change things. Because of course over a period of 24 months the environment changes. The competition pressure in the markets changes. But have a rigorous approach to manage those changes.

Interviewer What is now being done with Retrofits and all these other improvement initiatives?

Person V Yes. Yes. Some changes were delayed based on the risk it would have caused to the go-live of GSAP. So rigorously monitoring those changes and rigorously also decide on yes we can do, no we cannot do. That is the other piece. It is a learning and I mentioned it already is, which we got then in the end right is mobilisation on the right resources, right and capable resources. What we did not do right in the beginning and I did not mention it yet is the whole process around the off-boarding will. As if you have got your off-boarding process being initiated and you need to initiate it early. You even need to initiate the off-boarding process of your project people to find a job back in the business you need to do that even when hyper care starts. You do not even know whether it is a successful go-live or not but you need to do that. So that type of structure needs to be a structured process as well, needs to be supported by senior leaders, they need to take accountability on this right at the moment when they dedicated second people to the project. And that is the element, I think, where we could have improved in further deploys, key element. Because if you do not attract people in the beginning telling them we run a very structured off-boarding process, you will not get those into the project. That was the other piece, which I think, is quite important. What we got right at the end is the hyper care machine I would call it, the hyper care structure. I think it is a very good daily process we run through. Hundreds of people knew exactly what to do and is delivered on the minute in a way, very good. The software tools we were using were excellent I think. Then a big learning I shared with you, moving from implementation hyper care to 'Sustain & Improve' is, and we have not got it right yet, is keeping the momentum because the business in an areas moved back even with the councils in place. So that is what we did not get right because lost always momentum. This is something, we need to structure this a bit better and get the right people involved at a certain time a bit better. And then 'Sustain & Improve' is, I think it is difficult to prioritise because the business requires always, let's say, it is all profit and loss related in a way. They would request change requests, let's say, all the time and you have to decide one point in time which change requests gets into a Retrofit bundle or not. I do not believe that we have the right structure in place right now to decide this properly.

Interviewer Who is raising these change requests? Is this the local business or is it the global business that is requesting a change?

Person V They initiate it, usually they initiate it at local level. However, based on, can be maybe if global wants to change a global business model then they could request globally as well. So, those are my points, which are going through my head at the moment.

Interviewer So, final question is about, just one question, what role do you assign or what importance do you assign to the 'Change & Engage' activities, work stream in the programme? And did they achieve their objectives? And how did they contribute to the programme?

Person V I can say really also big learning for us because I share my opinion with you in a minute at the end. 'Change & Engage' in an organisation is always perceived as, you know, it is a 'ice to have topic' sort of thing. People underestimate the importance and the value of 'Change & Engage' in projects like this and even in the operational business. So, 'Change & Engage' is eating up time and is more or less distracting from the operational business in a way. I think still many leaders just don't understand how to use 'Change & Engage' in a type of added value, let's say, manner. So, now coming to the programme: I think and you might know that one of the countries or clusters we failed to implement properly.

Interviewer No, I do not know exactly.

Person V We had a problem in the Country Cluster in North Europe.

Interviewer This, I know because it was

Person V Prior to DACH.

Interviewer Yes.

Person V So, what was the key, let's say, element in that regard? Leadership behaviour, leadership focus. So you need to have 'Change & Engage' in the early stages to mobilise the leadership in the correct and right manner. You need to glue team together. You need to communicate properly. Training, OD and you know all the other pieces come in the end. But this type of activity needs to be heavily supported by 'Change & Engage'. You need to balance this. Sometimes 'Change & Engage' tends to overdo it a bit but if you get to the right balance, if you have got the right events then it is very, very important. So, that is the whole mobilisation phase. So, 'Change & Engage' and mobilisation is key. Then 'Change & Engage' is key in the mobilisation as well. So the conceptualisation is, because they need to have a communication plan, we properly thought through the whole period in parallel to the plan on a page, so communication events. We call it also on our side, we put in place a management agenda, clearly for DCT sessions, clear topics which we need to convey which we need to communicate at this point in time. 'Change & Engage' needs to prepare that. It needs to be consistent throughout your global environment in a way. So, that is why 'Change & Engage' is key to support it from a communication perspective. And then when it comes to mobilisation of the country teams and not only the country teams, also the end-users and you know the project people and, you might have heard super-users we are using, the whole community of the business in a way. It is key to have 'Change & Engage' support in that activity. Because you cannot assume that you have got in a PMO without experts in that space the right capabilities and competencies to work that probably, so, key success factor, training, setting up training key success factor. And also in hyper care, I would say yes, because if you have to retrain people if you have to close knowledge gaps you need them. If you need on the OD chart, on the OD side if you run into trouble based on access issues etc. then you need to fix this as well. So, all in all, and even in 'Sustain & Improve', all in all very critical. Do not overdo it. But have it throughout the whole journey from the beginning and even on a continual basis in 'Sustain & Improve'. My view. Thank you very much.

Interviewer We are through now with my questions. Any final remark, annotation from your side?

Person V I think that is good that somebody like you is looking into this. As far as I know at the end is, in terms of science in the end not many of the pieces of papers I have read did incorporate, let's say, real business and project experience. This link I think is not yet strong enough.

Interviewer I hope I can do it.

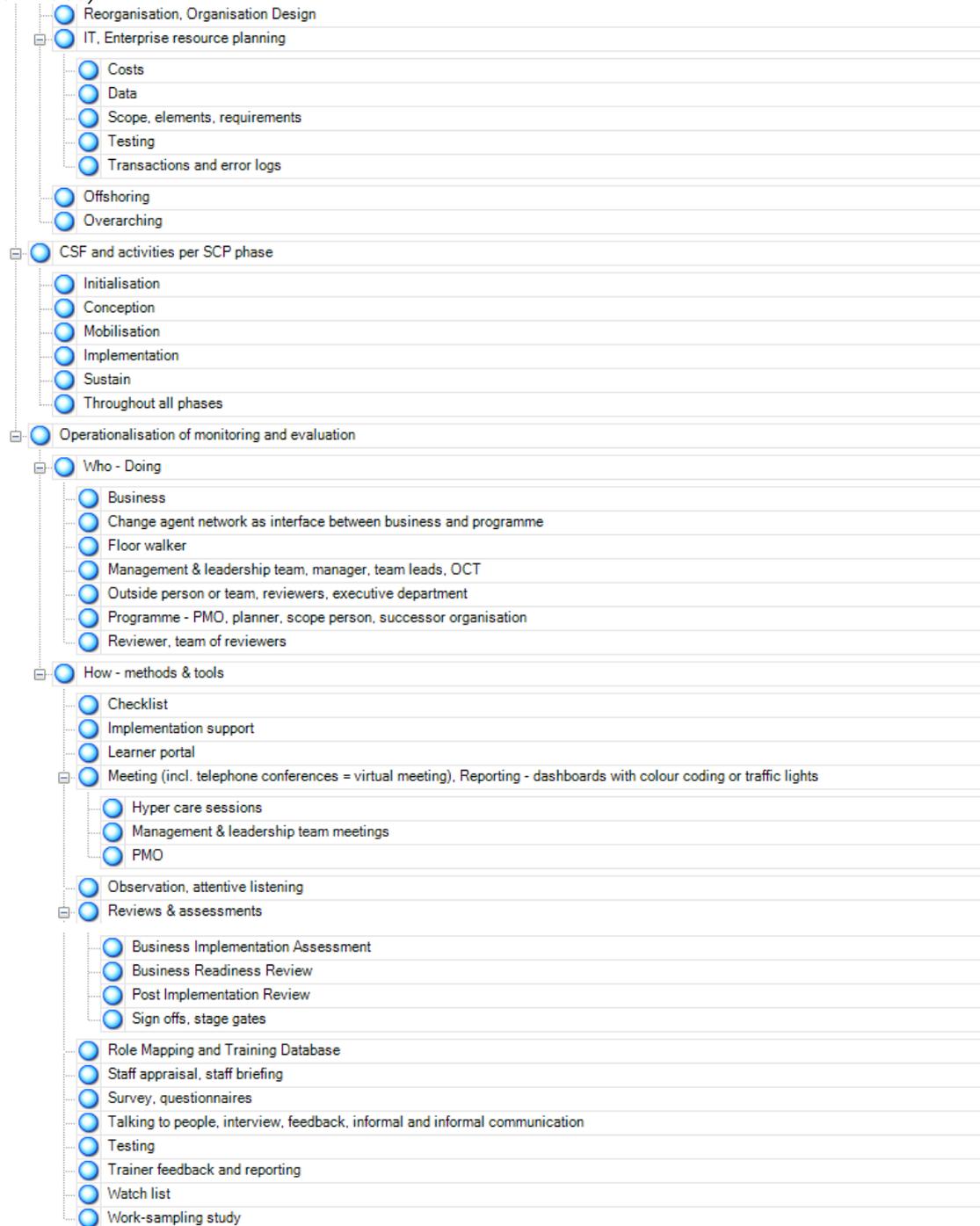
Person V Thank you my pleasure supporting you. All the best.

Interviewer Thank you.

Appendix 16 Template with general and case study company related findings

- Challenges
 - Prerequisites
 - Alignment with stakeholders about monitoring and evaluation
 - Experience
 - Governance
 - Clear accountability and responsibility with clear escalation lines
 - Dedicated resource(s) - person or team for doing
 - Leadership, management, sponsorship
 - Openness - Transparency - Anonymity - trust and confidence - objectivity, neutral, impartial
 - Planning preparation thoroughly
 - Define what success means - understand, define and document what to be monitored and measured (scope = big picture, baseline, target I
 - Appropriateness or meaningfulness of to be monitored and evaluated items or scales
 - Disciplined and consistent approach, appropriate tools and supporting technology
 - Understanding of cultural differences
 - Willingness - ownership - passionate
 - Accountability and responsibility
 - Who should NOT be accountable - responsible
 - Programme manager, leader, PMO
 - Country management, Country chair
 - Businesses and their managers or leaders
 - CSF in general
 - Alignment, balance
 - Global vs local view - overall context, balance of standardising everything vs local impact
 - Integration management - cross business, IT and programme workstream alignment
 - Case for change - to be worked, explained, understood, accepted
 - Benefit, business case
 - Vision and clear objectives
 - Reasons
 - Change content (from as-is to to-be), scope, impact and implications, interdependencies, big picture, context
 - Change management
 - Change Manager, Change Agent
 - Stakeholder management - mobilisation, engagement, involvement, prepare, support people - manage expectations
 - Information, communication, explain, convince, expectation management, receiving feedback and atmosphere
 - Openness, honesty, transparency
 - Timely and target group specific communication, understandable level
 - Successes, quick wins, positive spirit and messages
 - Training, enablement, knowledge transfer
 - Critical success factors to be identified
 - Culture
 - Cultural differences
 - Company culture, organisation culture
 - Customer perspective
 - Financials, costs, savings, budget, investment, business case and benefits
 - Human resource management
 - Managing HR issues, stress, pressure, performance and recognition --- Providing perspective - retention programme - career planning
 - Resourcing - on- and offboarding
 - Knowledgeable and experienced resources - quantity and quality of resources
 - Leadership and sponsorship, leadership mobilisation, management engagement
 - Readiness
 - Reaction to change - attitude, mood, satisfaction, motivation, acceptance, commitment, resistance, atmosphere, thinking about programme
 - Level of understanding
 - Reflection and learnings - Reflecting, capturing and applying lessons learned for continuous improvement
 - Programme management
 - Approach, structure, methodology, methods, tools
 - Roles and responsibilities clearly defined, ownership
 - Monitoring & Reporting
 - Progress, milestones, deliverables, deviations, open issues
 - Appropriateness, usefulness, effectiveness of changes
 - Analysis - scrutinise, KPIs, impact, and interdependencies
 - Planning and preparation - objectives, structure and workstreams, milestones, timelines, interdependencies, resourcing
 - Risks
 - Sustain phase
 - Aftercare, hyper care, post-implementation support organisation, resources and knowledge transfer
 - Monitoring benefits and KPIs - reality check, reassessing effectiveness of implemented changes
 - Continuous improvement
 - Change content related CSF
 - Business process reengineering
 - Understanding and following new processes
 - Interfaces, handoff points, end-to-end, interdependencies
 - Effectiveness, business performance

(continued)



Source: Own figure

(continued)



Source: Own figure

Appendix 18 Collection of additional interviewees' quotes supporting the findings

5.2.2 Programme planning – approach, structure, methodologies, activities, timelines and resources

“...we had a number of countries running in parallel ... ‘Are we on track with the total programme?’ ... we looked at the resources, because all these individual implementations needed the critical people at the same, if you did it wrong. So we planned that in quite some detail.” – [N]

“...you have very strong dependencies between the different implementations because you are always drawing on the same resources at least of the global team ... if you have a delay in one implementation that automatically means ... delays...” – [W]

“...the clearer you are from the conception phase the easier it will be to convince the senior management team in the country.” – [O]

“...once you got a plan, about being able to link the different steps in your plans to your benefit case, being able to monitor that ... pretty decent detailed plan of the programme.” – [S]

“In ... conception ... that you understand throughout mobilisation, implementation, sustain [phase], what do we want to achieve by when.” – [F]

5.3.2 Case for change

“...success factors is really that the people ... employees ... management are ready for ... understand the change, support it, and that you prepare the organisation and the processes in the organisation, that this change can be implemented.” – [E]

“...really realise that this is a dramatic change in the organisation and in ... business.” – [A]

5.3.3 Readiness to change

“We take that quite seriously [level of satisfaction]” – Interviewee A

“...Employee satisfaction survey...” – [P]

“...how do you measure change whether people have understood it ... we did a lot of sessions with the businesses.” – [A]

“...does everybody understand the business case, does everybody understand what is expected from them...” – [F]

“...conduct change readiness surveys so that the organisation is being asked directly whether they feel that they have fully understood and are supporting the changes.” – [U]

“...organisational impact needs to be well understood. Because especially in large organisations the impact might be dramatic...” – [U]

“...how well are the new processes used. Does everybody know his/her job...where they are located in the hierarchy? Are there any changes in job descriptions? Has this been made clear” – [C]

“...Barometer of individuals’ opinion...” – [G]

“...you need to monitor not only the implementation team or S&I team but the complete country to understand if the people are comfortable with the changes...” – [F]

“...attach great importance to get a feeling of the atmosphere and understanding whether it [SCP] is being accepted and supported.” – [F]

“...asking the team leads is good, but you will not get the full picture from them. And it’s also quite difficult to evaluate if you only have the team leads opinions, is quite subjective...” – [K]

“...get a feel for the temperature of how the people were working and functioning in the central teams...” – [N]

“We made sure that they understand. Only the moment they understand there was support.” – [V]

“...it is not just hard figures it is also about soft information like how do people feel. Are they more motivated, do they think that the system is now more helpful or do they probably feel more under pressure to stay with the customer service centre...” – [W]

5.3.4 Change management

“Change Management in such a project is the key to success...” – [G]

“...absolutely key, change management, and engagement and communication. Without that, the implementation of the SCP ... would not have been possible ... you cannot change an organisation and implement a new ... system without preparing your people.” – [E]

“...this [change management] is typically a very critical role, because in the end ... it is not about changing the processes or implementing an IT system, it is to get the cultural change ... change management activities are key for such programmes where you ... implement something tangible. But at the same time, you want to completely change the culture from thinking in complicated steps, doing everything your customer wants ... this is only a few ways we want to serve you as business. And we are prepared to lose you if you have more complicated requirements. That is of course new, was new in CSC. Without proper change management we would not have been able to get this buy-in...” – [N]

5.3.4.2 Stakeholder management and communication

“The earlier you involve people the higher the possibility that they are also following the way ... most important the engagement as such...” – [B]

“...the clearer you are from the conception phase the easier it will be to convince the senior management team in the country...” – [O]

“...stakeholder management activities ... need to be in place as early as possible ... should have a very clear view on: What are the key stakeholders; how they are affected; how they are, what is their role towards our programme; are they more supportive or are they the ones who are complaining; so that we can address the right measures how to address these key stakeholders.” – [O]

“...have a permanent and good contact to the staff council, this is ... also moving as a kind of positive message ... based on how you do your job. This is going back to the business people as well. So your employees are more convinced that we are following the right way. That is at least my experience. [more than 30 years in the company]” – [A]

5.3.4.3 Enablement – knowledge transfer and training

“...we monitored ... training participation and ... training completion of every end user, which I think was fit for purpose and was perfect...” – [H]

“...measure training success via surveys...” – [C]

“...an assessment process of your staff ... training assessment process would be helpful ... really see that the people are ready to... their new roles.” – [E]

5.3.5.1 Staffing and resourcing process

“...very important ... set up clear guidelines and policies and processes, before the project implementation, that all ... business managers ... would take back the people, their people from the project teams into their organisation after the implementation... understood that these people ... will have key knowledge ... they ... need in their new environment. Because these people have their knowledge from the project teams, from the implementation, know the new processes, the new ways of working ... would be helpful ... after the implementation support ... their businesses.” – [E]

“...“mobilisation phase you also ... need to address the requirements of local resources ... the local company needs to provide local resources in project roles...” – [O]

“...carefully ... resourcing in such kind of change programmes because it is ... really resource intensive.” – [T]

“...it makes sense to keep the project team ... to let those people who have gained the experience on one implementation of one to the next.” – [W]

5.3.5.2 Knowledgeable and experienced resources

“...this involvement needs to be ... also in the mind of business management ... this is a challenge for the business, because they need to do their daily business, plus the on top challenges of this project, which could mean and this was really the case that you need to hire a temporary staff to backfill ... you need to monitor this somehow.” – [A]

“...dedicated resources...you have to involve many business resources because they know the processes best.” – [B]

“...we had a very good team at all levels. Really all the specialists within CSC and in ‘Consulting Company XYZ’ on the IT side came together.” – [N]

5.3.6 Reflection and learning

“There are reviews in terms of the project learning that have then been fed into the next implementations.” – [U]

“We spent a considerable amount of time on collecting lessons learnt and well no one used them because they just did not have the time.” – [W]

5.4.2 Business process changes

“...delays in processing invoices, processing orders...” – [Q]

“...how many people are involved ... process KPIs ... Cost reduction... processes ... are they cheaper ... faster ... with fewer steps, simplified ... more system-controlled ... IT costs ... project costs ... project benefits ... savings ... dashboard for KPIs...” – [C]

“...process changes, do the KPIs actually still fit? ... are they still comparable? – [X]”

“...how are the user acceptance tests running? ... does the future end user buy-in. ‘I understand that. I can work with that. That represents my business according to the new way of thinking.’ That is a critical factor.” – [C]

“...business process reengineering. Do we understand what it means to spread processes across many employees at many locations? – [F]”

“...you can only optimise a process if you think from one end to the other ... handoff points ... That is important.” – [F]

“...information to the wider community ... start acquainting the organisation with the new stuff to come. This is also the right point in time to start knowledge transfer ... both, the project team as well as the change agents, need to be trained in all new processes, potentially not to the latest detail, ... but at least ... to understand the wider scope ... and big picture...” – [U]

“...major criteria to monitor and evaluate ... which ends and interfaces are impacted ... ensure that you monitor ... capture every single process ... capture every single interface ... sub-processes ... drill down ... you need to have the full picture of your business processes ... really ensuring that everything that is transformed into new processes is really captured...” – [H]

“...further down in the process map ... describe the processes down to transaction level ... like swim lane diagrams in which the various steps are being mapped to the roles or users executing these jobs.” – [U]

“...very very important. Absolutely. And finally that all those involved know who is responsible for what step in my process.” – [M]

“...understanding ... the end-to-end process knowledge... really paid attention to those end-to-end process knowledge sharing helped people to understand...” – [T]

“In the end ... it is key not only process performance, business performance as well, both.” – [V]

5.4.4 IT/ERP changes

“Business process reengineering, wherever it could be uncoupled from GSAP it was. Where we did not, we are not reliant on the GSAP roll-out. There have been a lot of ... elements of the SCP that were moved before the GSAP project. The organisational structure in the CSO [customer service organisation] was taken out of the streamline, was done first. First, we get the teams right, we get the people right, we get the organisation right, the procedures right, based by using the ... older systems, the legacy systems ... once the new system came in, we had an organisation ready to receive the new processes which were completely tailor-made for that organisation.” – [D]

“...always in a project you first agree scope ... if we are talking about ERP, for example, you get to be very clear on what the footprint is of your ERP system. And that is actually quite tricky.” – [S]

“...awful exercise ... data preparation ... we had to harmonise a lot of data. I would have done it a bit different, but this ... was understood later on ... we focused on too many elements ... it is not worth to change everything in the data area ... later on you experience there is still crap in your system because as normal not all people are following your data rules...” – [A]

“...LES and CAT ... main test areas...” – [G]

5.5.1.1 Business – management and leadership teams, operational teams and people

“...benefit case was monitored continuously ... there have been regular reports for the DLT...” – [C]

“It is the business itself in order to create ownership. So the PMO could provide some kind of services and maybe tools but it is the business.” – [S]

“We had analysts in the businesses that provided information.” – [B]; “It is not for nothing that we had business analysts ... being active for their business. But also for the project...” [P]

“...via DCT, via the sounding board with the work council, via diverse bodies and also feedback questions ... it has been evaluated whether everybody is involved, and whether it was successful...” – [F]

“...senior managers ... our top team ... they take the decision. Can we go live, can't we? Are we able to take the risk, yes or no? ... you can stop that project just a minute before Go-live ... that is a disaster anyway because it costs a hell of ... money to go back to ... the old structure and systems et cetera. However, we thought three weeks prior to Go-live, we could stop it without a major impact ... that is why we have chosen to have at checkpoint meeting with our executive steering committee members. We gave them always the information provided by the countries and by the business which we checked in this 230 line checklist and then we got in most cases ... a GO.” – [V]

5.5.1.2 Programme management and successor organisation

“...PMO in every country because there are many different businesses and functions affected by such a change, I prefer a neutral observing position. The PMO would do it.” – [C]

“...scope person ... needs to be looking at the figures ... numbers ... business case, and monitor it.” – [D]

“...with regard to project costs and according to this project benefits ... Programme Controller...” – [C]

“...Operational Excellence ... it is an executive department ... kind of think tank ... kind of superordinate instance ... some experts providing direction” – [X]

5.5.1.3 Outside reviewers

“...have externals coming in ... people who can really judge because ... in the middle of the project probably as project leader are rather blind to issues...” – [W]

“...have someone from outside of the organisation. Get in people ... probably, from the global project organisation...” – [W]

5.5.2.1 Meeting and reporting

“...discussion with the central team [global PMO] ... having a solid and understandable and short weekly or monthly or whatever reporting in place.” – [A]

“...monthly process owner meetings just to check the progress...” – [N]

“...keeping up with a plan or are you behind ... Having the status meetings ... regular status reports ... reporting in project meetings...” – [W]

5.5.2.2 Reviews and assessments

“...a number of different reviews on a regular basis to ensure that the programme stays successful.” – [U]

“...lot of measurements to check if the business is ready locally or if the country is ready.” – [F]

“...after ten countries we really had this business readiness reviews ... when a business was not ready when we wanted to go live, we started to create an assurance process ... we created Assurance Managers who are responsible for the countries. Very senior people who then were responsible to be alongside the country, visit it regularly...” – [I]

“...LES or the user acceptance test is a good opportunity to have a check whether training was successful” – [W]

“...first of all, this causes additional work ... I would have asked my employees ... to show me what is working well and what is not ... even though it causes additional work, to have a sheet according to the motto ‘Did this and that. This takes so-and so long’. In order to verify, is it due to deficient training ... because of poor knowledge ... bad communication ... after a week or so we change to recognised differences in various areas...” – [M]

“...three months or six months after Go-live so called post-Implementation reviews...” – [C]; “...not only in terms of processes, but also motivation of staff...” [E]

5.5.2.3 Dialogues and feedback

“...measure employee satisfaction ... do they still see a perspective working for the company ... critical factor ... did it change due to the change programme ... get feedback.” – [C]

“...use the opportunity to also get in some feedback ... also important to check with project members ... what feedback are you getting from the business, having regular check-ups... road shows where we went into the sites ... talk to people. That was really helpful ... even more important ... to show that you are interested in their [employees'] concerns.” – [W]

“...take ... concerns seriously ... know that there are exceptions ... that is a major success factor to incorporate things on the ground ... it is really difficult to measure ... that is the problem about it. I always come back to this, talk to people.” – [W]

Appendix 19 “Icebreaker” – Integration Management on the business side

Icebreaker does not replace or duplicate deploy methodology elements, it rather adds a project management approach for critical implementation areas along SCP processes which require integration among CoB/Fs or workstreams, if

- joint agreement of two or more CoB/Fs is required to resolve a particular issue in an enterprise first way
- an issue in one CoB/F affects another CoB/F in a severe and negative way, if not resolved in time
- common understanding is required across CoB/Fs about processes, data flows, roles/responsibilities, escalation routes, etc.
- critical implementation elements with high significance for the country/cluster are deemed to require close tracking and utmost transparency across CoB/Fs

Timing, scope, and setup in country:

- 18 months before Go-live, after scope is closed for a country, a representative from the central business implementation support team will introduce the Icebreaker approach to the local team
- Icebreaker will address business readiness for GSAP implementation as well as business improvement
- The local DCT will be accountable for the delivery of the Icebreaker project which will be led jointly by the respective General Managers as outlined in the generic Icebreaker team setups
- The relevant CoB/F General Managers will sponsor the workstreams each being managed by a CoB/F representative, the SCP implementation business lead or a member from their teams
- The business implementation support team will provide support for Icebreaker implementation through a core team of people with experience of applying the approach in previous deployments
- Global stakeholders and the relevant regional General Managers will be updated by frequent progress reports; they can opt for regular update call in conjunction with each report

Appendix 20 Learning from the case

This appendix is about learning from the SCP and its implementation. First, achievements of the programme are presented from the interviewees' point of view (Appendix 11: Interview guide used for main study, questions 6-8). Afterwards, a kind of programme review is conducted by contrasting, opposing, and comparing aspects to be pre-served and to be changed and improved for future change implementations (interview questions 10.1, 10.2)

This section presents the learning from the case where interviewees reflected on positive as well as negative aspects of the strategic change programme implementation. The findings are structured as follows:

- Achievements of the programme
- Critical success factors in general
 - Programme structure and approach
 - Leadership
 - Case for change
 - Change management (incl. change agents, stakeholder management & communications, training)
 - Human Resources
 - Reflection & Learning
 - Sustain phase
 - Culture
- Change content related critical success factors
 - Alignment & Integration management
 - Customer perspective
 - Business process changes
 - Organisation design changes & Reorganisation
 - IT/ERP changes
- Operationalisation of monitoring and evaluation
 - Reporting & Monitoring and evaluation

Positive aspects about the strategic change programme (to be preserved and repeated for future change implementations) are listed with "+". Negative aspects (to be improved/changed for future change implementations) are listed with "-". Findings with rather "neutral" meaning can be identified by "•" bullet points.

Achievements of the programme

Neutral – ambivalent – on the move	
<ul style="list-style-type: none"> • Success depends on who you ask (local vs. global, operational vs. global strategic view) and where you come from (highly developed, customised vs. underdeveloped) • Not yet, but in a good way • Always winners and losers in such a huge programme, cannot please everyone 	<ul style="list-style-type: none"> • You never achieve 100 % at Go-live, but important to have aspirational targets • Still work to be done, many business improvement initiatives afterwards, continuous improvement process • Long-term perspective, not looking too much into short-term problems & issues
Positive	Negative
<ul style="list-style-type: none"> + Strategically right decision, overall/largely successful and well done + Breakthrough step to become an international enterprise + Reduced number of business models + Organisation structure/design: transparency big achievement/success from global perspective; global organisation very well achieved, truly global organisation, organisation smaller; implementation of organisation design and structure changes in an exemplary manner + IT system: fully achieved: reduced IT landscape and costs + Germany: very good, professional, overall objectives achieved, successful implementation especially regarding scope, proved that programme implementation is manageable, positive sign for subsequent implementations + Currently stable status, relatively quickly on green status + Fuels, Finance: excellent + ACH: overall excellent + Many methods: monitoring & reporting, change management, developed specifically for this project; continuously advanced and enhanced 	<ul style="list-style-type: none"> - Much higher implementation costs than expected/budgeted - Processes: changes, simplification not far enough, slightly disregarded, frictional losses (processes, handoff points); bumpy start with standardised processes, near-shored/offshored processes (Finance, Customer Service Centre) - Standardisation causes sometimes loss of valuable/single use information - Increased need for coordination before making decisions to implement improvements/changes (with all “live-countries”) - Customer perspective - Number of issues with customers (e.g. delivery, service), customer satisfaction index decreased tremendously → “Offer-To-Cash” organisation established: end-to-end sales process merged into one organisation, (some changes already revoked) - Complicated Interaction Voice Response Management for order taking (menu structure) - Struggling with onshore/offshore split (Finance) - Germany: early mover hiccups; main problem areas: PGS, Lubes, Fuels-Distribution-Interface, invoice accuracy, customer service - Implementations clearly failed: Nordics, Canada, IAM

Critical success factors in general

Programme structure and approach

<ul style="list-style-type: none"> + Overall excellent setup: Four-box-model, structured programme organisation and approach, methodologies and tools, meeting structure, change agent network + Matrix organisation with global counterparts, support from global teams + Strong PMO Leader with strong team (quality and quantity) + Establishment of integration management approach ('Icebreaker') + OCT: Establishing operational coordination team incorporated into overall global programme structure + Dedicated process owners + Methodologies connected and aligned: project management methodology (project deployment framework), BCIM, IDM + Roles and responsibilities clearly described, additional role descriptions developed whenever needed + Changes in programme structure, approach, tools from "German" implementation helped programme proving feasibility and gaining credibility + Establishing split teams global and local (in the beginning just one team) > more effective + Pilot countries: learned from three smaller countries, developed methods there 	<ul style="list-style-type: none"> - Selection of pilot countries not representing the majority of/most important/most business relevant elements/or those where most money is earned/highest profitability - In some areas too few methodologies (Integration Management), number of the tools provided globally not fit for purpose → many approaches, tools and templates needed to be reworked or even completely created from scratch (e.g. no Icebreaker before, no OCT before) - Sometimes too complicated how we implemented (e.g. compared to Spain), sometimes overdone, too ambitious, over-complicated some things (keep it as simple as possible) - More line accountability required - Advisable to receive more support from global team on site locally - Too tight schedule, hardly any contingency
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Leadership

<ul style="list-style-type: none"> + One of the most important factors + Buy-in and committed most senior business leaders and country chair + Strong management/leadership attention and dedication + DCT, OCT: lived change leadership, excellent setup (structure and behaviour) + Strong, dedicated and charismatic local programme leader feeling accountable, well respected, seeking transparency + Excellent interaction, corporation, teamwork and team play among senior leaders + Courage to challenge Global defaults, occasionally opposed + Strong programme team + Initiated integration management concept and end-to-end perspective to overcome silo mentality way of thinking, interlocked cross business exchange + Key driver is business ownership and senior change leadership 	<ul style="list-style-type: none"> - Support of and for leaders could be more comprehensive/intensive - Support for leaders, helping individual leaders who still have their day-to-day job to run this programme in parallel - Stronger visible support from overall Global Business Leader for overall Global Programme Director - Getting more global senior business managers aligned - In some businesses not enough seniority on certain topics - Tougher decisions required when people were underperforming
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Case for change	
<ul style="list-style-type: none"> - Late understanding of big picture, overall context, drivers, change impact, interrelations, connections, causality, dependencies, meaning, consequences even on senior management level (logical order: 1st business model, 2nd processes, 3rd organisation, 4th IT – business model & processes are the drivers, IT just as tool to operate business models and processes), underestimated - Consequently, late communication and engagement - In the beginning benefit case was not very clearly documented, linkage to actual business benefits could have been stronger - Key decision makers and opinion leaders locally could have played a more important role building a compelling business and benefit case - Collection, documentation and storage of baseline data not done appropriately 	

Change management	
<ul style="list-style-type: none"> + Best practice, overall well done, key enabler, driver and success factor, one of the most important factors for the successful implementation + Comprehensive methodology (BCIM), very well planned, organised, managed, executed + Strong emphasise, huge effort, attention to activities, dedicated workstream and methodology, continuously enhanced and advanced + Senior, experienced and qualified people working on it; big, strong team + Key leader considered it to be important, appreciated and supported change management >> change management on senior management level 	<ul style="list-style-type: none"> - Change management team could have been even closer or integrated in the businesses, closer to the specific implementation area, closer to the business rather than a separate central team - Too comprehensive methodology, activities - Too little support for leaders - At the beginning just template-driven - Occasionally (in some businesses) low importance/acceptance attached to change management activities

<i>Change management</i>	
Change agents	
<ul style="list-style-type: none"> + Representatives from their CoB/Fs, steering and monitoring of change management related tasks, often PMO's first contact to channel information + Played key role as interface into their CoB/Fs + Supported their CoB/F managers to prepare their unit for Go-live + Ensured a lot of communication and strong involvement of CoB/Fs + Good change agents influenced implementation success in their areas significantly, they made a difference for implementation success (better prepared organisation, readiness, better informed people) 	<ul style="list-style-type: none"> - Staffing not optimal in every CoB/F (matching task requirements with personal experiences, skills and capabilities) - In some CoB/Fs not always synchronised with their units

Change management

Stakeholder management & Communication

Stakeholder management:

- + **Decisive, very important and well done**
- + **Dedicated work package** within BCIM
- + Staff briefing (OD)
- + PMO change management team mobilised leaders
- + Business people involved in testing daily operations
- + Employee engagements with town halls, road shows
- + Early involvement and hard negotiations with **work council**

Communication:

- + **Best practice**
- + Comprehensive communication activities, embedded into and aligned with programme plan
- + **Many different meetings with different stakeholders from various areas**
- + Programme intranet, newsletters, change agent communication
- + Separate and dedicated training communication stream for end users

Stakeholder Management:

- Late involvement, engagement and mobilisation of people (scope of programme and changes underestimated, not fully understood in the beginning)

Communication:

- Messages communicated too late down to the bottom of organisation
- **Slow start** communicating and explaining people what SCP is all about (case for change = what, why, when, impact, consequences)
- In the beginning, messages that were too difficult, inappropriate language (technical and programme specific terms and abbreviations)
- More exchange and cross workstream communication, get more in touch with end users
- **Sometimes messages too positive**; not always open, honest communication about the change and its consequences (new world), whitewashing facts, changes, problems
- **Too much or uncoordinated communication**, too many people involved with communications, communication overload

Change management

Training

- + Dedicated team, **enormous effort**
- + Whole training and change organisation in place also helped very much to make all employees understand their role in the future organisation and which role they would play in the new setup
- + Different training delivery methods
- + Strong **focus on instructor-led training**
- + Learner portal
- + **Local trainer resources**
- + **Very good reports**, also coming from key trainers

- **Knowledge transfer** from global to local relatively/**too late** (localisation, translation, preparation → not enough time to prepare training material: level of detail, content, appropriate language)
- Low level of involvement of local subject matter experts in developing training content
- No holistic view on training packages (fragmented) or way to train end users, composition of **training packages too narrow**
- **More target group orientation** (e.g. more daily operations oriented, DILO)
- Trainings for testers not good, too late, some were not trained
- **Tools for scheduling training courses** for end users, effective but inefficient due to the way of doing (tools)
- Smoother transition/corporation between communication and training

Human resources	
<ul style="list-style-type: none"> + Invest money in resources and experience + Luxury having many resources on board (DACH) + Quality and quantity of people: experienced, knowledgeable people + Seniority of people + A lot of internal business experience + Two big consulting companies 	<ul style="list-style-type: none"> - Not always best business knowledge available/used; not always knowledgeable internal people to design the future world at the beginning of the overall global change journey - Resource requirements, staffing and identification of resource(ing) issues partially too late - Partially overstressed people due to workload, strained, distribution of work - More structured onboarding of new colleagues or successors - Keeping experience for subsequent country implementations - No project management pool of people - Not always appropriate rewarding/salary for temporary project jobs - Too many decisions left to consultants, not knowing our customers and business models sufficiently → consequently, coming up with probably academically perfect process maps but not meeting requirements of businesses and customers - HR strategy for reintegrating project people into line organisation (off-boarding strategy and process), not until DACH

Reflection & Learning	
<ul style="list-style-type: none"> + Learning from own previous projects, programmes + Asked for learning from outside the company (consultancies, other companies) + Systematically and continuously collected (and incorporated) into global standard deployment model (structure, approach, methods etc.) + Shared lessons learned with others (subsequent implementations, companies, even competitors), sharing culture “Giving & Receiving” + Local colleagues travelled to subsequent country implementation(s) to share/exchange experiences 	<ul style="list-style-type: none"> - Many lessons learned captured but not always incorporated - Not enough time taken to incorporate lessons learned - After some implementations less attention paid to countries, people and their concerns, just collected paper based lessons learned - Considering and applying lessons learned (occasionally ignorance/arrogance >> not DACH)

Sustain phase

<ul style="list-style-type: none"> + Preparation and establishment of dedicated post Go-live organisation setup (S&I = PMO successor, Retrofits & business and other improvements), incorporated into standard programme approach + Sufficient resources remained + Floor walker <p>Hyper care:</p> <ul style="list-style-type: none"> + Enormous effort, intensive preparation for hyper care phase (supported, assisted period) + hyper care structure, “massive machine running” directly with/after Go-live + Hundreds of people involved + 230 items comprising checklist, checked 2-3 times on a daily basis (e.g. compliance, defects, KPIs) 	<ul style="list-style-type: none"> - A bit of momentum lost - Governance, structure, procedure to decide which business change requests for business improvements to incorporate (if and when)
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Culture

<ul style="list-style-type: none"> + Company cares about their people + Company and programme culture, way and style of working and managing issues + Very professional and cooperative project and change team in the Project Management Office, plus a number of change agents with sufficient seniority and also intellectual capacity to help in bringing this to a successful conclusion + Courage to challenge Global defaults, occasionally opposed + Not much distance between leaders and regular employees + Hard-working but also listening to needs, being flexible to adjust tools and processes if felt not to be fit for purpose + As soon as people got involved and understood what is coming, and even though it could have been a sad story for some of the businesses, people work hard on the programme + Keeping positive spirit, team spirit, social events + Listening and sharing culture (experience, knowledge) internally as well as with other companies, even competitors + Discuss and exchange views openly + Local colleagues travelled to subsequent country implementations to share knowledge and exchange experiences 	<ul style="list-style-type: none"> - Cultural differences underestimated (from global to local) - Western country driven style of programme management
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Change content related critical success factors

Alignment & Integration management	
<ul style="list-style-type: none"> + Newly developed integration management approach 'Icebreaker', cross CoB/F collaboration + Standardised and harmonised to be used for all subsequent country implementations > integrated into overall programme approach and methodology + Simulation of end-to-end processes, reflecting on handoff points + Strong involvement of senior leaders + Jointly reflecting on process changes and according consequences / impacts, commonly managing critical issues <p>Global-local:</p> <ul style="list-style-type: none"> + Frequent exchange, discussions, clarifications, negotiations, instructions, reporting, support <p>Programme – Business – IT:</p> <ul style="list-style-type: none"> + Integrated structure, cross business exchanges first formally later also informal, close contact, regular meetings 	<p>In the beginning of the overall programme...</p> <ul style="list-style-type: none"> - Silo-mentality way of thinking, no integration management - Low level of cross-business interaction, collaboration, interlock - No / poor common cross-business reflection on changes, impacts and consequences / underestimated; understanding handoff points from previous and to subsequent role(s)/CoB/Fs - End-to-end knowledge still to be improved today <p>Global-local:</p> <ul style="list-style-type: none"> - Imbalanced view and understanding "over-standardisation vs. local needs, effectiveness and practicability"/"one size fits all" - Representativeness of design should be approx. 80% of global business, finding common ground - Low involvement of main markets - Low appreciation of local subject matter experts' insights (ideas, suggestions, knowledge) <p>Programme – Business – IT:</p> <ul style="list-style-type: none"> - More mutual understanding (of needs) and alignment needed - Alien from common subject, distanced, no close relationship/connection, interlock (especially in the beginning)

Customer perspective
<ul style="list-style-type: none"> - Offer-to-Cash process - Customer needs, views and perspectives not considered sufficiently, neglected or misjudged especially in B2B sector - Decreased customer satisfaction index, "good to know why customers are unsatisfied or leave" - Customer service more complicated, less individual than before (no special treatment of special customers) - Tendency of anonymised customer service, no key account customer service - Complicated menu structure and long latency time for Interaction Voice Response Management (telephonic order taking)

Business process changes

- Streamline preparation: **not used most knowledgeable/experienced people** (big picture unknown, complexity and interrelations underestimated) → fundamental weaknesses in global process design
- **Staffing of process teams** influenced which process from which countries have been chosen as standard → not always with highest level of commonality
- Review readiness of global processes: business processes partially under development during implementation/deploy phase (work in progress) → not always requirements and change impacts known in advance
- **Reviewing global processes against local business needs**
- Still process improvements needed
- Offer to Cash: still lack of understanding is the end-to-end process knowledge in some areas
- Too many single process steps, **fragmented process steps** leading to a large number of handoff points

Organisation design changes & Reorganisation

- | | |
|---|--|
| <ul style="list-style-type: none">+ Overall excellent job, perfect implementation+ Standard organisation design was mapped properly to roles which were then reflected in the system+ Proper process documentation where roles and jobs were defined, documented and clearly articulated+ Combination of organisation design, IT role design and process documentation is absolutely key+ Line manager and staff briefing | <ul style="list-style-type: none">- Non-IT related tasks not (sufficiently) considered, mainly IT or role driven job design- Offshoring: high fluctuation, underestimated customer and business needs, over-estimated benefits |
|---|--|

IT/ERP changes

- **Overall too strong emphasis/focus and driven from IT perspective** → less IT more business driven changes
- Data management:
- **Data preparation**: focused on too many elements, way of handling data and management information
 - **Monitoring of data cleanse activities not implemented closely enough** (especially customer master data → invoice accuracy), not all people followed data rules
 - Technically a lot of things went wrong with data conversion
 - Data transfer from other business lines
 - Only little exchange with system architects for key users
- Testing:
- End-to-end process knowledge and testing
 - Preparation for and training of testers

Reporting & Monitoring and evaluation	
<ul style="list-style-type: none"> + Meticulous project planning to keep progress + Precise monitoring, follow up and sticking to scope + Business Impact Assessment to transport, familiarise, acquaint organisation members with upcoming changes + Business Readiness Reviews, Stage Gates + Effective reporting, more colour coding (compared to beginning) and also trying to minimise the reporting, not to report same things twice within matrix organisation + Minimised reporting to a level with most relevant information, easier to understand dashboards + Established integrated reporting (before: isolated per workstream, business, function), end-to-end illustrations 	<p>Systematic monitoring and evaluation and reflection, quality assurance:</p> <ul style="list-style-type: none"> - No systematic approach reviewing global processes or changes in general, exchange with global representatives, should have checked global processes against business needs - Not only check if global business is ready, but also are global processes - Reviews have not always articulated clearly beforehand why implementation could fail, never a return to green plan for the reds, be more rigid with findings from reviews, poor consequence management, no stringent way of follow up - Get more response from local project people involved, how they are judging certain aspects <p>Internal readiness check:</p> <ul style="list-style-type: none"> - No internal readiness checks or not everywhere in the businesses, barometer of employees opinion <p>Definition of KPIs:</p> <ul style="list-style-type: none"> - Check whether KPIs are still comparable after the change, question relevance and meaningfulness of (global) KPIs <p>Post-implementation review:</p> <ul style="list-style-type: none"> - Could not compare, are we doing better, hard to get information (baseline data) - Tracking of business KPIs until they are stable, but no benefit tracking, no monitoring of benefit realisation, no transparency whether business case pays off - No post-implementation review regarding real effectiveness, efficiency and practicability of processes

Appendix 21 Achievements and interviewees' judgement on the strategic change programme and its implementation

First of all, in such a huge programme many areas and people are affected in different manners. Consequently, the programme cannot please everyone and there are always “winners” and “losers”. Interviewees stated that it is important to follow aspirational targets and it can be seen as “normal” that such a programme is never going to achieve 100% directly at Go-live. They admit that judging success depends on three things. They confess that the time dimension plays an important role when judging on success of such a programme since some effects might become apparent in a long-term rather than short-term perspective. Secondly, it depends on who you ask and from which perspective the programme is looked at, global versus local or strategic versus operational point of views. Thirdly, it depends on where you come from and what kind of changes respective stakeholders need to deal with. This means viewpoints on achievements also differ between previously highly developed and customised versus underdeveloped operations.

Overall, the findings reveal more and stronger positive than negative statements on the SCP. Interviewees recognise the SCP strategically being the right decision, even though it implicates negative effect⁴², as a breakthrough step becoming a real international enterprise with a global organisation.⁴³ Consequently, interviewees refer to the SCP as being overall largely successful and well implemented, especially with regard to organisation design, having a common organisation design model with transparent and reduced structures in respective countries. As a result, the organisation design changes are considered to be big success by implementing them in an exemplary manner. In terms of IT systems and costs, the research participants regard the SCP also as being successful as up to a hundred ERP systems have been reduced to one global SAP system. As discussed earlier the main strategic change driver was to reduce the number of business models and harmonise business processes globally to enable easier and faster cross border business operations. This aspect is also considered as being achieved to a large extent. With reference to the DACH implementation, interviewees evaluate it as very successful. They recognise it as having been managed very professionally in particular with respect to its scope and timing within the overall global roll-out plan. Thus, the DACH implementation was the one of the earlier implementations out of the 36. Some interviewees even regard DACH as the main game changer with signal effect because there the programme proved to be manageable, after key issues were recognised and changed in the approach and methodology (“Ice-breaker”, section 5.4.1.2; Appendix 19). Furthermore, many methods and procedures were newly developed and/or changed by the DACH team (e.g. OCT, reporting, change management) and subsequently institutionalised in the overall programme.

Besides these positive judgements, there are also critical voices on the SCP. The interviewees largely share the opinion that the programme has not achieved its full potential and benefit yet (08/2012). The company is well on its way, in an intermediate state, and there still needs to be and is being done some improvement work. Thus, research participants confirm that many business improvement initiatives have been and are being conducted after Go-live.

⁴² Most notably offshoring of large parts of customer service department including layoff of approx. 160 employees

⁴³ Before the programme the company was organised in a rather dispersed manner

This was also part of the programme implementation plan as many country implementations followed subsequently where new and/or changed standards, processes and functionalities were introduced and implemented. As all countries need to be on the same standards they all had to implement these subsequent changes (see again explanation of “Retrofit” in list of terms and abbreviations).

Subsequently, the main problematic and negative aspects of the SCP and its implementation are discussed. The issue with highest criticality centred on customer service organisation. As a result of the offshored customer service processes to customer service centres customer satisfaction dropped tremendously. Customers did not appreciate being served in a standardised and sometimes not simplified but complicated manner. Consequently, the company changed again the organisation model and developed new processes and structures integrating the “Offer-to-Cash” processes into one organisation in order to be able to serve customers again in a more customised manner. In that respect, standardisation of customer services did not achieve its initial objectives but failed, at least for some major premium customers. Overall, the offshoring aspects are recognised as having caused most of the problems and subsequent works. Another severe aspect contributing to the decreasing customer satisfaction relates to invoice inaccuracy caused by improper data management (cleans, migration, conversion).

With regard to process simplification and standardisation, the interviewees judge the SCP as not having gone far enough. There are still relevant processes implying very comprehensive, complicated and/or many single steps. The main focus and achievements are on global organisation structures and IT system. On the other side, standardisation also causes an increased need for coordination as many different parties around the world need to be involved and considered before final decisions can be made because all “live-countries” are running the same processes, organisation design structures, and IT systems. Thus, one single change affects many parts of the global company and organisation. This is the down side of harmonisation and standardisation on a global level. Another negative effect of standardisation is recognised especially for highly advanced, developed, and customised operations where some individual information or operations cannot be used any more or in a more complicated manner by creating non-standardised workarounds.

Finally, in terms of costs the research participants notice that the implementation exceeded the initial budget tremendously. The initial lower budget might have been set intentionally (political reasons) not to scare shareholders or sponsors from the various businesses. It might have also been caused by unintended, unrealistic, and overly cautious planning or unintentional underestimation of the complexity of such a huge global strategic change programme where many issues can emerge, which cannot be foreseen in the beginning.

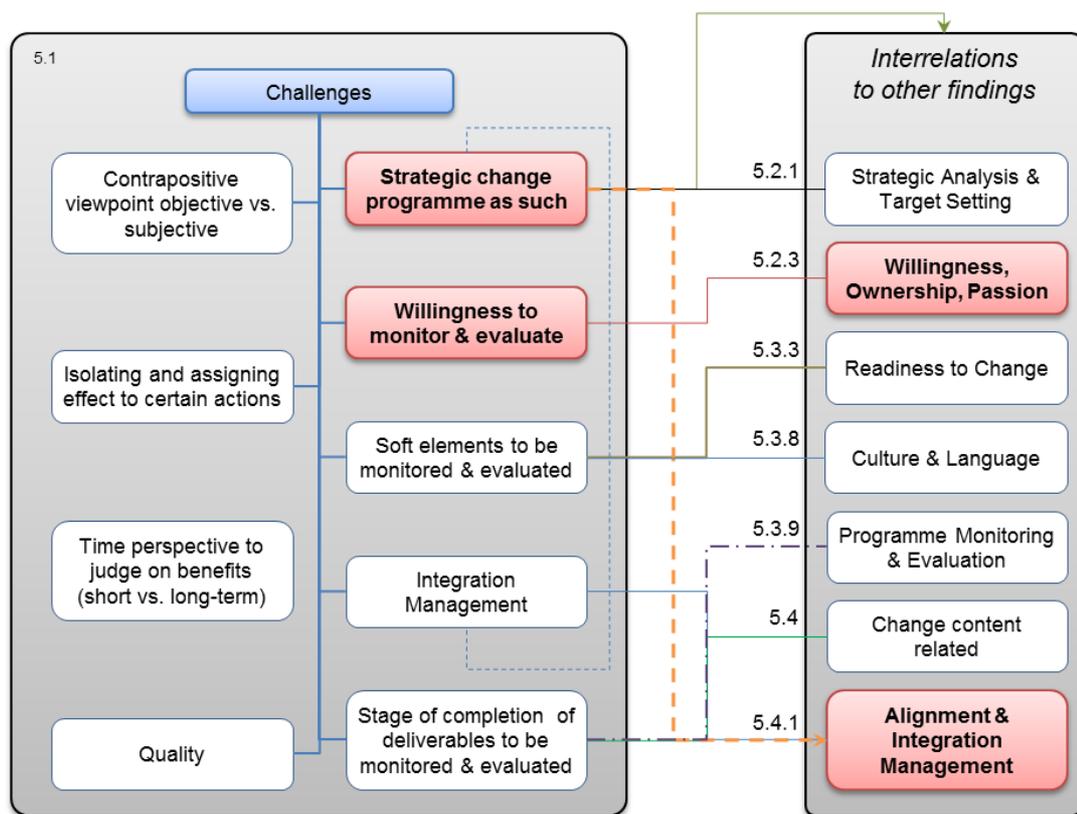
However, overall there are recognised more positive and neutral considerations about the SCP than negative ones by the participants of this study.

Appendix 22 Findings connected

The figures below illustrate the findings per chapter and their relations to findings from other chapters. The same figures are used in the respective sections (5.1- 5.5). In addition, connection lines and arrows illustrate the main linkages. Components marked in red indicate findings of particular importance. Numbers in the grey boxes indicate the numbering of the respective findings section.

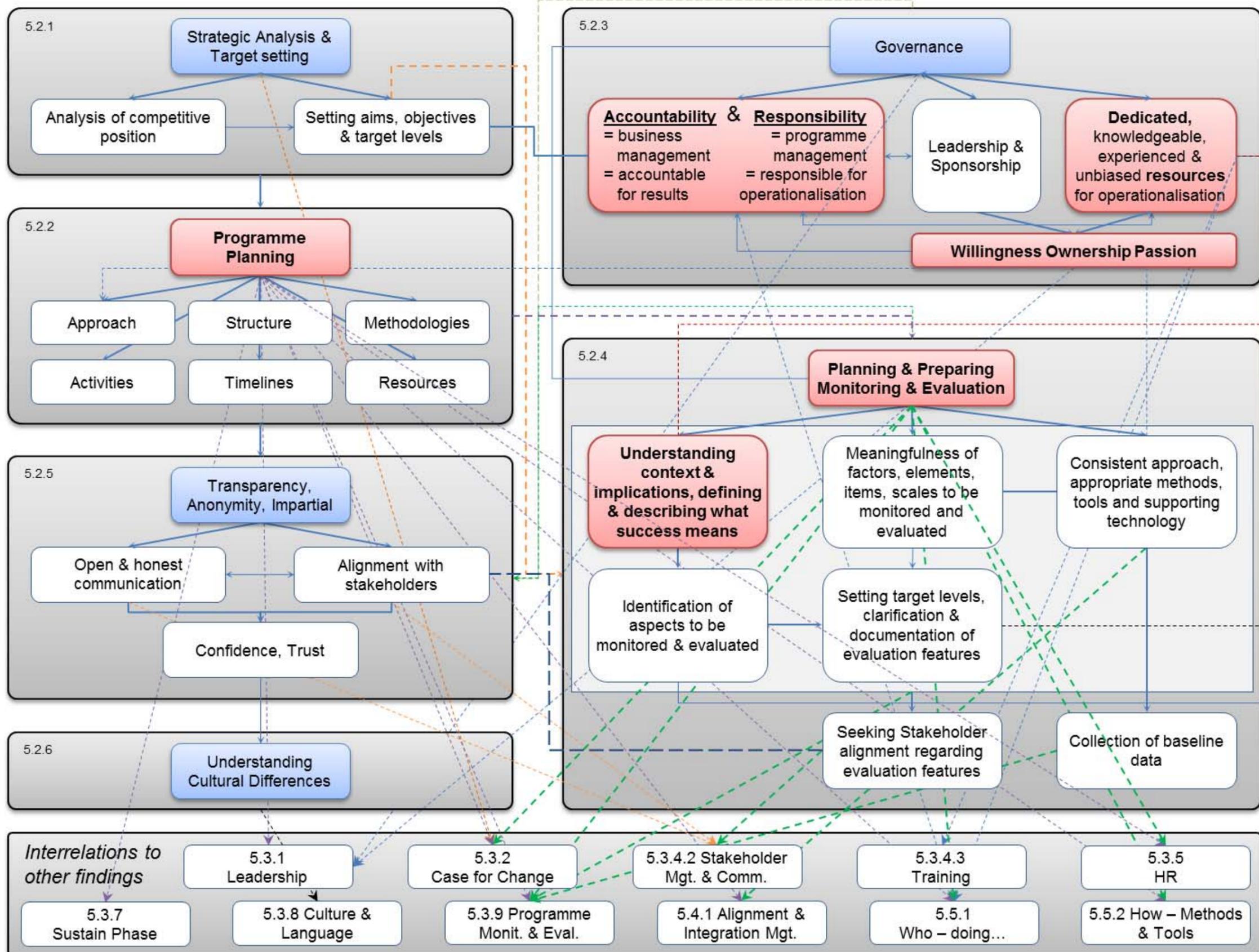
Finally, all the connections presented in the single figures are integrated into one table to present the full picture of the findings and their connections at the end of this appendix (Connecting the findings – findings).

Connecting the findings – Challenges for monitoring and evaluation



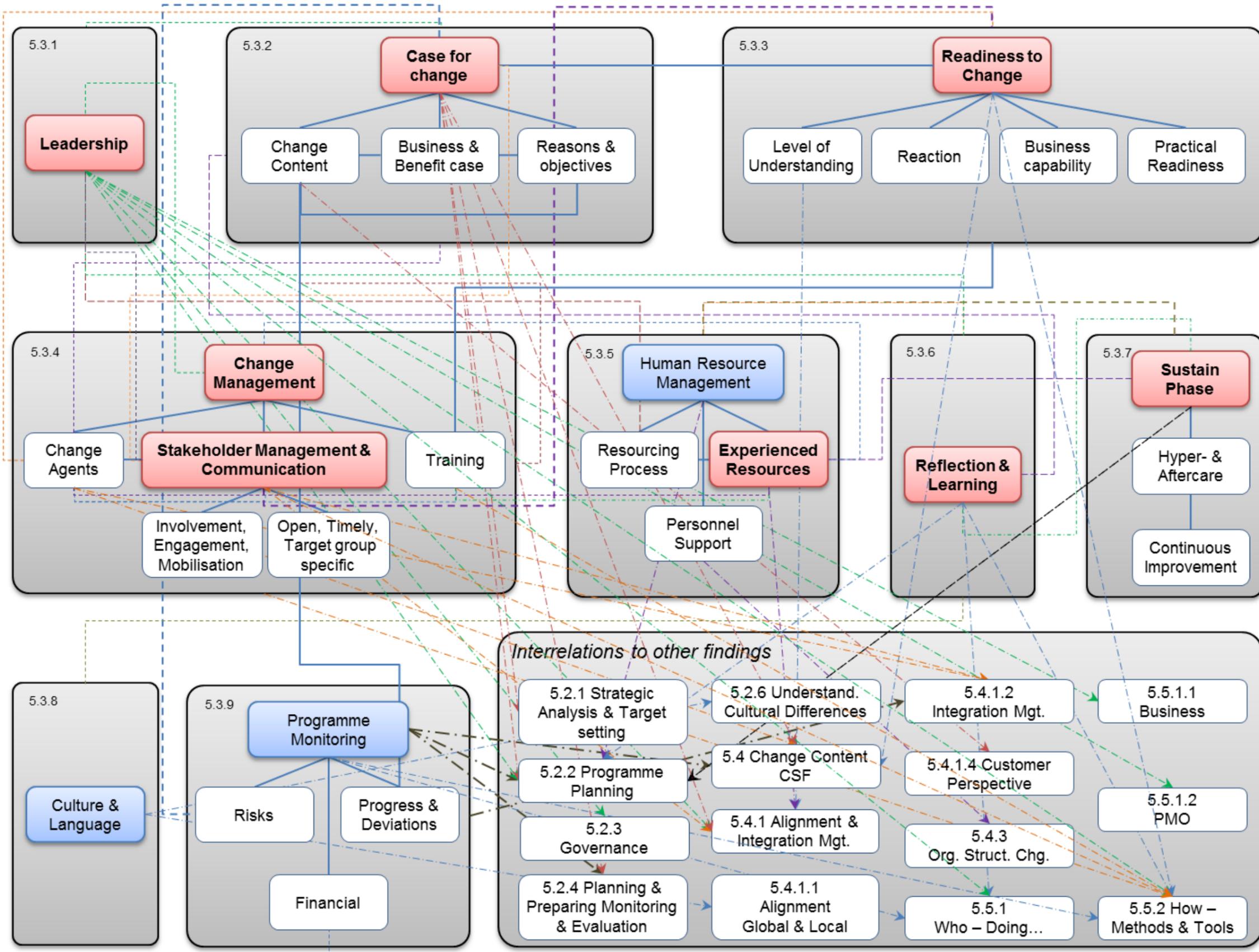
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Connecting the findings – Challenges for monitoring and evaluation



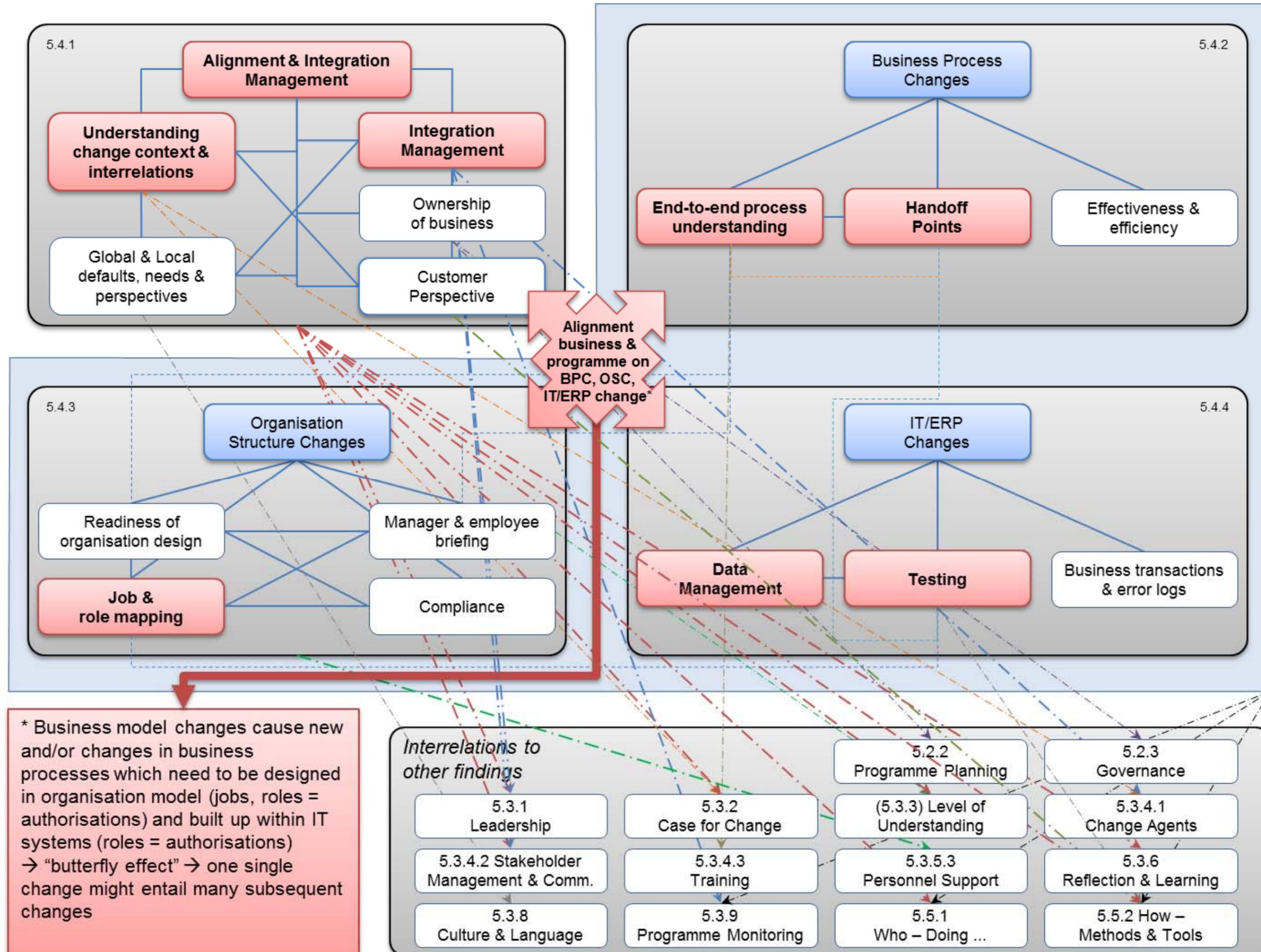
Source: Own figure

Connecting the findings – General critical success factors to be monitored and evaluated



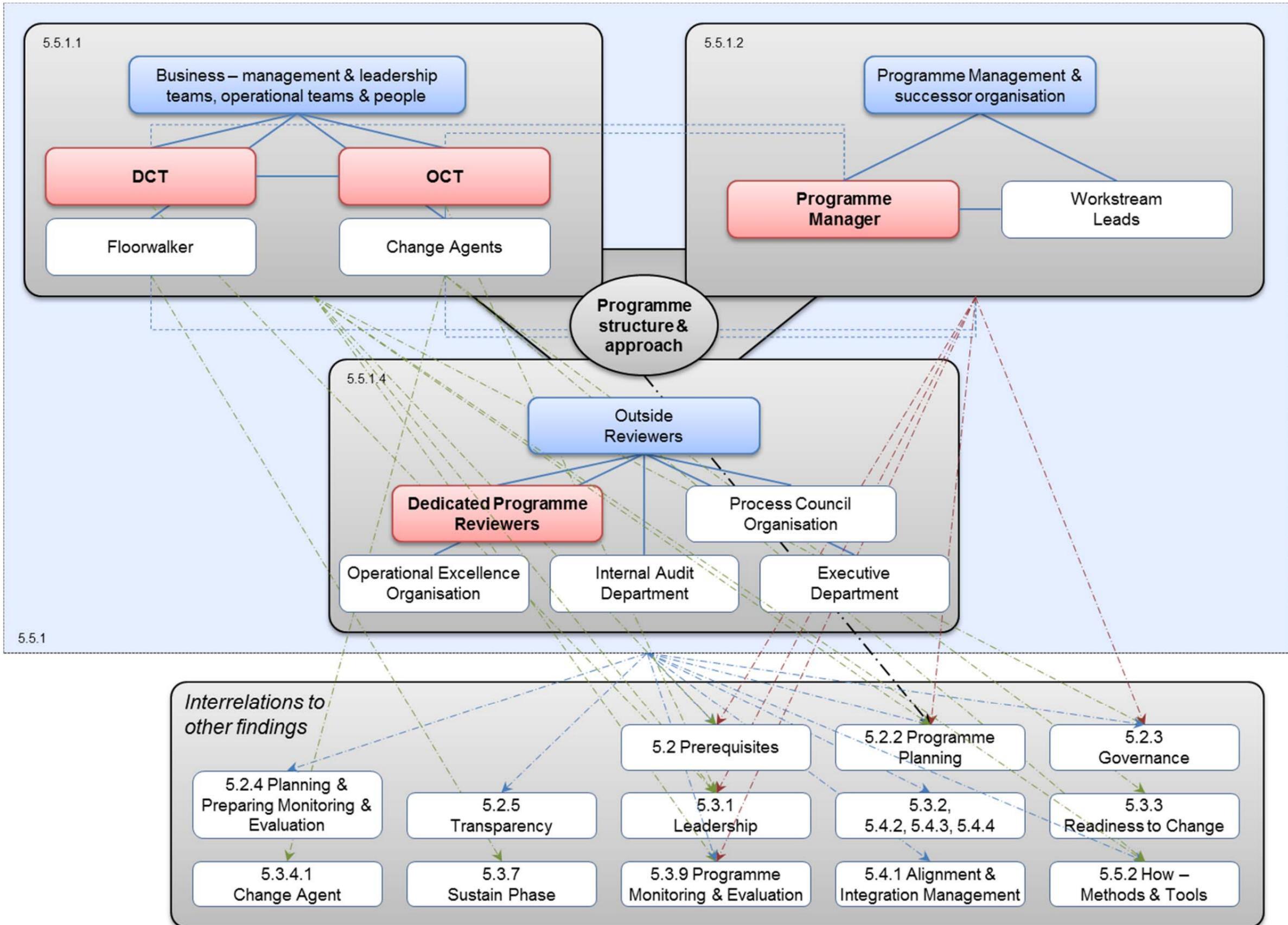
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Connecting the findings – Change content related critical success factors to be monitored and evaluated



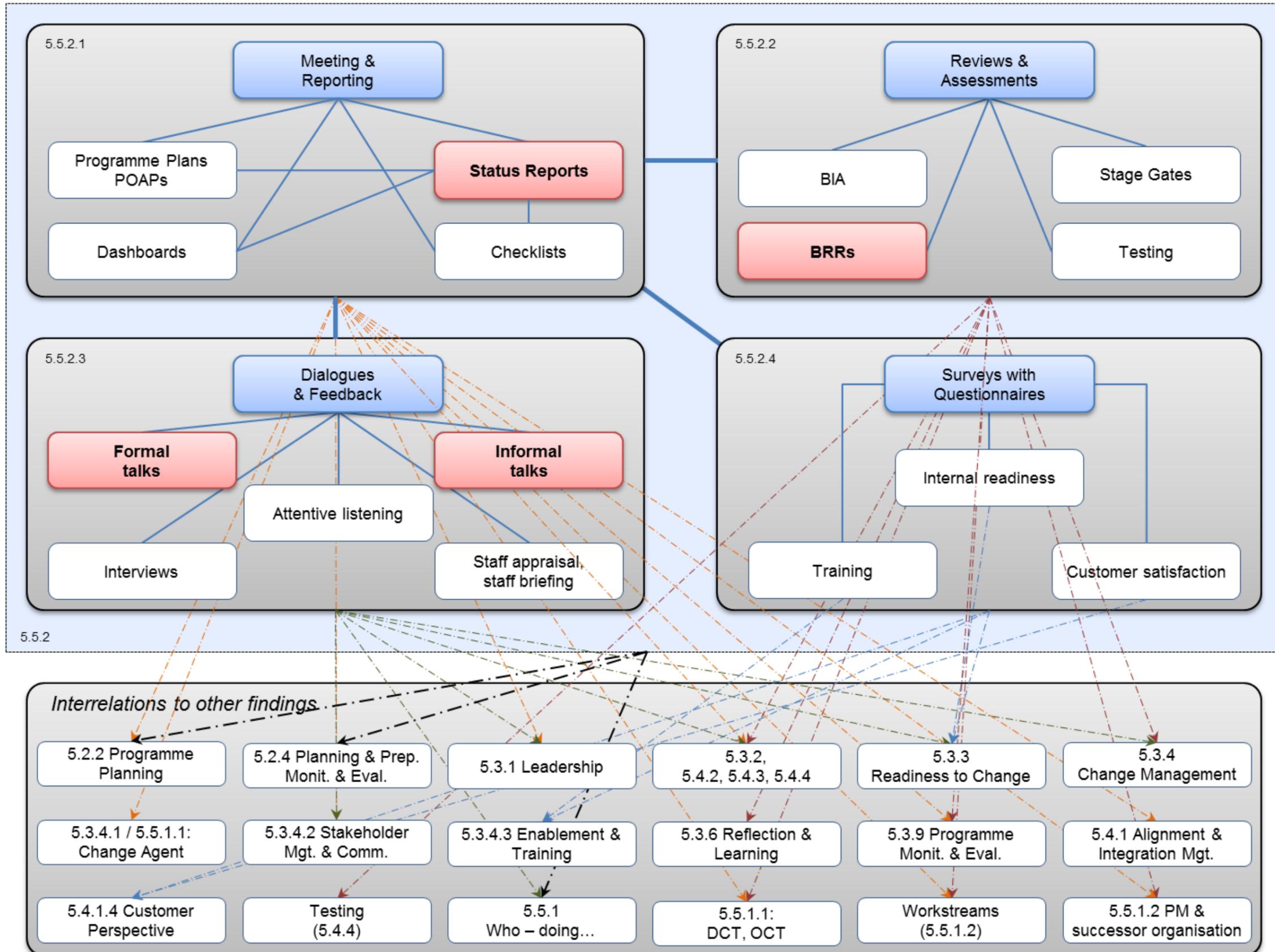
Source: Own figure

Connecting the findings – Who – doing monitoring and evaluation



Source: Own figure

Connecting the findings – How – methods and tools for monitoring and evaluation



Source: Own figure

Appendix 23 Material presented to the case study company

The following content was presented and discussed with the case study company:

Research scope & Methodology

- Research aim (chapter 1.4)
- Data collection scope (4.5.1, Summary of interviewees roles at the end of Appendix 13)

The case of the strategic change programme – Context and background (Figure IV-1, Figure IV-2)

Learning from the case

- Contrasting positive & negative aspects (Appendix 20)

Findings

- Challenges for monitoring and evaluation (Figure V-1)
- Prerequisites for monitoring and evaluation (Figure V-2)
- Critical success factors to be monitored and evaluated (Figure V-3)
- Operationalisation of monitoring and evaluation (Figure V-6, Figure V-8)
- Framework (Figure V-9)

Conclusion & Recommendation

Contribution to the Newcastle Business School Doctoral Conference 2011

Jan Neumann

Newcastle Business School – Doctoral Conference – June 2011



Evaluation of the contribution of managing change activities to a major transformation initiative

A case study research on a case study company's strategic change programme and its implementation in Germany



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Evaluation of the contribution of managing change activities to a major transformation initiative



Purpose & aims

The purpose of the research is to

- find indications, references and evidence
- how managing **change activities can be monitored and evaluated**
- in order to prove their contribution to the overall outcome of a transformation initiative

In particular, it aims at

- providing recommendations to **enhance IBM's change management method,**
- especially focusing on that part of the method which deals with '**Value Realisation**' and its linkage to connected parts of the overall method

Methodology & methods

- **Case study** about a strategic change initiative at a global energy company to be conducted based on **qualitative empirical research**
- Data to be gained primarily through **semi-structured interviews** with different people having performed different roles in the project – Country Programme Manager, leader of the change management team, project team members, affected employees, work council representatives and consultants
- Findings to be triangulated by referring to **internal documents, academic and non-academic literature as well as secondary studies**

Expected contribution

Research project will reveal a two-fold value, for the case study company as well as for IBM

Value for the case study company

- **Analysis of the achievements of the SCP initiative** (for Germany) and based on that lessons learned as organisational **learning for future projects or programmes**;
- **Recommendations** for potential **improvements** of the **Business Change Implementation Method (BCIM)**

Value for IBM

- **Improvement or enhancement of change management methodological framework** (IBM Better Change Method) based on real case study
- in order to **be able to provide better consulting services** in the field of transformation and organisational change management with a focus on the “Value Realization” enabler and its linkage to the enablers

This image has been removed by the author of this thesis for copyright reasons.

Monitoring and evaluating large scale organisational change implementation –

A case study about a strategic change programme of a major industrial company in the energy sector to identify an effective framework for monitoring and evaluating ERP-driven large scale organisational change implementations



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Introduction into research area

- This research is about **large scale organisational change initiatives** and approaches to **monitor and evaluate these** in order to **ensure a successful implementation**.
- The work uses a **single case study** approach looking at a strategic change programme (SCP) of a **major industrial company** in the energy sector*, which is about
 - **introducing standard business models,**
 - **simplified and standard global business processes,**
 - **standard organisation model** and a
 - common, **enterprise-wide IT infrastructure** to about 30 countries.
- Within this SCP the **focus** of this research is **on the Enterprise Resource Planning system (ERP) implementation** in three countries – **Germany, Austria and Switzerland** where the researcher was involved as external organisational change management consultant.
- The ERP-implementation is the enabler to achieve the overall anticipated business benefits: increasing efficiency and improving competitiveness by standardising global business processes.



*The name of the case study organisation (CSO) cannot be stated due to anonymity and confidentiality reasons.

Business background

- During the last two decades **ERP became an essential part in organisations in today's global business world**. They often build their backbone as they fulfil the organisations' core business needs across industries and markets.
- ERP-implementations, which **integrate fragmented and streamline internal business processes**, offer significant improvements in efficiency, productivity, quality management, customer satisfaction, cost reduction and decision making-speed.
- Consequently, such systems seem to be essential for modern businesses.
- Although ERP can bring strategic competitive advantages to organisations many studies recurrently provide evidence that **most of these projects fail**.
- Thus, ERP-implementations are **costly, time-consuming, complex and overall a difficult undertaking**. Most of them are struggling with cancellations, cost/time overruns and lack of benefit realisation.

Business background

- Theory as well as good practice as defined in the literature position a planned, systematic and rigorous **evaluation process as a key element of successful management of organisational change**.
- **However**, in business practice **it rarely takes place**.
- **Without monitoring and evaluating the effectiveness of a change initiative, it is likely to be less certain. Thus, it is regarded as highly likely that organisations will experience the same failures and unsuccessful past.**

Research aim & research questions

Research aim

- The aim of this research is to explore approaches to monitor and evaluate ERP-driven large scale organisational change initiatives and their implementation; and to develop a framework to monitor and evaluate these.

Research question

- What kind of key success factors (KSFs) need to be considered to develop a framework for monitoring and evaluating an ERP-driven large scale organisational change initiative and its implementation?

Sub-questions

- What are the KSFs in the ERP-driven SCP of the CSO to be considered for monitoring and evaluating in order to ensure its successful implementation?
- How can a framework for monitoring and evaluating the effectiveness of ERP-driven large scale organisational changes as implemented in the CSO be developed?

Methodology

Research philosophy

- **Subjective** epistemology, adopting a social **constructivist** paradigm which assumes that multiple realities exist

Approach

- This work uses a **applied research** approach conducting a **summative evaluation**. This means, it is conducted after a change was implemented aiming at examining the consequences of the adoption of particular courses of action/change. It investigates whether a particular programme is effective in accomplishing certain programme goals.
- It seeks to answer questions posed by decision-makers rather than academics.

Research strategy

- **Case study** – exploration of a phenomenon, which is explored by the researcher within its real life-context.

Data collection

- Open interviewing with **semi-structured interviews** (23 face-to-face interviews, 1 telephone interview)
- 2 pilot interviews conducted

Data analysis

- **Template analysis** supported by using CAQDAS **NVivo**

Potential impact to professional practice

- Build a framework for monitoring and evaluation with regard to large scale organisational change initiatives as implemented in the CSO.
- Understand KSFs, what and why to monitor and evaluate these throughout an ERP-implementation.
- On a project level the monitoring and evaluation framework aims at disclosing and providing information on whether intended objectives are being achieved or adjustments to objectives or mitigating actions in the project are necessary.
- Contribute to professional practice by providing distinctive theoretical, empirical and methodological recommendations about what, why and how to use such a framework.
- The findings may lead to more successful implementations and organisational learning with less resistance and better capabilities to manage change.

Monitoring and evaluating large scale organisational change implementation

A case study about a strategic change programme of a major industrial company in the energy sector to identify an effective framework for monitoring and evaluating the implementation of large scale organisational change

Critical success factors for ERP, BPR, and re-organisation project implementations

Critical success factors from the change management perspective

Burke-Litwin Causal Model of Organizational Performance and Change

Key success factors to be monitored and evaluated	Phases of a large scale organisational change initiative				
	Initialisation	Conception	Mobilisation	Implementation	Sustaining
• ...	• ...	• ...	• ...	• ...	• ...
• ...	• ...	• ...	• ...	• ...	• ...
• ...	• ...	• ...	• ...	• ...	• ...

Monitoring and evaluating strategic change programme implementation

Identifying critical success factors in a strategic change programme –
preliminary findings from an energy sector case study



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Summary

This study is based on a single **case organisation from the energy sector**, providing an assessment of its **global strategic change programme** implementation.

The programme makes particular reference to **business model** changes, business **process reengineering, restructuring** as well as **IT infrastructure changes**.

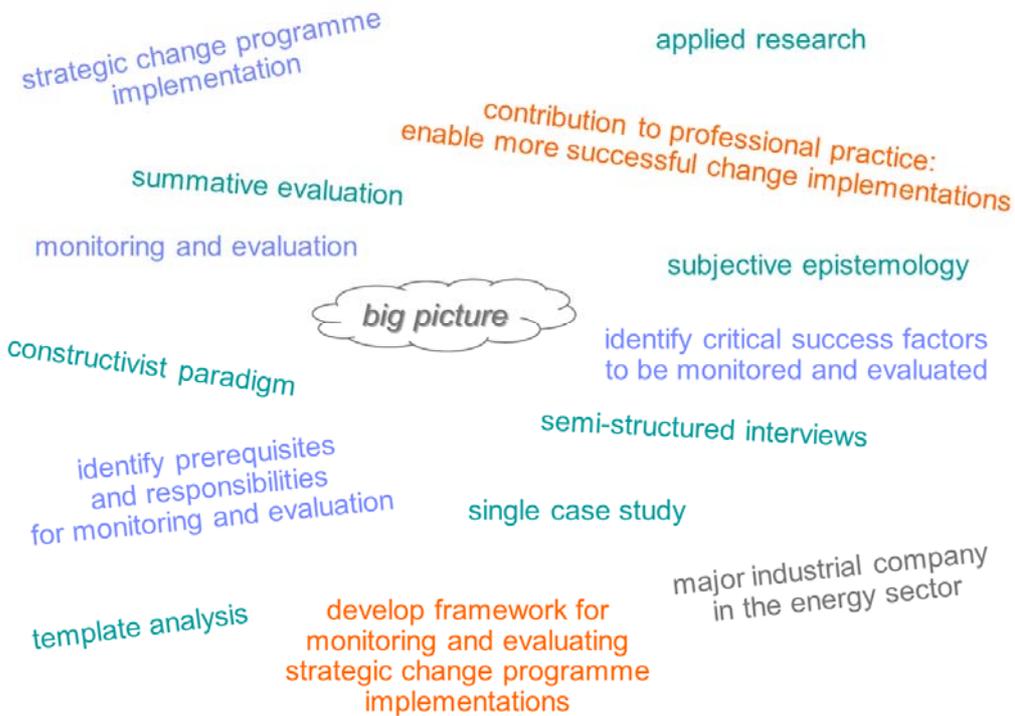
This presentation is about **preliminary findings** from the study, providing insight into useful practices relating to the management of such an extensive change programme, considering various programme levels and organisational dimensions, with specific reference to:

- Identifying **critical success factors** for successful implementation
- Identifying **prerequisites for programme monitoring and evaluation**
- **Operational priorities** for programme monitoring and evaluation.

The study has potential interest for both **academics and practitioners** involved in managing strategic change and monitoring change implementation.

Its value centres around addressing issues raised by **decision-makers** responsible for significant change implementation.

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Literature review – Business and industry background

- Business world changed tremendously over the past decades
- Challenges for organisations – globalisation, rapid growth, emergence of new technologies, new competitors, failing markets, depressed economies and financial crisis
- **Petrochemical industry not immune, geographical shifts and developments in Arabian Gulf region or Middle East and Asia**
- Challenges position of the US and European based companies
>> Reshaping their global downstream business
- European companies compete in commoditised petrochemicals
>> Pressure on margins, high energy cost, tightening regulations
- Developments even led some of former dominant market players to consolidate business activities
- **Others adapted to conditions by changing operating models**



- Look for opportunities and possibly **adapt business strategy to exploit organisational strategic abilities and competencies** and to seek **improvements in every area of their business**
- Requires organisations' **readiness and ability to implement proposed and planned changes** respectively

Literature review – Organisational change

- Strategy and change are inseparable as strategies come alive only when organisations implement changes
>> Highlights significance and relevance of organisational change
- **Effective management of change highly required skill and decisive factor for organisations**
>> **Need to know much more about to understand and how to manage change in organisations**
- Tendency for managing change initiatives to fail
- When change programmes are more comprehensive & associated outcomes are more complex
>> Even more difficult to monitor and evaluate implementations effectively
- Acknowledgement of problematic nature of judging efficacy of change programmes
- **However, without monitoring and evaluating such change implementations, associated success is likely to be even less certain**
>> **Highly likely that organisations undertake and experience same failures and be as unsuccessful as they were in the past**
- **Little formal knowledge, prescription or monitoring standards for evaluating strategic change implementation**



- Gap in change assessment and its understanding >> need for more formulaic approaches being developed and adopted
>> **Potential to develop a framework for monitoring and evaluating such programmes**

Literature review – Monitoring and evaluation of organisational change

- Monitoring and evaluation: systematic, planned and purposeful activity, collecting data on issues to enhance knowledge and decision-making with intention of using respective results
- Planned organisational change should be based on data and consequently evaluated to ensure success
- Evaluation to be incorporated into change implementation plans, linked to and aligned with criteria for success
- Requires systematic and continuous data collection at several organisational levels, being analysed, findings made available to decision-makers
- Multiple assessments of effectiveness and performance beyond hard facts >> also soft facts and intangibles
- **Can make significant contribution to the better understanding change process, both positive and negative experiences and associated adaptations in future actions**
- Difficult to design evaluation studies >> challenging to collect reliable data and isolate effect of certain activities from other influences
- **Theory and good practice position planned, systematic and rigorous evaluation as key element of successful management of organisational change << However, in business practice it rarely takes place**
- Nonetheless, important to evaluate changes against key organisational goals, despite inability to link impacts and effects to specific interventions



- **High failure rates of change implementations and lack of formulaic knowledge on monitoring and evaluating strategic change implementation point to need for better understanding of critical success factors, prerequisites, roles and responsibilities and operationalisation of monitoring and evaluation**

Methodology

Research philosophy

- **Subjective** epistemology, adopting social **constructivist** paradigm which assumes that multiple realities exist

Research aim

- **Explore approaches to monitor and evaluate** strategic change programme implementations and to
- **Develop a framework** to monitor and evaluate these

Research question

- **What kind of critical success factors need to be considered to develop a framework** for monitoring and evaluating a strategic change programme and its implementation?

Approach

- **Applied research** approach conducting a **summative evaluation**
>> conducted after change was implemented aiming at examining consequences of adoption of particular courses of action/change
- Investigates whether a particular programme is effective in accomplishing certain programme goals
- Seeks to answer questions posed by decision-makers rather than academics

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Methodology

Research strategy

- Single **case study** – exploration of a phenomenon within its **real life-context**
- Looking at strategic change programme of a **major industrial company** in the **energy sector**, which is about
 - introducing **standard global business models**
 - simplified and standard global business **processes**
 - standard global **organisation model**, incl. **offshoring** and a
 - common, enterprise-wide global IT infrastructure to about 30 countries
- Focus on implementation in Germany, Austria and Switzerland where researcher was involved as external consultant

Data collection

- **Semi-structured interviews** (25 interviews, 2 pilots); **interviewees performed multiple roles** in this change programme
>> provides comprehensive, reasonable and balanced view and understanding of the strategic change programme implementation
- Key interview questions:
 - What are **critical success factors to be monitored and evaluated** to ensure a successful implementation of a strategic change programme?
 - **When and how** should these critical success factors be monitored and evaluated throughout the change process?
 - Which **prerequisites** need to be met being able to monitor and evaluate effectively?
 - Who should be **accountable and responsible** for monitoring and evaluating?
 - What should be **preserved / improved** for future change programme implementations?

Data analysis

- **Template analysis** supported by computer-assisted qualitative data analysis software **NVivo**

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Preliminary findings – Critical success factors

Most of the critical success factors mentioned, emphasised and discussed within the interviews could be arguably categorised as rather general as related to the specific content of the strategic change programme.

Understanding the strategic change programme

- Case for change - reasons, scope, impact and implications on local organisation, embeddedness in overall context of the global programme
- Every dimension of the change in business models, organisation structures, processes as well as IT >> integrated view and end-to-end understanding
- Across sites, business units and functions by all affected people (top and middle management, employees)
- Linked to: *Leadership, Integration Management*

Integration management

- End-to-end perspective of change programme in its entirety needs to be understood and proactively managed
- Willingness and ability to overcome a silo-mentality > to be replaced by an integrated end-to-end process way of thinking
- Requires early involvement of all relevant business units, functions, workstreams
- Linked to: *Understanding, Leadership*

Leadership

- Senior leaders' understanding of the strategic change programme
- Early involvement of these leaders
- Many regular senior management team sessions
- Establishing comprehensive, knowledgeable and capable management decision board dedicated to the programme from all affected business, functions, workstreams
- Establishing "Operational Coordination Team" managing operational and subject matter issues; from all affected business, functions, workstreams
- Leaders with role model function: credible, reliable, well-respected, accepted; committed and dedicated to the programme
- Linked to: *Understanding, Integration Management, Organisational change management*

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Preliminary findings – Critical success factors

Organisational change management

- In conjunction with leadership mentioned as key success factor
- First and foremost leadership task, in particular for strategic change programme implementation
- Main task to lead the change, visible support provided by a dedicated change management team
- Change management work based on dedicated methodology (tools, templates, activities – overall guidance)
- Change management regarded as a necessary means to a successful end driven by senior leaders who are supported by dedicated and well experienced change management team
- Linked to: *Leadership*

Lessons learned

- Importance of reflection at the point of programme completion, considering both good and bad experiences
- Learning from the organisation's change implementation history and previous countries' programme implementation
- Systematic, continuous

Resourcing of personnel

- Quantity and quality of people, knowledgeable, experiences from previous projects, programmes or companies
- Attracting knowledgeable resources with promising career opportunities for post-programme implementation phase
- Keeping sufficient knowledge and experience for sustaining phase >> do not start off-boarding too early
- Programme in itself future investment in employees' education and experience
- Linked to: *Sustaining phase*

Sustaining phase

- Significant contribution to overall success of the programme
- Incorporates assessment of how implemented changes yield desired organisational outcomes or results
- Keeping momentum and implementing continuous improvements
- Knowledgeable and experienced people identified as one of the critical success factors for this phase
- Linked to: *Resourcing of personnel*

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Preliminary findings – Monitoring and evaluating strategic change programmes

In order to be able to monitor and evaluate strategic change programmes effectively, it is essential to think about and consider prerequisites that need to be met to enable these kinds of activities.

Prerequisites for monitoring and evaluation

- Understanding "big picture" of change programme (case for change, scope, impact) to base monitoring onto
- Based on this critical success factors to be identified, documented and made visible
- Monitoring and evaluation to commence at start of programme, rather than during implementation or sustaining phase
- Establishing governance structures with clear instructions and activities
- Accountability, dedication, ownership
- Linked to: *Understanding*

Operationalisation

- "Business Readiness Reviews" assess businesses, functions and relevant workstreams including processes areas, IT, organisational design and training for their "Go-live" readiness
- Establishing "Operational Coordination Team", significant contribution to monitoring and evaluation of work progress and issues to be solved ahead of "Go-live"
- Monitoring methods: meeting or status reports with dashboards from business units, functions and workstreams summarising key deliverables / level of achievement and issues to be solved
- Linked to: *Leadership*

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Preliminary findings – Linking critical success factors, prerequisites and operationalisation



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Potential contribution to professional practice

Contribution

- Provide better understanding of critical success factors; point to why, when, and how to monitor and evaluate these within strategic change implementation programme
 - Development of systematic framework for monitoring and evaluating strategic organisational change programme implementations and indicate how to use such framework for formative evaluation in the context of change project
 - Provide recommendations for implementing such framework in business practice
- »
- **Combination** of critical **success factors** assigned to various project **phases** and **methods** for operationalising monitoring and evaluation activities demonstrates **distinctiveness** of this work
- »
- By applying framework in business practice on change project level, framework aims at disclosing and providing information on whether intended objectives are being achieved or adjustments to objectives or mitigating actions in project are necessary
 - Overall, findings may lead to more successful implementations and organisational learning with less resistance and better capabilities to manage change

Outlook and proposition for further research

Outlook

- Further in-depth analysis of critical success factors as well as respective methods for practical implementation of monitoring and evaluation
- Structuring, categorising and grouping findings, linking critical success factors to respective methods, assign both to respective phases of strategic change programme in which they should be monitored and evaluated

Empty framework of potential end product as contribution to professional practice:

WHAT	Categories of critical success factors	WHEN			HOW												
		Type of change	Phases in which to be monitored and evaluated		Evaluation		Methods - operational doing										
		BPR	ERP	Offshoring	Overseering	Initialisation	Conceptualisation	Mobilisation	Implementation	Sustaining	Throughout - across all phases	Quantitative	Qualitative				
List of critical success factors		X	X			X	X					X	X	X			
...	X			X			X	X	X								X
...		X			X						X						
...																	

Empty framework as template or example

Proposition for further research

- Further business practice oriented research to be undertaken by verifying findings in different contexts
 - using alternative strategic change programmes with different content, differences of scale and or
 - in similar context but in alternative industrial sectors
- Involve new insights in organisational change assessment through the development of newer and reliable scales that can be used for formative as well as summative evaluation of the identified critical success factors

Appendix 25 Article presented at BAM 2013 Conference – “Managing to Make a Difference”, Liverpool, 10-12 September 2013

Title: Identifying critical success factors in a strategic change programme – preliminary findings from an energy sector case study

Neumann, J., Sloan, D. & Robson, A. (2013) *Identifying critical success factors in a strategic change programme – preliminary findings from an energy sector case study: Managing to Make a Difference*. Liverpool: British Academy of Management.



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**Identifying critical success factors in a strategic change programme –
preliminary findings from an energy sector case study**

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Track

Organizational Transformation, Change and Development

Word count

5,664 (excluding tables and references)

Identifying critical success factors in a strategic change programme – preliminary findings from an energy sector case study

This study is based on a single case organisation from the energy sector, providing an assessment of its global strategic change programme implementation within Europe, giving consideration to the global context of the organisation. This makes particular reference to business model changes, business process reengineering, restructuring as well as the implementation of an Enterprise Resource Planning system.

This paper presents preliminary findings from the study, providing insight into useful practices relating to the management of such an extensive change programme, considering various programme levels and organisational dimensions, with specific reference to:

- Identifying critical success factors for successful implementation
- Identifying prerequisites for programme monitoring and evaluation
- Operational priorities for programme monitoring and evaluation.

The study has potential interest for both academics and practitioners involved in managing strategic change and monitoring change implementation and its value centres around addressing issues raised by decision-makers responsible for significant change implementation.

1 Literature Review

1.1 Background

There is recognition that the business world changed tremendously over the past decades (Burke, 2011). Friedman (2007) outlines a global market place in which goods, services, capital, knowledge, ideas, and people move freely across the globe looking for greater and new opportunities. Resulting from reduced trade and investment barriers, companies now participate as part of a global economy (Rothaermel, 2013), where they have to cope with very different types of challenges. These include globalisation, rapid growth, emergence of new technologies and entrance of new competitors, failing markets with depressed economies, financial crisis, and the collapse of customers, suppliers and competitors (Burnes, 2009). The petrochemical industry is not immune from these dynamics (OPEC, 2012), and as such, provide a very useful arena in which to consider a case based assessment.

As a result of significant increases in oil and gas prices, the petrochemicals industry in the Arabian Gulf region has benefited from substantial pricing and transportation advantages. Industry and market conditions have also changed due to governmental investments from countries within the Middle East and Asia. This has incentivised the establishment of R&D activities, building the necessary infrastructure and setting up the supporting educational systems to attract external as well as build and retain local industry know-how (Kalkman and Keller, 2012).

This geographical shift in markets has challenged the dominant position of the US and European based companies, now combining to represent 30% of the global petrochemicals production, which is half of its relative global position compared with 30 years earlier (Kalkman and Keller, 2012). These shifts are reshaping the global downstream industry and are anticipated to continue in the future (OPEC, 2012).

The key drivers in the petrochemicals industry have not however changed over time, the dynamic of these drivers are influencing the market (Kalkman and Keller, 2012, OPEC, 2012). Further, European companies are experiencing pressure on their margins due to expensive feedstock, high energy cost and tightening regulations. This makes it particularly difficult for European companies to compete in commoditised petrochemicals (Kalkman and Keller, 2012). These market developments have even led some of the former dominant market players to consolidate their business activities. In order to sustain competitiveness, certain organisations have adapted to these conditions by changing their operating models (Kalkman and Keller, 2012, Thompson and Martin, 2005).

These companies and their leaders have had to look for opportunities and possibly adapt their business strategy in order to exploit organisational strategic abilities and competencies and to seek improvements in every area of their business. This requires the organisation's readiness and ability to implement the proposed and planned changes respectively (Thompson and Martin, 2005).

1.2 Organisational change

Strategy and change are considered to be inseparable (Mintzberg et al., 2009), where organisational change and its implementation emerge as a consequence from an organisation's strategy and respective strategic plans (Burnes, 2009). Consequently, strategies come alive only when organisations implement changes, thus highlighting the significance and relevance of organisational change (Burnes, 2009).

There is wide acceptance that effective management of change is a highly required skill and a decisive factor in an organisation's ability to compete successfully (Burnes, 2009, By, 2005), implying the need to know much more about how to understand and manage change in organisations (Burke, 2011).

In dynamic external environments, business organisations are less able to follow, adapt to or proactively drive required changes (Burke, 2011). There is a critical consensus between academics as well as management consultants acknowledging a tendency for managing change initiatives to fail (Balogun and Hope Hailey, 2008, By, 2005, Grey, 2003, Hughes, 2010, McKinsey & Company, 2008, Sorge and van Witteloostuijn, 2004). Where change programmes are more comprehensive in their composition and their associated outcomes are more complex, it is arguably even more difficult to monitor and evaluate their implementations effectively. This is one of the key challenges facing those responsible for managing organisational transformations both currently and in the near future (Rank and Scheinpflug, 2010).

There is further acknowledgement of the problematic nature of judging the efficacy of change programmes (Iles and Sutherland, 2001). However, without monitoring and evaluating such change implementations, associated success is likely to be even less certain (Millmore et al., 2007). Accordingly, it is regarded as highly likely that organisations will undertake and experience the same failures and be as unsuccessful as they were in the past (Gustafson et al., 2003). In terms of associated support, Walton and Russell (2004) notice that there is little formal knowledge, prescription or monitoring standards for evaluating strategic change implementation in existence. Consequently, this gap in change assessment and its understanding potentially points to the need for more formulaic approaches being developed and adopted, associated with this is the potential to develop a framework for monitoring and evaluating such programmes.

1.3 Monitoring and evaluation of organisational change

A useful definition for monitoring and evaluation is provided by Fournier (2005, pp. 139-140).

'...an applied inquiry process for collecting and synthesizing evidence that culminates in conclusions about the state of affairs, value, merit, worth, significance of a program, [...] or plan. Conclusions made in evaluations encompass both an empirical aspect (that something is the case) and a normative aspect (judgement about the value of something). It is the value feature that distinguishes evaluation from other types of inquiry [...].'

This represents a systematic, planned and purposeful activity, collecting data on issues in order to enhance knowledge and decision-making with the intention of using respective results (Russ-Eft and Preskill, 2009).

Planned organisational change, like strategic change implementations, should be based on data and be consequently evaluated, given the necessity of this to ensure success (Burke, 2011). Effective evaluation requires a systematic and continuous data collection process at several organisational levels, being analysed, the findings subsequently being made available to decision-makers (Lawler and Worley, 2006, Thornhill et al., 2000). Skinner (2004) recognises the need to incorporate evaluation into change implementation plans, this being linked to and aligned with explicit criteria that define project or change success.

Burke (2011) argues for the necessity in integrating intangibles into these assessments. Given the sheer complexity of organisational change that extends beyond the simplistic overview provided in quantitative measures such as financial data, other intangibles are potentially crucial to its success. Multiple assessments of effectiveness and performance, beyond the single dimension of finance are viewed as overdue (Burke, 2011). This evaluation can make a significant contribution to the better understanding of, and knowledge gained, during and after such a change process, both positive and negative experiences and associated adaptations in future actions playing a key role in this assessment (Millmore et al., 2007). This represents an organisational challenge, as observed by Toracco (1997, p. 121) “evaluation is usually not included in long-term change processes”, its limited inclusion in business practice being further reported (Skinner, 2004, Tichy, 1983). Furthermore, Hughes (2010) underlines the difficulties in designing evaluation studies, with the challenge of collecting reliable data and isolating the effect of certain activities from other influences being acknowledged (Phillips and Pulliam Phillips, 2007). Nonetheless, Toracco (1997) emphasises the importance of evaluating changes against key organisational goals, despite the inability to link impacts and effects to specific interventions.

In more general terms, the high failure rates of change implementations and the lack of formulaic knowledge on monitoring and evaluating strategic change implementation point to the need for a better understanding of critical success factors, prerequisites, roles and responsibilities and operationalisation of monitoring and evaluation in this context.

2 Research design and methods

2.1 Case study

The design is built on a single case study to explore the reality of monitoring and evaluation in the real-life context of a strategic change programme implementation of a major industrial company in the energy sector. The explored phenomenon is about introducing standard business models, simplified and standardised global business processes, standard organisation models and a common, enterprise-wide IT infrastructure to about 30 countries. In doing so the programme aims at increasing efficiency and improving competitiveness. Within this strategic change programme the focus is on the implementation in three countries, Germany, Austria and Switzerland, where the lead researcher was involved as external organisational change management consultant.

Case studies have credibility in situations where the boundaries between phenomenon explored and surrounding context are either unclear or not apparent. This approach is particularly relevant to organisational behaviour, where detailed exploration of the behaviour of members of an organisation is both essential and cannot be separated from the individual research object (Yin, 2009). This applicability extends to researching the impact of people related interventions within an organisation, incorporating multiple information sources (Millmore et al., 2007, Yin, 2009), as well as on impact assessment of strategic change programme implementations (Robson, 2011).

2.2 Data collection

Data were collected using semi-structured interviews (Easterby-Smith et al., 2008), permitting participants to share their experiences and understand their appreciation and interpretation of the related events and outcomes. Within the interviews, both interviewer and participants had equity of dialogue, and as such, developed in partnership the interview process and associated content and discussion topics (Rubin and Rubin, 2004).

The number of interviewees was influenced both by accessibility and manageability of the potential narrative data, resulting in capturing data from 25 interviews, including two pilots, the associated volume enabling 'thick description' and associated 'thick interpretation' (Denzin, 2001) from the single case scenario. The intention of the study and is to provide some cautious transferability to similar change contexts without necessarily collecting data in any meaningful volume that provides generalisability, which would be contradictory to the chosen approach to the research (Yin, 2009).

Central to the rationale behind the selection of the research participants is that strategic change programmes typically involve senior managers with direct involvement in decision-making, planning, providing change direction and being responsible for its associated implementation. The assessment of such change also involves consideration of employees from various programme and organisational levels, with differing experiences in the course of the change journey, some of which may be location specific. As such, the selected interviewees performed multiple roles in this change programme, consequently, their inclusion in this study has provided a comprehensive, reasonable and balanced view and understanding of the strategic change programme implementation.

In terms of the process for conducting interviews and their subsequent transcription, they were divided into three areas: general questions about monitoring and evaluating strategic change programme implementations, questions related to the strategic change programme of the case study organisation, as well as change management related questions.

Each of the potential research participants agreed to participate in the research except one person who delegated this to his deputy. Except for two telephone interviews, all other interviews were conducted face-to-face. Each interview was audio-recorded and transcribed word by word in respective language (13 interviews in English, 12 interviews in German). The lead researcher decided to transcribe the interviews by himself, being aware that whilst this is a time consuming task, it represents the first, but essential, step in working with and understanding the primary data and being a pre-step in its subsequent analysis.

Afterwards, each transcript was sent to respective interviewee in order to provide them with the opportunity to make amendments, corrections and comments by themselves or to ask the lead researcher for modifications, consistent with the ethical position of the University. None of the interviewees made or requested major changes to their transcripts.

2.3 Template analysis

Template analysis was selected given the support afforded to the researcher in thematically organising and analysing textual data (King, 2012). Central to this analysis is the development template is then applied to the full set of data, revised and reapplied as part of an iterative process.

A key characteristic of template analysis is the organisation of codes in a structured hierarchical order grouping similar codes and distinguishing these from distinct heterogeneous ones emerging from the data. Codes higher in the structure present more general themes providing an overview, contrasting with lower-order codes which allow for more detailed analysis (King, 2004).

To support the process of template analysis the software package NVivo is used. The lead researcher is aware of the potential disadvantages using software to analyse qualitative data (Atherton and Elsmore, 2007). However, the main reason to use NVivo was to manage a large volume of data (Atherton and Elsmore, 2007, Easterby-Smith et al., 2008, Silverman, 2009).

A key feature of template analysis involves defining a priori themes, permitting the researcher to identify and define themes in advance of the data analysis, which correspond to key research perspectives. These themes serve as a preliminary pattern or skeleton before developing a structured initial template on the iterative journey to the final template (King, 2012).

In this particular study, specific a priori themes were identified, as displayed in Table 1. These were driven by the extant literature, research aim, question and objectives, as well as the associated interview questions.

Table 1: A priori themes and codes

Category	Main theme	Sub-theme 1	Sub-theme 2	
Monitoring and evaluation in general	Identifying critical success factors with regard to monitoring and evaluation of strategic change implementations	In general		
			Content related	Enterprise resource planning
			Business process reengineering	
			Reorganisation	
		Change process related		
	Assigned critical success factors to phases of strategic change implementations	Initialisation		
		Conceptualisation		
		Mobilisation		
		Implementation		
		Sustaining		
Operational doing of monitoring and evaluation within strategic change implementations				
Prerequisites for monitoring and evaluation of strategic change implementations				
Responsibility for monitoring and evaluation of strategic change implementations				
Strategic change programme	Description of case study organisation and the strategic change programme			
	Level of goal achievement			
	Criteria for evaluating success			
	Interviewee	Role of interviewee during the strategic change programme implementation		
		Impact of the strategic change programme onto the interviewee		
	Decisive and to be preserved for future implementations			
	To be improved for future implementations			
	Monitoring and evaluation in the strategic change programme	What		
How				
What was missing				
Change Management	Contribution of change management to strategic change programmes in general			
	Role and objectives of the 'Change & Engage' workstream for the strategic change programme			
	Level of goal achievement of the 'Change & Engage' workstream			
	Change management activities undertaken to support the change process			
	Contribution of the 'Change & Engage' workstream to the success of the strategic change programme			

As stated by King (2007) independent scrutiny represents a useful part of the template development process. Two volunteers were given sample transcripts and asked to code them using the a priori codes and themes, making note of themes and codes they found difficult to apply, aspects of the textual data not covered by the template, as well as any other process issues.

One of the volunteers has a business professional background making him fully aware of organisational changes from a business professional perspective and well educated within the field of business administration. The second person is a Masters student in Management with experience of the Change Management discipline from a theoretical perspective.

2.4 The initial template

In this work four interview transcripts were used expecting that those would reveal a substantial set of data to build the initial template on. These four transcripts comprise experiences from the following interviewees:

- the manager being overall responsible for the strategic change programme implementation in Germany, Austria and Switzerland (DACH cluster)
- the responsible manager from the global programme organisation responsible for supervising, assisting and supporting dedicated cluster or country implementations from a global programme perspective (not DACH but other clusters and countries)
- one of the change managers for the DACH implementation who prepared his responses to the interview guide in advance to the interview providing many details in a very structured manner
- an external organisational change consultant still working for that client more than twelve years, thereof seven years in the context of the strategic change programme in several global as well as local roles (DACH amongst others)

The initial template is presented in the appendix.

3 Preliminary findings

The main preliminary findings comprise identified key success factors, followed by findings on monitoring and evaluation subdivided into prerequisites as well as methods and operational implementation.

3.1 Critical success factors identified

Most of the critical success factors mentioned, emphasised and discussed within the interviews could be arguably categorised as rather general as related to the specific content of the strategic change programme. These factors comprise business model changes, business process changes, reorganisation and IT implementation.

3.1.1 Understanding the strategic change programme

One of the factors mentioned most relates to understanding the strategic change programme. This comprises the reasoning for change, its scope as well as respective impact on the implementing country. For change and business undertaken in a global context, as is the case here for both programme and organisation, it is still essential to consider local implications within this broader assessment.

These changes need to be further understood at a level of detail relating to both scope and local impact across various organisational dimensions, specifically across all sites, business units and functions, accounting for organisational structures, processes and encompassing infrastructural assessment such as IT implications. An understanding of these issues is essential at all hierarchical levels within the change organisation.

Essential to the overall success of such a programme was an understanding of the “end-to-end” perspective, emphasis being made explicitly here to this type of understanding. Consistent with the complexities of such change initiatives, driven by the vast number of interdependencies that exist within both company and change programme, this appreciation involves an integrated view cross-business units and functions and taking a business process perspective on changes and their implications from process trigger to completion, see the findings related to “integration management”.

3.1.2 Leadership

The role and dedication of senior leaders was identified as one of the key success factors in the implementation of such a comprehensive initiative. Also linked to the category “Understanding”, it is vital that senior leaders responsible for the implementation have a thorough understanding of the reasons, scope, impact, and end-to-end perspective of the upcoming changes. The findings also point out that an early involvement of the senior leaders is required to acquaint them with the change. It was mentioned that this was done with many and regular senior management team sessions where they also tried to build internal coherence and team spirit.

From a more formal programme perspective, a key success factor was the establishment of a comprehensive, knowledgeable and capable management decision board dedicated to the programme. It consisted of the most senior managers from all affected business units, functions and workstreams.

In addition to this board another governance body was set up below, referred to as the “Operational Coordination Team”.

This management team was responsible for dealing with more operational issues to be solved on a management level, also as preparation and support for the programme management decision board. This team consisted of dedicated and selected local people as experts from their fields again from all relevant business units, functions and workstreams.

With regard to the senior leaders, the preliminary findings point out some key characteristics identified as beneficial to programme success; these managers being perceived as credible, reliable, well-respected and accepted in the organisation, as well as being committed and dedicated to the change implementation. Where these characteristics were evident, it was seen that it would be potentially easier for teams to follow the top-down approach taken for the programme implementation.

3.1.3 Integration management

Mentioned in almost every interview and again linked to “understanding the strategic change programme”, the end-to-end perspective of the change programme needs to be understood and proactively managed. A prerequisite to this understanding and therefore a success factor for the change programme in its entirety, is the ability for team members to overcome a silo-mentality way of thinking based on their specific business unit or function, replacing this with an integrated end-to-end process perspective, with understanding of adjacent processes as well as those specific to the individuals’ part of the organisation.

To achieve this, early involvement of all relevant business units and functions is essential. The end-to-end perspective and respective integration management requires consideration of both implied and sometimes unrecognised interdependencies especially where business process changes lie at the core of the strategic change programme.

3.1.4 Resourcing of personnel

Human resources as a critical success factor were covered substantially by the interviewees. The main aspects are related to HR strategy and policy for the strategic change programme and the time afterwards. From a more general perspective, key drivers of success relate to number and quality of people, quality centring in particular on relevant experience and success in previous projects, programmes or companies.

More specific to the strategic change programme, interviewees emphasised the importance of having sufficient knowledge and experience, especially for the sustaining phase, it was seen as especially desirable to retain relevant people for subsequent location (country or cluster) implementations. These experienced people comprise both internal staff as well as externals like consultants or trainers. From the perspective of many of the interviewees, the off-boarding process started too early.

With regard to internal staff, importance is attached to HR policies that include alternative career options post-programme participation. This strategy should take into account the re-integration of employees into the line organisation with regard to assignment of appropriate jobs, roles and responsibilities.

This was stated as being crucial in attracting knowledgeable people from the outset of the programme, that post roll-out, attractive opportunities would be available. The programme is itself an investment in employees’ education and experience, which has the potential for transferability within the organisation via future work including projects; hence their retention is of paramount importance.

3.1.5 Management of change

The interview guide covers a separate category dealing with change management, both in general terms and specific to the strategic change programme, although in reality, the interview responses resulted in both dimensions merging into a one-dimensional set of responses.

This time spent in conjunction with leadership change management was mentioned as key success factor or area. The majority of the interviewees identified change management as first and foremost a leadership task, both generally and for the strategic change programme in particular. The main task here is seen as to lead the change, with visible support provided by a dedicated change management team which bases its work on a change management methodology containing associated and relevant tools, templates and activities. Consequently, change management is regarded as a necessary means to a successful end driven by senior leaders who are supported by a dedicated and well experienced change management team.

In this case scenario, this has been realised through the development of a bespoke comprehensive and structured change management methodology, specific to the implementation of the strategic change programme.

3.1.6 Sustaining phase

There was recognisable interviewee consideration given to the “sustaining phase” (phase after implementation or “Go-live”) and its significant contribution to the overall success of the programme. The sustain phase incorporates assessment of how implemented changes yield the desired organisational outcomes or results. The phase involves keeping momentum and implementing continuous improvements which may have been out of scope or de-scoped intentionally due to complexity or other reasons. These are time consuming tasks, which also require knowledge about previous programme phases. Consequently, knowledgeable and experienced employees have been identified as one critical success factors for this phase.

3.1.7 Lessons learned

The importance of reflection at the point of programme completion, considering both good and bad experiences is essential and cited as a critical success factor by almost every interviewee in the study. The importance of learning from the organisation’s change implementation history, including outcomes specific to the location or cluster of implementation and lessons from the specific programme being rolled out were cited areas for consideration. The necessity to do this systematically and continuously was recognised.

3.2 Monitoring and evaluating strategic change programmes

In order to be able to monitor and evaluate strategic change programmes effectively, it is essential to think about and consider prerequisites that need to be met in order to enable these kinds of activities.

3.2.1 Prerequisites for monitoring and evaluation

Linked to the critical success factors, “Understanding the strategic change programme”, interviewees cited one important prerequisite around understanding of the “big picture”, especially the case for change, change scope and potential impact of the strategic change programme.

This context is seen as having the potential to build the necessity monitoring and evaluation of the programme. Recommendation that the roll-out of monitoring and evaluation should commence at the start of the programme, rather than during the implementation or sustaining phases was made.

The research participants stated that based on this “big picture”, the critical success factors for the strategic change programme should be identified and made visible. The importance of appropriate data for assessment at the operational level was recognised. Information documentation and maintenance were further recognised as being essential for monitoring and evaluation.

In addition, interviewees value the establishment of governance structures for the setting of clear instruction and accountabilities relating to this monitoring and evaluation activities, although this in itself is viewed by the interviewees as not quite sufficient, with the need for dedication, ownership and accountability relating to these aspects of programme assessment.

3.2.2 Programme operationalisation

From a global strategic change programme perspective, so called “Business Readiness Reviews” (BRRs) were identified and emphasised by several interviewees as one of the key monitoring and evaluation activities. These reviews assessed businesses and functions as well as other relevant work streams including various processes, IT, organisational design and training teams for their “Go-live” readiness. At the outset of this case study, located within the company’s global change journey, two BRRs were conducted (BRR I: mid of respective country or cluster implementation, BRR II: three months prior to “Go-live”). Based on lessons learned from the first implementations, an additional ‘BRR zero’ was developed to be implemented at the beginning of a country implementation, and as such, was positioned as a baseline for subsequent monitoring and evaluation.

In various interview conversations, it was mentioned that one of the most decisive accomplishments for the success of the strategic change programme implementation was the establishment of the “Operational Coordination Team”, based at a local level. The value of this team was its significant contribution to monitoring and evaluation of work progress and issues to be solved ahead of “Go-live”.

The preliminary findings also point to an extensive use of monitoring methods including meeting or status reports with dashboards from every business unit, functions and work streams summarising key deliverables and issues to be solved. The most important meetings were held weekly to monitor and evaluate the most important or “Go-live” critical issues closely.

Many interviewees reported on basic, but nonetheless, helpful activities using checklists with tick boxes for monitoring and evaluating level of achievements for certain deliverables and milestones per workstream. This was done globally as well as locally.

4 Conclusions

4.1 Summary of findings

The critical success factors mentioned and emphasised in particular by the majority of the interviewees are understanding the necessity for change, the role of leadership, integration management involving an establishment of an “end-to-end” way of thinking and working, not underestimating the sustain phase of the programme as well as incorporating lessons learned in all phases of the strategic change programme.

These preliminary findings reveal that most of the critical success factors are related to the “softer skills”, around understanding, leadership, capturing and applying organisational learning, at the expense of hard metrics including quantitative measurement which relates to findings from IBM’s Global Making Change Work Study (2008). This “softness” increases the challenge to manage and moreover to monitor and evaluate these in a systematic and efficient manner. Hence, this again stresses the overall research aim of the underlying research project to develop a framework for monitoring and evaluating critical success factors for strategic change programme implementations.

A number of the findings support established thinking from the extant literature. Reflecting on the significance of leaders and leadership within an organisational change implementation, Burke (2011) and Kavanagh and Ashkanasy (2006) similarly refer to this in their works on change and the leader’s role. Burke (2011) acknowledges the leaders’ responsibility in maintaining organisational momentum in the post-implementation or sustain phase of a significant change initiative. The level of importance attached further accords with Kotter (1996), in terms of the necessity to understand the change, its scope and impact, where accentuation of the sense of urgency being represented as one of his famous eight critical success factors.

The findings on incorporating lessons learned are related to the importance of continuous organisational learning mentioned notably by Senge (2006) and Doyle, Claydon and Buchanan (2000) as critical success factors for organisations and organisational change.

The decisive end-to-end view and according integration management as strongly emphasised by many research participants can be found in others’ work as cross-functional coordination and managing around cross-functional processes that span a number of departments or functions (Huq et al., 2006), but perhaps not with a comparable magnitude as highlighted so far in this study.

The level of emphasis given by the research participants was particularly important, especially the importance given by senior managers to the presence of strong leadership and its associated authority, not just support or commitment to the change (Capgemini Consulting, 2012, IBM Corporation, 2008, McKinsey & Company, 2008) but internalising and actively driving it. Overall, not only the role of leadership is interwoven with other determinants of programme success, many of the critical success factors were found to be linked with, or affecting each other. These interrelations are in line with findings of Hughes (2010), who notes the problematic nature and potential pitfalls to be recognised when planning and conducting monitoring and evaluation activities.

Likewise, Phillips and Pulliam Phillips (2007) point out the challenging task of identifying relationships, assigning or isolating effects of certain activities.

With regard to monitoring and evaluation, understanding the “big picture” and identifying respective critical success factors, ensuring relevance of base monitoring and evaluation activities around these factors, the establishment of related governance with clear accountability as well as achieving and maintaining related ownership were established. The recommendation to start monitoring early in the change process was a clear outcome of the primary research. Again, these findings resonate with literature from both academia and practice. Hughes (2010) explains the importance of the latent and supporting rationales of a change initiative underpinning any benchmark in assessing a programme against what is set out to achieve, which resonates with the finding of it being essential to understand the “big picture” of the strategic change programme. This further supports the call of Phillips and Pulliam Phillips (2007) arguing for critical identification of both the barriers as well as those factors that contribute to the success of a project and incorporating both in any subsequent evaluation.

The interviewees’ thoughts about starting early in a change programme with systematic and thorough monitoring and evaluation, including governance and accountability, endorses the recommendations of Russ-Eft and Preskill (2009), who acknowledge the necessity for strategies around managing the politics of evaluation, alongside making recommendations about planning, managing, and budgeting evaluations.

4.2 Potential contribution to professional practice

Various authors (By, 2005; Hughes, 2010; Walton and Russell, 2004) recognise there is little formulaic knowledge, prescription or monitoring standards for evaluating strategic change implementation currently in existence. Acknowledgement of this gap represents the starting point for this research project, a desirable conclusion is the anticipated development of a systematic framework for monitoring and evaluating strategic organisational change programme implementations.

This work can be seen as providing a contribution by providing business practitioners with findings relating to what, why and how to use such a framework for formative evaluation in the context of a change project. It aims to provide a better understanding of critical success factors, as well as point to why, what and when to monitor and evaluate these within the designated strategic change implementation programme. The research also aims to provide recommendations for implementing such a framework in business practice.

The combination of critical success factors assigned to the various project phases and methods for operationalising monitoring and evaluation activities demonstrates the distinctiveness of this work. By applying the framework in business practice on a change project level, the framework aims at disclosing and providing information on whether intended objectives are being achieved or adjustments to objectives or mitigating actions in the project are necessary.

Overall, the findings may lead to more successful implementations and organisational learning with less resistance and better capabilities to manage change.

4.3 Outlook and propositions for further research

The research presented here is not yet finalised, and as such, it is anticipated further progress expected. The preliminary findings need to be extended by analysing the full set of interview transcripts. Central to this will be further and in-depth analysis of critical success factors as well as respective methods for practical implementation of monitoring and evaluation. This will also include structuring, categorising and grouping the findings, linking critical success factors to respective methods, as well as assign both to respective phases of a strategic change programme in which they should be monitored and evaluated.

In order to provide an indication of how this will be done and what a potential framework may finally look like, Figure 1 below shows a potential prototype framework. It initially comprises a list of identified critical success factors being categorised (WHAT). Further they are assigned to respective change project types (WHEN). In the third step, the critical success factors are assigned to the project phases, during which they should be monitored and evaluated (WHEN). Finally, step four and five indicate whether the respective key success factors are either qualitative or quantitative, and by doing so, identifying the most appropriate methods of monitoring and evaluation (HOW) to ensure a successful implementation.

Figure 1: Empty framework of the potential end product as contribution to professional practice

Monitoring and evaluating strategic change programmes – developing a framework for assessment																						
Data analysis – findings condensed																						
WHAT				WHEN							HOW											
List of critical success factors	Categories of critical success factors				Type of change				Phases in which to be monitored and evaluated			Evaluation		Methods - operational doing								
	BPR	Reorganisation	ERP	Offshoring	Overarching	Initialisation	Conceptualisation	Mobilisation	Implementation	Sustaining	Throughout - across all phases	Quantitative	Qualitative	
...	X				X	X				X	X					X		X		X		
...			X				X			X	X	X								X		
...		X						X							X						X	

Empty framework as template or example

Source: Own graphic

Based on the main preliminary findings and those that have the potential to evolve by extending the analysis to the full set of interview transcripts, the following propositions for further research have emerged. These comprise further business practice oriented research to be undertaken by verifying the findings in other contexts, using alternative strategic change programmes with different content, differences of scale and or in a similar context but in alternative industrial sectors. Another area of subsequent study could involve the identification of new insights in organisational change assessment through the development of newer and reliable scales that can be used for formative as well as summative evaluation of the identified critical success factors.

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Appendix

Figure 2: Illustration of the initial template

CRITICAL SUCCESS FACTORS
General critical success factors
Leadership
Case for change
Understanding
Resourcing
Learnings
Sustain phase
External environment
Project management
Communication
Change management
Ways of working
Content related critical success factors
Business process reengineering
Reorganisation
Enterprise resource planning
Offshoring
Overarching
MONITORING AND EVALUATING CRITICAL SUCCESS FACTORS
Prerequisites
Responsibility and accountability
Operational doing (methods)
STRATEGIC CHANGE PROGRAMME OF THE CASE STUDY ORGANISATION
Background information about the case study organisation
Description of the programme and its objectives
Achievement of objectives
Barriers and challenges
Monitoring and evaluation
What
Business KPIs
Customer satisfaction
Change readiness
Milestones
Compliance
Knowledge
Deliverables
Costs
Issues

(continued)

When – phase

- Initialisation
- Conceptualisation
- Mobilisation
- Implementation
- Sustaining
- Throughout all phases

How – method

- Meeting
- Reporting
- Feedback
- Checklist
- Interview
- Sounding board
- Survey

Learnings

- In the course of the programme
 - Continuous learning
 - Integration management
 - Reporting
 - Programme approach adaptations
- To be preserved for future implementations
 - Leadership
 - Programme structure and approach
 - Hyper care
 - Investment
- To be improved for future implementations
 - Case for change
 - Integration management
 - Resourcing
 - Support for leaders
 - Sustain phase

INTERVIEWEES

Roles performed

Impact on interviewee

Criteria for success