

**Development of a Method to Improve the Definition and Alignment  
of Intangible Project Outcomes with Tangible Project Outputs**

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**Development of a Method to Improve the Definition and Alignment  
of Intangible Project Outcomes with Tangible Project Outputs**

A thesis submitted in partial fulfilment of the requirements  
for the degree of Doctor of Project Management (DPM)

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## **DECLARATION**

I certify that except where due acknowledgement has been made, the work is that of the author alone; the work has not been submitted previously, in whole or in part, to qualify for any academic award; the content of the thesis is the result of work which has been carried out since the official commencement date of the approved research program; and, any editorial work, paid or unpaid, carried out by a third party is acknowledged.

Kersti Nogeste

April 2006

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*”Knowledge is information that changes something or somebody – either by becoming grounds for action, or by making an individual (or institution) capable of more effective action” (Drucker quoted in Cooke-Davies 2000, p23)*

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## **Summary**

The research study described in this dissertation was prompted by a preliminary study comprising a literature review and interviews with a mixed sample of fifteen experienced project managers, program managers and project sponsors which identified two key points. Firstly, that the delivery (or even acknowledgement) of intangible project outcomes was considered a 'point of difference' between good and better project managers (and projects) and secondly, that intangible project outcomes could be directly related to tangible project outputs, despite the absence of a known clear method for doing so. This led to the research idea of *how to improve the way in which project stakeholders define and align intangible project outcomes, with tangible project outputs*.

A further detailed literature review identified that intangibles are of increasing strategic importance to organisations and therefore that it can be expected that the importance of intangibles will cascade from an organisation's strategy through to its projects, in terms of both outcomes and outputs. Therefore the delivery of an organisation's strategy and the benefits expected of intangibles will be dependent upon project stakeholders developing a consistent means of identifying, prioritising and defining intangible project outcomes and their aligned tangible project outputs. The literature review identified that no such method existed.

The author responded to the anticipated need for such a method by planning and conducting an action research study which addressed the dual imperatives of research and problem-solving via a series of five action research cycles, commencing with two exploratory action research cycles. During the course of the action research cycles, the method for identifying and defining intangible outcomes evolved from individual project stakeholders identifying and defining intangible project outcomes during structured interviews, through stakeholder groups identifying and defining intangible project outcomes during structured group interviews, to finally, a workshop based method for key project stakeholders to collaboratively identify and define intangible project outcomes. In parallel, the documentation of intangible project outcomes evolved from a set of individual/group interview records through to a set of collaboratively defined outcome profiles supplemented by a table cross-referencing intangible project outcomes to tangible outputs.

The first of the two exploratory action research cycles resulted in the problem being solved without satisfying the research interest. The second exploratory action research cycle resulted in the problem being partially solved without satisfying the research interest. Therefore, the

first two exploratory action research cycles resulted in the combined research and problem solving action steps being substantially revised prior to the start of action research cycle 3. These exploratory action research results are consistent with the action research literature, which suggests that action researchers should not expect immediate and substantial success from their initial stages of reflection.

Action research cycles 3, 4 and 5 resulted in both the research interest and problem solving projects being successfully addressed, with these qualitative results further validated by qualitative and quantitative validation exercises. The two qualitative validation exercises comprised the author being invited 1) to integrate the results action research cycle 4 into an existing health promotion planning approach and to conduct a half-day educational workshop for health service providers; and 2) to be a speaker at an Australian state police force senior management conference and to assist with the planning and delivery of conference workshops during which attendees applied the author's method for identifying, prioritising and defining intangible project outcomes. Quantitative validation was undertaken by conducting pre- and post-workshop surveys at the police force conference. Comparison of the pre- and post-workshop survey results indicated a statistically significant shift in workshop attendees' confidence of the author's original method for identifying, prioritising and defining intangible project outcomes; a result attributed to attendees' participation in the workshops. Other validation evidence is provided by the author having a number of peer-reviewed journal articles based on the research findings accepted for publication along with feedback from numerous conference and seminar papers presented in Australia and overseas.

The research study described in this dissertation will advance general management and project management research and practice by providing organisations with an improved method for delivering strategic outcomes aligned to intangible project outcomes and tangible project outputs; by making the intangible tangible, linking project stakeholders' outcomes based perspective with the project manager and project team's outputs based perspective. The dissertation in itself is a "how-to" guide.

Key limitations of the research study include:

- The sample of problem-solving projects comprising five public sector projects of similar complexity and pace conducted by Australian state government departments and agencies from late 2002 through to late 2003;
- The research study focusing on expected positive intangible outcomes, not including expected negative intangible outcomes or expected positive or negative tangible outcomes;

- No distinction being made between direct and indirect expected outcomes;
- The scope of the research study being limited to planning the delivery of intangible outcomes only, and not addressing the latter project stages of execution and close-out;
- The research study not including the definition of tangible project outcomes and their aligned tangible project outputs;
- The author being the sole facilitator and scribe for all action research cycle interviews, meetings and workshops; and
- The groups of problem solving project stakeholders primarily comprising people responsible for delivering project outcomes, rather than receiving project outcomes.

These limitations provide opportunities for further related research, including:

- Using the method developed by this research study to identify, prioritise and define combinations of expected positive and negative tangible and intangible outcomes;
- Applying the method to different types of projects – different in terms of how well project goals/methods are defined and/or in terms of project novelty, complexity, technological uncertainty and pace;
- Further refining the method to differentiate the definition of direct and indirect expected outcomes;
- Integrating the method developed by this research study with established evaluation practices;
- Repeating the research study with private sector projects; and
- Expanding the groups of problem solving project stakeholders to include both ‘outcome deliverers’ and outcome recipients.

**Key words:** Intangibles, Project Management, Outcomes, Outputs, Action Research

## **1 Introduction**

### ***1.1 Introduction***

This chapter introduces the research study conducted to address the combined research and problem solving question of

*How to improve the way in which project stakeholders define and align  
intangible project outcomes with tangible project outputs ?*

The chapter commences with a section describing the research background including the Doctor of Project Management coursework which resulted in the formulation of the research proposition and question; followed by a section which describes the overall research strategy, cyclical action research methodology and validation exercises; followed by a section which describes the iterative Literature Review that anticipates the delivery of an organisation's strategy and its expected benefits to be partially dependent upon project stakeholders developing a consistent understanding and means of defining and aligning intangible project outcomes with tangible project outputs. The chapter concludes with a description of the scope and expected contribution of the research study, an outline of the dissertation and a chapter summary.

### ***1.2 Research Study Background***

#### ***1.2.1 Professional Doctorate Research***

The Doctor of Project Management (DPM) is a research degree that comprises a combination of coursework (33%) and research (67%) (Graduate School of Business 2004, p2), with the research goal being to discover “new approaches to the practice of project management”, by paying particular attention to the interaction between project managers and project stakeholders (Graduate School of Business 2004, p2).

The professional doctorate candidate is expected to assume multiple researcher roles. The traditional view being that they assume roles within the university, a profession and workplace (Malfroy 2004, p66-68). Alternatively, researchers may assume multiple roles within the university, professional practice and change (Malfroy 2004, p71-75). At the same time, a purpose of professional doctorates awarded by RMIT University is to “further the interaction of the university, industry, the professions and the community to mutual advantage” (Research and Graduate Studies Committee 2002, p1).

The author's experience of conducting the research study described in this dissertation was an amalgam of the alternative model proposed by Malfroy and the purpose stated by RMIT University. The author had multiple researcher roles introducing improvement (change) to

the overlap between the university (academic), project management practice and the public sector (industry), within the larger context of the community, as depicted in Figure 1-1.

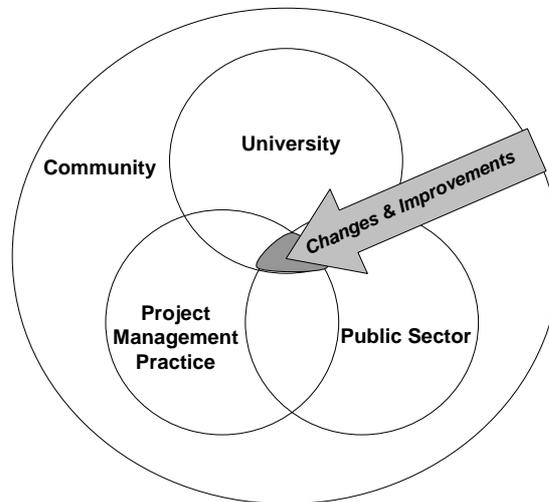


Figure 1-1 - Conceptual model of the author's professional doctorate researcher roles (Adapted from Malfroy 2004, p71)

The author's experience is consistent with Stenbacka who considers the rapid development of "practitioner type theories" to be dependent upon industry partnerships that can be "reinterpreted from an academic standpoint" (Stenbacka cited in Trim & Lee 2004, p476).

### ***1.2.2 The Research Idea and Research Question***

#### **The Research Idea**

As described above, the DPM comprises a combination of coursework and research. As intended by the course design, a coursework project prompted the "research idea" (Saunders 2003, p24) for the research study described in this dissertation. The research idea sprang from the coursework project that addressed the issue of "When developing a project proposal, many clients may not clearly think through the way in which intangible value such as organisational learning and innovation can be harvested. Discuss this issue with respect to the concept of delivering value to clients and stakeholders that moves beyond merely supplying a product or service that meets the immediate client needs."

The coursework project based on a literature review and interviews with a mixed sample of fifteen (15) experienced project managers, program managers and project sponsors, identified two key points. Firstly, that the delivery (or even acknowledgement) of intangible project outcomes was considered a 'point of difference' between good and better project managers (and projects) and secondly, that intangible project outcomes could be

related to tangible project outputs, despite the absence of a known clear method for doing so. Whilst the evaluation of a project manager or project might be partly based on the achievement of intangible project outcomes, there seemed to be no tangible basis for such an evaluation.

The literature review conducted for the coursework project identified no known means for project managers to integrate the concepts of

- The increasing importance of ‘intangibles’;
- Stakeholder project expectations being defined in terms of outcomes;
- Project management being defined as an outputs (deliverables) based practice.

Therefore the coursework project prompted the research idea, which was to improve the way in which project stakeholders defined intangible project outcomes, including in terms of their aligned project outputs.

Figure 1-2 illustrates the context and focus of the research idea and consequent research study described by this dissertation.

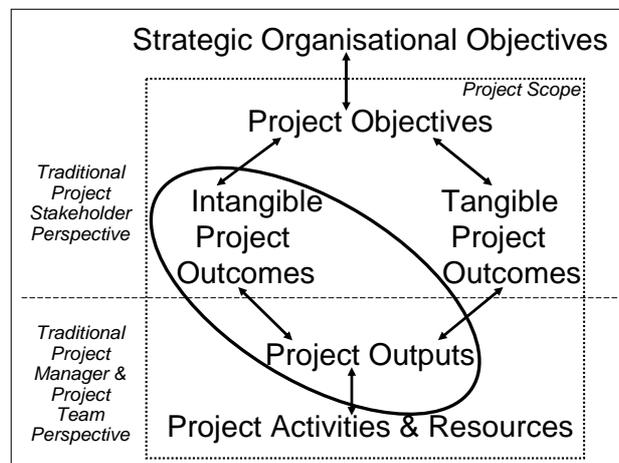


Figure 1-2 - The Context and Focus of the Research Study Described by this Dissertation

As intended, the coursework project provided the author with “preliminary information” gathered by consulting relevant sources (of literature) and talking to people familiar with the (project management) work setting (Cavana 2001, p39). In turn, the information contributed to the author’s “preunderstanding”, (a research study input) which the research study was expected to advance to a level of “understanding” (a research study output) (Gummesson 2000, p15).

## The Research Question

Based on the research idea, the corresponding research question was *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?*

### **1.3 Methodology**

#### **1.3.1 Applied/Basic Research**

Scientific research describes the conduct of an honest, truthful, accurate and complete investigation comprising either applied or basic research (Cavana 2001, p28). Where applied research is undertaken to solve a current business problem, and basic research is undertaken to generate a body of knowledge by trying to comprehend how certain problems that occur in organisations can be solved (Cavana 2001, p12).

Described in these terms, the research study described in this dissertation is an example of applied research to solve the current business problem of project stakeholders (apparently) not being able to identify and define expected intangible project outcomes sufficiently well, including in terms of aligned tangible project outputs.

#### **1.3.2 The Research Strategy**

Based upon a study of available qualitative research options (Refer Appendix 1 – Research Methodology – Research Strategy Options), the research strategy for the research study described in this dissertation follows the realist paradigm by using a combined inductive/deductive approach to implementing the action research methodology by collecting data through a combination of individual and group meetings and group workshops, commencing with two (2) exploratory action research cycles followed by three (3) further action research cycles. The unit of analysis per action research cycle is a diverse group of project stakeholders preselected by each research client.

The selected action research methodology is based upon the dual cycle model proposed by McKay and Marshall which comprises the two interlinked cycles of problem solving interest and responsibilities (action/practice) and research interest and responsibilities (research/theory ) (McKay & Marshall 2001, p46, p50).

With these dual cycles able to be represented both graphically and in table-text form as per Figure 1-3 and Table 1-1 respectively.

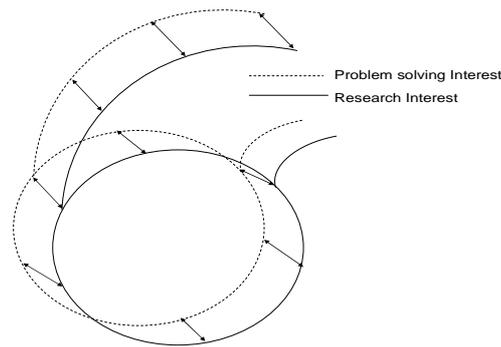


Figure 1-3 - Action research viewed as a dual cycle process (McKay & Marshall 2001, p52)

Table 1-1 - The problem solving interest and research interest in action research (adapted from McKay & Marshall 2001, p50-51)

Step	The problem solving cycle	The research interest cycle
1	Problem identification.	Research themes/interests/questions.
2	Reconnaissance/fact finding about problem context stakeholders etc.	Reconnaissance/fact finding in relevant literature.
3	Planning problem solving activity.	Planning and designing research project to answer research questions, hypotheses etc.
4	Define Action Steps	
5	Implement Action Steps	
6	Reflect upon problem solving efficacy of actions	Reflect upon efficacy of intervention in terms of research interests.
7a	Amend plan if further change is required and return to step 4.	Amend plan and design further explanation and research as required and return to step 4.
7b	Exit, if outcomes are satisfactory.	Exit, if questions are satisfactorily resolved.

#### 1.4 Literature Review

The application of the action research methodology to five (5) successive action research cycles resulted in the literature review being conducted iteratively and being rescoped when planning each successive action research cycle.

The iterative approach resulted in the author reviewing research literature related to the following major topic areas:

- Definitions;
- Intangibles;
- Project Management Bodies of Knowledge (BOKs);
- PRINCE2 Project Management Methodology;
- Benefits Management;
- Strategy Development & Implementation via Projects;
- Public Sector Environment and Frameworks.

The literature review identified a number of themes which when combined, anticipate the delivery of an organisation's strategy and expected benefits to be partially dependent upon project stakeholders developing a consistent understanding and means of identifying, prioritising, defining and documenting intangible project outcomes.

### ***1.5 Scope of the Research Study***

The scope of the research study described in this dissertation was primarily defined by the standard requirement that doctoral level research be conducted by a single person for a period of time equivalent to 67% of three years full-time or six years part-time study (Graduate School of Business 2005).

The scope of the literature review is limited to a review of English language literature only. Additional relevant non-English language sources have not been considered. In addition, the scope of the iterative literature review was limited to the combined research and problem solving needs of the five (5) action research problem solving projects which were all Australian public sector projects dating from late 2002 to late 2003.

The scope of the research strategy is dictated by the selected realist paradigm which provided the author with the advantage of a holistic view of the research situation (Symons cited in Stiles 2003, p264), although a difference may remain between the real world and the author's particular definition of it (Riege 2003, p77). The scope of the case sampling strategy was founded on the author's own network of contacts that may be assumed to be more progressive than a truly representative set of sample projects. In hindsight, the sample of five (5) public sector problem solving projects support the sample selection recommendations for 'literal replication' (Yin 1994, p51) and the 'opportunity to learn' (Stake 2003, p153) by default.

The scope of the action research cycles described in this dissertation is limited to the data and information available (Gummesson 2000, p14) from five (5) Australian public sector projects of similar complexity and pace, dating from late 2002 to late 2003. With the respective sponsors of these projects considering the improved identification and definition of intangible project outcomes being a worthy pursuit, along with having sufficient resources to commit to the research study.

The scope of research study validation was limited by the opportunities made available by sponsors of the problem solving projects. Two qualitative validation opportunities arose 1) to integrate the action research results into an existing health promotion planning approach and templates and to conduct a half (½) day educational workshop for health service providers

introducing them to the use of the revised planning approach and templates (Refer to Appendices 24 and 25 for more detail); and 2) to be a speaker at the Victoria Police (state police force) Senior Management Conference and to also assist with the planning and delivery of related conference workshops; to put the step-wise approach for identifying, prioritising and defining intangible project outcomes into practice (using a predefined crime prevention case study).

In addition to these qualitative forms of validation, the author's involvement in the Victoria Police Senior Management Conference provided the opportunity to use pre- and post-workshop surveys to validate the step-wise approach for identifying, prioritising and defining intangible project outcomes. The results of these surveys indicated that conference attendees' exposure to the author's presentation and participation in conference workshops had caused a statistically significant shift in conference attendees' confidence in identifying, prioritising and defining intangible project outcomes (Refer to Appendix 20 for more detail).

The scope of publications and presentations based on the research study described in this dissertation were primarily limited by the author's personal resources of time and money (e.g. to travel to and attend conferences). Nevertheless, the author had two (2) peer reviewed journal articles accepted for publication (Nogeste 2004; Nogeste & Walker 2005) and made numerous (peer reviewed and non-peer-reviewed) public presentations in Australia and overseas, primarily during 2004 (Refer Appendix 31 for details).

### ***1.6 The Expected Contribution of the Research Study***

It is expected that the research study described in this dissertation will advance general management and project management research and practice by providing organisations with an improved method for delivering strategic outcomes and benefits aligned to intangible project outcomes and tangible project outputs; by making the intangible tangible, linking project stakeholders' outcomes based perspective with the project manager and project team's outputs based perspective. The dissertation in itself is a "how-to" guide.

The author expects the experience gained by planning and conducting the research study described in this dissertation to help them develop an improved understanding of management and project management in particular; enabling them to become a future leader of management and project management thought and practice (Graduate School of Business 2004, p2; Malfroy 2004, p73; Research and Graduate Studies Committee 2002, p1).

### ***1.7 Dissertation Outline***

This dissertation comprises six chapters followed by a bibliography and an extensive set of appendices.

Chapter 1 provides an Introduction to the research study describing the research background, methodology, literature review, the scope and expected contribution of the research study, followed by a chapter summary.

Chapter 2 comprises a Literature Review of the key topic areas of Definitions; Intangibles; Project Management Bodies of Knowledge (BOKs); PRINCE2 Project Management Methodology; Benefits Management; Strategy Development & Implementation via Projects and the Public Sector Environment and Frameworks. The chapter concludes with a chapter summary which describes the key themes arising from the literature review which anticipates that the delivery of an organisation's strategy and expected benefits to be partially dependent upon project stakeholders developing consistent definitions of intangible project outcomes.

Chapter 3 describes the Research Methodology commencing with the research strategy and the action research methodology in particular, followed by a description of the role of the researcher, the ethical framework of the research study, the definition of research quality requirements and how they are met. The chapter concludes with an introduction to the five (5) action research cycles and a chapter summary.

Chapter 4 introduces exploratory action research cycles 1 and 2, followed by descriptions of each research cycle progressing through the combined research and problem solving steps of identification, reconnaissance, planning, definition, action, reflection and recommendations for amended action, concluding with a chapter summary

Chapter 5 introduces action research cycles 3, 4 and 5 followed by descriptions of each cycle progressing through the combined research and problem solving steps of identification, reconnaissance, planning, definition, action and reflection. The chapter concludes with a chapter summary.

Chapter 6 commences with a summary of the research study and its expected contribution to general management and project management research and practice followed by a description of the limitations of the research study and further related research opportunities. The chapter concludes with a chapter summary.

The remainder of the dissertation comprises a bibliography and an extensive set of appendices.

### **1.8 Summary**

This chapter introduces the research study in terms of its research background, research methodology, literature review and the five (5) action research cycles which confirmed the author's original method for project stakeholders to define and align intangible project

outcomes, with tangible project outputs. Reference is also made to qualitative and quantitative forms of validation and the journal articles and conference papers written and presented by the author on the basis of the research study described in this dissertation. The chapter concludes with a description of the research study scope, its expected contribution and an outline of the dissertation.

Despite its limited scope, the research study described in this dissertation is expected to advance general management and project management research and practice by providing organisations with an improved method for delivering strategic outcomes aligned to intangible project outcomes and tangible project outputs; making the intangible tangible, linking project stakeholders' outcomes based perspective with the project manager and project team's outputs based perspective.

This chapter is followed by Chapter 2 which comprises a Literature Review.

## **2 Literature Review**

### **2.1 Introduction**

An iterative literature review was conducted to address the research question *How to improve the way in which project stakeholders define and align intangible project outcomes, with tangible project outputs ?* During each action research cycle the literature review was rescoped according to the following steps (Saunders 2003, p45) :

1. “Re/define parameters;
2. Generate and find key words;
3. Conduct search;
4. Obtain literature;
5. Evaluate;
6. Record;
7. Re/draft Review”.

This is considered a valid approach since “in many (action research) studies you don’t know the relevant literature until data collection and interpretations are underway” (Dick 1993, p32).

The iterative approach resulted in the author reviewing literature related to the following major topic areas, in the listed order ;

- Definitions
- Intangibles;
- Project Management Bodies of Knowledge (BOKs);
- PRINCE2 Project Management Methodology;
- Benefits Management;
- Strategy Development & Implementation via Projects;
- Public Sector Environment and Frameworks.

The review of Definitions literature provides an overview of selected existing definitions of ‘project’, which forms the basis of the author’s own definition, followed by an overview of the current state of project management and its evolving relationship to general management, leading to the author’s prediction that project management practices will become increasingly integrated with general management practices.

The review of Strategy Development and Implementation via Projects describes how projects can be used to implement strategy via a hierarchy of cascading relationships between strategy and projects.

The review of Public Sector Environment and Frameworks literature describes how the public sector is being pressured to adopt private sector practices such as strategy development and how these pressures have been addressed via hierarchical frameworks which include the definition of outcomes and outputs.

The review of Project Management Bodies of Knowledge (BOKs) literature comprises a series of basic word searches for the terms of greatest relevance to this dissertation – strategy, strategic, outcomes, outputs, and intangibles.

The review of the PRINCE2 Project Management Methodology confirms PRINCE2 as an accepted worldwide standard methodology that includes Product Descriptions which are intended to describe project products, both tangible and intangible.

The review of Intangibles literature summarises the current means of defining intangibles, the increasing importance of intangibles at both a macro- and micro- economic level and the challenges of managing intangibles at the micro-economic level.

The review of Benefits Management literature introduces a number of benefits management processes, models and deliverables, clarifies the link between benefits and outcomes and summarises the current status of project benefits management practice.

## ***2.2 Definitions***

### ***2.2.1 Introduction to Definitions***

The terms ‘project’ and ‘project management’ are defined in sections 2.2.2 and 2.2.3 respectively. Two models for classifying project types are reviewed in section 2.2.4.

Definitions for the key terms of ‘intangibles’, ‘outcomes’ and ‘outputs’ are found in the following sections

- Intangibles – section 2.8.1;
- Outcomes and Outputs – section 2.5.

### **2.2.2 Project Definition**

Definitions of ‘project’ abound, with some shared commonalities, including projects

- Having unique ‘one-off’ characteristics (Association for Project Management 2003; Caupin et al. 1999, p23; Cooke-Davies 2000, p20; Frame 2003, p2; Turner cited in Lee-Kelley 2002, p462; Project Management Institute 2004, p5);
- Being of a finite duration (Association for Project Management 2003; Frame 2003, p2; Pinto & Slevin 1988, p68; Project Management Institute 2004, p5);
- Comprising a set of planned (Merriam-Webster 2005; Oxford University Press 2005) interrelated activities (Caupin et al. 1999, p23; Frame 2003, p2; Pinto & Slevin 1988, p68);
- Meeting specific goals (Pinto & Slevin 1988, p68) or objectives (Association for Project Management 2003); either qualitative or quantitative (Caupin et al. 1999, p23; Cooke-Davies 2000, p17, p20; Turner cited in Lee-Kelley 2002, p462)
- Achieving beneficial change (Caupin et al. 1999, p23; Cooke-Davies 2000, p17, p20; Turner cited in Lee-Kelley 2002, p462)
- Being constrained by parameters e.g. cost and time, quality and performance (Association for Project Management 2003; Caupin et al. 1999, p23; Cooke-Davies 2000, p20; Turner cited in Lee-Kelley 2002, p462; Pinto & Slevin 1988, p68).

However, there is no single agreed definition of ‘project’ and some currently ‘popular’ definitions can actually be considered to be out-dated, especially those that define projects narrowly in terms of the triple constraints of cost, time and quality/performance, like A Guide to the Project Management Body of Knowledge (2004) which describes high quality projects as those that “deliver the required product, service or result within scope, on time and within budget” (Project Management Institute 2004, p8). Since, for some years, the triple constraint (of scope, time and budget) has been considered to be an obsolete and inadequate construct for conveying “project objectives and constraints in today's real world” (Wideman 2001).

Instead of aiming for a single, agreed, precise definition of ‘project’, it can be argued that projects might be defined by ‘what they are not’, by broad ‘general purpose’ definitions or according to their specific context. In defining projects by ‘what they are not’, they are not processes, business operations, programmes of work (comprising groups of projects) or

simple tasks (Cooke-Davies 2000, p19). Broad ‘general purpose’ definitions that could be applied include that proposed by Cleland and Gareis who define projects as “transform(ing) an unsatisfactory (existing or future) state to a better state within a certain time, using a limited effort” (Cleland and Gareis cited in Cicmil 1997, p392) or by Cammack who promotes a more right-brained definition of projects as “a unique series of connections, relationships and situational compromises” (Cammack cited in Antidote 2000, p33) or by Cleland who defines a project as “a combination of organisational resources being pulled together to create something that did not previously exist and that will, when completed, provide a performance capability to support strategic management initiatives in the enterprise” (Cleland 2004, p207). In the body of general management literature, Stewart provides an even broader description of projects as packaging and selling knowledge (Stewart 1998, p207). The reasoning for defining ‘project’ in context specific terms is based on projects having “less characteristics in common than previously considered” (Dvir et al. 1998, p931) so that the definition of a “project” is “a matter of choice for any organisation or individual” (Cooke-Davies 2000, p19).

Based on the literature review undertaken by the author, the definition of ‘project’ applied in this dissertation is that of - *a unique initiative comprising a limited set of resources to conduct planned interrelated activities which generate a defined set of deliverables designed to deliver tangible and intangible outcomes with the goal of achieving beneficial change.*

### **2.2.3 Project Management Definition**

Given the situation related to the definition of ‘project’, a similar situation exists for the definition of ‘project management’; a multitude of definitions abound, with some shared commonalities, including project management comprising

- a combination of techniques, tools and systems (Project Management Institute 1987; 2004, p368; Wideman 1995), knowledge and skills (Project Management Institute 1996; 2004, p368) that are used to manage a project from start to finish (British Columbia Government 1997; Patel & Morris 1999; Private BC Corporation 1995; Wideman 1995);
- the delivery and transfer (British Columbia Government 1997) of successful project deliverables (British Columbia Government 1997; Patel & Morris 1999);

- the achievement of project objectives (Association for Project Management 2000; Wideman 1995) or requirements (PMI 2004, p368);
- the meeting or exceeding of stakeholder expectations (Private BC Corporation 1995; Project Management Institute 1996; Wideman 1995);
- The planning, control and scheduling of all aspects of a project (Association for Project Management 2000) including project activities (Management Concepts Inc. 1999);
- The management of work (Welcom PM Glossary 1998) through the efficient and effective (Management Concepts Inc. 1999; Patel & Morris 1999) direction and coordination of project resources (Project Management Institute 1987; Wideman 1995);
- Adherence to the limits of cost, quality and performance (Association for Project Management 2000; Management Concepts Inc. 1999; Patel & Morris 1999; Welcom PM Glossary 1998).

“(T)he discipline of project management is currently being used as a key strategy to manage change in contemporary organisations” (Kloppenborg & Opfer 2002, p5) and is predicted to “gradually merge with the other areas of management and be an important part of every manager’s responsibilities, much like financial management is today; Chief Financial Officers (CFOs) set the financial policies and practices of an organisation, but every manager has and uses a reasonable amount of management skills and expertise” (Archibald 2003b, p1). Or as expressed more succinctly by Foti, “in the future project managers will cultivate skills required of top management – and top management will have project expertise” (Foti 2003, p43). Project expertise that will be reliant upon the development of “common approaches” and employees educated in the execution of projects (Kloppenborg & Opfer 2002, p5) and further research including “refinements in how project scope is defined and related to business requirements and measurable benefits” (Kloppenborg & Opfer 2002, p13).

An indication of the potential demand for interdependent general management and project management skills and techniques is provided by the Project Management Institute’s estimate dating from 2002, that more than 16.5 million people world-wide either considered project management to be their profession or had “a strong interest in it as a set of skills” (Gedansky 2002, p4).

The interdependence of general management and project management is supported by a number of authors including Morris, Frame, Cicmil, Yasin et al, the Project Management Institute (PMI), Söderlund, Snider and Nissen. Morris describes project management as being “recognised as a central management discipline” (Morris 1994, p1) and therefore calls for the subject of ‘project management’ to be enlarged from its traditional definition to the broader definition of ‘management of projects’ (Morris 1994, p3). Frame describes “new project management” as enhancing traditional project management to include an increased focus on customer satisfaction (Frame 1994, p5). Cicmil proposes that project management has proven its worth as a means of integrating intra-organisational activities and optimal management of resources and can therefore be positioned amongst other existing management processes such as TQM and organisational learning, to help balance organisations’ organisational design and emerging strategies (Cicmil 1997, p391). Yasin et al propose an “open system of project management” that correlates with contemporary global organisations which regard themselves as open systems with effectiveness-based, customer orientation strategies “rather than mere efficiency-based operational postures” (Yasin, Martin & Czuchry 1999, p20). The interdependence of general management skills and project management is already acknowledged in the larger project management body of knowledge comprising the combination of guides issued by the Association for Project Management and the PMI (Bryde 2003, p233). The larger combined body of knowledge “synthesis(es) theories from other disciplines, such as finance, human resource management, marketing and quality management, adapting them and integrating them into a cohesive set of concepts, methods and techniques applicable to managing project environments” (Bryde 2003, p233).

From a research perspective, Söderlund proposes that the term “project management research” be replaced by “project research” because of the broadening application of projects within and between companies and industries and because of the diversity of research disciplines developing knowledge about projects e.g. sociology, organisation theory and behaviour and strategic management (Söderlund 2004, p656). Söderlund’s comments regarding the diversity of disciplines relied upon to conduct project research are echoed by Snider and Nissen who describe project management as an “interdisciplinary and evolving field” that will “benefit from a comprehensive and robust foundation that will allow knowledge of a variety of types and sources to be leveraged for project success”, with opportunities being “created for new research techniques and methodologies and for new project management tools and practices” (Snider & Nissen 2003, p11). Referring to the

PMI's estimate of the worldwide community of project managers and those interested in project management, Gedansky describes these people as being "dependent on researchers to advance the knowledge needed to practice the profession more successfully and to convince others of the value of the discipline"(Gedansky 2002, p4).

However, through to the end of last century, the calls for interdependent general management and project management were not yet reflected in the body of project (management) research literature (Morris 2002, p31) and conference papers (Zobel & Wearne 1999, p33). Instead there seems to be a disconnect between business strategy and its expected successes and project management; a disconnect that suggests project (management) research is also disconnected from the issues related to business success being faced by project managers (Morris 2002, p31). Therefore to gain greater visibility and reliance to both business management and the practice of project management, it is proposed that project management research pay more attention to "business-driven issues" rather than limiting itself to tools and techniques that are more commonly associated with middle management issues (Morris 2002, p37).

In summary, regardless of its precise form, project management complements general management, by providing a means of delivering change. Furthermore, in order to manage organisational resources effectively and efficiently in a changing environment, it will become increasingly important for practitioners of general management to master project management practices. Therefore, it is predicted that the complementary nature of project management and general management will continue to evolve to the point where project management becomes integrated into general management practices, rather than being held apart.

#### **2.2.4 Project Types**

Whilst it is recognised that not all projects are the same, "there is still no universal framework for distinguishing among them" (Shenhar & Dvir 2004, p1266). However, there are two recognised frameworks for classifying project types – the goals-and-methods matrix defined by Turner and Cochrane (1993) and the NCTP (Novelty, Complexity Technology Pace) framework defined by Shenhar and Dvir (2004). Both of these classification models are reviewed in the following paragraphs.

Turner and Cochrane propose that projects can be defined according to how well the combination of project goals and methods are defined (Turner & Cochrane 1993, p93). Figure 2-1 provides a graphical representation of the goals-and-methods matrix that classifies projects into one of four types – type 1, 2, 3 or 4.

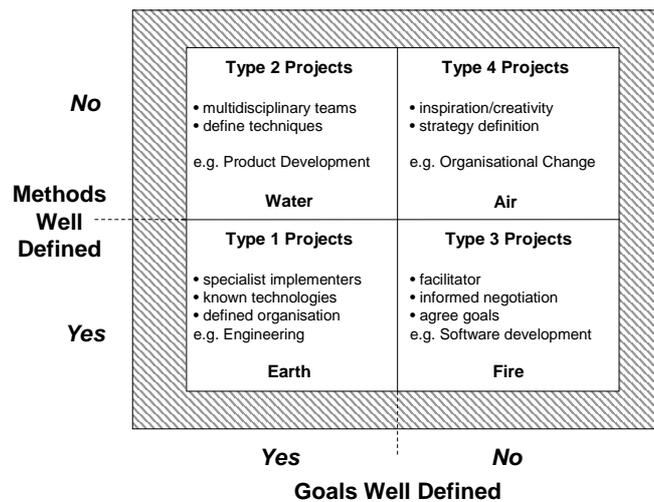


Figure 2-1 - Goals-and-methods matrix adapted from Turner & Cochrane (1993)

Type 1 projects are those with well defined goals and methods (e.g. engineering projects) (Turner & Cochrane 1993, p94-95) with project plans which are “usually expressed in terms of well defined sequences of activities derived from historical experience” (Turner & Cochrane 1993, p98).

Type 2 projects are those with well defined goals and ill-defined methods (e.g. product development projects) (Turner & Cochrane 1993, p94-95). Type 2 project plans are based on project milestones (Turner & Cochrane 1993, p100), with the sequence of tasks required to deliver to each milestone being defined by a multidisciplinary group (Turner & Cochrane 1993, p97). Once the methods have been defined on a type 2 project, Turner and Cochrane consider it possible to implement the project as a type 1 project (Turner & Cochrane 1993, p97).

Type 3 projects are those with well defined methods and ill-defined goals (e.g. software development projects) (Turner & Cochrane 1993, p94-95), so the project startup process must focus on defining the project purpose and objectives (Turner & Cochrane 1993, p97). Type 3 project plans include milestones which are initially defined as “generic control points”, refined over time (Turner & Cochrane 1993, p101).

Type 4 projects are those with ill defined goals and methods (e.g. organisational development projects) (Turner & Cochrane 1993, p94-95). So, type 4 projects require “a mixture of inspiration and creativity to define the methods and negotiation to define the goals” (Turner & Cochrane 1993, p97). As a consequence, the process of doing so is “inevitably iterative, cycling between goals and methods” (Turner & Cochrane 1993, p97), with the aim of converting type 4 projects into type 2 projects as quickly as possible, to have the goals well defined, even though the methods may not be (Turner & Cochrane 1993, p101).

As a result of their research conducted during the ten year period following the publication of Turner and Cochrane’s goals-and-methods matrix, Shenhar and Dvir have developed the four dimensional NCTP Model for distinguishing between project types (Figure 2-2). The model name is derived from the four dimensions of Novelty, Complexity, Technology and Pace (Shenhar & Dvir 2004, p1271).

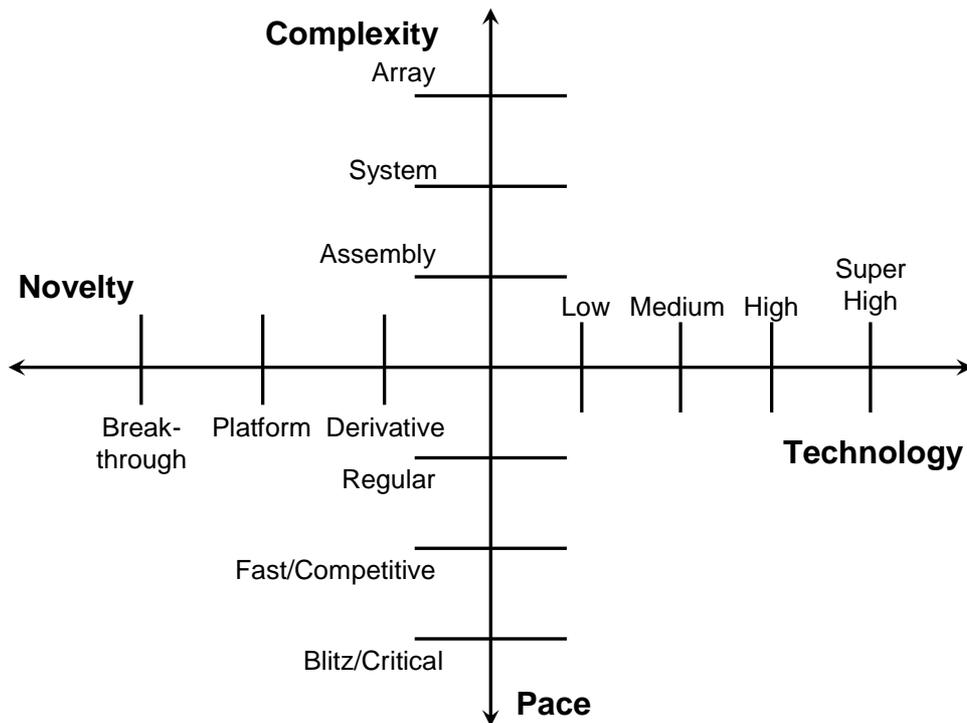


Figure 2-2 - The NCTP Framework (Shenhar & Dvir 2004, p1271)

Novelty is defined “by how new the product is to its potential users. It represents the extent to which customers are familiar with this kind of product, the way they will use it, and its benefits” (Shenhar & Dvir 2004, p1271). Shenhar and Dvir differentiate between derivative products that “are extensions and improvements of existing products”, platform products which are “new generations of existing product families” and breakthrough products which are “new-to-the-world products ...(which) introduce a new concept or a new idea or new use of a product that customers have never seen before” (Shenhar & Dvir 2004, p1271-1272).

The dimension of project complexity comprises the three different levels of assembly, system and array projects. Assembly projects are those that “involve creating a collection of elements, components and modules combined into a single unit or entity that is performing a single function” such as a stand-alone product or service (Shenhar & Dvir 2004, p1277). System projects involve “a complex collection of interactive elements and sub-systems, jointly dedicated to a wide range of functions to meet a specific operational need” such as the building of aircraft, cars, computers or the reengineering of a business. System projects are

typically led by a main contractor or program office with the total effort divided among numerous subcontractors. System projects also tend to extend beyond organisational borders, with the number of project activities numbering in the hundreds to few thousands. System projects also “often find it necessary to develop their own tools and documents to meet their specific requirements” (Shenhar & Dvir 2004, p1278). Array projects are defined as those which “deal with large, widely dispersed collections of systems (sometimes called super systems) that function together to achieve a common purpose such as city public transportation systems” (Shenhar & Dvir 2004, p1278).

Shenhar and Dvir define the dimension of technology in terms of technological uncertainty citing this as “the major source of task uncertainty”. They define technological uncertainty as comprising the four distinct levels of low-tech, medium-tech, high-tech and super-high-tech projects (Shenhar & Dvir 2004, p1272). Further defining low-tech projects as those that “rely on existing and well-established technologies” and “require no development work” with “the design frozen prior to the project’s formal inception” (Shenhar & Dvir 2004, p1272). Medium-tech projects are defined as those that “use mainly existing or base technology, yet incorporate some new technology or a new feature that did not exist in previous products” (Shenhar & Dvir 2004, p1273). High-tech projects are defined as representing “situations in which most of the technologies employed are new but nevertheless exist when the project is initiated ... (with) the project represent(ing) the first effort to integrate them into one product” (Shenhar & Dvir 2004, p1274). Super-high tech projects are defined as “projects that are based on new technologies that do not exist at project initiation” (Shenhar & Dvir 2004, p1274).

The dimension of project pace is defined in terms of three different levels of urgency; regular, fast-competitive and critical-blitz. Regularly paced projects “are those efforts where time is not critical to immediate organisational success... (and) are typically initiated to achieve long-term or infrastructure goals” (Shenhar & Dvir 2004, p1280). Fast-competitive projects are “typically conceived to address market opportunities, create strategic positioning or form new business lines .. (and) although missing the deadline may not be fatal, it could hurt profits and competitive positioning” (Shenhar & Dvir 2004, p1280). Critical-blitz projects “are the most urgent, most time critical (where) meeting schedule is critical to success and project delay means failure. Such projects are often initiated during a crisis, or as a result of an unexpected event” (Shenhar & Dvir 2004, p1280).

Although admitting that the definition of the NCTP framework may not be conclusive, Shenhar and Dvir suggest that it provides “a good basis for organisations to distinguish

among their project types”, with potential for individual organisations to modify the model; for example, to identify “other forms of uncertainty – political, economical or environmental” (Shenhar & Dvir 2004, p1284).

## **2.3 Strategy Development**

### **2.3.1 Strategy Definition**

A corporate strategy is a “roadmap” (Hall 2002, p7-8) that describes how an organisation will manoeuvre its way through a changing environment over time to achieve its prescribed aims (Applebaum as cited in Ejigiri 1994, p58), including boundaries that limit what can and can’t be done (Hall 2002, p7-8).

From the 1960s corporate leaders embraced strategic planning as “the one best way to devise and implement strategies” (Mintzberg 1994, p107). However, strategy thought leaders such as Mintzberg and Hamel have challenged this during the past ten years.

Mintzberg distinguishes between strategic thinking and strategic programming (preferring this term to strategic planning) (Mintzberg 1994, p107) and Hamel distinguishes strategising from planning/programming (Hamel 1996, p71).

Mintzberg describes strategic thinking being about synthesis which relies upon intuition and creativity and strategic programming being about analysis - “breaking down a goal or set of intentions into steps, formalising those steps so that they can be implemented almost automatically and articulating the anticipated consequences or results of each step” (Mintzberg 1994, p108).

Hamel similarly distinguishes between strategising and planning, describing planning being about “programming not discovering” (Hamel 1996, p71). Hamel adds that strategic planning is not strategic because “in the vast majority of companies, strategic planning is a calendar-driven ritual ... that works from today forward, not from the future back, implicitly assuming, whatever the evidence to the contrary, that the future will be more like the present” (Hamel 1996, p70).

Mankins and Steele build on Mintzberg and Hamel’s comments, attributing the failure of strategic planning to two main reasons. Firstly because it is typically an annual process which focuses on individual business units and secondly, because “senior executives routinely sidestep the planning process” (Mankins & Steele 2006, p78). According to Mankins and Steele, annual strategy planning cycles become irrelevant to executives who must make many important decisions throughout the year (Mankins & Steele 2006, p79). So, in response to this situation, some of the best performing companies “have abandoned the traditional

approach and are focusing explicitly on reaching decisions through the continuous identification and systematic resolution of strategic issues” as illustrated in Figure 2-3 (Mankins & Steele 2006, p80).

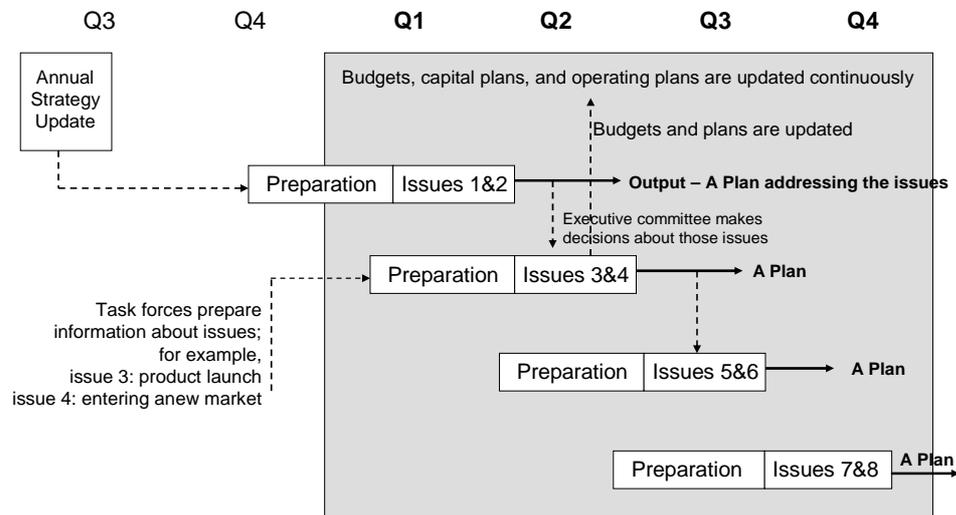


Figure 2-3 - Continuous, Decision Oriented Planning adapted from Mankins & Steele 2006, p83

Mankins and Steele propose that companies will open the door to many more opportunities for long-term growth and profitability by applying a process that enables managers to discover great numbers of hidden strategic issues and make more decisions (Mankins & Steele 2006, p84).

Despite strategy development consuming much time and money, strategies are rarely well executed (Brigman 2004, p32). A situation which is reinforced by the findings of a recent survey conducted by the Cranfield School of Management which reported that “the strategy of most organisations provides little direction or support for improvement initiatives” (Presswire 2004, p1). Therefore the links between strategy definition and strategy execution/implementation need to be clearer and stronger in practice.

### 2.3.2 Strategy Implementation via Projects

Consistent with Mintzberg’s description of strategic programming, “breaking down a goal or set of intentions into steps, formalising those steps so that they can be implemented almost automatically and articulating the anticipated consequences or results of each step” (Mintzberg 1994, p108), Morris and Jamieson describe strategy as ‘flowing’ through an organisation, across the functional boundaries (disciplines) of business management, strategy management and project management (Morris & Jamieson 2004, p1). With the strategy “cascad(ing) from the corporate level through portfolios, programs and projects in a

systematic and hierarchical manner, that provides cohesion, visibility and an effective means of communication” (Morris & Jamieson 2004, pvii). The alignment of projects with an organisation’s strategic objectives contributes to the timely implementation of new strategies and increases the likelihood of sound business results, financial performance and resource allocation and (Bigelow cited in Phelan 2004, p6). So, the successful implementation of strategy can be considered to be dependent on successful projects (Cohen & Kuehn 1996, p767), with projects serving as the “vectors” that relate an organisation to its environment (Bredillet 2002, p74). Therefore, it is important for project managers to understand the strategic and longer term goals of an organisation so that they can manage projects accordingly, “potentially increasing the perception of projects as major vehicles for organisational and societal prosperity” (Shenhar, Levy & Dvir 1997, p12).

With reference to section 2.3.1 Strategy Definition, it can be expected that when considered in combination with Morris and Jamieson’s strategy flows, that an organisation's choice of Strategy Definition process will define the scope, number and frequency of strategy flows through an organisation. For example, if an organisation chose to implement Mankins and Steele’s issues and decision based approach it could be expected that the resulting succession of issues based plans would define an aligned succession of issues based strategy flows resulting in the definition of aligned programs/projects.

Resource management is an aspect of project management that is key to strategy implementation, with McNally describing the purpose of a project being “to focus available resources on achieving an on-time objective that supports the company’s overall strategic goals” (McNally 2000, p14) and Cicmil describing projects as “becoming a template for operational and strategic re-design” for a number of reasons including the ability of projects to achieve high returns by implementing strategy through an optimal use of available resources (Cicmil 1997, p390). Therefore it can be inferred that an organisation’s “project management capability is an essential managerial resource that can and does strongly influence corporate and business strategies” (Morris & Jamieson 2004, p6).

This emphasis upon projects as a means of implementing strategy is further supported by the results of a recent exploratory study conducted by Morris and Jamieson that identified project (and program) management being “widely used as a means of implementing corporate and business strategy” so that strategies will “be aligned and moved from the corporate level through programs and projects in a systematic and hierarchical manner” and back up through the same chain from the project level to the corporate level (Morris 2004, p15) with the potential for project based information to influence corporate strategy e.g. resource

availability/allocation may influence strategy implementation (Morris 2004, p2). Morris also cites Lampel and Jha and Garbher, who describe projects being capable of stretching and changing the context being addressed by strategy management, with implementation activities potentially changing “operational reality, and ultimately even modify(ing) strategic intent” (Lampel and Jha and Garbher as cited in Morris 2004, p2). The importance of information flowing between the strategic level and project level of an organisation is further reinforced by a recent report by KPMG that describes projects as “an integral part of business”, the “conduit” for organisational change and as “key vehicle(s) to realising business strategy” deserving of attention at board level (KPMG 2004, p1-2). Using terminology that possibly reflects their past research into defence industry projects, Shenhar et al describe projects as “powerful strategic weapons” (Shenhar et al. 2001, p699).

The flowing and cascading of strategy through an organisation can be depicted in terms of hierarchical diagrams which provide “a very effective means of structuring and managing strategy, and communicating it to the organisation” (Morris 2004, p3). Leading to an improved “understanding (of) the relationship between organisational objectives and project objectives”, with each objective linking the others in a “means-end chain” and the project objectives being subordinate to higher-level organisational objectives (deWit 1988, p167). In addition, a hierarchy of objectives may help explain why some projects are considered successes, whilst they may not have been project management successes. With the achievement of higher level organisational/project objectives superseding any issues related to the achievement of lower level project management objectives related to time and cost (deWit 1988, p167). Two examples of such hierarchies emanating from the project management body of literature are those provided by Turner (cited in Morris & Jamieson 2004, p9), as per Figure 2-4 and Archibald (2003a, p13) as per Figure 2-5.

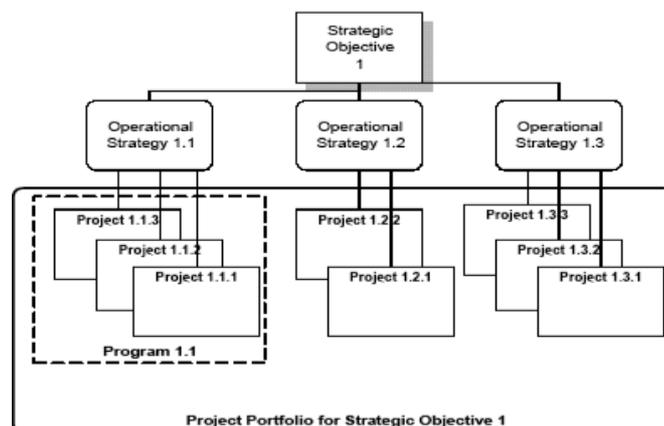


Figure 2-4 - Linking Corporate and project strategy (Turner as cited in Morris, P. & Jamieson 2004, p9).

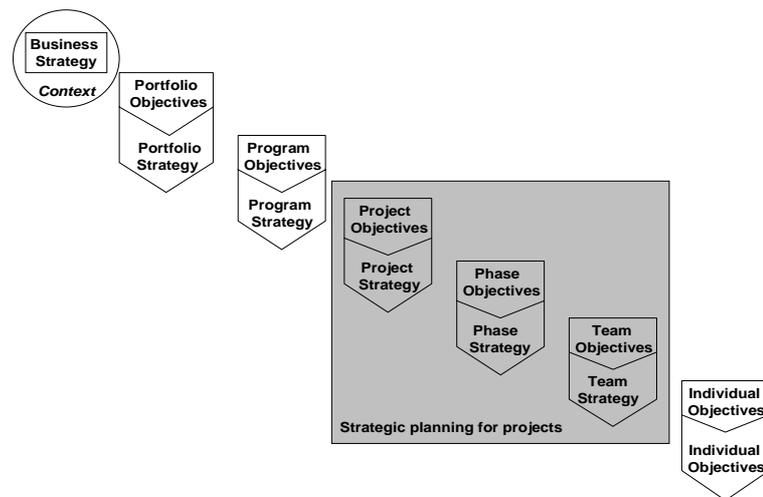


Figure 2-5 - Schematic of strategies, projects, a program and a project portfolio (Archibald 2003, p13)

A search for references to ‘strategy’ and ‘strategic’ in the two key guides to the body of project management knowledge – A Guide to the Project Management Body of Knowledge published by the Project Management Institute (2004) (PMI PMBOK) and the Project Management Body of Knowledge published by the Association for Project Management (2000) (APM PMBOK), yielded the following results. Firstly the PMI PMBOK claims to include “strengthened linkages to organisational strategy” (Project Management Institute 2004, p316). Using a basic word search for ‘strategic’, the author found that the PMI PMBOK certainly does describe projects providing a means of implementing strategic plans (Section 1.2.3 Projects and Strategic Planning p7, Section 1.6 Project Management Context p16-18, Chapter 4 Project Integration Management, p77 including Section 4.1.1 Develop Project Charter: Inputs p83). However, most references to ‘strategy’ in the PMI PMBOK describe project management strategies (e.g. sections 9.3.2 Develop Project Teams and 11.5.2 Risk Response Planning; Tools and Techniques, 11.5.3 Risk Response Planning : Outputs). With only a single reference to vision and strategy development being a Leadership skill (section 1.5.5 Interpersonal Skills, p15). A word search for ‘strategic’ and ‘strategy’ in the APM BOK identified both terms were used mostly to refer to project management strategy, rather than organisational strategy, with the project management strategy describe as “the overall integrative framework for managing the project efficiently and effectively” (Dixon 2000, p17). Neither the PMI PMBOK Glossary nor the online APM Glossary (<http://www.apm.org.uk/resources>) include entries for ‘strategy’ or ‘strategic’. Based on these search results, the current (2004) version of the PMI PMBOK has fulfilled its claims to a ‘strengthening of linkages’ between projects and organisational

strategy (Project Management Institute 2004, p316). However, the APM PMBOK makes considerably less reference to the organisationally strategic context of projects.

Taking a view of literature wider than that specific to project management, Morris and Jamieson describe “little attention” being paid in the broader business strategy related literature to explicitly linking corporate and business unit strategy with project strategy, although the links are “clearly implied” (Morris & Jamieson 2004, p109). However based upon her literature review, the author disputes this somewhat based on the following two models proposed by Stewart (2001) and Kaplan and Norton (early 2004); both of which were published prior to Morris and Jamieson’s publication date at the end of 2004. Given the publishing profiles of Stewart, Kaplan and Norton, the author contends that their publications amount to more than “little attention”, although acknowledging that Morris and Jamieson may have had a long publication lead time that precluded the inclusion of references to Kaplan and Norton’s most recent work.

Stewart uses the diagram included as Figure 2-6 to depict the relationship between corporate vision, outcomes and outputs (Stewart 2001, p41).

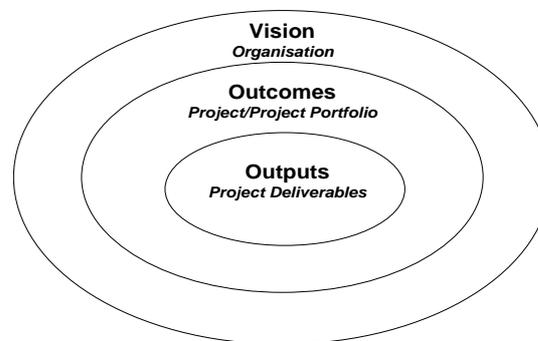


Figure 2-6 - Vision Drives the Project (Adapted from Stewart, W. E. 2001, p41)

Kaplan and Norton have progressively developed the original 1993 version of their Balanced Scorecard (BSC) into “a tool for strategy management” (Wise 1997, p50) and most recently to include “strategy maps” (Kaplan & Norton 2004b).

Kaplan and Norton describe their strategy maps as providing “the missing link between strategy formulation and strategy execution” by providing a “uniform and consistent way to describe” and organisation’s strategy “so that objectives and measures can be established and managed” (Kaplan & Norton 2004b, p10).

Kaplan and Norton’s strategy maps have both a vertical and horizontal alignment. The vertical alignment between “the cause-and-effect linkages” (Kaplan & Norton 2004b, p9) of

the four Balanced Scorecard perspectives” is depicted in the public sector version of the Strategy Maps “value creation model” included as Figure 2-7.

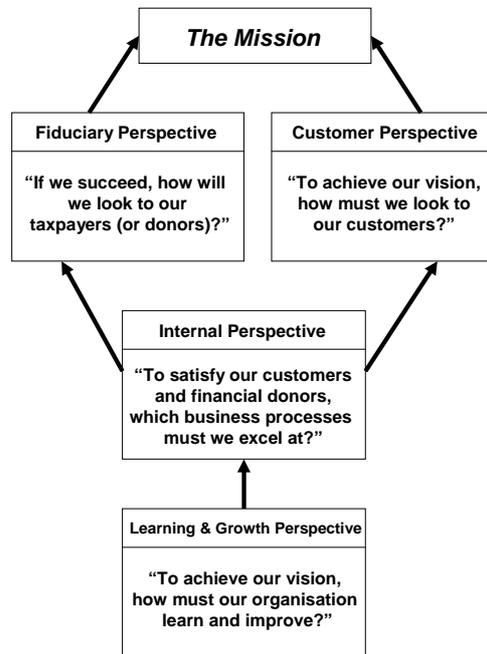


Figure 2-7 - Strategy Maps : The Simple Model of Value Creation for Public Sector and Nonprofit Organisations (Kaplan & Norton 2004b, p8)

The horizontal alignment of strategy maps is between the strategy map, the strategic objectives, balanced scorecard measures and targets and action initiatives that generate results, with the execution of a strategy “managed through the execution of initiatives” (Kaplan & Norton 2004b, p52) as depicted in Figure 2-8; initiatives that may comprise projects.

Strategy Map	Strategic Objectives	BSC Measures	BSC Targets	Action Initiatives	Budget
Fiduciary Perspective					
Customer Perspective					
Internal Perspective					
Learning and Growth Perspective					

Figure 2-8 - Strategic Theme Defines the Process, Intangible Assets, Targets and Initiatives Required to Execute a Piece of the Strategy (Adapted from Kaplan & Norton 2004b, p53)

The need to improve the alignment of projects with strategic objectives, coincides with an increasingly complex project environment. Citing Thomsett, Cicmil defines project complexity as “the key issue in PM (Project Management) systems. The total complexity of a system is the measure of the internal complexity of the components, the complexity of the relationship between components, and the complexity of its environment” (Cicmil 2000). According to Hartman and Ashrafi, the increasingly complex project environment has highlighted the need for new methods of project planning analysis and management, because paradoxically, with the increasing complexity of projects, traditional project management methods are “becoming increasingly inadequate” and in themselves too complex to apply successfully in the complex project environment (Hartman & Ashrafi 2004).

### ***2.3.3 Aligning and Defining Project Success Criteria***

Based on the understanding that organisational strategy can be implemented via projects, it is important that this is achieved successfully, with a clear link made between the organisation’s key strategic priorities and the project, including agreed measures of success (The Comptroller and Auditor General 2004, p4).

This is perhaps best done by integrating project success planning with an organisation’s strategic thinking and strategic management (Phelan 2004, p146) to ensure the alignment of projects with over-arching business goals (Shenhar et al. 2001, p719). In practical terms this would initially be done as part of business case preparation by business and project management working collaboratively, using a business outcome vocabulary (Phelan 2004, p146) to clearly identify project objectives (Shenhar et al. 2001, p718) and expected project benefits in terms of type and time (short-, medium- and long term) (Shenhar, Levy & Dvir 1997, p5, p11, p12); with the degree of project success defined by how well the objectives (deWit 1988, p164) and benefits are met.

This approach will increase the likelihood of project managers and project teams delivering successful projects because it will define and link project success criteria to the relevant larger business environment from the outset of the project (Shenhar, Levy & Dvir 1997, p5, p10-12), focusing upon outcomes rather than process (Dallas 2002, p5). This is especially important information to provide to project managers and project teams, given the results of recent research studies which have identified that “Project managers infrequently tie project management outcomes to corporate business outcomes” (Phelan 2004, p11).

Such an approach will increase the likelihood of project success because it addresses the key project critical success factor of sound project planning which involves stakeholders

agreeing upon the project success criteria in terms of a project's objectives and deliverables requirements from the outset of a project and thereafter at agreed project milestones (Dvir, Raz & Shenhar 2002; Turner 2004) There is an increased likelihood of project success because "increased client involvement in planning and production will help to ensure that the wider set of objectives continues to be emphasised" (Munns & Bjeirmi 1996) nurturing "an effective team, trust, open communication, creativity and a shared vision of success" (Hartman & Ashrafi 2004).

Whilst it is important to include project stakeholders at the start of a project, it is also important to ensure that they continue to be involved throughout the course of a project, since project plans "based on the initial idea and expectations are only the best estimates of what the future will hold", so replanning throughout the project lifecycle should be considered to be inevitable (Cicmil 2000).

As identified by Belassi and Tukul's empirical study of project critical success factors, there is "a statistically significant relationship between client satisfaction and client consultation" (Belassi & Tukul 1996).

Having described *how* business and project management might collaboratively define and review project success criteria, it is also important to understand *what* is to be defined. Especially when considering the findings of recent studies conducted by the international consulting company KPMG as well as Hartman and Ashrafi which found respectively that a large number of the organisations interviewed (in more than fifteen countries) "struggled in defining success for projects" (KPMG 2004, p8) along with a "lack of alignment among (project) stakeholders on success factors, metrics used and project priorities" (Hartman & Ashrafi 2004). These recent findings indicate little if any improvement upon the position reported four years earlier in 2000 by Cicmil who described a continuing issue of concern to management being "agreement over project success criteria and delivery of a quality product" (Cicmil 2000).

The challenge of defining project success is understandable given that project stakeholders may define success in different ways and possibly in different ways at different times during and after a project (Shenhar et al. 2001, p716). Project stakeholders may refer to different sets of data, or even when referring to the same set of data, interpret it differently, according to their particular perspective, potentially leading to different assessments of the project's success (Rad 2003). In addition to interpreting data differently, "the success rating of a

project may also differ according to subjective, individual judgement” (Dvir, Raz & Shenhar 2002).

Also, when defining project success it needs to be acknowledged that project management success and project success are not the same. As pointed out by Munns and Bjeirmi (Munns & Bjeirmi 1996), and Belassi and Tukel (Belassi & Tukel 1996) a distinction needs to be made between project management success and project success because project management and project objectives differ. Project managers and stakeholders are cautioned against confusing the project management focus on time, cost and budget with project success. The reasoning behind these statements is based on example projects that were considered successful even if not delivered on time or on budget. The distinction between project management success and project success is also made by Cooke-Davis citing de Wit’s definition of project management success being “measured against the widespread and traditional measures of performance against cost, time and quality” and project success as being “measured against the overall objectives of the project” (Cooke-Davis 2002).

Munns and Bjeirmi propose one of the reasons that project management success is confused with project success, is that key project management measures related to budget and schedule are relatively easy to measure quantitatively and thus provide a convenient means of determining project success. Whereas “many of the project objectives will tend to be either qualitative and not easily measured in any objective manner, or longer term and not measurable immediately” (Munns & Bjeirmi 1996). In these situations project stakeholders may be willing to use surrogate measures. For example measures of client satisfaction may be measured by the surrogate measure of the number of complaints (Pinto & Slevin 1988, p67).

The expected benefits of a rigorous planning and review will only be realised, if sufficient resources are applied to putting it into practice, because even though, “research shows that time spent planning improves project outcomes...senior managers – who have a predilection for ‘creating strategies and visions and other glamorous stuff’- usually push to ‘make it happen quickly’”; seriously foreshortening the essential planning stage of a project (Antidote 2000, p31).

## **2.4 The Public Sector Environment**

### **2.4.1 Changing Expectations**

Public sector administrators and academics are faced with increasing demands from politicians, citizens and the private sector to “run government like an enterprise”; meaning that “government should be more cost efficient, as small as possible through privatising certain activities, implement techniques derived from the private sector and treat citizens like customers” (Zajac and Box cited in Zeppou & Sotirakou 2003, p320). With many people believing that “orienting public services to the interests of the public [...] will enhance service delivery by government agencies and improve the public perception of government performance” (Ejigiri 1994, p57). This relies upon the public sector maintaining a focus on democratic goals whilst also “treating the public in the same way as successful private enterprises treat consumers of their products i.e. formulating product lines around the interest of consumers”; “packag(ing) their services in such a manner that the interest of their consumers – the public – is served” (Ejigiri 1994, p57).

### **2.4.2 Public Management Trends**

There have been two major shifts in public management alongside changing expectations. Firstly, the rise of the alternative materialist paradigm, sometimes called New Public Management and secondly, the globalisation of public management issues (Osborne 1999, p1).

New Public Management (NPM) is an international phenomenon (Naschold as cited in Hall & Holt 2002, p298) comprising “a controlled, sweeping deregulation” designed for fostering sensitivity to market pressures, that places a greater emphasis on judging performance using objectives rather than procedure as a performance measure” (Carter, Klein and Day, Naschold as cited in Hall & Holt 2002, p298). The public sector has implemented NPM (in various forms) by drawing upon a number of practices originally developed within the private sector (e.g. TQM), “with the result that the public sector has moved increasingly to resemble its private sector counterparts” (Brown & Waterhouse 2003, p230).

Despite the widespread adoption of NPM, debate continues to reign about the risks associated with the public sector “adopting wide-scale private sector practices” (Brown & Waterhouse 2003, p231-232) that cause business terms to become metaphors for public practice (e.g. defining citizens as customers), private sector practices to be held up as the “models of efficiency” and business leaders being engaged to advise on program redesign or development

and disciplines being used that “fail to recognise the distinctiveness of public sector tasks” (Marsh 1999, p66).

The globalisation of public management issues is demonstrated by common transformations, such as the following, being experienced in Western democracies such as Great Britain, Australia, New Zealand and the USA :

- the uncoupling of policy and direction (“steering”) from service delivery and compliance enforcement (“rowing”) (Osborne 2000);
- “a move away from a centralised rules-based environment to one with decision-making authority devolved to agencies” (Barrett 2001, p28) which are held accountable for achieving high performance standards (Osborne 2000);
- Increasing numbers of public-private partnerships (Osborne 2000), demonstrating a convergence between the public and private sectors (Barrett 2001);
- Civil service reform– rigid personnel rules and structures being modified to achieve performance improvements (Osborne 2000);
- the customer being moved from the periphery of an organisation’s concerns to the centre – achieved by organisations carefully defining their customers, then rethinking, reengineering and reorganising to maximize results (Osborne 2000);
- Multi-agency initiatives (referred to as “joined up government” in the UK) (Osborne 2000);
- greater emphasis being placed on program outputs and outcomes (Barrett 2001, p28) to ensure that outputs are producing the outcomes citizen value the most (Osborne 2000).

To be successful, such transformations must be underpinned by a high performing workforce with the appropriate knowledge and expertise (Barrett 2001). For example, the public-private partnerships being forged by the Australian federal government are reliant upon a solid foundation of available commercial, project management and policy skills. (Barrett 2001).

### ***2.4.3 Public Sector Strategy Development***

This situation where “to receive resources, the public sector now has to explain what it is doing and why it is doing it – in managerial terms” (Knights and Morgan cited in Llewellyn & Tappin 2003, p956) has required public sector organisations to broaden their focus from a policy driven one to one driven by both policy and strategy. For, policies and strategies are not the same. Policies are unable to devolve responsibility for outcomes down to local

managers, whereas strategies can (Llewellyn & Tappin 2003, p959). Although public sector organisations may not have had clearly defined and documented corporate level strategies until relatively recently, it can be argued they have been acting strategically with collective professional decisions and activities matching activities to resource capabilities within a policy framework (Llewellyn & Tappin 2003, p957-958).

#### ***2.4.4 Adapting Private Sector Business Management Models***

Accepting that private sector business management models need to be adapted to the public sector environment, a number of factors need to be addressed, including each of the following that will be examined in more detail in the remainder of this sub-section :

- The definition of citizens as ‘customers’;
- The resource implications of an increased demand for public services;
- The role of political influence;
- The complex stakeholder environment.

The definition of citizens as customers of public sector services is contentious because the community collectively pays for services that are not necessarily used/enjoyed by every citizen (Donnelly 1999, p50). Also, the customers may be only one of the stakeholder groups affected by a service (Donnelly 1999, p50). Unlike customers of private sector services, the definition of a public sector customer is somewhat ambiguous, customers of public sector services may actually be unaware that they have received a public service and various customer groups may have conflicting interests to the point where some of them may be “unwilling customers for the service” (Donnelly 1999, p50). Also, in the public sector the person receiving a service does not necessarily pay for it directly (Donnelly and Dalrymple cited in Donnelly 1999, p50). Consider the potential customers of criminal justice and correctional services.

Standing a little apart from the debate about definitions, the “focus on delivery and improved results for ordinary citizens is in one sense, a call to arms for the public service. It moves thinking away from the intellectual glamour and challenging complexities of policy development and advice to the much less exciting but ultimately more necessary area of delivering results that the community can see and appreciate” (Barber 2002, p13).

Generally, the development and delivery of top quality products and services by the private sector is a good news story, since “improved quality means retaining and attracting new customers yielding more business and so increasing profits and growth in market share [...] an improvement in the bottom line” (Donnelly 1999, p48). On the other hand, the public

sector's quest to develop and deliver top quality products and services could be described a combination of good and bad news – existing customers are retained and new customers gained resulting “in an even greater demand on a fixed, or even diminishing, resource base” (Donnelly 1999, p48). To date, there has been little need for competitive strategies to attract customers to public sector products and services because “generally the problem in the public sector has been one of excess demand rather than a demand deficit” (Llewellyn & Tappin 2003, p959-960).

In terms of political influence, the interaction between public sector organisations and elected member/s is particular to the sector, with many elected members “bring(ing) with them the manifesto on which they stood for election” (Donnelly 1999, p50). These “manifestos” can be expected to range in quality and detail and “include a mix of high-principled statements as well as very specific local actions”, with few of them “written as a considered basis for the formation of corporate and service strategy” (Donnelly 1999, p50). Nevertheless, managers in the public sector need to confirm that their strategy is oriented to the current government's broad political agenda (Marsh 1999, p55). With the potential for conflicts to arise when a defined service adversely affects an elected representative's constituents (an issue “rarely faced by commercial senior executives” (Donnelly 1999, p51)). In addition, once defined it may be found that “the initiatives required to achieve political re-election” may conflict with what is purported to be managerial ‘best practice’ (Hughes and O'Neill cited in Brown & Waterhouse 2003, p234).

So, even though public sector organisations are continuing to work at integrating private sector-like indicators into their operations, they continue to be governed by an environment influenced by a combination of professional and political leadership, with a balance having to be struck between the two (Martinsuo & Dietrich 2002, p361). Accordingly, it has been proposed that public sector indicators be considered differently to those applied in the private sector. One proposal being that public sector projects be assessed according to performance “indicators”, rather than according to quantitative measures which can all too readily incite political discussions (Martinsuo & Dietrich 2002, p362).

In addition, the delivery of public sector services is becoming dependent upon an increasing number and type of working relationships with various stakeholders. With recently observed trends in public sector management including a “change to inter-sectoral dynamics and in particular a process of increased inter-sectoral blurring”, demonstrated by “the growth in ‘public private partnerships’”; generating new management challenges for both public and private sector partners (Ferlie & Steane 2002, p1460). Leading to the suggestion that

“governance systems may emerge which involve devolved decision making partnerships, networks and more interchange between and across different levels of government and stakeholders” (Ferlie & Steane 2002, p1461).

The extent and degree of stakeholder involvement in public sector strategy formulation is “far richer than that experienced in most commercial sectors; extending laterally outside the organisation as well as vertically internally” (Donnelly 1999, p52). Therefore the corresponding processes for engaging stakeholders also need to be broad ranging “from direct representation on formal council committees through participation in joint boards and councils to customer feedback mechanisms and advisory and consultative forums” (Donnelly 1999, p52).

As an example, the provision of social and welfare services often involves multiple government departments and agencies, including volunteer groups – each potentially with their own perspective on the service to be provided (Donnelly 1999, p51). Therefore, processes and time are required to effectively reconcile and synthesise the various perspectives, before the service can be defined (Donnelly 1999, p51).

The Australian Federal Department of Finance and Administration (DOFA) acknowledges that government departments and agencies operate in a complex environment that may include regulatory, policy and inter-agency initiatives (Department of Finance and Administration 2003d, p2) and that this environment affects outcomes to the point where “almost all Commonwealth outcomes are likely to be influenced by factors that are beyond the control of the agency and/or influenced by multiple outputs across a range of portfolios” including “causal factors” which “may be under the control of other levels of government, of the community, or of nobody” (Shead 1998, p91). A situation which is not unique to Australian governments. “Internationally, there has been a recognition that the use of outcomes as the basis of measuring the performance of government agencies is at least problematic” (Shead 1998, p92).

Therefore under these circumstances, DOFA recommends that agencies “seek to isolate and measure the degree of their own contribution towards the achievement of an outcome” (Department of Finance and Administration 2003c,p4). The complex operating environment also affects definition of the relationship between outputs and outcomes, so that one output influences multiple outcomes (Department of Finance and Administration 2003d, p4) and/or where the relationship between outputs and outcomes becomes “a matter of judgement” based on assumptions or proxy indicators (Department of Finance and Administration 2003c, p4).

## 2.5 Relevant Public Sector Frameworks

### 2.5.1 Introduction to Public Sector Frameworks

Following on from the general purpose models linking strategy and projects introduced in a previous section, similar public sector specific hierarchically aligned models have been developed by individual authors such as Shead (1998) and various public sector organisations; including those issued by the UK Treasury Department, the Australian Federal Government and Australian Victorian state government.

According to Shead, when “analysing the outcomes applicable to particular areas of government activity, it becomes evident that there is a hierarchy of outcomes which can be identified and that, even at the lowest and most specific level of this hierarchy, there is generally a many-to-many cause and effect relationship between outcomes and the strategies used by the government to achieve them” (Shead 1998, p93). Shead provides the “model outcomes hierarchy” included as Figure 2-9 to illustrate the cause and effect relationships relating to the outcome of “a productive and safe road system” (Shead 1998, p93-94).

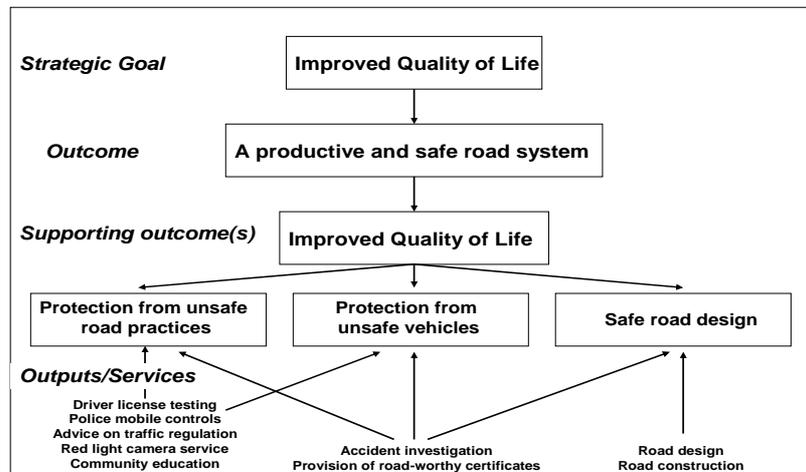


Figure 2-9 - Outcomes and Outputs (Services) – a many to many relationship (Shead 1998, p94)

Shead argues that “when outputs are rigorously defined as the quality and quantity of services delivered in particular locations, as they are in market-based transactions, they can be clearly distinguished from outcomes. When accompanied by well-defined responsibilities and reporting arrangements, this approach can form the basis of an effective accountability framework for government agencies. It would provide a better result than the vague accountabilities which result from mixing output and outcome measures of performance.” (Shead 1998, p95).

The UK Treasury Department's Green Book describes the relationship between objectives, outcomes, outputs and targets (measures) as a hierarchy. Where objectives are expressed in terms of desired outcomes, which "sometimes cannot be directly measured". Therefore outcomes are expressed in terms of outputs which are "the results of activities that can be clearly stated or measured" and relate "in some way" to the desired outcomes. And targets define the measures used to assess the outputs. (HM Treasury 2003, p13).

The federal Australian Government Outcomes and Outputs framework and the Australian state government Victorian Performance Management and Reporting Framework, are both described in following sub-sections.

### 2.5.2 Australian Government Outcomes and Outputs framework

The Australian Government Outcomes and Outputs Framework was developed in 1999, and is based upon the input/output model developed by Pollitt and Bouckaert as a result of a study conducted in ten OECD countries (Figure 2-10) (Ayres & Russell 2001, p33-34).

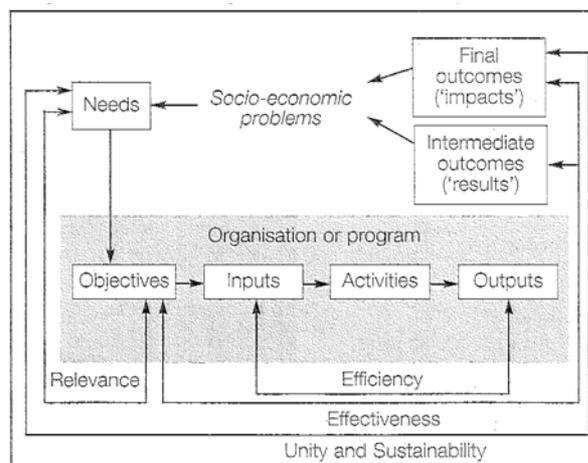


Figure 2-10 - Public sector management model (Pollitt and Bouckaert (2000) as cited in Ayres & Russell 2001, p34)

A model consistent with that proposed by Buckmaster (1999) as depicted in Figure 2-11.

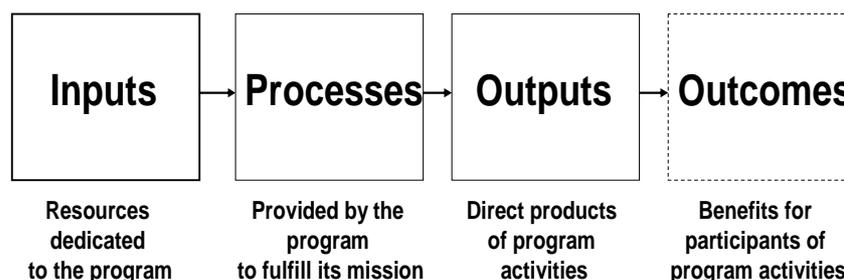


Figure 2-11 - Outcome measurement model (adapted from Buckmaster 1999, p189)

The Australian Government Outcomes and Outputs Framework “has two basic objectives, to improve agencies’ corporate governance and enhance public accountability” (Department of Finance and Administration 2003b, p2). The Outcomes and Outputs framework is defined within the context of government delivering benefits (outcomes) to the Australian community, primarily through programmes (administered items), goods and services (agency outputs) which are delivered against specific performance targets/indicators (Department of Finance and Administration 2003b,p2). This approach supports the concept where “by focusing on the outcomes of an organisation, it is possible to measure the end experience of the citizen rather than the organisational activity” (Anonymous 2004-2005, p66). For example, an “organisation may have many staff, very strong processes and even deliver strong outputs, but if these are misaligned and not producing a desirable outcome, the organisation will not deliver value to the citizens it is serving” (Anonymous 2004-2005, p66).

As depicted in Figure 2-12, the Department of Finance and Administration (DOFA) describes the Outcomes and Outputs Framework as sitting alongside “the common management tools” of corporate planning and Kaplan and Norton’s Balanced Scorecard, with all three “concerned with aligning strategy and operations so that they are consistent with the overall purpose of the organisation” (Department of Finance and Administration 2003e, p5). Whilst aligned, each of the management tools has a different focus. The Outcomes and Outputs Framework is focused on performance measurement “especially in terms of the effectiveness of outcomes, corporate planning helps organisations to define strategies that address their key result areas and the balanced scorecard provides a means of checking “the consistency of performance information” from different perspectives across all levels of the organisation (Department of Finance and Administration 2003e, p5).

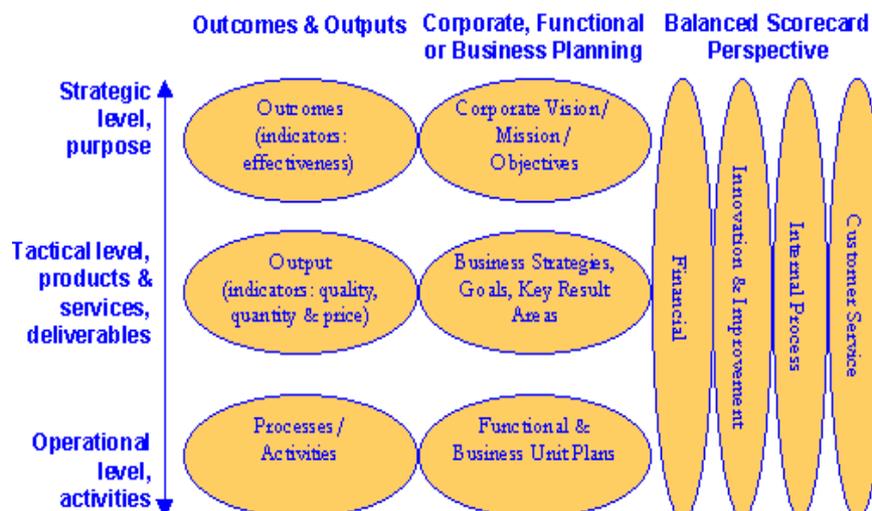


Figure 2-12 - Mapping outcomes and outputs to planning and balanced scorecard systems (Department of Finance and Administration 2003d, p5)

The Outcomes and Outputs Framework intentionally emphasises outcomes and outputs as the drivers of strategic decision-making, with the emphasis on outcomes being quite formal, granting “outcomes a significant legal status, as they constitute the formal purposes of budgetary appropriations which were previously expressed more in terms of activities and functions” (Ayres & Russell 2001, p33). It is recommended that outcomes be defined in terms of both intermediate outcomes and ultimate long-term impacts (Department of Finance and Administration 2003e, p3).

Ayres and Russell describe the implementation of the seemingly simple framework as not having been wholly straightforward, due mostly to the challenge of shifting the attention of the responsible Senate committee from the details of process and outputs to outcomes; to align the committee’s focus with that of the larger community and their elected representatives – on the outcomes and impacts of government activities (Ayres & Russell 2001, p35-36). Nevertheless, Ayres and Russell are confident that the theoretical basis of the framework provides “the potential to significantly enhance accountability for results and the efficient application of public resources” (Ayres & Russell 2001, p37).

### ***2.5.3 Victorian Performance Management and Reporting Framework***

The Victorian state government Performance Management and Reporting Framework which has been under development for several years (Cameron 2003, p3) is designed to “enhance public sector accountability and to drive the achievement of Government’s objectives by aligning the resource allocation process with environmental, social and economic policy objectives” (Cameron 2003, pvii).

The objectives of the Framework are to (Cameron 2003, p3) :

- “Improve strategic planning in the public sector, through the definition of high-level government desired outcomes, and the establishment of clear and improved linkages to corporate planning and business planning processes;
- Ensure resource allocation decisions are made in the context of the Government’s strategic policy directions; and
- Improve management of budget sector resources in order to achieve the Government’s outcomes and to ensure adequate internal and external accountability for performance.”

And to assist (Cameron 2003, p8) :

- “All government agencies to manage the achievement of outputs and objectives which are aligned to specific government outcomes; and
- The public to receive timely and relevant reports of progress and better understand government achievements”.

The framework exists within a context where Victorian state government agencies consider corporate and strategic planning to be “the most effective way to strengthen the usefulness of departmental objectives and to ensure effective internal management arrangements with a focus on efficiency, sustainability and the ongoing improvement of organisational capacity by departments” (Cameron 2003, p12). With corporate and strategic planning continuing to “be a significant focus of government over the next 12 months” (Cameron 2003, p12).

The Performance Management and Reporting Framework (refer Figure 2-13) comprises outcomes, objectives and outputs each of which is defined as follows (Cameron 2003, p5) :

- (Government) Outcomes : “The overall impact achieved by government. Government outcomes will be affected by a range of factors including external influences and the broad environment in which government operates. Government outcomes are assessed by reference to measures of progress, that may only be partly within the control of government agencies”;
- “Objectives : The achievements which are made as a result of the activities of government agencies. Objectives are assessed by reference to performance indicators which address efficiency, effectiveness and the impact of government programs in the medium to long-term”;
- “Outputs : The funded activities of government agencies, which are “paid” to deliver these specified goods and services. Output performance is assessed by reference to performance measures (i.e. quality, quantity, timeliness and cost)”.

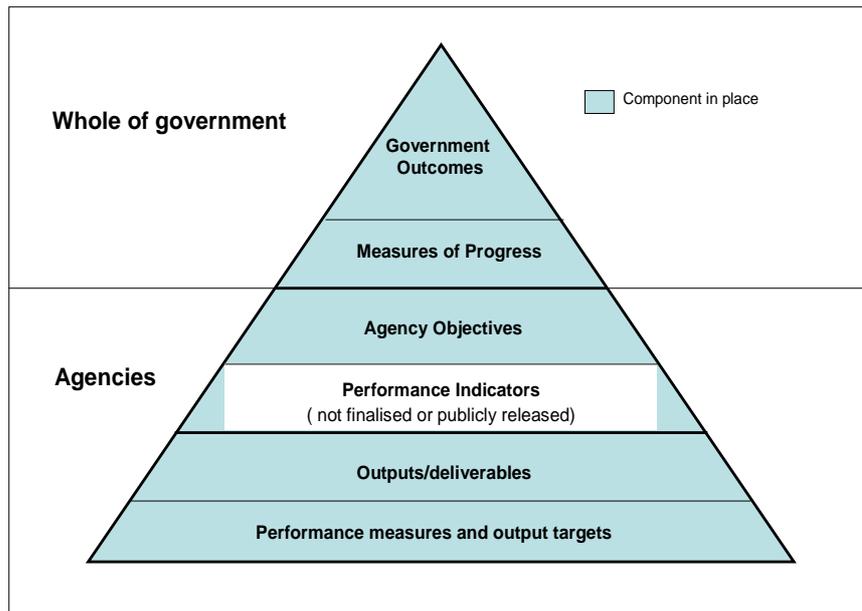


Figure 2-13 - Performance Management and Reporting Framework 2003 (Cameron 2003, p4)

Released in November 2001, the Victorian state government “Growing Victoria Together” (GVT) strategy sets out key policy goals for the following 10 years and is intended to be used by agencies as a guide “to ensure a broad alignment between agency objectives, the delivery of outputs and government’s policy priorities”, rather than explicitly articulate all of government’s desired outcomes (Cameron 2003, p5). Since GVT comprises only a subset of the outcomes for which the government is responsible, the current version of the performance management and reporting framework also includes only a subset of government outcomes. A situation criticised by the Victorian state Auditor General but defended by a number of Victorian state government bureaucrats including the Deputy Secretary, Budget and Financial Management, Department of Treasury and Finance who describes the “fundamental consideration” as being “whether all the issues and priorities identified in Growing Victoria Together are adequately reflected in the department’s objectives and outputs. It is neither intended nor desirable that every one of the nearly three hundred departmental outputs required by the Government is explicitly or closely linked to an element of Growing Victoria Together” (Cameron 2003, p9).

As indicated in the above diagram, the current status of the framework is that it remains to be fully implemented, with high-level outcomes and measures of progress having been published, but, “performance indicators linking the resource allocation process to departmental objectives and to government outcomes” remaining to be developed (Cameron 2003, pvii). This situation is not unique to Victoria, with Eagle describing the establishment

of “an effective system for setting priorities and measuring outcomes” being “an ongoing challenge for most governments” (Eagle 2004, p16).

## **2.6 *References to Project Outcomes and Outputs in Project Management Bodies of Knowledge (PMBOKs)***

A search for references to ‘outcome/s’ in the two key guides to the body of project management knowledge – A Guide to the Project Management Body of Knowledge published by the Project Management Institute (2004) (PMI PMBOK) and the Project Management Body of Knowledge published by the Association for Project Management (2000) (APM PMBOK), yielded the following results.

Using a basic word search for ‘outcome/s’, the author found that the PMI PMBOK includes a number of passing references to the links between stakeholders and the definition of project outcomes, but no detailed description (e.g. section 8.3.2 Perform Quality Control : Tools and Techniques, 11.2.3 Risk Identification : Outputs). Instead, most instances of ‘outcome’ described the outcomes of traditional project management processes (e.g. section 6.5.2 Schedule Development : Tools and Techniques p.146). Whilst the PMI PMBOK Glossary does not include an explicit alphabetic entry for ‘outcome’, the term is included as a synonym for the alphabetical listing for ‘event’ (Project Management Institute 2004, p360) and as a sample project ‘result’ (Project Management Institute 2004, p372). The glossary defines a ‘result’ as the output of a process or activity, including outcomes (e.g. systems, processes or trained personnel) and documents. This definition seems somewhat confused since systems and documents would commonly be considered as outputs and based on the dictionary definition of an outcome being a result or consequence ((Merriam-Webster 2005), (Oxford University Press 2005)), trained personnel would be defined as an outcome. The PMI PMBOK contrasts ‘results’ with ‘products’ and ‘services’, the latter being defined as “useful work performed that does not produce a tangible product or result” (Project Management Institute 2004, p375). This again is confusing since it would not be uncommon for a service to generate a tangible result (e.g. servicing of a car). So the references to ‘outcome’ in the PMI PMBOK seem somewhat confusing and difficult to disentangle (let alone apply) when compared with the use of the term within the broader body of literature.

The word search for ‘outcome/s’ in the APM PMBOK found only three general entries. Firstly, in the context of Behavioural Characteristics of Project Management Professionals, whereby they need to demonstrate “Adaptability” which provides them with the flexibility necessary to “ensure a successful outcome” (Dixon 2000, p8). Secondly, outcomes are

mentioned in the context of value management (i.e. investment vs outcome being one way of measuring value (Dixon 2000, p21)) and thirdly, outcomes are mentioned in the context of the project business case which is described as including descriptions of “critical success factors of the project and its outcome” (Dixon 2000, p38). There is no reference to ‘outcome/s’ in the online APM Glossary (<http://www.apm.org.uk/resources>). So, the limited references in the APM PMBOK to ‘outcome/s’ are very high level and general and therefore heavily reliant on readers ‘connecting the dots’ between outcomes and projects.

So, whilst public sector frameworks define outcomes and outputs and the relationship between them consistently, (i.e. outputs delivering outcomes), two (2) key project management references do not do so. This is of some concern when considering the role of projects in delivering strategy in terms of outcomes and outputs. Based on the author’s review, the two (2) key project management references are disengaged from, and lagging behind the current body of literature describing public sector strategic frameworks.

## **2.7 PRINCE2 Project Management Methodology**

PRINCE2 (Projects IN Controlled Environments version 2) is a structured project management method developed by the UK Office of Government Commerce to provide a flexible and adaptable approach to suit all projects (Office of Government Commerce 2002,p9). Given its combination of rigour and versatility, PRINCE2 is currently recognised as a *de facto* project management standard used by public and private sector organisations worldwide (Office of Government Commerce 2002, p1).

PRINCE2 projects (such as Project Resolve which forms the basis of action research cycle 2 described in this dissertation) are focused on delivering specified products to meet a specified Business Case (Office of Government Commerce 2002, p9), with PRINCE2 products comprising both project inputs and outputs (Office of Government Commerce 2002, p313) - “everything the project has to create or change, however physical or otherwise this may be” (Office of Government Commerce 2002, p6).

Each product to be produced by a project managed using PRINCE2 is described during the project planning stage by a Product Description that provides a “clear, complete and unambiguous” definition (Office of Government Commerce 2002, p284) including the descriptions of the product “purpose, composition, derivation and quality criteria” (Office of Government Commerce 2002, p314). According to the UK Office of Government Commerce (OGC), PRINCE2 products “can vary enormously from physical items, such as (documents,) buildings and machinery, to intangible things such as culture change and public perception” (Office of Government Commerce 2002, p6).

According to the PRINCE2 methodology it is the project manager's responsibility to write Product Descriptions (Office of Government Commerce 2002, p284). Although it is recommended that project managers engage various stakeholders to assist with Product Description development (Office of Government Commerce 2002, p284), to ensure a common understanding of the expected project products from the outset of the project. Ideally, these stakeholders include "staff who know the proposed product" along with product users who will assist with the definition of product quality criteria (Office of Government Commerce 2002, p226). Once approved by the relevant stakeholders, each Product Description is used by the product creator to develop the product and later also as a means of confirming the quality of the completed product (Office of Government Commerce 2002, p225).

Tailoring of the PRINCE2 method to suit the circumstances of a particular project is critical to its successful use (Office of Government Commerce 2002,p9).

## **2.8 Intangibles**

### **2.8.1 Defining Intangibles**

For a number of reasons, there is no single agreed definition of 'intangibles'. These reasons include "misunderstanding" and "misuse" of the term (Keen & Digrius 2003, p105), a "lack of informed opinion" (Keen & Digrius 2003, p105), the meaning of the term being context sensitive (Blair & Wallman 2001, p9; Keen & Digrius 2003, p105), intangibles being "worth different things to different people" (Kaplan & Norton 2004a, p52), intangibles being 'described' rather than 'defined' in concrete or quantitative terms (Blair & Wallman 2001, p2) and the fact that intangibles do not fulfil the accounting definition for assets (i.e. "intangible assets") (Blair & Wallman 2001, p52). Even one of the most noted authors and researchers of intangibles, Baruch Lev admits to using the terms 'intangibles', 'knowledge assets' and 'intellectual capital' interchangeably because all three are widely used and all refer to essentially the same thing – "a non-physical claim to future benefits" (Lev 2001, p5). So, no wonder that in the absence of a "common language for talking about intangible sources of value" (Blair & Wallman 2001, p2), discussions concerning intangibles are often "hot" and "confusing" (Keen & Digrius 2003, p105), leading to management leaders having conflicting positions on intangibles (which upon closer examination may only be differences in semantics) (Keen & Digrius 2003, p105).

Nevertheless as a means of maintaining a focus upon intangibles, a number of organisations and individuals have made attempts to either provide a broad definition or to describe lists of

currently relevant intangibles which can be used as reference points in the absence of a single prevailing definition. Notable examples include those provided by the Brookings Institution, the UK Government Future and Innovation Unit, Low and Kalafut (authors of “The Invisible Advantage”) and Andriessen and Tissen (authors of “Weightless Wealth”).

The Brookings Institution report into intangibles provides a broad definition of intangibles as “non-physical factors that contribute to, or are used in producing goods or providing services, or that are expected to generate future productive benefits for the individual or firms that control the use of those factors” (Blair & Wallman 2001, p3). The UK Government Future and Innovation Unit and Low and Kalafut provide lists of currently relevant intangibles and Andriessen and Tissen provide a “pie chart” comprising five types of intangibles (Figure 2-14).

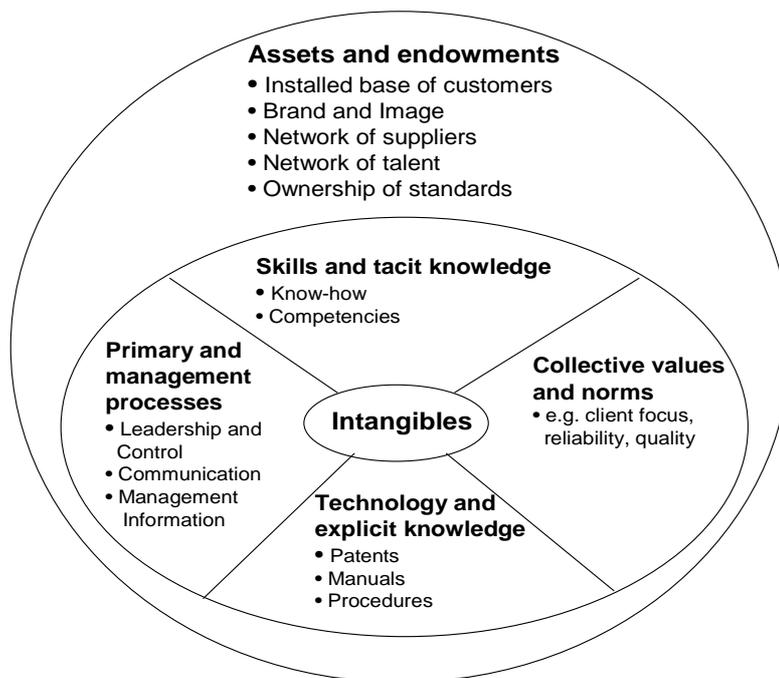


Figure 2-14 - Five types of intangibles (Andriessen & Tissen 2000, p3)

Table 2-1 illustrates the similarities and differences between three sets of intangibles reference lists.

Table 2-1 - Intangibles Reference Lists

<b>UK Government Future and Innovation Unit</b> (Future and Innovation Unit 2001, p4)	<b>Low and Kalafut</b> authors of “The Invisible Advantage” (Low & Kalafut 2002, p53)	<b>Andriessen and Tissen</b> authors of “Weightless Wealth” (Andriessen & Tissen 2000, p3)	
		<b>Type</b>	<b>Element</b>
Relationships (In-House and External)	Networks and Alliances	Assets & Endowments	Customer Base Supplier Network Talent Network
Knowledge (Acquisition, Retention and Deployment)	Intellectual Capital	Technology and Explicit Knowledge	Patents Manuals
Processes and Systems	Technology and Processes	Technology and Explicit Knowledge	
		Skills and Tacit Knowledge	Know-how
		Primary and Management Processes	Control Management Information
		Assets and Endowments	Ownership of Standards
Leadership and Communication	Leadership	Primary and Management Processes	Leadership Communication
	Communications and Transparency		
Culture and Values	Workplace Organisation and Culture	Collective Values and Norms	
Reputation and Trust	Reputation		
Skills and Competencies	Human Capital	Skills and Tacit Knowledge	Competencies
	Strategy Execution		
	Brand Equity	Assets & Endowments	Brand & Image
	Innovation		
	Adaptability		

Rather than be overly concerned about the length or composition of a ‘list’ of intangibles, it is suggested that organisations focus on managing and developing a “full spectrum” of intangibles (Future and Innovation Unit 2001, p1) “so as to optimise their value and the overall value of the organisation” (Low & Kalafut 2002, p207) accepting that the component intangibles will change over time (Low & Kalafut 2002, p225). Given these perspectives, an agreed static definition of ‘intangibles’ may be considered less of an issue.

### **2.8.2 The Increasing Importance of Intangibles – the macroeconomic view**

Knowledge and intangibles have been important through history (European High Commission's High-Level Expert Group quoted in Low & Kalafut 2002, p35). With the trend towards a knowledge and service economy based on intangible assets, having occurred for decades (Kaplan & Norton 2004b, p4). The difference being that today the increased level of competition between companies has increased “the strategic importance of intangibles” (Low

& Kalafut 2002, p26). The historical perspective is shared by Alan Greenspan, the chairman of the Federal Reserve Bank of the United States who stated that “Over time, and particularly during the last decade or two, an ever-increasing share of GDP has reflected the value of ideas more than material substance or manual labour input” (Greenspan quoted in Low & Kalafut 2002, p31). Recent indications of this trend are available when comparing figures from 1997, when for the first time “U.S. corporate investments in a set of intangibles (brand, reputation, R&D) surpassed investments in the classic tangibles of property, plant and equipment” (Low & Kalafut 2002, p27), and figures from 2001 that indicate market services and intangible goods accounted for more than two-thirds of gross domestic product (GDP) in the United States (Goldfinger cited in Blair & Wallman 2001, p7). So, now at the start of the twenty-first century, when “we are living in the knowledge economy” (Andriessen & Tissen 2000, p9), a clear and important feature is that “intangible factors are playing an increasingly dominant role in wealth creation. (With) A growing share of economic activity today consist(ing) of exchanges of ideas, information, expertise and services” (Armacost quoted in Lev 2001, pv).

Stewart includes “intangibilisation” in the list of related revolutionary transformations currently taking place. The others being globalisation, computerisation and economic disintermediation (Stewart 1998, p7). With these transformations all being related – “like logs on a fire, each causes the others to burn more brightly”, further emphasising that “in the light they cast and in their flickering shadows we sense that business and society are in the midst of change comparable in scale and consequence to the one our great- and great-great grandparents endured” (Stewart 1998, p7). Lev also credits the joint impact of intensified global business competition and the advent of information technologies with ‘catapulting’ intangibles into the role of “the major driver of businesses in developed economies” (Lev 2001, p9).

Expressed in numeric terms, “nearly sixty percent of the aggregate value of the US stock market” can be attributed to investor expectations of future growth (Ballow, Thomas & Roos 2004, cover page). So “because this future value tends to be concentrated in industries and companies that are built on intangible assets, it is critical to find better ways to recognise, report and manage these assets (Ballow, Thomas & Roos 2004, cover page). Especially with professional investors reporting that nonfinancial data drives at least thirty (30) percent of their investment decisions, with the importance of various intangibles varying from one industry to another (Low & Kalafut 2002, p41). According to Low and Kalafut, “Traits like the quality of a company’s leadership, its ability to innovate, and its brand equity have always

mattered to professional investors, and all our research did was show how much these traits mattered” (Low & Kalafut 2002, p76).

So, intangible assets drive long-term value creation at both the macroeconomic and microeconomic level (Kaplan & Norton 2004b, p4). At the macroeconomic level, “An economy in which intangibles loom so large presents a puzzle. Economists don’t really know what’s going on, because the measurements they rely on capture only a portion of economic activity. Accountants can give only a partial picture of a company’s health, because they haven’t yet developed tools to track and value assets that can’t be touched or spent” (Low & Kalafut 2002, p31). So, the current inability to accurately account for intangibles such as “designs, software, blueprints, ideas, artistic expressions and so on” means that the actual USA GDP may be “10 per cent higher than the (US federal) government says it is” (Low & Kalafut 2002, p33)

At the microeconomic level, a recent study conducted jointly by Accenture and the Economist Intelligence Unit confirmed the importance assigned by senior management to the management of intangible assets. Ninety four percent (94%) of respondents considered the comprehensive management of intangible assets as important, with fifty percent (50%) of respondents rating the management of intangible assets as one of the top three management issues facing their company (Ballow, Thomas & Roos 2004, p31).

Despite intangibles not being a new phenomenon (Lev 2001, p8), the “study of intangibles is a new field” where the fundamental ideas are “still gelling” (Low & Kalafut 2002, p219) with effort needing to be expended on determining both how and why intangibles are valuable (Low & Kalafut 2002, p37). Prompting comments such as those made in the Brookings Institution report into intangibles which “argues that the large and growing discrepancy between the importance of intangible assets to economic growth and the ability to identify, measure and account for these assets is a serious potential problem for business managers, for investors and for government” (Armacost in the Introduction to Blair & Wallman 2001, pvi). With “(t)he lack of good information about the role of intangibles in the economy” being “the most obvious and important barrier to developing better information (Blair & Wallman 2001, p33). So, given the high cost of not knowing more about intangibles, it is worth expending resources to learn (Blair & Wallman 2001, p23).

### ***2.8.3 The Increasing Importance of Intangibles – the microeconomic view***

Whilst “(t)he key sources of value creation have “shifted from the tangible to the intangible” (Low & Kalafut 2002, p27), with “the intangible gaining ascendancy over the tangible”

(O'Donnell et al. 2003, p83), an organisation's focus does not have to shift completely from the tangible to the intangible. Rather “it is the overall mix of tangible and intangible investments that differentiates one organisation from another” (Future and Innovation Unit 2001, p36).

By “pursuing its business ideas using all its resources, tangible as well as intangible, under the control of leadership” (Hussi & Ahonen 2002, p277) an organisation will achieve its goals, overcome identified and latent problems (Future and Innovation Unit 2001, p2) and achieve “long-run productivity of invested capital” (Hussi & Ahonen 2002, p277). With the effective combined management of both tangibles and intangibles being reliant upon leaders taking their leadership to a “new level” by changing the way that they think about capital (Hoenig 2003, p38).

When considering how to invest in the development of tangibles and intangibles, it is important to identify those that “add value” by contributing to the strategic success of the organisation (Andriessen & Tissen 2000, p42). Further, when identifying how tangible and intangible assets will “add value”, it is important to acknowledge that intangible assets will do so differently to tangible assets in a number of ways. Firstly, in that intangible assets are less likely than tangible assets to “add value” in the short-term (Ballow, Thomas & Roos 2004, p35). And secondly, that intangible assets are more likely to “add value” collectively, because “improvement in one area can often lead to quite unexpected improvement in others” (Low & Kalafut 2002, p55-56) and “it is only when they combine that the economic synergy is created” (Andriessen & Tissen 2000, p42). For “No intangible is an island, complete unto itself” (Low & Kalafut 2002, p12). “The value created by investments in intangibles is rarely tied to discrete transactions. Rather it is often highly contextual and dependent on complementary investments in other intangibles” (Blair & Wallman 2001, p19), so “astute management of one intangible depends on astute management of many others” (Low & Kalafut 2002, p12). Thirdly, a key difference between tangibles and intangibles is the concept of ‘non-rivalry’ or ‘non-scarcity’ (Lev 2001, p23) which describes how, in contrast to “traditional monetary and physical assets” that “typically decrease with use, most intellectual capital assets do not” – remaining either the same or even increasing (Grossman and Helpman quoted in Lev 2001, p25) e.g. use of “a proprietary process does not necessarily reduce the availability of that process” (Ballow, Burgman & Molnar 2004, p31).

An example of interdependent tangible and intangible investments is the execution of a technology-based strategy which is dependent upon people to assist it to mature (Low &

Kalafut 2002, p139). When executing a technology-based strategy the investment in technology is a tangible investment whilst “everything around the technology – everything needed to make the technology do what it is supposed to do – is intangible” (Low & Kalafut 2002, p136). The interdependence of tangibles and intangibles in this scenario was confirmed by the findings of a study conducted by Professor Erik Brynjolfsson and his colleagues at MIT’s Sloan School of Business, which identified that “the firm that has a dollar of computers typically has another \$9 of related intangibles” (Brynjolfsson and Yang cited in Blair & Wallman 2001, p13) such as “work practices that involve a cluster of organisational characteristics, including greater use of teams, broader decision-making authority and increased worker training” (Brynjolfsson quoted in Low & Kalafut 2002, p145).

Resulting in an organisation’s market value increasing “over and above what can be accounted for by its investment in computer technology” (Low & Kalafut 2002, p145) because the value created by spending monies developing intangibles “may bear little relation to the cost” (Blair & Wallman 2001, p63).

#### ***2.8.4 Microeconomic Intangibles Management***

Focussing more closely on the specifics of microeconomic intangibles management, intangibles have profound short and long term implications for an organisation’s strategy, influencing its “sources of value creation”, decision-making, reputation, communications and disclosures, transforming how staff are managed, products designed, services sold and interactions conducted with customers. A situation that will require organisational management to change in response to continuing transformations (Low & Kalafut 2002, p6).

However, in general, organisational management has not yet reached the necessary level of maturity described by Low and Kalafut; intangibles continue to be overlooked by management despite them being included amongst the assets most valued by the marketplace, (Ballow, Burgman & Molnar 2004, p27).

Reasons for the delayed systematic management focus upon intangibles include them being “substantially more difficult to manage and operate than tangible assets” (Lev 2001, p32-33, because of

- “the lack of business models that accurately and effectively describe productive activities in the New Economy” (Blair & Wallman 2001, p4) including the inability of current accounting systems to track or analyse intangibles (Ballow, Burgman & Molnar 2004, p26);

- “the lack of a common vocabulary with clear, consistent and robust definitions” (Blair & Wallman 2001, p4) of “intangible sources of value” (Blair & Wallman 2001, p2);
- the virtual nature of intangibles (Lev 2001, p32-33) that requires the management of something that often can’t be heard, smelt or touched (Andriessen & Tissen 2000, p92);
- intangibles measures being “softer”, or more subjective, than the financial measures conventionally used to motivate and assess performance” (Kaplan & Norton 2004a, p63);
- the “riskiness” of intangibles (such as innovation processes and research and development) being “substantially higher than that of physical and even financial assets” (Lev 2001, p39);
- the difficulty of predicting the future value of intangibles and therefore the difficulty of accounting for them in the same way as tangible assets (Lev 2001, p82-83).
- managerial information systems being “almost exclusively geared to industrial-age physical and labour inputs” (Lev 2001, p32-33);
- organisations not having full control over associated benefits (Lev 2001, p3) (because they cannot prevent other organisations from sharing “spill over” benefits e.g. if an employee who has received training leaves to join another employer (Lev 2001, p33-35));
- an absence of trading markets (Lev 2001, p3).

So to date, “the discovery and management of intangibles” has mostly being “a haphazard affair [...], rarely an explicit part of the corporate strategy” (Low & Kalafut 2002, p18). However, with the increasing importance of intangibles, reasons such as those described above, no longer provide sufficient basis for management not taking planned action; “the relative novelty” of intangibles shouldn’t “blind” managers for the need to act on them now (Low & Kalafut 2002, p218). Instead, organisations need to view their business assets from a wider perspective of “how to invest in and make best use of” both tangibles and intangibles (Future and Innovation Unit 2001, p1), recognising the opportunities offered by including a focus upon intangibles and the threats that arise from neglecting them (Low & Kalafut 2002, p7). The wider perspective including both tangibles and intangibles provides an organisation with the opportunity to include a “future focus” (Future and Innovation Unit 2001, p2) on organisational direction and potential (Deprez and Haak quoted in Andriessen & Tissen 2000, p14) as a complement to the ‘rear vision mirror’ view of performance provided by financial

indicators (Low & Kalafut 2002, p54). For example, BP Amoco maps “qualitative performance measures such as innovation, mutual trust and respect, teamwork and diversity...[It] recognises that achievements in these areas are just as important to the success of the company’s revenues, profits and other financial measures” (Stein quoted in Low & Kalafut 2002, p57).

A small number of intangibles measurement methods exist including those proposed by Hubert Saint-Onge, the ICM Model (developed by Patrick Sullivan), the Skandia Navigator, the IC index (originally developed by Intellectual Capital Services and later developed further by Johan Roos and Goran Roos), the Balanced Scorecard (developed by Kaplan and Norton), the Intangible Assets Monitor (developed by Karl-Erik Sveiby) and the Celemi Intangible Assets Monitor (that builds upon the work done by Sveiby) (Andriessen & Tissen 2000, p22-30). The relatively small number and relatively limited impact of these methods may be attributed to findings such as those of Hussi and Ahonen’s study of nine companies listed on the Helsinki Stock Exchange which found that “the measurement of intangibles is highly company-specific” to the point where “respondents were quite sceptical about the possibility of finding a measurement concept that would suit all companies” (Hussi & Ahonen 2002, p284).

The counter-threat of ignoring intangibles is that organisations may not be considering ‘the full picture’. Andriessen and Tissen are quite adamant on this point describing “managers who ignore the importance of intangibles for the true value of their companies are managers who are no longer fit to manage” (Andriessen & Tissen 2000, p10). So, as a starting point managers need to develop a better understanding of what drives an organisation’s future value, including “intangible assets and their relative importance” (Ballou, Burgman & Molnar 2004, p27).

Three different yet compatible approaches are proposed by Low and Kalafut (2002), Keen and Digrius (2003) and Andriessen and Tissen (2000). The approach proposed by Low and Kalafut comprising the following steps can be considered to be the over-arching approach of these three (Low & Kalafut 2002, p213-219) :

1. Determine the Priority Intangibles for your Business;
2. Decide on Metrics for the Priority Intangibles by defining a small set that seem good enough and then refining them over time (i.e. better to be “vaguely right” rather than “precisely wrong”);
3. Create a Baseline and Benchmark it against the competition;

4. Undertake Initiatives to Improve the Performance of Priority Intangibles by planning where to invest time and resources to improve them and tie improvement on intangible drivers to managers' compensation;
5. Communicate far and wide to demonstrate a clear understanding of the intangible value drivers; mitigating stakeholder suspicions and scepticism (Low & Kalafut 2002, p91). (In addition, the provision of descriptive information will assist research into intangibles (Lev 2001, p77) whilst not providing enough detail for competitors to copy the results (Low & Kalafut 2002, p213-219)).

The approach proposed by Keen and Digrius (Keen & Digrius 2003, p107) provides more detailed descriptions of how to conduct benchmarking and undertake initiatives. The approach proposed by Andriessen and Tissen relates to the identification of priority intangibles and the undertaking of activities. Andriessen and Tissen advocate that organisations firstly identify their priority intangibles by referring to their core competencies (Andriessen & Tissen 2000, p42-43, p55) and then plan how to leverage, secure and nurture and anchor them within the organisation (Andriessen & Tissen 2000, p110).

In terms of defining metrics for priority intangibles, both Keen and Digrius as well as Andriessen and Tissen advocate a similar approach to metrics definition as that proposed by Low and Kalafut. Keen and Digrius suggest that arguments about the unavailability of intangibles measures be countered by providing "guesstimates' backed up with explanations of assumptions" to get decision-makers thinking about possibilities (Keen & Digrius 2003, p107). Andriessen and Tissen describe it as unlikely that the value of intangibles will be able to be expressed in terms of a "final figure that is accurate to two decimal points", so "it is better to be approximately right rather than absolutely wrong" (Andriessen & Tissen 2000, p158). In a similar vein, Kaplan and Norton assure managers that "even if the measures (of intangible assets) are imprecise" the simple act of attempting to gauge them "communicates the importance of these drivers for value creation" (Kaplan & Norton 2004a, p63). These latter comments are based on a key learning experienced by Kaplan and Norton as a result of their Balanced Scorecard (BSC) being applied by different private and public sector organisations. Kaplan and Norton describe how at the start of each engagement they would first have executives agree on word statements of their objectives in each of the four BSC perspectives (finance, customer, internal processes, learning and growth) followed by agreement upon a "selection of measures", resulting "in an interesting twist" whereby the selection of the measures became "somewhat less consequential". Since when agreement existed about the objective to be achieved, even if the initial measurement of the objective

turned out to be less than perfect, the executives could “easily modify the measurements for subsequent periods, without having to redo the discussion about strategy. The objectives would likely remaining the same even as the measurements of the objectives evolved with experiences and new data sources” (Kaplan & Norton 2004b, pxii).

Returning to the earlier comments about management practices not yet having achieved the required level of maturity to manage intangibles well, the Brookings Institution report into intangibles describes the current situation as a ‘chicken and egg’ situation where better data is required to understand changes in the New Economy related to intangible assets, whilst at the same time the business models for collecting this data are lacking; “to develop better business models and frameworks, one needs better data” (Blair & Wallman 2001, p59).

So, the development of emerging forms of successful management will continue to be reliant upon ongoing work by researchers and business managers, to develop, implement and disclose methods for the visualisation, measurement and management of intangibles within companies (Garcia-Ayuso 2003, p602). Options for doing so include waiting for direction from senior management, or alternatively people other than senior management can start right now to “contribute to the understanding and management of the intangibles, that increasingly will determine the organisation's future” (Low & Kalafut 2002, p226).

## **2.9 References to Intangibles in Project Management Bodies of Knowledge (PMBOKs)**

A search for references to ‘intangible/s’ in the two key guides to the body of project management knowledge – A Guide to the Project Management Body of Knowledge published by the Project Management Institute (2004) (PMI PMBOK) and the Project Management Body of Knowledge published by the Association for Project Management (2000) (APM PMBOK), yielded the following results.

Using a basic word search for ‘intangible’, the author found that the PMI PMBOK includes the following single reference in section 4.4 Direct and Manage Project Execution, “Although the product, services or results of the project are frequently in the form of tangible deliverables such as buildings, roads etc., intangible deliverables such as training can also be provided” (Project Management Institute 2004, p91). There is no entry in the PMI Glossary for ‘intangible’. There is no reference to ‘intangible’ in either the APM PMBOK, or the online APM Glossary (<http://www.apm.org.uk/resources>).

When considering the combination of the PMI PMBOK and APM PMBOK providing the current definition of the project management body of knowledge, neither reflects the

importance of intangibles to the organisational context of projects. A considerable shortfall, especially given that the PMI PMBOK was published in 2004.

## ***2.10 Benefits Management***

### ***2.10.1 The Benefits Management Process***

Benefits management comprises the definition of process/es and performance measures (Simon 2003, p59) which ensure the expected benefits of a business change (e.g. project or program) are identified, optimised, tracked and achieved (Kippenberger 2000,p28). However, there is no one-size-fits-all approach to developing a benefits management strategy because “each organisation is unique at a micro-level, but there are several high level steps that are similar” (Simon 2003, p60).

Table 2-2 summarises and compares the high level steps of five benefits management approaches :

Table 2-2 - A summary comparison of Five Benefits Management and Realisation Approaches

<b>Step</b>	<b>UK Office of Government Commerce (OGC)</b> (Office of Government Commerce 2004)	<b>Ashurst and Doherty</b> (Ashurst and Doherty 2003, p2)	<b>Bennington &amp; Baccarini</b> (Bennington and Baccarini 2004, p21-22)	<b>Cranfield Process Model of Benefits Management</b> (as cited in Lin 2002 and Ward, Murray and David 2004)	<b>Active Benefits Realisation Model</b> (Remenyi and Sherwood-Smith 1998 and as cited in Lin 2002)
<b>Pre-Planning</b>	Identify strategic outcomes and contributions to wider initiatives such as the organisation's balanced scorecard.		Benefits Identification – the identification and documentation of benefits “that will be most relevant to decision-makers”		
<b>Planning</b>	Initial planning for how the benefits will be managed. Benefits identification and structuring. Choosing the solution option that delivers the optimal mix of benefits.	Benefits planning conducted in parallel with, or as part of business case preparation activities. From a project perspective, this step involves describing how project related benefits align with the prevailing business unit and corporate strategies and change programs	Benefits Realisation Planning – defining each benefit “in terms that can be measured” (Ward, Murray & David 2004, p18) From a project perspective, this step occurs prior to project approval;	“Identify and structure the “overall business benefit set” (Ward, Murray & David 2004, p18) comprising each benefit (and disbenefit) along with its agreed financial and non-financial (Lin 2002, p55-56) business measures, benefits delivery responsibilities and realisation schedule. Produce the benefits realisation plan that is an input into the overall project investment decision; ensuring that a project remains “business-owned and business-led” (Ward, Murray & David 2004, p46).	Setting the Course – document descriptions of “the context, the required benefits” and the metrics that will be used to “monitor and control benefits realisation” (Lin 2002, p55-56) - inputs to the process for deciding whether or not to proceed with a project (Ward, Murray & David 2004, p39).
<b>Execution</b>	Benefits realisation and tracking according to set measures and targets.	Benefits Delivery - actioning the benefits plan to realise expected project benefits. From a project perspective this step runs in parallel with the project lifecycle from project initiation through to project completion.		Executing the benefits realisation plan in parallel with the main project plan to ensure that actual benefits “emerge as planned” (Lin 2002, p55-56).	Formative evaluation - by all stakeholders assessing the progress of the project with the expectation that the initial approach will be updated, reformed or the project terminated (if deemed irrelevant) (Lin 2002, p56).
<b>Review</b>	Reviewing and maximising expected and unexpected benefits.		Benefits Monitoring – monitoring project results to assess “if internal and external changes have occurred that will affect the delivery of planned benefits”	Evaluating and reviewing benefits realisation results after the ‘main’ project has been implemented	
<b>Future Benefits/ Process Improvement</b>	Identifying future benefit opportunities	Benefits Review assesses the delivery of expected benefits and the potential for realising additional or future benefits along with reflecting upon lessons learned and the potential for continuous improvement of the benefits realisation process	Benefits realisation – formal review of expected and actual benefits shortly after project completion and again “some time” later;	Identify future benefits that were not identified earlier in the process (a step that may be performed at any time during the overall process)	Moving forward - a feedback loop that operates “throughout the entire life of the project (Lin 2002, p56).

From Table 2-2 it is evident that all approaches share the common characteristic of comprising a number of steps, with the number and scope of individual steps varying between approaches. Also, most of the five approaches comprise a cycle of Plan-Do-Check-Act (PDCA). In addition, ‘at a glance’, Figure 2-15 and Figure 2-16 depicting the Office of Government Commerce approach and the Cranfield Process Model respectively, seem quite similar.

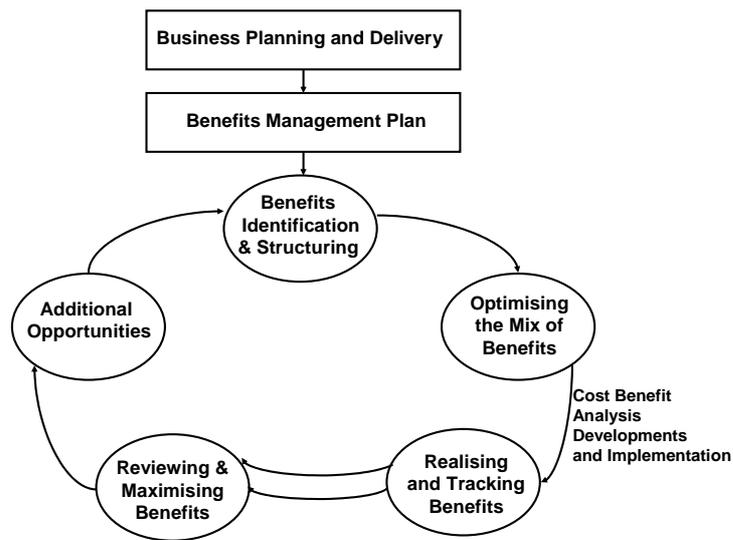


Figure 2-15- Key benefits management activities (Office of Government Commerce 2004)

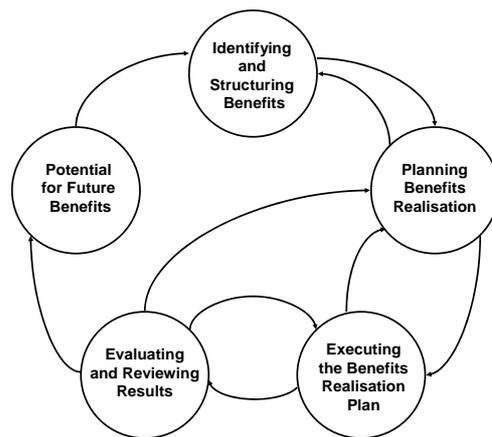


Figure 2-16 - The Cranfield Process Model of Benefits Management (Ward and Griffiths quoted in Lin 2002, p54)

### 2.10.2 Benefits and Outcomes

Benefits and outcomes are often confused with each other (Ward, Murray & David 2004, p8). Whilst connected they are different. For example, if an outcome of an IS/IT project is that personnel are able to do their work more quickly, freeing up time, then the ensuing

benefit is “what is actually done with the time that is freed up, since clearly if managers do not find ways to utilise the time released then no benefit will materialise” (Ward, Murray & David 2004, p8). “Only with the conscious intervention of managers” will an outcome yield business benefits (Ward, Murray & David 2004, p8); with the benefit only be able to be realised as a result of an “observable outcome” – “the outcome is needed for the benefit to be realised” (Ward, Murray & David 2004, p54) Following on from this, Simon recommends that the re-investment of expected benefits also be considered at the start of a project (Simon 2003, p59).

Outcomes are not always expected and positive, they may also be negative and/or unexpected (Ward, Murray & David 2004, p15), with the combination of these two factors potentially leading to disbenefits. Therefore, responsible managers need to consider outcomes in terms of them being expected or unexpected, positive or negative. It can be assumed that expected-negative outcomes (and associated disbenefits) exist in all situations except the most simple (Ward, Murray & David 2004, p15). When considering expected-negative outcomes managers need to agree that “they are a price worth paying to obtain the positive benefits” (Ward, Murray & David 2004, p15). Risks associated with unexpected-negative outcomes can be mitigated “by employing risk assessment techniques and the learning from earlier projects or earlier phases of the same project” (Ward, Murray & David 2004, p15).

### ***2.10.3 Benefits Management Models***

Reiss (2003), Ward et al (Ward & Elvin 1999; Ward, Murray & David 2004) and Cooke-Davies (2000) have each defined models that depict the context surrounding the delivery of benefits by projects. Descriptions of each of these three models follow.

#### **Reiss**

Reiss defines the scope of benefits management as “the management and monitoring of benefits during and after the project execution phase” (Reiss 2003, slide 4) and depicts the “value path” relationship between benefits and projects as a hierarchical Benefits Breakdown Structure (Figure 2-17); providing a cost efficient means of supporting the “elegant” modelling and monitoring of programmes, projects and benefits (Reiss 2003, slide 10).

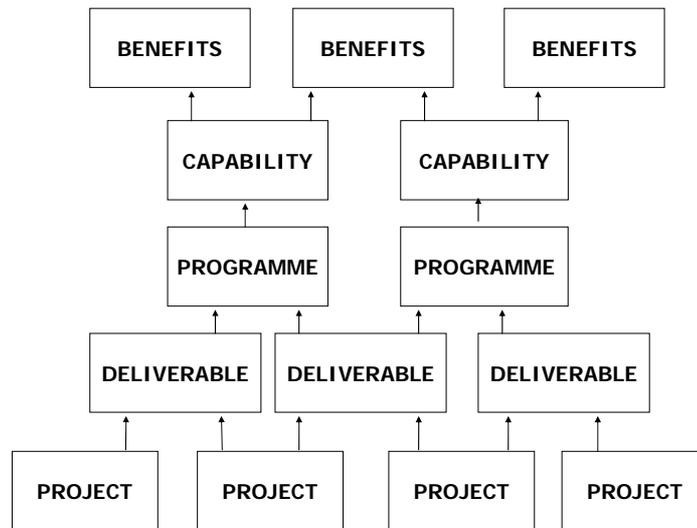


Figure 2-17 - Benefits Breakdown Hierarchy (adapted from Reiss 2003, slide 7)

The hierarchy proposed by Reiss is not a traditional hierarchy with each successive "leaf" corresponding to only a single branch. Instead a leaf may correspond to more than a single branch e.g. a project may create more than a single deliverable and also contribute to a single deliverable along with another project (Reiss 2003, slide 7); there is a "many to many relationship between deliverables and benefits" (Reiss 2000).

Reiss describes projects as creating deliverables which are combined by programmes to create capabilities to gain benefits (Reiss 2003, slide 6). From the perspective of a project, deliverables are used or operated to deliver benefits (Reiss 2000). Put simply, "Benefits are the reasons behind the initiation and execution of projects" (Reiss 2000).

Ward and Elvin

Ward and Elvin initially proposed a linear model (Figure 2-18) that has content/changes delivering outcomes that in turn achieve benefits that satisfy the intent/objectives (Ward & Elvin 1999, p202).

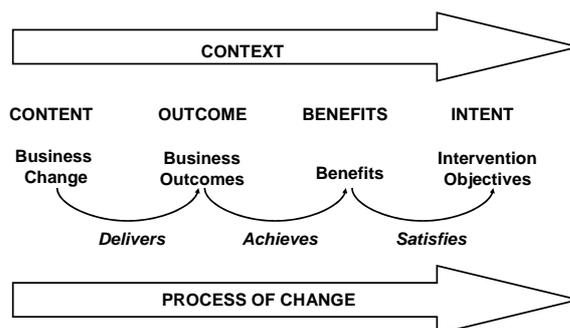


Figure 2-18 - Satisfying the Intent (adapted from Ward & Elvin 1999, p202)

They then enhanced this linear model to become a "benefits dependency network" (Figure 2-19) (Ward & Elvin 1999, p212) depicting many-to-many relationships between enabling changes, business changes, ensuing business benefits and investment objectives (Ward, Murray & David 2004, p26).

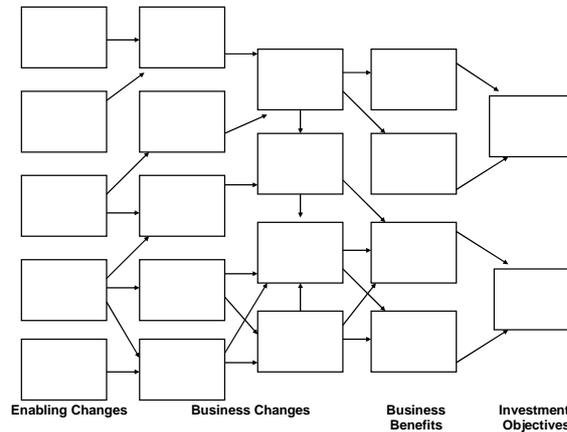


Figure 2-19 - Benefits Dependency Network (adapted from Ward & Elvin 1999, p212)

In both versions of Ward and Elvin's models, benefits provide a detailed description of the implied outcomes (Ward & Elvin 1999, p202, p212).

Ward et al (Ward, Murray & David 2004, p7) cite a dictionary definition of 'benefit' being "an advantage on behalf of an individual or group of individuals", meaning that "for a benefit to be realised within an organisation, a person or people must perceive and agree that they now have advantages over the previous way of working. Considering that such person/s can be considered to be stakeholders, it follows that solutions "which deliver benefits will have been designed from the stakeholders' view or vision what constitutes a benefit". Therefore, it can be argued that a stakeholder workshop provides a means of developing a benefits dependency network (Ward & Elvin 1999,p212). A method supported by Bennington and Baccharini who describe "The literature (as) strongly support(ing) interviews and workshops with stakeholders as a technique of identifying project benefits" (Bennington & Baccharini 2004, p24).

In addition to the benefits dependency network depicting many to many relationships, Ward et al also concur with Reiss's description of capability driving benefits, describing the delivery of expected IS/IT investment benefits as being dependent upon "an appreciation of the capability that is being enabled [...] to put the new way of working into practice and then drive out the benefits" (Ward, Murray & David 2004, p7). Within the context of the Benefits Dependency Network diagram, business changes enable organisational capabilities.

In contrast, Kippenberger describes benefits management being focussed on the achievement of benefits rather than the delivery of capability (Kippenberger 2000,p28).

### Cooke-Davies

Cooke-Davies uses the diagram included as Figure 2-20 to illustrate how project management and operations/line management need to “work together to ensure that the organisation receives the benefits that are expected from any project” (Cooke-Davies 2000, p221-222).

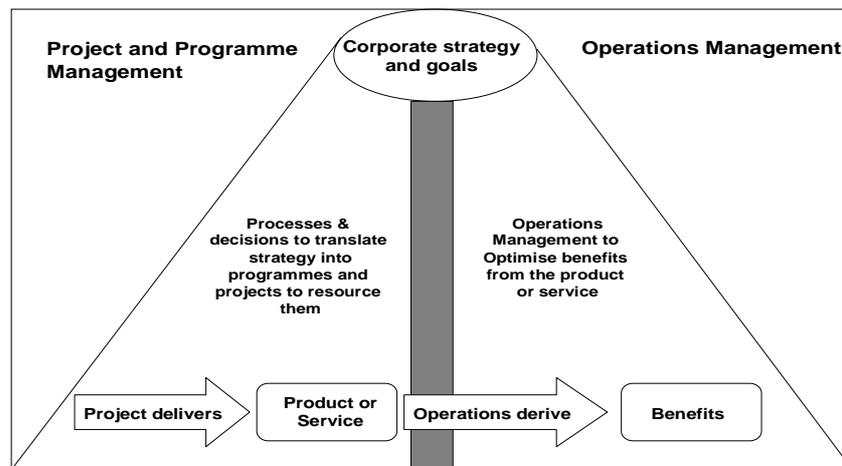


Figure 2-20 - Benefits management and the relationship between projects and operations (Cooke-Davies, 2000, p221)

Accepting that operations/line management is responsible for deriving benefits from project deliverables, it is important for project managers to ensure that operations/line management stakeholders are engaged and share the common understanding that they are responsible for planning and managing the work required to derive the anticipated benefits from project deliverables; work that potentially involves a larger community of stakeholders over a longer period of time, well after the project has been completed (Cooke-Davies 2004, p108).

Cooke-Davies’s depiction of products and services (project deliverables) transitioning from project/programme management to operations management is a view supported by the UK Office of Government Commerce which describes programme and project teams being involved in projects to deliver business change, and business users and managers being responsible for managing and realising benefits (Office of Government Commerce 2004). Similarly for IT projects, Bennington and Baccharini consider there to be a need for formal project benefits management “from project inception through the project lifecycle and post-

project until the benefits of the IT project have been fully realised” (Bennington & Baccharini 2004, p28).

Despite the apparent simplicity of Cooke-Davies’s transition-based model, Lin’s survey of the IS/IT managers of Australia’s largest 500 organisation that generated 69 “representative” responses determined that “line/department managers and senior management” were identified as being “primarily responsible” for ensuring the delivery of benefits (Lin 2002, p139-140). However, “while there appeared to be a clear understanding of who was responsible for realising business benefits, in many cases there was no specific responsibility allocated for the responsible managers to take the required action” (Lin 2002, p146).

In terms of putting his model into practice, Cooke-Davies proposes that the following three principles “underpin any effective benefits management system” (Cooke-Davies 2001, p1) :

- Principle 1 - “Create project governance structures that involve both the project and the functional line organisation;
- Principle 2 - Drive all governance decisions about the project through the business case;
- Principle 3 - Redefine project management methods and frameworks so as to make benefits management an integral part”.

In terms of the first principle, governance is defined as the “layer of control over the project that is exercised by, or on behalf of the people who are paying for the project” (Cooke-Davies 2001, p1). According to Cooke-Davies, achievement of this principle is dependent on the three practices of (Cooke-Davies 2001, p2) :

1. Nurturing a culture of cooperation between line management and the project organisation;
2. Assigning clear responsibilities for delivering expected project benefits;
3. Involving all relevant stakeholders in the development of a project benefits delivery plan.

Each of these practices is also endorsed by other authors. The combination of the first two practices of cooperation between the line and project organisations along with clearly defined responsibilities is endorsed by Fujitsu, the international technology systems and services organisation which describes the implementation of their benefits realisation process being dependent upon a number of prerequisites, including client organisations

having clearly identified “business sponsors with active, continuous ownership of investment programs” and the proactive management of change to “give people ownership stakes in programs” (Fujitsu 2005, p1). The third practice of involving all relevant stakeholders is supported by Ward et al who encourage benefits management to start on “the first day of the project” and for all “known and potential stakeholders” to be involved from early on, in determining project benefits (Ward, Murray & David 2004, p54).

In terms of the second principle (to drive all governance decisions about the project through the business case), Cooke-Davies suggests that the business case “lies at the heart of benefits management” (Cooke-Davies 2000, p79) and as such should be used to “link project deliverables to corporate strategy through understanding and quantifying the benefits that the project is intended to contribute” (Cooke-Davies 2001, p2). And that when this is well done, “the precise timing of the flow of benefits can be predicted from the project or programme schedule” (Cooke-Davies 2001, p2-3). Reliance upon the business case is supported by the UK Office for Government Commerce which describes the practice of benefits management as addressing the benefits "half" of the cost/benefit analysis included in a business case (Office of Government Commerce 2004). In addition, according to Foti, “more often than not, firms are turning to project management professionals to support business case development, monitoring and benefits realisation” (Foti 2003, p43).

Additional advice regarding business cases is available from a number of sources. Of special interest to the author are those that describe why and how a business case can be used to ensure the alignment of a project with corporate strategy and how it should address both tangibles and intangibles.

Business cases represent a key element of the business management/project management interface (Morris & Jamieson 2004, p87), so it is important to ensure this part of the interface is clearly defined. One way of doing so is to include a chapter headed Alignment in the business case, with the purpose of “summaris(ing) how the project aligns with the specific and published goals and strategies of primary stakeholders, especially organisations approving funding” (McLaughlin 2003, p332). By doing so, it will also “put you on the right side of the board” (Jones cited in Whittle 2004).

Since one of the worst mistakes a business case author can make is to “fail to articulate both tangible and intangible benefits” (Foti 2003, p42) business cases authors need to overcome their “unjustified fear of measuring what are considered intangible benefits” (Keen 2003a, p20) by recognising that

- the broader macroeconomic environment considers intangibles to represent a significant part of a business's worth (Keen 2003a, p20);
- “many things in our economic life” are considered “both highly valuable and quite intangible” e.g. the Coca-Cola logo (Keen 2003a, p22);
- senior managers are skilled in making decisions in the face of less than factual (for example, intangible) information” (Keen 2003a, p22);
- top management is “used to listening to – and funding – projects that don't necessarily have 100 percent payoff” (Feldman 2003);
- “nonquantified benefits” are a “part of every management decision” (Keen 2003b, p26).

Therefore, claims to the contrary that business decisions are made “solely on the facts” can be considered to be expressions of hope, and not reality (Keen 2003a, p20). So, business case authors need to demonstrate “a more astute handling of intangibles “ since “those goals that can't be easily measured in dollar terms – can provide a big boost” to a business case (Keen 2003a, p20).

A pitfall of not addressing intangibles in a business case is that business cases “devoid of intangible analysis” lead to “projects vital to the enterprise go(ing) unfunded because intangibles can't add to the hard number ROI”; potentially undermining “critical strategic goals, such as improvement of market share and sharpening of competitive advantage” (Keen 2003a, p20). Examples of how the inclusion of intangibles contributed to business case approvals include

- Manchester United Football Club (MUFC) being convinced to launch the online video highlights service, Manchester United TV (MUTV) because of the soft benefits associated with promoting brand value on such a service (Whittle 2004);
- The construction company business case for a fleet of on-site technology trailers, which was justified on the basis of the trailers ensuring the company maintained its reputation for “exceptional on-site project management”; the company's reputation being “its key competitive differentiator” (Foti 2003, p38);
- The health care provider which maintained a smoking cessation program despite the program's “inability to recoup costs in the short run” because senior managers strongly believed in “unmeasured collateral benefits (such) as institutional

reputation, higher member retention, appeal to patients and employers, and employee pride” (Leatherman et al. 2003).

According to Cooke-Davies, achievement of his second principle (to drive all project governance decisions through the business case) is dependent on the following three practices (Cooke-Davies 2001, p2):

1. Linking project deliverables to corporate strategy by defining “which deliverable makes which benefits available” and “what needs to happen to the deliverables in order for the forecast benefits to be harvested”;
2. Conducting periodic reviews to reconfirm the alignment of the project programme/portfolio with the organisations’ “strategic priorities” and “whether or not the anticipated suite of benefits is sufficient to accomplish to organisations’ strategic goals” (Cooke-Davies 2001, p3);
3. “Conducting benefits reviews at project stage gates” (Cooke-Davies 2001, p3).

Each of these three practices is endorsed by other authors. With regard to the first practice of linking deliverables and benefits and strategy, Reiss describes projects as delivering deliverables and deliverables yielding benefits. (Reiss 2000), Turner and Cochrane define the purpose of a project as “the benefit expected from operating the project’s product after completion of the project (Turner & Cochrane 1993, p93-96) and Longman and Mullins describe “any strategy formulation worth its salt” as “ultimately distil(ling) vision into critical business issues and if the organisation is really serious, those issues then get translated into projects with discrete deliverables and backup plans” (Longman & Mullins 2004, p54). According to Kippenberger making the link between deliverables and benefits explicit highlights the role of project deliverables as a means of achieving specific benefits, rather than the deliverables being "ends" in themselves (Kippenberger 2000,p29).

The second and third practices of conducting reviews advocated by Cooke-Davies are endorsed by the UK Office of Government Commerce which recommends that estimates of potential benefits be tracked to ensure that benefits are delivered in line with project product(s) delivery (Office of Government Commerce 2004) and the UK Central Computer and Communications Agency (CCTA) which recommends that programme benefits reviews be conducted regularly throughout the project and also after its completion (CCTA cited in Kippenberger 2000,p29). The need for a final “formal evaluation of whether the project achieved its stated business benefits” is also endorsed by Dixon (Dixon 2000, p38).

Additional reasons for conducting periodic reviews include alignment between the concepts of multiple assessment and concepts of continuous improvement (Wilemon 2002, p59) and the ability of periodic reviews to pickup on changing stakeholders, changing budgets, changing technology (Frame 2003, p120-121), changing stakeholder needs (Laszlo 1999, p159), changing organisational settings and business environments (Frame 2003, p120-121) and consequently changing project success factors (Pinto & Prescott 1988, p7) that may require aspects of the project to be re-planned; to ensure it continues to meet stakeholder expectations (Cicmil 1997, p393). Conducting regular reviews also satisfies the PMBOK Guide's requirement for "controlling processes" that are intended to ensure "that project objectives are met by monitoring and measuring progress regularly to identify variances from plan so that corrective action can be taken when necessary" (Project Management Institute 2000, p30) and also to gain ongoing stakeholder "buy-in" during the project (Project Management Institute 2000, p32).

In terms of the third principle (to redefine project management to include benefits management), Cooke Davies believes that benefits management needs to be integrated into existing project management practices, rather than simply "bolted on" (Cooke-Davies 2001, p3). However, there is no common agreement in the literature to Cooke-Davies's third principle. Instead the majority of sources propose that benefits management be integrated into general management practices or programme management practices. In addition, it is the author's opinion that Cooke-Davies's third principle is somewhat in conflict with his own recommendation that operations/line management is responsible for deriving benefits from project deliverables. The only comment somewhat supporting Cook-Davies third principle found during the course of the the literature review undertaken by the author, was Archibald's description of there being a "movement toward including within the PM (project management) discipline the important post-completion objective of achieving the benefits from completion of the project" (Archibald 2003a, p3), followed by Archibald's proposal that the post-completion stage be referred to as "project results integration" or "projects benefits realisation" (Archibald 2003a, p3).

Sources advocating benefits management as a general management practice describe benefits management as a "management process [...] applicable to a wide range of investments" (Ward, Murray & David 2004, p5) that is able to be integrated into management practices "throughout the business change lifecycle - from strategic business planning through to eventual disposal of the service or asset" (Office of Government Commerce 2004). Which when coordinated with other business management processes (e.g. forecasting, budgeting)

provides an organisation with the opportunity to transform itself into a high performance organisation (Simon 2003, p60). Such an integrated approach may include benefits management interacting with performance management and investment evaluation (Lin 2002, p319-320) to monitor and report the achievements of outcomes (Office of Government Commerce 2003) and also a formal evaluation methodology (Willcocks and Lester cited in Lin 2002, p321). Ward et al caution against using benefits management as a substitute for another poorly functioning process (Ward, Murray & David 2004, p54).

In terms of integrating benefits management into programme management, as depicted in Reiss's model described above, Reiss considers a programme as a beneficial mix of projects that deliver benefits (Reiss, slides 4-5), with benefits having an indirect relationship with each project, so the benefits of each project can only be derived when combined with the outcome of other projects. (Reiss 2000). Therefore Reiss recommends that a cross-programme baseline be set for monitoring the delivery of benefits (Reiss, slide 4). Programme level benefits management is also supported by Morris and Jamieson who state that "Most companies consider that program management implies the management of business benefits" (Morris & Jamieson 2004, pvii) and the UK Central Computer and Communications Agency (CCTA) that describes the aim of programme management as "the co-ordinated management of a portfolio of projects that change organisations to achieve benefits that are of strategic importance" (CCTA as cited in Kippenberger 2000,p28). The practice of programme level benefits management is supported by Standard Chartered Bank programme director Tim Carroll, who attributes the positive results of programme management at the bank in part to its "focus on benefits", where a benefits management framework was used to link "project deliverables to outcomes and to benefits" (Carroll 2003, slide 3). Again, in terms of the practice of benefits management, the results of the exploratory study conducted by Morris and Jamieson indicate that 75 per cent of organisations with some form of portfolio or program management reported benefits management being included in these management approaches (Morris 2004, p7). Amongst these 75 percent, 60 percent reported a hierarchy of objectives and strategies having been developed and deployed to the program and project level, and 45 percent to the program, project and project team level (Morris 2004, p8).

#### ***2.10.4 The Current Status Of Project Benefits Management Practice***

The concept of benefits realisation is not new (Simon 2003, p59) and neither is the awareness of the links between projects and benefits management/realisation as evidenced by a survey dating from 1990 that found the 'number one' cause of information

system/information technology (IS/IT) project failure to be “the vague statement of benefits, leading to an uncertain allocation of responsibility for managing their delivery” (Norris cited in Lin 2002, p47).

Nevertheless the *formalisation* of benefits management/realisation “is a relatively new concept, with most of the literature produced in the past decade” (Bennington & Baccarini 2004, p27). A resurgence attributed by Simon to stakeholders “requiring more justification on project expenditures and demanding measurable results from leaders in both private and public sector organisations” (Simon 2003, p59). Therefore, based on the relatively recent formalisation of benefits management and realisation it is no surprise that the term ‘benefits management’ is a relative newcomer to the project manager’s vocabulary. Many classic project management texts (e.g. Cleland and King 1983, Morris 1994, Kerzner 1998 and BS6079 (BSI 1996)) make no direct mention of the subject (Cooke-Davies 2000, p78).

A search for references to ‘benefit/s’ and related terms in the two key guides to the body of project management knowledge – A Guide to the Project Management Body of Knowledge published by the Project Management Institute (2004) (PMI PMBOK) and the Project Management Body of Knowledge published by the Association for Project Management (2000) (APM PMBOK), yielded the following results.

Using a basic word search for ‘benefit’ and related terms, the author found that the PMI PMBOK refers to ‘benefit/s’ in a small number of varying contexts, including reference in Section 1.6.1 Programs and Program Management, to program management providing “centralised coordinated management of a group of projects to achieve the program’s strategic objectives and benefits” (Project Management Institute 2004, p16). Another reference to ‘benefit’ is in Section 2.2 Project Stakeholders, within the context of “positive” project stakeholders being those that gain benefits from successful project outcomes, whereas “negative” stakeholders are those that “see negative outcomes from the project’s success” (Project Management Institute 2004, p25). ‘Benefits’ are also mentioned in the context of projects being selected according to benefits measurement processes (e.g. section 4.1.2 Develop Project Charter: Tools and Techniques p85) and in the context of the benefits of applying traditional project management processes (e.g. Section 8.1.2 Quality Planning: Tools and Techniques p185). The PMI PMBOK Glossary does not include a definition for benefit, nor are there any references in the PMI PMBOK or its Glossary to ‘benefit/s management’. Therefore, within the larger context of benefits management literature, the references in the PMI PMBOK can be considered little more than a combination of high

level and abstract references to benefits and benefits management, relying upon readers to 'connect the dots' to develop an understanding of how benefits relate to project outcomes and outputs.

With reference to the APM PMBOK the word search for 'benefit/s' found the word used in a variety of contexts, with the three references to benefits of most relevance to this dissertation being those included in section 22 Value Management, section 50 Business Case and section 64 Hand-Over. The value management reference to 'benefits' is in the context of how value could be measured i.e. costs vs. benefits (Dixon 2000, p21), the mention related to the business case is that "Upon completion of the project there should be a formal evaluation of whether the project achieved its stated business benefits" (Dixon 2000, p38) and the reference related to project handover is that "There should be a review of the original case (Benefits Assessment) at this time, and/or in the next phase Post Project Evaluation" (Dixon 2000, p46). In contrast to the APM PMBOK published in 2000, the online APM Glossary (<http://www.apm.org.uk/resources/b.htm> updated on 29 June 2003) includes the following entries for 'Benefits' - "The enhanced efficiency, economy and effectiveness of future business or other operations to be delivered by a project or programme", Benefits Framework - "An outline of the expected benefits of the project or programme, the business operations affected and current and target performance measures", Benefits Management - "the process for planning, managing, delivering and measuring the project or programme benefits" and Benefits Management Plan - "Specifies who is responsible for achieving the benefits set out in the benefit profiles and how achievement of the benefits is to be measured, managed and monitored". These entries provide a clear indication that the APM is further ahead than PMI in its consideration of the relevance of benefits' and benefits management to projects and project management. Therefore it might be expected that the next version of the APM PMBOK will include more references to benefits and benefits management, bringing the APM PMBOK more in line with the broader benefits management body of literature.

When considering the combination of the PMI PMBOK and APM PMBOK providing the current definition of the project management body of knowledge, they can both be considered to be lacking in their references to benefits and benefits management, especially when considering the current version of the PMI PMBOK was published in 2004.

In addition to the author's simple word searches, other recent literature reviews have confirmed "relatively little explicit coverage of the content, process and impact of benefits

realisation management”, highlighting a need for further studies (Ashurst & Doherty 2003, p5). A situation Cooke-Davies accredits to the subject of “benefits” having been subsumed in the general discussion about “project purpose” or “project goals” (Cooke-Davies 2002, p187).

Benefits management studies conducted to date indicate that project managers continue to focus on managing deliverables and efficiency benefits rather than on effectiveness benefits related to the actual use of project deliverables (Bennington & Baccharini 2004, p27). So, despite CEOs now “want(ing) to know when they will get the benefits and the forecast level of benefit, rather than when the project will be complete and at what cost” (Harpham cited in Archibald 2003a, p3) and stakeholders in general basing their formal and informal assessments of project success on their perceptions of “anticipated benefits” being realised (Cooke-Davies 2004, p107-108) the necessary processes and systems “are still being developed and are still far from maturity” (Harpham cited in Archibald 2003a, p3) and therefore there is relatively little formal implementation of project benefits management. Resulting in “a very significant gap between the best practice framework and the practice of benefits realisation management (Ashurst & Doherty 2003, p7) which means “there is significant room for improvement in the formal effective application of project benefits management” (Bennington & Baccharini 2004, p20, p27). However, before improvements can be introduced, existing perceptions of Benefits Management may first need to be corrected, with most respondents to Lin’s survey of the IS/IT managers of Australia’s largest 500 organisations (that generated 69 “representative” responses) claiming “that both formal IS/IT investment evaluation and benefits realisation methodologies were used, when, in fact, they were either non-existent or informally deployed” (Lin 2002, p152). Findings such as these indicate that people may think they are applying sound benefits management practices, when in fact they actually are not. Cooke-Davies findings support this argument, with him reporting that one third of large national or global organisations committed to project management excellence have a high score for a benefits management ‘approach’, but a low score for ‘deployment’ (Cooke-Davies 2001, p3). Whilst people may be thinking about benefits management and how to apply it, they are not ‘carrying through’ their thinking to actual practice with only one in twenty (5%) large national or global organisations committed to project management excellence achieving high survey scores for both the ‘approach’ and the ‘deployment’ of benefits management practices (Cooke-Davies 2001, p1) and “only 25% of (surveyed) organisations regularly review(ing) the benefits delivered at the end of (IT systems) development (projects) imply(ing) that active benefits management is not

encouraged in the majority of organisations" (Ward & Elvin 1999,p198). A situation that may be partially driven by organisations and projects continuing to apply the traditional measures of project success, (on-time and on-budget delivery) rather than broadening their focus to include consideration of benefits delivery or business change (Ashurst & Doherty 2003, p7).

Therefore, it can be suggested that practitioners take two key forms of action. Firstly to examine benefits management theory and literature more closely with a view to closing the 'best practice gap' (Ashurst & Doherty 2003, p8). And secondly to take a more realistic view of what they are actually doing about both planning and implementing project benefits management.

#### ***2.10.5 Benefits Management Planning deliverables***

The body of benefits management literature suggests a number of means of documenting expected benefits including the five approaches summarised in Table 2-3 - A summary comparison of Five Benefits Planning deliverables.

Review of this table indicates that benefits planning deliverables can describe a number of different aspects of benefits, with no one of the sample five benefits planning deliverables providing full coverage of the collective aspects. In addition, it is clear none of the planning deliverables include a reference to outcomes, which benefits are dependent upon, nor the links identified above between deliverables, outcomes and benefits.

Table 2-3 - A summary comparison of Five Benefits Planning deliverables

<b>Aspect</b>	<b>Active Benefits Realisation Business Picture</b> (Remenyi & Sherwood-Smith 1998, p86-91)	<b>Ward and Elvin</b> (Ward and Elvin 1999, p211-212)	<b>Benefits Delivery Plan</b> (Bennington & Baccarini 2004, p21-22) :	<b>Reiss</b> (Reiss)	<b>UK Central Computer and Communications Agency</b> (CCTA as cited in Kippenberger 2000,p28)
<b>Business Context</b>	Primary business problem or opportunity				
<b>Options</b>	Solution alternatives				
<b>Selected Option</b>	Rationale Chosen solution				
<b>Description</b>	Outcome definition			Definition statement Type e.g. Internal/external	A description
<b>Owner</b>	Stakeholders Solution champion	Who is responsible for the delivery ?		Owner (beneficiary)	
<b>Beneficiary</b>	Stakeholder-benefits matrix	Who will benefit ?	Who in the organisation will be receiving the benefit ?	Owner (beneficiary)	
<b>Pre-requisites</b>	Critical success factors Critical success factor-benefits matrix	Enabling changes Business changes	Action required by stakeholders to ensure delivery of the benefits	Impact upon current processes	
<b>Interdependencies</b>				Links to projects	Interaction with other benefits Dependency on success of other projects in the programme
<b>Metrics</b>	Specific benefits and metrics			Impact on balanced scorecard perspectives	Means of measurement
<b>Where</b>	Where the benefits will occur ?		Where in the organisation is the benefit expected to occur ?		
<b>When</b>			When will the benefits be realised ?		When the benefit is likely to be realised.
<b>Project Deliverables</b>			How are the benefits linked to the project output ?		
<b>Risks</b>	Risk assessment Major risks-benefits matrix			Risk estimates e.g. Impact on cost, schedule, delivery	
<b>Financials</b>				Cost/income over time if the changes required to deliver the benefit are/are not made	Financial valuation (where possible)

## **2.11 Summary**

This chapter described the author's review of literature related to the following major topics :

- Definitions;
- Intangibles;
- Project Management Bodies of Knowledge (BOKs);
- PRINCE2 Project Management Methodology;
- Strategy Development & Implementation via Projects;
- Public Sector Environment and Frameworks;
- Benefits Management.

The following relevant themes emerged from the literature review :

- Whilst project management and general management are currently interdependent, it is predicted that they will become integrated over time;
- The interdependence of general management and project management is not reflected in the body of project management literature;
- Whilst there is no universal framework for classifying project types, two recognised models exist; one model classifying projects by how well project goals and methods are defined and another model classifying projects according to the four dimensions of novelty, complexity, technological uncertainty and pace;
- The current versions of Project Management Bodies of Knowledge (BOKs) provide project managers and stakeholders with either no, or few (often confusing) references to the topics of strategy/strategic, outcomes and outputs, intangibles and benefits;
- An organisation's strategy can be defined in a number of different ways, including as a hierarchy of outcomes and outputs;
- Outcomes have the potential to deliver benefits;
- The relationship between an organisation's strategy, corresponding projects, project outputs and benefits can be defined as a hierarchy;
- To be effective in the public sector, private sector strategic and business management models need to be adapted to address factors particular to the public sector environment, such as, the definition of citizens as customers, the resource implications of increased demands for public services, the role of political influence and the complex stakeholder environment;

- The Australian federal and Victoria state governments have both defined government outcomes being delivered by outputs and the activities required to generate them;
- Projects are operating in an increasingly complex environment that paradoxically requires project management methods which are less/not complex;
- Project success planning should be integrated with an organisation's strategic thinking and management to ensure alignment with over-arching business goals;
- Project stakeholders may define project success in different ways and in different ways at different times during and after a project;
- Project success planning needs to include project stakeholders in the definition of project success at the start of a project and again at agreed project milestones;
- Project business cases are a key element of the business management/project management interface and should be used to link project deliverables to corporate strategy, expected benefits and the work required to reap the benefits.
- Project business cases should describe both tangible and intangible expected benefits;
- Intangibles are strategically important because they provide a means of ensuring an organisation's prosperity and longevity;
- Ongoing successful management is dependent upon the ongoing development of methods to develop, implement and disclose methods for the visualisation, measurement and management of intangibles;
- Benefits management models include hierarchical/network relationships between projects, project outputs (deliverables) and ensuing benefits;
- The management of project benefits needs to be better understood and practiced.

With organisations placing increased strategic importance upon intangibles, it can be expected that the importance of intangibles will cascade from an organisation's strategy through to its projects, in terms of both outcomes and outputs, with delivery of an organisation's strategy and its expected benefits being partially dependent upon project stakeholders developing a consistent understanding and means of *defining and aligning intangible project outcomes with project outputs*.

Based on the literature review undertaken by the author no such method currently exists.

In addition, such a method would need to take into account different project types, increasingly complex project environments, the importance of involving project stakeholders

in the project planning process and the definition (and periodic redefinition) of project success criteria including that which applies to the project's intangible outcomes.

The following chapter will describe the research methodology applied by the author to address the need for a method that will *improve the way in which project stakeholders define and align intangible project outcomes, with project outputs.*

### **3 Methodology**

#### **3.1 Introduction**

The previous chapter described how the author's literature review indicated that there was a need for a method to define and align intangible project outcomes with tangible project outputs. This chapter describes the research methodology applied by the author to address this need.

This Introduction is followed by the following five (5) sub-sections :

Section 3.2 describes how the DPM research requirements influenced the qualitative research strategy.

Section 3.3 introduces the research strategy options considered by the author when planning the research study described by this dissertation. Complete details of the research options considered are included as Appendix 1 – Research Methodology – Research Strategy Options.

Section 3.4 describes the selected research strategy in terms of the research paradigm, approach, methodology and data collection methods, followed by a description of the researcher's role, the ethical context of the research and an assessment of research quality.

Section 3.5 provides an introduction to the series of five (5) action research cycles described in detail in Chapters 4 and 5.

Section 3.6 provides a summary of the prior sections.

#### **3.2 Qualitative Research**

Taking a 'top down' view to developing a research strategy, an early decision to be made is whether to follow a predominantly qualitative or quantitative path, because "generally, research can be divided into two broad methods – quantitative and qualitative" (Cavana 2001, p12). In principle, little is forsaken by taking either a qualitative or quantitative approach because at the highest level, quantitative and qualitative research share the common goal of understanding available evidence sufficiently well to be able to explain it in terms of a theory (Gillham 2000, p12) that describes the observable world (Locke 2001, p8).

With DPM research intended to discover new approaches to the practice of project management, by paying particular attention to the interaction between project managers and project stakeholders (Graduate School of Business 2004, p2), it can be inferred that qualitative research provides a means of getting close to project manager/project stakeholder interactions. This is not to dismiss quantitative research as a means of also doing so, merely to describe a qualitative research as being the best suited of the two, to

address the DPM research requirements. Nor does the decision to take a qualitative research approach need to be explained or apologised for in terms commonly applied to quantitative research, since qualitative research “represents a legitimate mode of social and human science exploration” (Creswell 1998, p9) that is applicable to management and in this instance, to project management research. In addition, deciding upon qualitative research as the preferred approach does not mean that quantitative research is being totally dismissed. It need not be an ‘either/or’ decision. If need be, depending on the evolving direction of the research, there may be ‘room’ to also include quantitative research. The research types are complementary (Hyde 2000, p83; Parker 2004, p173) and can “both lead to valid research findings in and of their own right. Neither approach need rely on the other as its source of respectability” (Hyde 2000, p83). Qualitative research “has its own purposes and contribution to make to our stock of knowledge” (Parker 2004, p173).

Also, the combination of a researcher being expected to ‘get close’ to their nominated research situation along with the resource constraints of an individual conducting doctoral research infers that the researcher will investigate a relatively small number of research situations in detail, rather than taking a ‘broad brush’ approach. This inference once again aligns with qualitative research which “describes the particular” in contrast to quantitative research which describes ‘the general picture’ (Creswell 1998, p15-16; Hyde 2000, p84).

In addition to the DPM research requirements, the author considers that the open-ended single problem (Creswell 1998, p21) ‘how’ research question posed by this dissertation relies upon a predominantly qualitative approach because :

- Variables cannot be easily identified, nor are theories available to explain behaviour of participants (Creswell 1998, p17);
- The researcher is to act as a data collection instrument (Shaw 1999, p68), making personal contact with project stakeholders in their uncontrolled (Gillham 2000, p11) and uncontrived (Creswell 1998, p17) real-life contextual setting (Cavana 2001, p34);
- Project stakeholders will be asked to provide detailed descriptions of ‘what is going on’, so that the researcher can use this information as a basis of analysis and reflection (Stake 2003, p150) with the potential to discover patterns (Cavana 2001, p135) and develop an understanding of the research situation (Cavana 2001, p170; Creswell 1998, p15).

In taking the qualitative path to research the open-ended (project) management research question, the researcher needs to be prepared for the research experience to be uncertain and emergent and “just as complex as management itself” (Carter 1999, p1). Therefore, in order to define the most effective and efficient research strategy (Martinsuo 2001, p541), the researcher needs to understand the research options available to them.

### 3.3 Research Options

When defining a research strategy, researchers have a wide variety of research options to choose from, none of which are necessarily mutually exclusive.

Combinations of research options are valid, as long as they can be sufficiently well justified.

Confirmation of the author’s understanding and consideration of key available qualitative research options as depicted in Figure 3-1, is available by referring to Appendix 1, which comprises an overview of the research paradigms, approaches, methodologies and data collection methods considered by the author when planning the research strategy for the research study described by this dissertation.

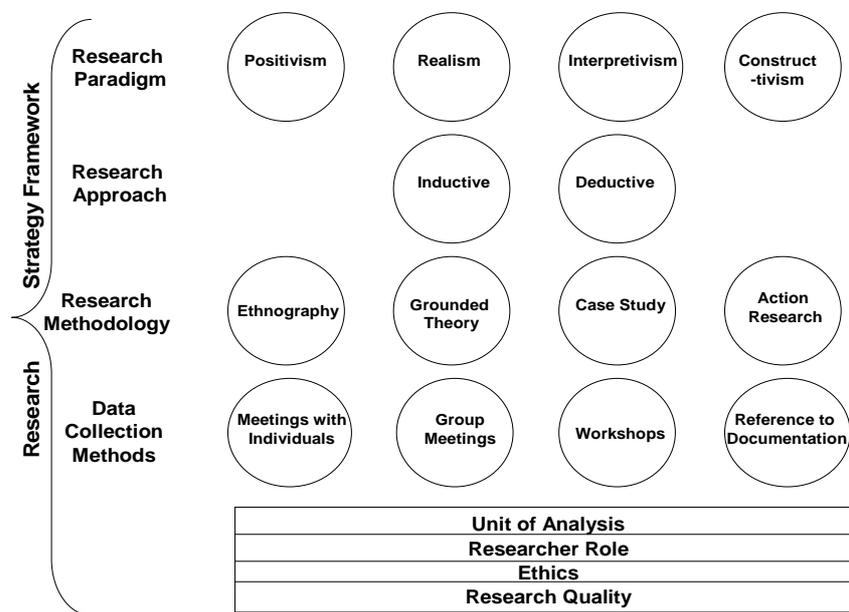


Figure 3-1 - Qualitative Research Strategy Framework – Some Options

### 3.4 The Research Strategy

#### 3.4.1 Rationale

Having reviewed the available qualitative research options (as per Appendix 1 – Research Methodology – Research Strategy Options), the researcher needs to define a research strategy that will ‘work for them’ and address the research question (Easterby-Smith et al as

cited in Saunders 2003, p88). Remembering that for the purposes of a professional doctorate dissertation the planned research will need to apply objective methods and procedures to create scientifically obtained knowledge (Welman 2002, p2) that make a difference in the context of the researcher’s professional workplace (University of South Australia 2004, p1).

In summary, the top-down description of the research strategy for the research study described in this dissertation follows the realist paradigm by using a combined inductive/deductive approach to implementing the action research methodology by collecting data through a combination of individual and group meetings and group workshops, starting with one or more exploratory studies. The unit of analysis will be a diverse group of project stakeholders preselected by the research client.

Key elements of this research strategy are highlighted in the following version of the research strategy framework introduced in the previous Research Options section (Figure 3-2).

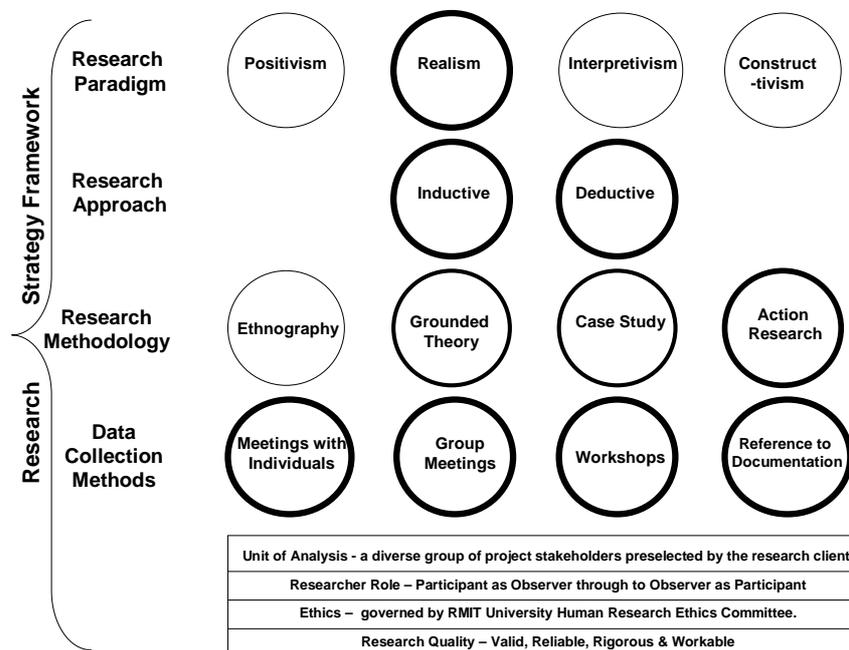


Figure 3-2 - Key Elements of the Research Strategy of this Research Study

The remainder of this section will describe the rationale for deciding upon this particular research strategy.

The process of defining a research strategy can be described as the construction of a “researching system” (McClintock and Ison quoted in McClintock, Ison & Armson 2003, p727), that provides a complete, high level description of how the research questions will be

answered (Saunders 2003, p379); linking the research question to the research paradigm, research approach, research methodology and data collection method/s. In general, every empirical study has an implicit or explicit research design (Yin 1994, p18). Therefore it is the purpose of this section of the dissertation to articulate the explicit research strategy designed to address the research question of *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?*

The initial step in determining the research strategy was to allow form to follow function, by considering how the research questions could be addressed and then deciding how it could best be done (Dick 2002a, p160), heeding the advice that the primary basis for selecting a strategy should be its fit with the research objectives and questions (Saunders 2003, p91). Continuing from the perspective of developing a research strategy ‘from the top down’, a qualitative research ‘basic’ needed to be kept in mind too, that qualitative researchers should define a research strategy in general terms because a detailed plan would not provide sufficient opportunities to address issues that emerge from the field study (Creswell 1998, p18). Once drafted, the evolution of the research strategy would be closely managed through to the end of the research study (Welman 2002, p190). So, whilst taking a flexible and responsive approach, the researcher would also need to ensure that all stages of the research process were conducted in a “thorough and rigorous” manner (Collis 2003,p1).

The need for DPM research to demonstrate workplace change depends upon the researcher developing an understanding of real life workplace activity which in turn relies upon the researchers studying the operation of a real life workplace ‘in context’ (Gillham 2000, p11). Therefore the selected research strategy needed to address the dual imperatives of research and action, while being flexible enough to change in response to research/action outcomes (Sankaran 2001, p4). So a key reason for selecting action research is its ability to respond to the needs of the research study (Dick 1993, p12).

#### *3.4.1.1 Paradigm*

Working top-down through the research strategy options previously reviewed by the author, the research paradigm was the first consideration. Taking each option in turn, positivism did not seem appropriate because of its dependency on a predefined hypothesis which did not exist for this research study, which instead was based on developing a response to an open ended ‘how’ research question. Interpretivism seemed too limited because the definition of ‘what is going on’ is defined in terms of the research ‘actors’ perceptions. Application of the constructivist paradigm seemed to be dependent on a number of factors

including the researcher having an understanding of or more forms of 'social theory', being able to make repeated visits to the research site and being an equal/peer of the research participants; a combination of dependencies that the author could not fulfil.

Therefore the remaining option of the realist paradigm was selected, not only because the other paradigms were eliminated but also because the realist paradigm seemed the most suitable. The realist paradigm would allow the researcher to combine peoples' personal perspectives with a theoretical framework; a close fit with the DPM research requirement to conduct research through action. The realist paradigm would allow the author to adopt the dual roles of an 'outside researcher' and an 'inside participant' providing a balanced perspective that is generally not available when selecting one of the other distinctly singular paradigms, in which the researcher takes either one view or the other (Stiles 2003, p269). The realist paradigm would also tolerate the initial fuzziness and potential real-life complexities involved with addressing the research question (Dick 1993, p82-83).

#### *3.4.1.2 Approach*

Continuing the top-down development of the research strategy, when considering whether to take an inductive or deductive research approach, a deductive approach dependent on a predefined hypothesis was not an appropriate starting point. Instead based on the open-ended 'how' research question, induction presented the best initial means of collecting and collating data (Stiles 2003, p266) to illuminate the research situation. It was considered important to use an inductive approach to analyse the data because "the aim of the research was to generate a comprehensive understanding of the research problem", rather than force it into a deductive framework (Shaw 1999, p65). Then, following on from the inductive process, the researcher could step aside and apply deduction to "think rationally about the missing information and form conclusions based on logic" (Collis 2003, p73). With the expectation that when initial conclusions have been deduced, that the research approach would revert to an inductive approach to test the initial (tentative) theory with existing or new data. "By returning to the data, the deducted suggestions can be supported, refuted or modified" (Collis 2003, p74), with the inductively supported or modified suggestions forming the inputs to the next iteration of deduction. According to Collis, "it is this inductive/deductive approach and the constant reference to the data which helps ground the theory" (Collis 2003, p73-74).

### *3.4.1.3 Methodology*

Having considered the qualitative methodologies of ethnography, grounded theory, case study research and action research, the author determined that action research was the most suitable methodology for their research study that would focus on a small number of cases, with elements of grounded theory applied in initial exploratory cases. With the inclusion of cases and grounded theory in the larger context of action research, action research can be considered to be the “meta-methodology” (Dick 2002a, p162). The choice of action research as the dominant or meta methodology is consistent with Gummesson’s description of action research as “the most danced step” of qualitative research (Gummesson 2000, p35).

Ethnography was not considered appropriate because it lacked an ‘action’ component, so would not satisfy the DPM research requirement nor necessarily address the research question. Also, the ethnographical methodology relied on a longitudinal study that was considered to exceed the scope of a single person professional doctorate research study.

Whilst acknowledging that grounded theory has the goal of “developing theoretical elements that are useful to practitioners over situations they encounter on a daily basis” (Glaser and Strauss cited in Locke 2001, p18), this methodology was rejected as the dominant research methodology because it lacked an ‘action’ component. As described by Locke, researchers who apply grounded theory do “not share action researchers’ commitments to organisational transformation or to partnering with research subjects in the inquiry process” (Locke 2001, p18).

Despite rejecting grounded theory as the dominant research methodology, the author did expect to use elements of grounded theory in the initial exploratory action research cases. Because the research study was being approached from the perspective of “researching what social stakeholders understand to be a pressing problem” (Levin & Greenwood 2001, p105), with the author working with the evidence to generate (grounded) theory (Gillham 2000, p12).

The case study research methodology was also rejected as the dominant research methodology because it lacked the ‘action’ component. Case study research is intended for observing research situations “when the relevant behaviours cannot be manipulated” (Yin 1994, p8) so was not suitable for a research study that would attempt to improve an existing research situation. Nevertheless, aspects of case study research are relevant to the planned research study from the perspective that action research is somewhat dependent on a

researcher's observations to provide "a rich understanding of the context of the research and the processes being enacted" (Morris and Wood as cited in Saunders 2003, p93).

Action research was selected as the main research methodology, because it addresses the dual imperatives of action and research. Upon reviewing the models described in Appendix 1 – Research Methodology – Research Strategy Options, the author decided to use McKay and Marshall's dual cycle model as the action research methodology. This dual cycle model comprises the two interlinked cycles of problem solving interest and responsibilities (action/practice) and research interest and responsibilities (research/theory ) (McKay & Marshall 2001, p46, p50).

With these dual cycles able to be represented both graphically and in table-text form as per Figure 1-3 and Table 1-1 respectively.

The choice of action research was also based upon the non-prescriptive nature of the methodology which provided a 'menu of choices' allowing the researcher sufficient flexibility to respond to each iteration of research findings (Dick 1999b, p2; Welman 2002, p190).

As mentioned above in the discussion regarding the elimination of case study research as the main research methodology, a key difference between case study research and action research is that the case study researcher is an observer, whereas the action researcher is involved in simultaneously helping to organise workplace changes whilst also studying the process of doing so (Baburoglu and Ravn cited in Avison, Baskerville & Myers 2001, p28). Whilst different in terms of the researcher's level of direct involvement, action research is "similar to a case study approach" (Collis 2003, p67) in that both are open-ended research methodologies that simultaneously raise and answer questions, with action research possibly being "the most demanding and far-reaching method of doing case study research" (Gummesson 2000, p116).

Therefore the research study will benefit from the inclusion of elements of case study research as they relate to the individual cases incorporated within the context of action research. A design decision supported by a number of authors, including Stake who describes case studies as "a choice of what is to be studied" rather than a choice of methodology, proposing that the case is the focus of the research study, to be studied by the most appropriate methodology (Stake 2003, p134). Wolcott concurs with Stake, when he describes the results of his attempts to position case study research within the qualitative research framework as finding that it "fit(ted) everywhere in general and yet nowhere in

particular”, leading Wolcott to regard case studies as a “research product” for reporting qualitative descriptive work (Wolcott as cited in Locke 2001, p16). McGuire also describes a ‘case’ as an “instrument of data collection and analysis, not the method” (McGuire 1998, p45). In addition, Dick proposes that “most action research studies can be regarded as case studies” (Dick 2002a, p166) and Gummesson describes action research as a “particularly exciting method that can be adopted when working with case research” with the action researcher assuming the active role of influencing a process under study” (Gummesson 2000, p3).

The decision for the initial action research cycle/s to comprise exploratory cases is based on the apparent lack of literature linking intangible project outcomes to tangible outputs combined with the open-ended research question. This approach is consistent with advice provided by a number of authors including Cavana who describes exploratory studies being “undertaken to better comprehend the nature of the problem that has been the subject of very few studies” (Cavana 2001, p108) as does Saunders who describes exploratory studies as “particularly useful if you wish to clarify your understanding of a problem” (Saunders 2003, p96-97) and Robson who describes exploratory studies as a valuable means of finding out “‘what is happening’ to seek new insights; to ask questions and to assess phenomena in a new light” (Robson as quoted in Saunders 2003, p96). Sekaran is a little more expansive describing exploratory studies as a means of gaining an improved understanding of the research situation, exposing issues and developing parameters “for later extending the study” (Sekaran cited in Walker 2002, p3). With the studies being able to be conducted in any number of ways including “observation, open-ended questions in interviews, focus groups etc” (Sekaran cited in Walker 2002, p3).

The participative aspect of action research is considered highly relevant to the research addressed by this dissertation because action research “lends itself for use in work or community situations” (Dick 1993, p6) with the “opportunity to achieve some important practical outcomes” (Dick 2002a, p162) that are “occupationally relevant” (Dick 1993, p7). Occupationally relevant in terms of an action research project providing a very close representation of a project manager’s day to day life that relies upon direct interaction with a diverse set of project stakeholders (McClintock, Ison & Armson 2003, p721). The planning of both an action research project and a real-life project depends upon close collaboration with project stakeholders; to gain their support and agreement before taking action (Straus 2002, p2). Moving forward from the planning stage, there is a continued dependency upon collaboration for both types of projects (research and day-to-day) because

in both situations people need to work together to “plan, solve problems and/or make decision before action can be taken” (Straus 2002, p2). Keeping in mind, that it is a sign of a healthy workplace if stakeholders “voices” can be heard and their feedback incorporated into planned collaborative actions (Straus 2002, p4). In both situations (research and day-to-day projects) collaborative action can be highly rewarding and sometimes even exciting since “A well managed collaborative effort is like a chemical reaction that creates far more energy than it consumes” (Straus 2002, p3).

**3.4.1.4 Data Collection**

As mentioned above, data will be collected for a series of cases, commencing with exploratory cases. With each case bounded by time and place (Creswell 1998, p61). The author’s interaction with each case will involve a combination of semi-structured individual and group face to face meetings, with participants being both respondents (in replying to the author’s prepared questions) and informants (when volunteering additional information not directly prompted by the author’s questions). Collection of data from multiple sources at multiple times in multiple settings is typical of qualitative research (Creswell 1998, p19) and the mix of interview/meeting types and structure is fairly typical of business research (Collis 2003, p76). It is expected that face to face interviews/meetings in confidential settings (Martinsuo 2001, p546) will minimise the potential for misunderstandings on the part of either the author or research participants, since clarification can be sought by both parties ‘on the spot’ (Clark 2004, p1).

**3.4.2 The Role of the Researcher**

**3.4.2.1 Introduction**

The researcher role changed during the course of the five (5) action research cycles. When considering the following representation of participant/observer researcher roles (Figure 3-3) the researcher started off as an Observer as Participant for the initial exploratory cases changing to Participant as Observer for the latter three (3) cases.

		<i>Researcher takes part in activity</i>			
<i>Researcher's identity is revealed</i>	<b>Participant as Observer</b>	Complete Participant			
	<b>Observer as Participant</b>	Complete Observer			
		<i>Researcher observes activity</i>			
				<i>Researcher's identity is concealed</i>	

Figure 3-3 - Typology of participant observer researcher roles (Saunders 2003, p224)

According to Saunders, the role of Observer as Participant is a “spectator” role, with the researcher focusing on their researcher role (Saunders 2003, p225-226) and the role of Participant as Observer is a fieldwork relationship, where the researcher works with the research participants (Saunders 2003, p226).

The change in the balance of participation/observation during the course of a research study is consistent with Yin’s comments that participant observers can assume a number of roles within the context of case study research, depending on the level of participation and observation (Yin 1994, p87).

In the role of Observer as Participant (“observer participant”) during the first two (2) exploratory cases, the author conducted a number of individual and group meetings with semi-structured agendas. The meetings were planned by the research client’s delegate nominating and contacting relevant project stakeholders to gain their agreement to participating in the research study. Upon receiving stakeholder agreement, the author contacted each project stakeholder in turn to agree a suitable one-hour meeting time. For case 1 (the ARP Project), all of the author’s meetings were with individual project stakeholders. For case 2 (Project Resolve), the meetings comprised a mix of individual and group meetings. The decision of whether to have individual or group meetings was at the discretion of the project stakeholders – they suggested a preference for either individual or group meetings. The author started each interview/meeting by introducing the background, scope and purpose of the research study and the specific interview/meeting, followed by participants confirming their agreement to participate by signing the participant’s consent form. The remainder of the interview/meeting involved the author questioning participants about expected and unexpected intangible outcomes. During the course of each interview/meeting, the author read their notes aloud to the interview/meeting participants to gain verbal confirmation that the author’s notes were accurate and acceptable. Changes were made as requested by interviewees/meeting participants. At the close of each interview/meeting, the interview/meeting purpose was reviewed and participants’ agreement sought to the meeting purpose having been achieved. The author noted any additional comments made at this point. The author then typed up their interview/meeting notes and emailed them to the interviewee/meeting participants for review and approval. Approval was provided by reply email. The final combination of interview/meeting reports was reviewed with the research client’s delegate.

In the role of Participant as Observer (“participant observer”) during the latter (3) cases, the author participated in a number of group meetings with case project stakeholders, facilitated stakeholder workshops and individual and group review meetings.

Meetings with project stakeholders of case 3, the CYPRASS Project were initiated by the research client’s delegate nominating a relevant group of project stakeholders and inviting the author to attend their next monthly meeting to introduce the background, scope and purpose of the research study to them with the objective of gaining the stakeholders’ agreement to participating in the research study. Having received their agreement to proceed, a stakeholder workshop was scheduled to follow the next monthly meeting. The author facilitated the stakeholder workshop, starting with a review of the background, scope and purpose of the research study and gaining participants’ written consent to participate in the research study. The remainder of the workshop comprised the author applying the agreed method for defining and aligning intangible project outcomes, with reference to the list of intangibles defined by UK Government Future and Innovation Unit (Future and Innovation Unit 2001, p4). The author recorded workshop feedback on a whiteboard, pausing at regular intervals to read their notes aloud to workshop participants to gain their agreement to the notes being an accurate and acceptable record. Changes were made as requested by workshop participants. At the close of the workshop, the workshop purpose was reviewed and participants’ agreement sought to the stated purpose having been achieved. The author noted any additional comments made at this point. The author then typed up the workshop results as a series of outcome profiles, a draft risk assessment, an outcome/outputs cross-reference table and executive summary for review by the research client’s delegate. The notes were emailed to the research client’s delegate for independent review followed by a face to face meeting to discuss changes/additions required to the workshop notes. The results were then reviewed with the project stakeholders at the next convenient monthly meeting.

The process applied for case 4, the Youth Friendly Health Services project was similar to that applied for case 3, with the exception that the introductory stakeholder meeting was not required because the case 4 project stakeholders were also stakeholders of case 3, so an additional introductory meeting was redundant. Otherwise, the same process was followed as for case 3.

For case 5, the Aboriginal Community Liaison Officers Feasibility Assessment, the author dealt with the research client’s delegate, who dealt in turn with key projects stakeholders. The research client’s delegate was responsible for conducting project stakeholder

workshops which included discussion of stakeholders' expectations regarding intangible project outcomes and then collating and documenting the feedback for review by the author. The author then used the prepared notes as the basis for documenting a series of outcome profiles, a draft risk assessment, an outcome/outputs cross-reference table and an executive summary for review by the research client's delegate. The notes were emailed to the research client's delegate for independent review followed by a face to face meeting to discuss changes/additions required to the workshop notes. The results were then incorporated into the materials referenced by the feasibility assessment report.

#### *3.4.2.2 The Researcher Context*

In both researcher roles (Observer as Participant and Participant as Observer), the author was the data collection instrument. Therefore, the author was well aware of herself being included in the research context i.e. the research context including a *researcher* context (McClintock, Ison & Armson 2003, p726) comprising the author's own multiple roles of researcher, learner, practitioner, research community member, academic peer reviewer, member of professional organisations, DPM student award winner and public speaker. Since in qualitative research "the personality of the scientist is a key research instrument" (Gummesson 2000, p4), the author needed to tread a tricky path between following and denying her own personal professional biases or prejudices (McClintock, Ison & Armson 2003, p719). With the goal being to hone rather than remove the author's perspective, so that the researcher was "as equipped as possible to make a sophisticated analysis and argument about the phenomena observed" (Clark 2004, p6).

#### *3.4.2.3 The Researcher-Facilitator*

As described above, the author facilitated workshops in their role as observer participant. Since action research is heavily reliant on research participants' available time, the researcher as facilitator is an accepted part of action research. Many peoples' working time is wholly consumed by existing everyday activities, so it may be difficult for them to participate in action research as full partners. Therefore, "there is a role for researchers as facilitation-researchers; creating "opportunities for everyday research" (McClintock, Ison & Armson 2003, p721) "where understandings can emerge" (McClintock, Ison & Armson 2003, p723).

As a facilitator, the researcher is certainly a participant, albeit different from the other research participants, because a facilitator's role is to work as a "process guide" (Straus 2002, p118) to "create a structure and manage a process that allows the participants to

safely and productively explore the content” (Roth et al cited in McClintock, Ison & Armson 2003, p721). The role of a facilitator who ‘conducts research’ can be considered analogous to the researcher acting as a (musical) conductor, “releasing the potential of the orchestra members” (McClintock, Ison & Armson 2003, p722). With the role of the facilitator being to focus the participants’ energies on the most strategic issues, not to solve the problems themselves (Straus 2002, p157). Unlike the other research participants “the facilitator does not need to be an expert in the context of the issue” (Straus 2002, p71). The facilitation role has much in common with that of a project manager, both being process guides to a certain extent and not necessarily experts in the project content or context. Whilst not responsible for the project context or content, the research-facilitator is responsible for research activities (McClintock, Ison & Armson 2003, p726).

Driven by stakeholders’ combined demands for participative and transparent decision-making (McClintock, Ison & Armson 2003, p729), it can be expected that there will be increased demand for researcher-facilitators to “act as facilitators of the action and reflection within an organisation” (Coughlan & Coughlan 2002.p227) “helping stakeholder groups learn about their own learning” (Roling and Woodhill quoted in McClintock, Ison & Armson 2003, p729).

#### *3.4.2.4 Research or Consultancy ?*

A criticism of applied research (Gummesson 2000, p5) and action research in particular is that it is more a form of consultancy than research (McKay & Marshall 2001, p48-49). With critics alleging that “consultancy experience can be quite simply converted into research by dressing it up in academic guise” (Gummesson 2000, p10).

Based on the author’s experience of planning, implementing, and reporting upon the research study described in this dissertation, this is simply not true. Having been a consultant for the past twenty (20) years, the author is highly experienced in the practice of professional consulting and at no prior time have they been required to dedicate the breadth and depth of personal and professional resources and resourcefulness demanded for the submission of this dissertation. As an example, any references to methodology in the context of a consulting engagement have simply been descriptions of the methodology applied, not an academic justification of the underlying methodological theory (Coughlan & Coughlan 2002, p237). Whilst the cycles of action research bear similarities to some of the author’s consulting engagements, the action research regime required of this dissertation has been conducted in a far more systematic and rigorous manner in order to generate joint

research and practice outcomes (Kemmis & McTaggart 1992, p10). The author's consulting experience has contributed but a subset of the skills and experience required to produce this action research dissertation. Gummesson's description of the overlap between consulting and action research applies to the author's situation with the action researcher being described as "pecking" at practice and contributing to theory, whilst the consultant is described as "pecking" at theory and contributing to practice (Gummesson 2000, p10, p18).

Senge and Scharmer contrast the practices of consultants and consulting companies with that of action researchers by describing the former as unlikely to develop new capabilities within their client organisations because this would jeopardise their income base. Whereas action research is committed to joint development of the researcher and the client-practitioner (Senge & Scharmer 2001, p241).

Some of the confusion between action research and consultancy can be attributed to both roles being "external helper(s) to the client system" (Coughlan & Coughlan 2002, p227) providing a form of "consultative process help" (Schein as cited in Coughlan & Coughlan 2002, p227) where the "helpers work in a facilitative manner to help the clients inquire into their own issues and created and implement solutions" (Schein as cited in Coughlan & Coughlan 2002, p227).

Authors have proposed that the use of different terminology may assist to diffuse the confusion between action research and consultancy, with Arnold proposing that the term "scholarly consultancy" be used to describe situations where academic researchers collaborate with "other stakeholders" to identify problems that need to be solved to meet local needs with the potential of generating outcomes that might "succeed in both solving local problems and developing wider understanding" (Arnold 2004, p2). Gummesson suggests the confusion be diffused by replacing references to 'action research' with "action science" (Gummesson cited in Collis 2003, p67).

### **3.4.3 Ethics**

"Qualitative researchers are guests in the private spaces of the world. (so) Their manners should be good and their codes of ethics strict" (Stake 2003, p154).

Both the ethical design and practice of the research study described in this dissertation are governed by the RMIT (University) Human Research Ethics Committee. The author's research design proposal was approved by this committee who issued corresponding Prescribed Consent Forms (HREC Form Number 2b on university letterhead paper) to be completed and signed by each research participant. These forms define the "authentic

relationship” between the action researcher and research participant (Coughlan & Coughlan 2002, p225). The original signed paper copies of these consent forms are held on file by the author. The consent form requires each research participant to confirm their agreement to the following by signing the form :

- Having received a statement explaining the interviews involved;
- Their consent to participate in the research study that has been previously explained to them;
- Their consent to be interviewed;
- Agreement
  - “to the general purpose, methods and demands of the (research) study;
  - that they understand they are “free to withdraw from the project at any time and to withdraw any unprocessed data previously supplied”;
  - that “the project is for the purpose of research and/or teaching” and that “it may not be of direct benefit to me”;
  - that the confidentiality of the information provided “will be safeguarded”, with an opportunity to negotiate the disclosure of confidential information that needs to be disclosed for “moral, clinical or legal reasons”;
  - that assurance has been provided regarding the “security of the research data” during and after completion of the research study;
  - to copies of publications ensuing from the research being provided to a nominated representative (name to be provided by research participant).

The form also includes a comprehensive set of contact details for the Committee (mail, email, telephone and fax numbers), in the event that a participant needs to contact them with a complaint about the conduct of the research study.

The RMIT University prescribed consent form more than adequately covers the following list of ethical issues identified by Robson (Robson cited in McNiff & Whitehead 2002, p88) :

- Negotiated access with authorities, participants and supervisors;
- Assured confidentiality of information, identity and data;
- Participants’ rights to withdraw from the research.

Consistent use of the prescribed consent form also avoided any risks associated with starting an action research project based on informal consent (Avison, Baskerville & Myers 2001, p35).

As part of assuring the ethical design and conduct of the research study, the list of prerequisite criteria listed on the form ensured that the author was able to describe the purpose of the research study to prospective research clients and their representative participants (Avison, Baskerville & Myers 2001, p35; Dick 1993, p25).

Whilst research outcomes were unknown, the research project was designed with the expectation that it would do “greater good than harm” (Steane 2004, p68).

### **3.4.4 Research Quality**

#### *3.4.4.1 Defining Research Quality Requirements*

Despite Garvin describing quality as “an unusually slippery concept, easy to visualise and yet exasperatingly difficult to define” (Garvin quoted in Gummesson 2000, p157), a number of notable quality experts have provided well regarded definitions of quality. Crosby defines quality as "conformance to requirements" which is equivalent to the definition included in ISO 9000 quality procedures (Crosby, p1), Deming defines the customer’s definition of quality as being the only one that matters (Demings as cited in The Editor 2002, p1) and Juran defines quality as “fitness for use” (Juran cited in The Editor 2002, p1).

Assessing the quality of a research study according to defined requirements (per Crosby and ISO 9000) presents the issue that there is no clear definition of research quality requirements as illustrated by the table included as Appendix 2 – Research Methodology - An Overview of Research Quality Requirements that provides a summary of the author’s limited review of research quality related literature. Secondly, assessing the quality of a research study and an action research study in particular according to the customer’s definition of quality (per Demings) requires a two-fold definition of ‘customer’ - the ‘action customer’ and the ‘research customer’. Therefore if applying this definition, both customers’ requirements and expectations would need to be met. Thirdly, assessing the quality of a research study according to its fitness for purpose (per Juran) the research strategy would also need to address the purposes of both the ‘action customer’ and ‘research customer’.

Therefore, when considering these three key definitions of quality during the course of defining the research strategy for an action research study, it can be argued that the quality

requirements need to be defined from the perspective of both the ‘action customer’ and the ‘research customer’. This approach to defining and assessing the quality of an action research study is consistent with Riege’s comments that a research process can be considered to be valid and reliable if it generates “confidence in the data collected” and “most significantly, trust in the successful application and use of the results to managerial decision-making” (Riege 2003, p84).

The author’s approach to defining quality requirements and assessing the quality of their research study uses the research strategy as the basis for defining relevant quality criteria, with reference to definitions of research quality criteria drawn from their literature review. This approach is consistent with the stance taken by Schein, Eden and Huxham who describe action research as being able to “be justified within its own terms” (Schein, Eden and Huxham as cited in Coughlan & Coughlan 2002, p236) and Gummesson who describes the need to apply relevant criteria to assess the quality of action research (Gummesson 2000, p118-123). The author acknowledges that this approach is open to debate, however the scope of such a debate is based on differences of opinion that are global to research, not specific to the research study documented in this dissertation.

#### *3.4.4.2 Relevant Research Study Quality Requirements*

Having documented the table included as Appendix 2 – Research Methodology - An Overview of Research Quality Requirements, the author then reviewed the table identifying the criteria most frequently referred to and applied a personal weighting to the highest ranking criteria to identify a priority list of criteria that addressed the requirements of both the ‘action customer’ and the ‘research customer’. For the purposes of assessing the quality of this research study, the needs of the ‘research’ customer were given precedence over those of the ‘action customer’ because the ultimate goal is to be awarded a research doctorate degree.

The list of quality criteria decided upon by the author (not in any particular order of priority) is :

- Validity including integrity/trustworthiness, confirmability, authenticity/reality;
- Reliability including replicability and dependability;
- Rigour including triangulation;
- Workability including parsimony, transferability and relevance.

Having defined the relevant quality requirements, the author then analysed the table included as Appendix 2 – Research Methodology - An Overview of Research Quality Requirements, the corresponding references and additional sources of literature to create the table included as Appendix 3 – Research Methodology - Assessing the Quality of this Research Study to be used as a basis for assessing the quality of the planned research study. The process of this analysis highlighted four matters worthy of note, concerning the assessment of the replicability, generalisability, workability and objectivity of the research study.

Firstly, the matter of replicability. Traditionally, the quality of a research study is assessed according to the replicability of the study, that the same methods implemented by another researcher would generate the same results (Cavana 2001, p28-31; Gummesson 2000, p185) (Riege 2003, p81; Yin 1994, p32-33). Within the context of qualitative and action research, the “sameness” of the results needs to be qualified, since repeating the same methods at another time with the same group of research participants may generate different results due to a changed environment e.g. changes to the organisational culture/structure/strategy, changes in the larger political ‘climate’. This qualification of ‘sameness’ is supported by Marshall and Rossman who describe the potential for research findings not to be replicated because “they reflect reality at the time they were collected, in a situation that may be subject to change” (Marshall and Rossman as cited in Saunders 2003, p253). Trying to build replicability into the research design simply to satisfy this requirement, is not really an option since it risks undermining the strengths of qualitative and action research (Saunders 2003, p253).

Secondly, the matter of generalisability. Generalisability is a relatively common criteria applied to assess the quality of a research study. Although this long standing means of assessment is starting to be challenged by authors such as Gummesson who disputes the relevance of generalisation, describing it as “no longer so ‘obvious’ that a limited number of observations cannot be used as a basis of generalisation. Nor is it obvious that properly devised statistical studies based on large numbers of observations will lead to meaningful generalisations” (Gummesson 2000, p88). Nevertheless, there is still a ‘push’ for researchers to describe their research results in terms of their generalisability. When considering the generalisability of action research results, two factors need to be taken into account, the means of assessing generalisability and the purpose of action research. Generalisability is assessed “according to whether the research findings “may be equally applicable to other research settings” (Saunders 2003, p102) i.e. by “extrapolation of

particular research findings beyond the immediate form of inquiry to the general” (Riege 2003, p81). Whereas qualitative research and action research are involved with studying particular research situations, with action research projects being “situation specific”, not aiming to create “universal knowledge” (Coughlan & Coghlan 2002, p236). Indeed, “the harder you try to find an explanation which fits a specific situation, the more likely it is to differ from what would suit a different situation” (Dick 1993, p31). Rather than try to assess qualitative and action research according to the traditional definition of generalisability, an alternative view is to consider the benefits of situation specific action research as providing a trade-off against generalisability, defined in terms of local relevance versus global relevance (Dick 1993, p31). Where action research sacrifices global relevance in order to respond to a local situation (Dick 1993, p31). With respect to the particular research study described in this dissertation, “The research of practice is largely about the particular, making sense of that to generalise lessons that can be learned to improve practice” (Walker 2002, p13). Therefore it can be argued that generalisability may actually be an inappropriate criteria to apply to action research (McNiff & Whitehead 2002, p107). And if taking the broader view proposed by Gummesson, the overall “traditional demand for generalisation” becomes less urgent if you “do not believe you have found the ultimate truth but, rather, the best available for the moment” (Gummesson 2000, p97). Instead of generalisability the author has chosen to assess the transferability of the research results, as a factor of their workability. With transferability being partially defined in terms of “analytic generalisation” which involves “the intensive examination of a strategically selected number of cases so as to empirically establish the causes of a specific phenomenon” (Johnson as quoted in Saunders 2003, p397), where results are considered to be replicable “if two or more cases are shown to support the same theory” (Yin 1994, p31). Therefore the focus is on expanding and generalising theories, rather than “establish(ing) the frequency with which a phenomenon is likely to occur in a population” (Hyde 2000, p84). With the researcher’s conclusions phrased along the lines of “What I have found true of the people in this study is likely to be true of any people placed in this situation”, rather than being phrased as a response to questions such as “What percentage of persons in the population would respond this way?” (Kidder and Judd cited in Hyde 2000, p84).

Thirdly, the matter of workability. Accepting the author’s earlier proposal that the quality of an action research study needs to be assessed according to ‘action customer’ and ‘research customer’ quality requirements, the workability (useability/usefulness) of action research results address ‘action customer’ requirements. This is an important inclusion

because “the basic purpose of qualitative analysis is to provide useful, meaningful and credible answers” (Patton as quoted in Carter 1999, p12). The workability of action research results are important because “new knowledge is created through active experimentation”, with the aim of finding solutions to real problems (Levin & Greenwood 2001, p107). Gummesson considers the useability of action research results to solve an actual problem as *the* means of assessing the credibility-validity of knowledge generated by action research (author’s own emphasis) (Greenwood and Levin quoted in Olsen & Lindoe 2004, p372).

Lastly, regarding the matter of objectivity. Rather than taking the point of view that an objective research design is required with the researcher being external to the research situation, authoritative qualitative and action research authors accept the researcher (with their subjective point of view) as a part of the research situation. Stake describes subjectivity as “an essential element of understanding”, rather than “a failing needing to be eliminated” (Stake 1995, p45). Similarly, Penzhorn describes the discipline of qualitative research as following the premise that “human beings are not objects” and therefore accepts “subjectivity as a given, relying on the interpreted” (Penzhorn 2002, p241). Ezzy also acknowledges that there are perceived problems with qualitative research overall due to the somewhat subjective nature of the research (Ezzy 2001, p294). Nevertheless, similar to Penzhorn, he describes the interpretative process of qualitative research “taking on board the problem of subjectivity as integral to its research matter” (Ezzy 2001, p294). According to Ezzy, qualitative research is not de-valued just because it is subjective (Ezzy 2001, p294).

Qualitative and action researchers can address concerns about the objectivity of a research study by:

- Clearly stating that the research describes “the social world constructed by those researched” (Carter 1999, p13), including “backstage information” (Riege 2003, p81) where relevant;
- Providing full descriptions of the research methods used (Carter 1999, p13; Riege 2003, p81);
- Clearly describing how the data has been interpreted “in a logical and unprejudiced manner” (Riege 2003, p81) to generate reasonable conclusions (McGuire 1998, p58).;

- Acknowledging the impact of the researcher's own prior experiences (Carter 1999, p13);
- Examining the results from different theoretical perspectives (to minimise bias) (Carter 1999, p13);
- Conducting independent audits of data collection and data analysis (Riege 2003, p83);
- Retaining study data for reanalysis by others (Riege 2003, p81).

Taking steps such as these will fend off accusations that the qualitative research study provides only “interesting stories [...] of unknown truth and utility” (Miles and Huberman quoted in Rocco 2003, p346).

As a final note on the definition of objectivity and how it applies to action research, based on the premise that “reality is socially and subjectively construed rather than objectively determined”, Cavana describes qualitative research as taking a “perspectival view” rather than a strictly objective (Cavana 2001, p135) or subjective view.

#### *3.4.4.3 Assessing the Quality of this Research Study*

The quality of the research study was assessed by completing the table included as Appendix 3 – Research Methodology - Assessing the Quality of this Research Study. The results of this exercise indicate a many to many relationship between the actions taken to ensure the quality of the research study and the quality criteria; many actions addressed multiple criteria with the vast majority of quality criteria being addressed by multiple actions. The only exception to this being the recommendation for multiple investigators which was not met by the research study described in this dissertation. In terms of quality requirements ‘coverage’, Table 3-1 provides a summary view of how key research activities addressed the main categories of research quality requirements.

Table 3-1 - Summary assessment of the quality of the research study

Action	Validity	Reliability	Rigour	Workability
Research client organisations had mature cultures that encouraged <ul style="list-style-type: none"> <li>- research participants to openly and honestly discuss their feedback in group meetings/workshops (Martinsuo 2001, p544-548)</li> <li>- research participants interest in learning how to improve project management practices</li> </ul>	X	X		X
Confidential meetings and workshops (Martinsuo 2001, p544-548) provided research participants with 'safe' working environments	X	X		
Independent Reviews by research participants and academic supervisor	X	X	X	
Public conference and seminar presentations – number, diversity of audiences and audience feedback. (Refer Appendices 19,24,25,30)	X	X	X	X
Encouraging validation of the research findings at the Victoria Police Senior Management Conference, after a minimum of introduction	X	X	X	X
Post-validation paid consulting engagements – health promotion and public sector governance projects	X	X		X
Case study reports reviewed and accepted by each research client	X	X	X	X
Sections of this dissertation that describe the research strategy and individual action research cases	X	X	X	
Number of multiple action research cases that generated similar research findings i.e. outcome profiles.	X	X	X	
Action research cycle that included researcher's own critical reflection and the use of action/s to test underlying assumptions (Dick 2002b, p5)		X	X	
Literature review going through a series of iterations in parallel with action research cycles (Dick 1993, p32)		X	X	
Positive, interested and active participation of research participants; happy to fulfil their roles in the research – they perceived the research to be relevant to their daily work.	X	X		X
Multiple data sources, multiple cases, multiple data collection methods	X	X	X	X
Research able to be described using plain business English.	X			X
Common case characteristics – all public sector projects, including 2 IT projects and 3 community service projects (including 2 crime prevention projects and 1 health promotion project).		X	X	X

### 3.5 Introduction to the Action Research Cycles

#### 3.5.1 Introduction

Figure 3-4 provides an overview of the action research cycles conducted by the research study described in this dissertation. The remainder of this section will describe the key aspects of the diagram – case sampling, the research projects and research clients, the evolving research question and literature review.

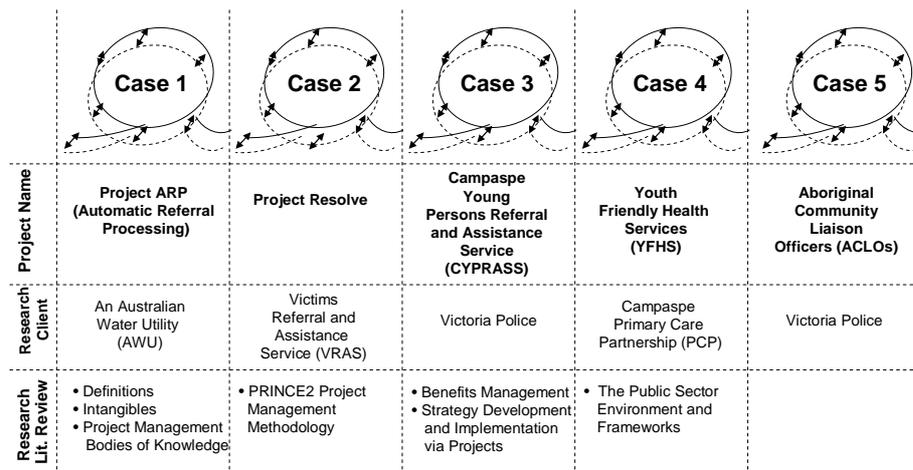


Figure 3-4 - Overview of the Action Research Cycles

#### 3.5.2 Case Sampling

The purpose of this section is to describe the sampling strategy used to select the cases specific to this research study (Creswell 1998, p64).

Each case included in this research study matches the defined unit of analysis which is *a group of diverse project stakeholders, predefined by the research client* and as such is a valid sample comprised of “people, behaviours, events or processes” (Marshall and Rossman cited in Rocco 2003, p344).

A multi-case sampling strategy can be based on one of a number of recommended approaches. Two contrasting approaches proposed by Yin and Stake are based on the key criteria of replication and learning respectively. Yin considers replication to be the main criteria for selecting cases (Yin 1994, p51), either literal replication (predicted similar results) or theoretical replication (contrasting results but for predictable reasons) (Yin 1994, p46). In contrast Stake considers “the “opportunity to learn” to be of primary importance, with secondary consideration to be given to the “balance and variety” of cases (Stake 2003, p153). For the research study described in this dissertation, the author did not have the ‘luxury’ of being able to apply either of the sample selection recommendations by design. However, both occurred by default.

The sampling strategy described in the following paragraph resulted in five (5) cases, all of which were public sector projects (literal replication) that provided many learning opportunities. It was indeed fortunate that all the cases shared the common characteristic (Stake 2003, p138) of being public sector projects and that in addition the first two (2) cases were Information Technology projects and the latter three (3) cases, community service projects comprising two (2) crime prevention projects and one (1) health promotion project. These clearly defined characteristics (along with others) will assist in defining the “the limits for generalising the findings” (Eisenhardt 1989, p537).

The sampling strategy used for this research study started with the author asking people within her professional network of contacts to help identify organisations that might be willing to participate in the planned research study. This resulted in the following five (5) cases being identified :

1. The first case, Project ARP an Information Technology project resulted from a response from an Information Technology project manager at an Australian Water Utility (AWU);
2. The second case, Project Resolve an Information Technology project resulted from a response from a project management coach assigned to work with an Information Technology project manager at the Victims Referral and Assistance Service (VRAS) (Department of Justice, State Government of Victoria, Australia);
3. The third case, the CYPRASS Project (Campaspe Young Persons Referral and Support Scheme) a youth crime prevention project resulted from a successful research submission to the Research Coordinating Committee of Victoria Police (State Government of Victoria, Australia);
4. The fourth case, the YFHS Project (Youth Friendly Health Services) a youth health promotion project resulted from an invitation from a research participant representing Campaspe Primary Care Partnership (PCP) (north-central Victoria, Australia) in the third case, for the author to become involved in one of the PCP’s planned projects;
5. The fifth case, the ACLOs Feasibility Study (Aboriginal Community Liaison Officers) resulted from the same successful research submission to the Research Coordinating Committee of Victoria Police (State Government of Victoria, Australia).

If considering the first two action research cycles as exploratory cases, then the remaining three can be considered to be “major cycles” in the terms described by Zuber-Skerritt and Perry who describe a doctoral level action research project needing to “progress through at least two or three major cycles to make a distinctive contribution to knowledge” (Zuber-Skerritt & Perry 2002, p176). The need for a ‘handful’ of action research cases is also agreed to by Eisenhardt who describes a minimum of four (4) cases being required “to generate theory with some degree of complexity” (Eisenhardt 1989, p545).

In case sampling ‘language’ the sampling strategy used for the research study described in this dissertation, can be described as “open-ended purposive sampling” (Shaw 1999, p65), with the number of case studies not being decided prior to the researcher’s entry into the field (Shaw 1999, p63). Instead, the number of cases was determined by the extent to which an additional case would contribute to understanding (Shaw 1999, p63) i.e. to the point of saturation, with the series of cases being analogous to a series of “experiments on related topics” (Yin 1994, p46).

Whilst an open-ended purposive sampling strategy was applied, realistically the number of case studies was constrained by the researcher’s own personal resources. Primarily the resource of time. For each action research case time was required to prepare for meetings with research participants (and the academic supervisor), time to travel to/fro meetings with research participants (and the academic supervisor), time to attend meetings with research participants (and the academic supervisor), time to document and analyse the large volumes of qualitative data, time to review and reflect upon the data analysis with the research participants (and academic supervisor). Each of the real-life cases was independent from the others, therefore the action research cycles/cases did not occur in a ‘neat and tidy’ sequence, instead they overlapped to some extent, placing the author’s personal resources under additional strain. The same resources that extended to the author maintaining a full-time paid workload (with vacation days taken for study purposes, as required).

Use of the action research methodology often leads to the need for multiple cycles/cases. More generally, in terms of qualitative research, multiple case studies are also chosen because “it is believed that understanding them will lead to better understanding, perhaps better theorising, about a still larger collection of cases” (Stake 2003, p138). Also “the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as more robust” (Herriott and Firestone cited in Yin 1994, p45).

The number of action research cases included in a research study is not decided according to some ‘rule of thumb’ nor can it be too tightly constrained by researcher resources (the researcher must keep their resource availability in mind when planning a research study). The key determinant of the number of research cases included in a research study is the point of “theoretical saturation” where there is little benefit to be gained from additional research cases (Eisenhardt 1989, p545).

### ***3.5.3 Case Project Types***

The cases included in the research study described in this dissertation clearly do not involve the same workgroup. Nevertheless, this is considered a valid sample of cases because the reflections gained from working with one workgroup will be passed onto the next (Zuber-Skerritt & Perry 2002, p176-177).

When considering the problem solving projects involved in each case, they share a number of key similarities when classified according to both Turner and Cochrane’s Goals-And-Methods Matrix (1993) and Shenhar and Dvir’s NCTP Framework (2004) introduced in section 2.2.4 of this dissertation.

In terms of project types, all five cases are a mix of type 1 and type 2 projects as defined by Turner and Cochrane (1993) and depicted in Figure 3-5. Each project comprises

1. Well defined goals (flowing on from the organisational strategy) (type 1);
2. A mixture of well defined methods (type 1) and less-well-defined methods (type 2), in that the projects lacked a method for identifying, prioritising and defining intangible project outcomes and associated tangible outputs – a need addressed by the research study described in this dissertation;
3. A multidisciplinary team (type 1);
4. Project plans which included a combination of “well defined sequences of activities derived from historical experience” (type 1) and milestones (type 2) (Turner & Cochrane 1993, p98).

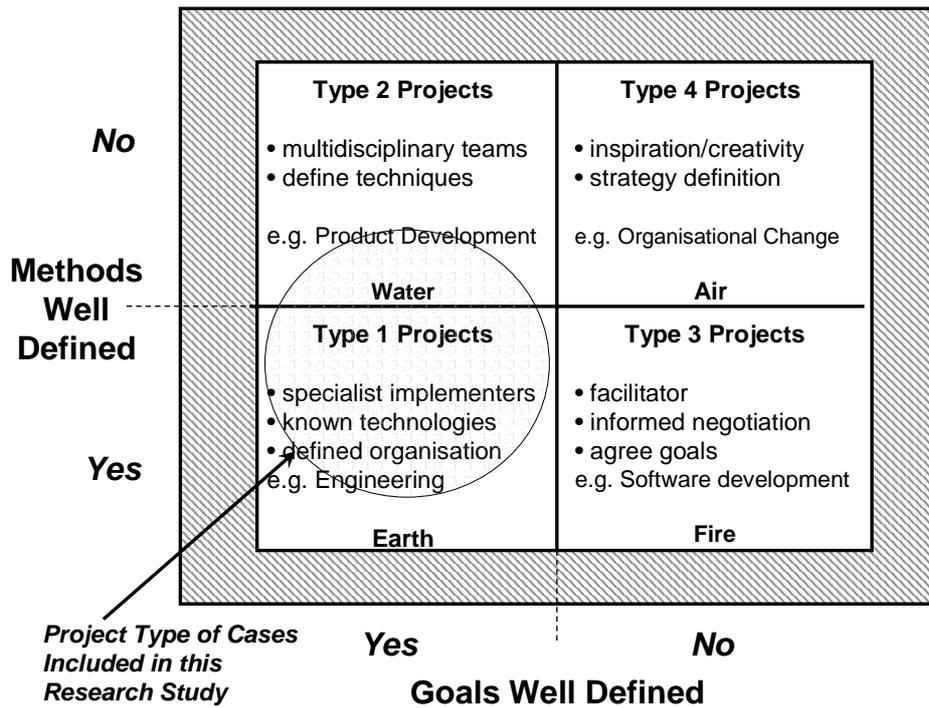


Figure 3-5 - Project Types of Cases Included in this Research Study mapped to the Goals-and-Methods Matrix (adapted from Turner and Cochrane 1993)

With reference to Shenhar and Dvir’s NCTP Framework, all five cases are comparable in terms of Novelty, since they are all intended to deliver platform products which are “new generations of existing product families” (Shenhar & Dvir 2004, p1271-1272). Case 1 Project ARP is intended to deliver an integrated automated referral processing information technology system. Case 2 Project Resolve is intended to upgrade a case management system and database intended to provide a new generation of service (rather than a less novel derivative service). Cases 3, 4 and 5 the CYPRASS, Youth Friendly Health Services and Aboriginal Community Liaison Officers projects respectively are all intended to provide a new generation of community services.

Similarly, all five cases are of comparable complexity, each representing a low level system project comprising a “collection of interactive elements and sub-systems, jointly dedicated to a wide range of functions to meet a specific operational need” (Shenhar & Dvir 2004, p1278). Similarly, each case involves a project manager/project officer coordinating work shared amongst a number of ‘sub contracted’ team members representing different internal and external stakeholders. The cases are considered to be low level system projects for the reason that the number of project activities would be considered to be in the low hundred/s rather than ‘high hundreds’ or few thousands.

In terms of technological uncertainty, cases 1 and 2, Project ARP and Project Resolve respectively comprise information technology problem solving projects that were considered to involve a medium level of technological uncertainty because they “use mainly existing or base technology, yet incorporate some new technology or a new feature that did not exist in previous products” (Shenhar & Dvir 2004, p1273). Cases 3, 4, and 5, the CYPRASS, Youth Friendly Health Services and Aboriginal Community Liaison Officers projects respectively, can all be considered to be projects involving low technological uncertainty since their main reliance on technology was on office systems based on “existing and well-established technologies” that “require no development work” (Shenhar & Dvir 2004, p1272).

In terms of pace, the cases cannot be considered to be regularly paced projects “where time is not critical” (Shenhar & Dvir 2004, p1280). Since in all cases, the project schedule was considered important to the success of the project. Therefore it is proposed that the cases be considered as low level fast-competitive projects where missing a deadline might be considered important but not “fatal” (Shenhar & Dvir 2004, p1280). It was considered important for each case to implement the system and service upgrades on schedule, in order to generate project outcomes and benefits as expected.

Figure 3-6 plots the five cases onto the NCTP framework proposed by Shenhar and Dvir (2004).

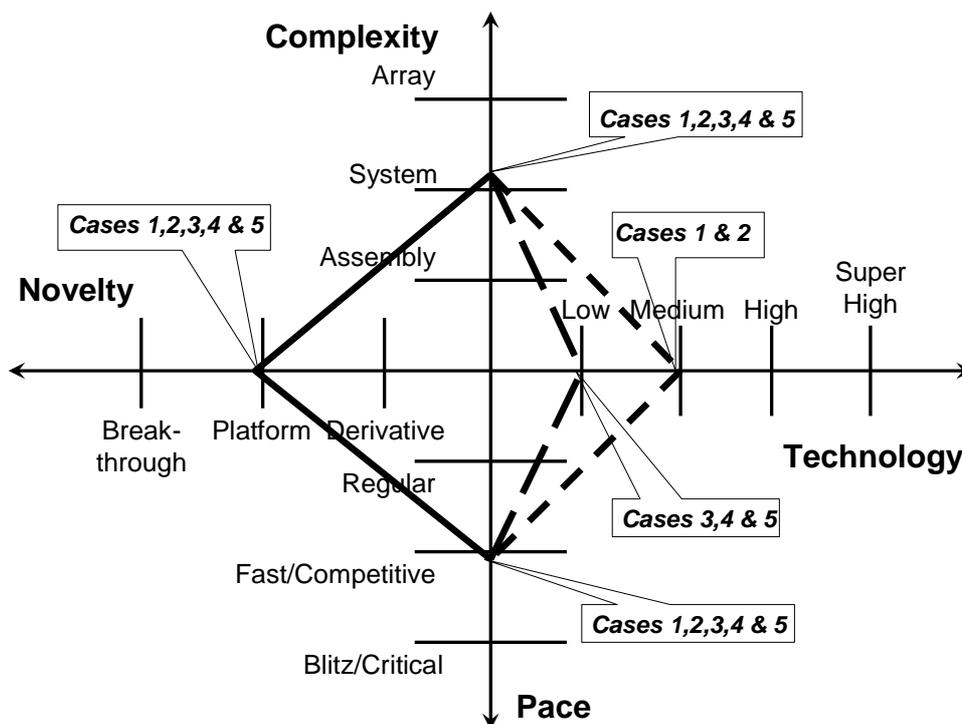


Figure 3-6 - Project Types of Cases included in this Research Study mapped to the NCTP Framework (Shenhar & Dvir 2004, p1271)

### **3.5.4 Identifying the Research Clients**

As described in the previous section, the sampling strategy was founded on the author contacting members of her professional network. At the same time the author decided not to approach her current paid work client as a prospective research client. This decision was made for two main reasons. Firstly, the author wanted there to be a very clear distinction between time spent on paid work and the time spent on unpaid research work. If the 'paid work client' and 'research client' were one and the same, there could be potential for onlookers to question the time spent on each type of work. The second reason for not approaching the current paid work client was that the author was engaged on a short term contract of only some months duration, with the potential for access to the client site for research purposes being similarly constrained. So, the author adopted the role of 'external researcher', a researcher external to the research client organisation. A situation considered acceptable "as long as the external researcher and the internal clients share and complement each other's experiences, skills and competencies to achieve problem solving, knowledge expansion and learning" (Zuber-Skerritt & Perry 2002, p177). It was the author's goal to ensure that her experiences, skills and competencies complemented those of the research clients'. This form of researcher-research client relationship also needed to be clearly defined, with research client agreement sought to setup "formal control structures" around the research study (Avisdon, Baskerville and Myers as cited in Brook 2004, p66).

Whilst recognising the perils associated with comparing the action research study with a consulting assignment (as mentioned in section 3.3.2.4), some overlaps or similarities do exist. Including identification of the client in terms of the 'research client'; who is the researcher answerable to, within the research client organisation? Once this person has been identified, then the researcher needs to work with them to develop an understanding of the research client organisation, plan, implement and evaluate the research and arrange access to research participants (Coughlan & Coughlan 2002, p229). Research client participants will also need to be identified.

Just as occurs with any project, the organisational role of the research client has the potential to impact the research study (Avison, Baskerville & Myers 2001, p31). With the expectation that the more senior the research client, the more likely the research study is to capture peoples' attention (and potentially, their resources).

In terms of the five (5) action research cases, the research client of each case was clearly defined from the outset, along with their key delegates.

1. For case 1 Project ARP at the Australian Water Utility (AWU) the research client was the project sponsor who delegated ongoing research involvement to the responsible Information Technology project manager.
2. For case 2 Project Resolve, at the Victims Assistance and Referral Service (VRAS) the research client was the Director of VRAS who delegated ongoing research involvement to the project management coach assigned to work with the Information Technology project manager and the project manager herself.
3. For case 3 the CYPRASS project, at Victoria Police the research client was the Commander in charge of the Community and Cultural Division who maintained an active interest in the research study, delegating day to day research involvement to the Victoria Police Research Policy Officer assigned to Youth Affairs along with the Chairperson of the CYPRASS Management Committee. (Note : The Commander was in the ‘top 20’ leadership group of Victoria Police, along with the Chief Commissioner, Deputy and Assistant Commissioners and his peer Commanders (Victoria Police 2002, p64)).
4. For case 4 at the Campaspe Primary Care Partnership (PCP), the research client was the Campaspe PCP Service Planning Project Manager who maintained active and direct ongoing involvement in the research study.
5. For case 5 at the Victoria Police, the research client was the Commander in charge of the Community and Cultural Division who maintained an active interest in the research study, delegating day to day research involvement to the Victoria Police Research Policy Officer assigned to the Aboriginal Advisory Unit.

In addition to clearly identifying the research client it is also recommended that an action researcher “gain moral and written support from the organisation’s chief executive to conduct an action research project on its premises, even though the chief executive might not be a member of the workgroup (involved)” (Zuber-Skerritt & Perry 2002, p178). Moral support was received from all research clients involved in the research study described in this dissertation. Written support was received only from Victoria Police as a routine part of their Research Coordinating Committee acceptance of the research proposal.

### ***3.5.5 Research Clients’ Perception of Action Research***

Having already argued the theoretical academic justification for action research being the most appropriate methodology, it is also worthy of note that the research methodology itself

provided the means to negotiate access to action research cases and their respective group of diverse project stakeholders, predefined by the research client (Parker 2004, p172). The action research methodology was a key reason for the research clients, their delegates, and project stakeholders becoming involved in the research study. The research clients welcomed the author as a person well experienced in conducting consulting engagements (whilst understanding that this was a research study), confident in the author's ability to conduct herself in a professional manner within a variety of workplace situations. The overlap or similarities between action research and consultancy held great appeal to the research clients.

Additional aspects of the action research methodology that appealed to the research clients were :

- The complementary nature of the researcher and the research client's nominated project stakeholders. The researcher brought along "an intellectual framework" and knowledge of the research process and the nominated project stakeholders brought along knowledge of the context (Burns as cited in McKay & Marshall 2001, p47);
- The interdependence of the researcher and the research client and their nominated project stakeholders to investigate a defined research situation (problem) and attempt to solve/improve it (Coughlan & Coughlan 2002, p229), while achieving the dual aims of practical problem solving and the generation of new knowledge and understanding" (Hult and Lennung as cited in McKay & Marshall 2001, p47). Neither party could 'go it alone', the project stakeholders would keep the researcher somewhat 'in check' in terms of content and the researcher would do the same to the project stakeholders in terms of process;
- The participatory and reflective aspects of action research that were dependent upon and supported project stakeholders taking an active role in studying themselves and their situation (White cited in Penzhorn 2002,p240) with a view to introducing improvements (Dick 1993, p32) in professional practice (Zuber-Skerritt & Perry 2002, p175);
- The relatively well defined time span for conducting the research (Penzhorn 2002, p245);
- The experiential learning opportunities available (Hult and Lennung as cited in McKay & Marshall 2001, p47) to project stakeholders; demonstrating a research

perspective to everyday experiences in organisations by linking theory and practice (Saunders 2003, p138);

- Agreement that it was the research client's responsibility to implement the final action plan (Collis 2003, p67).

Quite genuinely, the appeal of the action research methodology led to the author being provided ready access to research client resources (e.g. people, meeting rooms, documents), therefore overcoming “the qualitative researcher's number one problem; getting access to “find out what is happening” (Gummesson 2000, p25) in real-life situations that may otherwise be “inaccessible to scientific investigation” (Yin 1994, p88). Based on the ready access provided to the author, it can be assumed that the research clients, their delegates and nominated project stakeholders believed the outside researcher could be of genuine help (Senge & Scharmer 2001, p241). In addition, the ready access provided by the research clients led to the author gaining access to “authentic case studies” that might otherwise be difficult to find because organisations prefer to guard them as proprietary data (Cavana 2001, p112). Ready access may also have been provided to the researcher because the public sector projects were not considered to provide competitive advantage/s that required guarding.

### **3.6 Summary**

This chapter commenced with a description of how DPM research requirements influenced the choice of a qualitative research strategy. The remainder of the chapter described the rationale underlying the selected research strategy applied to the research study along with a description of the researcher's role, the ethical context of the research and an assessment of its research quality, followed by an introduction to the five (5) action research cycles described in detail in Chapters 4 and 5.

In summary, the research strategy to be applied to the research study described in this dissertation follows the realist paradigm by using a combined inductive/deductive approach to implementing an action research methodology by collecting data through a combination of individual and group meetings and group workshops, with the unit of analysis of ‘a diverse group of project stakeholders’ preselected by the research client.

The action research methodology addresses the dual imperatives of research and problem solving via a series of five (5) action research cycles, comprising two initial exploratory cycles, followed by three (3) major cycles. The initial two (2) exploratory action research

cycles are described in Chapter 4 and the three (3) major research cycles are described in Chapter 5.

## **4 Exploratory Action Research Cycles 1 & 2**

### **4.1 Introduction**

As introduced in Chapter 3, Figure 3-4 provides an overview of the action research cycles conducted by the research study described in this dissertation.

The purpose of this chapter is to describe how the dual cycle action research steps introduced in Chapter 3 and listed in Table 1-1, were applied to the first two (2) exploratory action research cycles comprising the problem solving projects of Project ARP at an Australian Water Utility (AWU) and Project Resolve at the Victims Referral and Assistance Service (VRAS); both information technology projects conducted in Australia.

Project ARP and Project Resolve shared a number of similarities, including both being information technology projects for which as described in Chapter 2, tangibles and intangibles are interdependent, where “everything around the technology – everything needed to make the technology do what it is supposed to do – is intangible” (Low & Kalafut 2002, p136).

Another similarity shared by both Project ARP and Project Resolve was that in the absence of established intangibles management practices, both project organisations (the Australian Water Utility or the Victims Referral and Assistance Service), agreed to people other than senior management contributing to the understanding and management of intangibles; as described in Chapter 2, an approach strongly recommended by Low and Kalafut (Low & Kalafut 2002, p226).

The remainder of this chapter comprises three sections, one describing each of the two exploratory action research cycles, followed by a summary.

### **4.2 Action Research Cycle 1- An Australian Water Utility – Automatic Referrals Process (ARP) Project**

#### **4.2.1 Action Research Cycle 1 - The Project Organisation**

Action Research Cycle 1 was conducted with the assistance of a water utility which agreed to participate in the author’s research on the condition that the utility remain anonymous and be referred to only as an Australian Water Utility (AWU), and its five (5) nominated project stakeholders be referred to as Stakeholders 1 to 5. Therefore references capable of identifying the water utility have been “blacked out” within both the body of the dissertation and bibliography.

The AWU is a statutory authority responsible for managing water supply catchments, removing and treating sewage and managing waterways and major drainage systems,

comprising a total of AUD 3 billion of natural and built assets servicing a geographic area of more than 7,800 square kilometres [REDACTED].

Authorities such as the AWU, play an essential part in the planning process, ensuring “balanced and integrated” planning decisions are made [REDACTED]. Accordingly, under the relevant Planning and Environment Act, the AWU “is one of a small number of statutory referral authorities” [REDACTED] to which local government “councils are obliged” [REDACTED] “to refer building permit, subdivisions and planning scheme amendment applications in flood-affected areas” [REDACTED] for investigation and approval [REDACTED]. Each referral authority must consider every application referred to it and advise the applying authority in writing that it does not object to the granting of a permit, or it does not object to the granting of a permit as long as certain conditions are satisfied or it “objects to the granting of a permit on specific grounds” [REDACTED]. Referral authorities must respond to referrals within a statutory period of 28 days, from receipt [REDACTED] or request an extension to the 28-day period [REDACTED]. Therefore, it is also a requirement that referral authorities “establish clear processes for handling referrals” [REDACTED]. The statutory referral process is indicative of the increasing number and type of working relationships reliant upon a “governance system” which involves “interchange between and across different levels of government and stakeholders” (Ferlie & Steane 2002, p1461).

The AWU comprises eleven (11) divisions, of which the Planning Division is “responsible for a wide range of planning and land development matters, such as providing information on flood levels, updating encumbrances, feasibility studies, planning scheme amendments and capital works projects” [REDACTED]. The Land Development department within AWU’s Planning Division, “processes all council referrals”, with referrals that require detailed investigation sometimes being passed on to another department within the AWU for comment [REDACTED]. During the course of the 2001/2002 reporting year, the AWU responded to nearly 14,000 items of business referred by councils [REDACTED].

#### **4.2.2 Action Research Cycle 1 – The Problem Solving Project**

The problem solving project nominated by the AWU was Project ARP (Automatic Referrals Process) for which the project objective was to “improve the land development referral and

approval process currently undertaken in Waterways by implementing an automated system” to process referrals [REDACTED].

At the time of action research cycle 1 commencing in December 2002, Project ARP had already been completed, with the Project ARP Business Case having been approved in November 2000 [REDACTED], the Project Charter signed off in early April 2001 [REDACTED] and the Project Closure report signed off in mid September 2001 [REDACTED].

Whilst the author was somewhat surprised by the AWU nominating a completed project as the problem solving project, the author was aware that retrospective action research could be compared to the writing of a memoir, providing a researcher with “absolutely unique access and preunderstanding that should not be wasted by the scientific community”, along with the opportunity to reflect upon “events that no scholar could ever dream of attaining from a university position” (Gummesson 2000, p122). In addition, retrospective action research was “acceptable [...] when the written case is used as an intervention into the organisation in the present”. Because, “in such a situation the case performs the function of a “learning history” and is used as an intervention to promote reflection and learning in the organisation” (Kleiner and Roth cited in Coughlan & Coughlan 2002, p226).

As documented in the Project ARP Business Case [REDACTED], Project ARP objectives were to [REDACTED]:

- Significantly improve “customer service by reducing turnaround times from 21 days to a few days for up to 70% of all referrals received (currently processed manually)”;
- Achieve “consistency of responses to referrals, via incorporation of business rules, into an automated processing application”;
- Streamline data entry activities;
- Enhance “planning outcomes by refocusing land development activities away from mundane processing to more value adding activities (e.g. conditions of development on flood prone land, environmental and water quality considerations, capital works quality improvements, etc)”;
- Improve the “protection of water and sewage assets by effective internal referrals or automatic system processing” [REDACTED].

In the Project ARP Business Case, the priority of the project was partly argued on the basis of the expected combination of tangible and intangible benefits [REDACTED]. The expected tangible benefits comprising [REDACTED]:

- Improvements in processing time;
- Reduced staff numbers being able to process an expected increase in referrals (resulting from "the rollout of Special Building Overlays into council planning schemes");
- Reduced staff turnover due to staff being assigned to investigate complex referrals, with the simple referrals being processed by the automated system.

Expected intangible benefits comprising [REDACTED] :

- An increase in the protection of water and sewage assets [REDACTED];
- A reduction in the relative proportion of mundane work done by land development officers (i.e. investigation of simple referrals) making more time available for value-added work to be done [REDACTED];
- Greatly enhanced perception of the AWU's customer service performance by Councils, Developers, and the state government;
- Identification of the AWU as a leader in the field of referrals processing;
- The processing of referrals using pre-defined automated business rules improving the consistency of AWU land development decision making.

#### **4.2.3 Action Research Steps – Action Research Cycle 1 – AWU Project ARP**

##### *4.2.3.1 Action Research Step 1 – Identification*

##### Action Research Step 1 – Problem Solving – Identify problem

The AWU considered Project ARP (Automatic Referral Process) to have been one of the water utility's most successful Information Technology projects, and all reasonable steps had been taken in the year since the ARP solution was implemented to apply key learnings from Project ARP to other information technology projects. Upon reflection, a number of Project ARP team members, including the responsible Project Manager had identified the achievement of intangible Project ARP outcomes and business benefits as contributing to project success. Whilst project team members could identify and repeat some of the project activities and/or project deliverables that had contributed to the delivery of intangible project outcomes and business benefits, there had been no systematic study of this aspect of project success.

Hence the AWU's willingness to participate in the author's research study; a situation supportive of Garcia-Ayuso's comment included in Chapter 2, that the development of emerging forms of successful management is reliant upon ongoing work by researchers and

business managers, to develop, implement and disclose methods for the visualisation, measurement and management of intangibles within companies (Garcia-Ayuso 2003, p602).

From a project management perspective, the AWU Project Manager believed that improved information about intangibles could lead to the improved estimation and allocation of project resources. An approach consistent with that recommended by Lev who describes “information deficiencies about intangibles having the potential to cause misallocation of resources, both within firms and between firms in the same industry” (Blair & Wallman 2001, p28).

So, the project problem to be solved was the identification and definition of expected and unexpected intangible Project ARP outcomes, with a view to learning how to repeat the successful delivery of intangible project outcomes and benefits on current and future AWU information technology projects.

#### Action Research Step 1 – Research Interest – Identify research interests

At the commencement of action research cycle 1, the author’s research objective was to explore means of improving project stakeholders’ definition and alignment of intangible project outcomes and tangible project outputs. Whilst somewhat taken aback by the AWU’s nomination of a completed project as the problem solving project, the author was satisfied that the AWU’s objective to reflect upon and learn from the Project ARP experience and to apply the learnings to other information technology projects satisfied the criteria for ‘retrospective action research’. The author’s assessment of Project ARP as a worthy action research problem solving project was also supported by the author’s academic supervisor.

#### *4.2.3.2 Action Research Step 2 – Reconnaissance*

##### Action Research Step 2 – Problem Solving – Reconnaissance of problem context

Reconnaissance of the problem context was undertaken by the author reading publicly available information about the AWU e.g. 2000/2001 Business Review, along with the Project ARP Business Case [REDACTED], Project Charter [REDACTED] and Project Closure Report [REDACTED] provided to the author, in confidence by the Project ARP Project Manager.

The Project ARP Business Case includes descriptions of expected tangible and intangible project benefits, an inclusion consistent with the advice referred to in Chapter 2, provided by the UK Government Future and Innovation Unit, that organisations should view their business assets from the perspective of “how to invest in and make best use of” both tangibles and intangibles (Future and Innovation Unit 2001, p1). Although the descriptions of expected

Project ARP benefits are limited when compared to recommendations such as those included in Chapter 2, to include a section in the business case that describes how the project aligns with “the specific and published goals and strategies of primary stakeholders, especially organisations approving funding” (McLaughlin 2003, p332) and to include ratings of the relative contribution of tangible and intangible decision criteria (Keen & Digrius 2003, p107). Closer examination and comparison of the descriptions of project objectives and benefits included in the Project ARP Business Case indicates that the AWU did not apply a clear definition or distinction between a project objective and a project benefit, since in some cases, the same goals are mentioned as both objectives and benefits. In addition, the Project ARP Closure Report describes the achievement of planned project objectives, with no explicit reference to expected project benefits. However, due to the descriptions of objectives and benefits in the Business Case having considerable ‘overlap’, the achievement of some expected project benefits can be inferred.

#### Action Research Step 2 – Research Interest – Reconnaissance of relevant literature.

Prior to embarking on action research cycle 1, the author supplemented her coursework based literature review with a review of the Association for Project Management (APM) and Project Management Institute (PMI) project management bodies of knowledge.

#### *4.2.3.3 Action Research Step 3 – Planning*

##### Action Research Step 3 – Problem Solving - Planning the problem solving activity

Whilst the author’s research had been approved by the Project ARP Project Sponsor, the author’s key contact at the Australian Water Utility was the Project Manager who had been assigned as the Project ARP Project Manager. It was agreed that the best way of tackling the problem solving activity was for the Project Manager to identify a small number of Project ARP stakeholders, seek their agreement to participate in the research study and then pass their contact details onto the author to arrange suitable meeting times to interview each stakeholder separately. Followed by the author writing up the interview results, providing the interview results to each individual stakeholder for review and comment and then reviewing the complete set of interview results with the Project Manager.

##### Action Research Step 3 – Research Interest - Planning the research project

It was the author’s responsibility to define the format of the interviews, data collection and reporting.

The format of the one-hour interviews was designed to follow the table of questions titled A Stakeholder's Expectations of Intangible Project Outcomes included as Appendix 4, which steps each project stakeholder through a series of questions based on the categories of

currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001) i.e. leadership, communication, culture/values, innovation, relationship, learning, processes, reputation and trust.

The method of data collection was for the author to capture each stakeholder's feedback by hand-writing summary comments onto a data collection sheet included as Appendix 5, with the interview results being typed up in the same format, for review by the individual project stakeholders and the Project Manager.

#### *4.2.3.4 Action Research Step 4 – Define Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest Steps

It was agreed that the combined problem solving and research action steps would comprise:

1. The Project ARP Project Manager contacting other Project ARP stakeholders to seek their agreement to participate in the combined problem solving and research study;
2. The Project ARP Project Manager providing project stakeholders' contact details to the author, for them to contact the project stakeholders directly to arrange suitable one-hour meeting times.
3. The author conducting individual structured hour long interviews with each of the project stakeholders, firstly introducing them to the research study and asking them to sign the participant's consent form, followed by them being questioned about expected and unexpected intangible Project ARP outcomes;
4. The author writing up the interview results;
5. The author providing individual interview reports to each individual project stakeholder for review and comment;
6. The author reviewing the final version of the interview reports with the Project Manager to identify Next Steps to be taken on current and future AWU information technology projects to improve the identification and definition of intangible project outcomes.

The author's role as the (interview) facilitator is consistent with the action research literature reviewed in Chapter 3 of this dissertation that describes the researcher-facilitator role as that of a "process guide" (Straus 2002, p118) who "does not need to be an expert in the context of the issue" (Straus 2002, p71); and as such a role that provides organisations with a means of creating "opportunities for everyday research" (McClintock, Ison & Armson 2003, p721) "where understandings can emerge" (McClintock, Ison & Armson 2003, p723).

#### 4.2.3.5 Action Research Step 5 – Implement Action Steps

##### Action Research Step 5 – Combined Problem Solving and Research Interest Step

The initial action steps were completed as planned, with

1. The Project ARP Project Manager contacting four (4) other Project ARP stakeholders to seek their agreement to participate in the combined problem solving and research study;
2. The Project ARP Project Manager providing project stakeholders' contact details to the author, for them to contact the project stakeholders directly to arrange suitable on-hour meeting times.

The five (5) project stakeholders to be interviewed were :

Stakeholder 1 – Land Development Subject Matter Expert

Stakeholder 2 – Land Development Subject Matter Expert

Stakeholder 3 – Project ARP Idea Owner and Project Sponsor's delegate

Stakeholder 4 – Project Manager

Stakeholder 5 – Land Development Acceptance Tester

Profiles of all five (5) project stakeholders are included in Appendix 6, which describes each person's educational qualifications, relevant work experience, operational role and Project ARP role and responsibilities.

From this point on, the implementation of the action steps began to vary from plan as follows :

3. After introducing stakeholders to the research study and asking them to sign the participant's consent form, it became quickly evident that the walkthrough of the table of planned questions (as per Appendix 4) didn't work as expected, with stakeholders' replies to initial questions addressing multiple planned questions, making many of the remaining planned questions redundant. The format of the table included as Appendix 4 did not fit in with the way in which stakeholders' defined intangible project outcomes. In addition, the data collection sheet was found to be cumbersome, obstructing the flow of conversation between the individual stakeholders and the author. Therefore, after the first interview, the table of planned questions was used at the start of the meeting to introduce the scope of the combined problem solving activity and research study and also again at the end of the meeting to cross-check meeting outcomes to ensure sufficient coverage of the topic of intangible Project ARP

outcomes. The data collection sheet was revised to become a far simpler version included as Appendix 7.

The author justified making changes part way through Implementation based on her understanding that exploratory research relies upon the researcher's willingness to change direction "as a result of new data that appears and new insights that occur" (Saunders 2003, p97), without undue concern for the original plan (Kemmis & McTaggart 1992, p77).

Subsequent stakeholder interviews also became less structured than planned to accommodate stakeholders' lines of thought and conversation, with most interviews running well over time, sometimes extending through to two (2) hours, rather than the planned one (1) hour duration. These time over-runs occurred with the project stakeholders' agreement – they were keen to say everything they had to say on the topic. Somewhat surprisingly, Stakeholder 3 who was the Project ARP Idea Owner and Project Sponsor's delegate offered to provide answers to each of the questions included in the table based on the categories of currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001). The table completed by Stakeholder 3 is included as Appendix 10.

4. The author's write-up of the interview results did not prove as straightforward as expected, taking far longer than expected to complete. Instead of simply typing up the data collection sheets, considerably more work was required to write-up the interview results in a format that would support the problem solving activity. Each interview report comprised an executive summary, a summary overview of the key expected and unexpected intangible project outcomes, followed by a tabulation of each individual intangible outcome identified by a stakeholder. An excerpt of such a table is included as Appendix 8. A complicating factor of the tabulations such as that included as Appendix 8 was that many of the intangible outcomes mentioned by the project stakeholders addressed more than one of the currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001), making it difficult to summarise the project stakeholders' descriptions per individual intangibles category.

As an example, Stakeholder 3's feedback included mention of the following expected outcome - "The implementation of the ARP system was intended to supplement existing efforts to "shift" the culture. Up until the ARP system was implemented, LDOs assumed that a backlog of referrals provided a form of job security. Whereas

the preferred AWU corporate and team level direction was for an increased sharing of information and faster delivery of results to external entities”. The author’s analysis of this feedback (included as Appendix 8) mapped the expected outcome to the intangibles of Leadership, Communications, Culture/Values, Innovation, Relationships, Learning, Processes and Reputation. A situation consistent with that described by Low and Kalafut in Chapter 2, that “No intangible is an island, complete unto itself” (Low & Kalafut 2002, p12).

5. As planned, the author provided individual interview reports to each individual project stakeholder for review and comment, with no changes requested.
6. The author provided the final version of the interview reports to the Project ARP Project Manager. However, instead of a review meeting as planned, the author and Project Manager exchanged a series of email messages and phone calls to discuss potential Next Steps to be taken on current and future AWU information technology projects to improve the identification and definition of intangible project outcomes. The meeting was not held for a number of reasons, including the sheer logistics of being able to arrange a suitable time. Another contributing reason was that the Project Manager felt confident that their and the other stakeholders’ understanding of how intangible outcomes had contributed to the success of Project ARP had become abundantly clear, simply by ‘taking time out’ to focus on a discussion of intangible project outcomes and reviewing the author’s interview reports. The Project Manager felt confident that the interview reports provided them with the information they had been seeking to apply the learnings to other information technology projects and that no further assistance was required from the author.

#### *4.2.3.6 Action Research Step 6 – Reflection*

##### Action Research Step 6 – Problem Solving - Reflect upon solving efficacy

Based on feedback provided by individual project stakeholders during the course of the interviews, and especially the feedback provided by the Project Manager during and after the course of the interviews, the project problem of identifying and defining expected and unexpected intangible Project ARP outcomes, with a view to learning how to repeat these success on current and future AWU information technology projects, was solved.

The activity of project stakeholders actually taking time to focus on a discussion of intangible project outcomes was considered by the AWU project stakeholders to be a well worthwhile

activity to the point that most interviews ran over time because of individual stakeholders' interest in the topic and willingness to devote additional time to the interview activity.

The interview reports were considered comprehensive and helpful by the AWU Project Manager, who wasn't perturbed by the relatively long time it took the author to write up the results and provide them to the AWU as a complete package. Given that the problem solving activity was part of an exploratory action research study of a past project, the AWU Project Manager considered the wait for the packaged results to be fair and reasonable.

When assessing the quality of action research cycle 1 according to whether the research participants benefited from the "encounter" (McNiff & Whitehead 2002, p19), the author proposes that the problem solving quality of this action research cycle is demonstrated by the positive feedback provided by the AWU.

#### Action Research Step 6 – Research Interest - Reflect upon research interests

Whilst the AWU project stakeholders were happy with the problem solving outcomes, the author did not share these sentiments to the same degree in regard to the research interests.

The author agreed that it was good that the project problem had been solved, the interviews were considered to provide valuable experiences and the interview reports provided the AWU with the information they were seeking. The project stakeholders' ready approval of the interview reports as presenting true records of the interviews endorsed the author's approach of making summary notes that were read back to the interviewees "for their verification during the course each interview" (Martinsuo 2001, p542). A result consistent with "Alvesson (1996) and others especially in the field of case study research (who) note that exact narratives do not need to be saved as long as the context theme and flow of issues remains as good as possible" (Martinsuo 2001, p543).

However, overall, the author was dissatisfied by the research results of action research cycle 1 for the following reasons:

- The table of questions titled A Stakeholder's Expectations of Intangible Project Products included as Appendix 4 had proven to be an unsuitable basis for structuring the interviews. Although when placed in the hands of an enthusiastic research participant like Stakeholder 3 it had provided a suitable framework for gathering written feedback. However, multiple copies of stakeholder feedback in this format would prove unwieldy for a researcher to reconcile and prioritise. The experience of working with Stakeholder 3 highlighted that the questions posed in table could be considered valid, although in an interview situation they were too numerous and

‘overlapped’. Instead a more ‘economic’ approach needed to be taken to reduce the number and complexity of the questions to a smaller more efficient set of questions (Cavana 2001, p32). A valid action research approach, since within the context of action research it is valid for the interviewing approach to develop as the research progresses (Carter 1999, p1).

- The format of the initial and revised data collection sheets did not provide the author with the required balance between the project stakeholders being both respondents and informants (Saunders 2003, p246). Most interviews ran well over time. A result consistent with Saunders’ description of semi-structured and unstructured interviews proving to be time management challenges because “the use of open-ended questions and reliance on informant responses means that while you must remain responsive to the objectives of the interview and the time constraint, interviewees need the opportunity to provide developmental answers” (Saunders 2003, p266).

Due to the problems experienced with structuring the interviews, each interview generated similarly unstructured data, which proved difficult to write-up. The author made a number of attempts at formatting the interview reports, before deciding on the final format. The task of grappling with the interview report format extended the duration of the write-up period. Despite the AWU being happy with the results, the author was not. Even the final format of the interview reports provided a difficult basis for reconciling, prioritising and analysing the results. The author’s best attempt at overall analysis being the summary table included as Appendix 8 and the additional table included as Appendix 9 that logs each stakeholder’s summary feedback on the table of questions titled A Stakeholder's Expectations of Intangible Project Products included as Appendix 4. However, neither of the tables included as Appendices 8 and 9 were considered a satisfactory basis for comprehensive analysis, except to make the following observations :

- The most frequently mentioned intangible outcomes were improved intangible outcomes for individual stakeholders and between the AWU and external entities such as councils and land development industry (LDI) groups;
- The improved intangible outcomes for individual stakeholders mentioned by all five (5) project stakeholders were Communication outcomes and Process outcomes, (with Stakeholders 1 and 4 noting an unexpectedly high degree of improvement in their Communication Outcomes and

Stakeholders 2 and 4 noting an unexpectedly high degree of improvement in their Process related outcomes). The unexpectedly high levels of improvement in processes and communication could be attributed to the concept of “non-scarcity” (Lev 2001, p23) of intangibles such as processes and communication, which do not ‘wear out’ with repeated use, instead they tend to play the same or an improved role (Grossman and Helpman quoted in Lev 2001, p25).

- The improved intangible outcomes for the AWU and its dealings with external entities such as councils and (LDI) groups mentioned by all five (5) project stakeholders were Communication, Innovation, Process and Reputation and Trust outcomes (with Stakeholders 2 and 3 noting an unexpectedly high degree of improvement in the AWU’s Communication Outcomes and Stakeholders 2 and 3 noting an unexpectedly high degree of improvement in the AWU’s Reputation and Trust outcomes with external entities such as councils and LDI groups). The improved public perception of the AWU resulting from the automated referral process is consistent with the belief reported in Chapter 2 that “orienting public services to the interests of the public [...] will enhance service delivery by government agencies and improve the public perception of government performance” (Ejigiri 1994, p57). Similar to the comments made above, the unexpectedly high improvements of some/all of these intangibles involving the AWU’s dealings with external entities may be attributed to the concept of “non-scarcity” (Lev 2001, p23);
- Stakeholder 3 (the Idea Owner and Project Sponsor’s delegate) identified the greatest number of expected intangible project outcomes and was the only stakeholder to describe Project ARP intangible outcomes in terms of how they aligned with the AWU’s strategic direction;
- Stakeholder 4 (the Project Manager) was the only stakeholder to make a distinction between project outcomes and business outcomes, with the project being responsible for delivering the former and business representatives assigned to the project responsible for delivering the latter. Having made the distinction, the Project Manager placed their focus on expected intangible project outcomes e.g. expected process outcomes related to project management processes;

- Stakeholder 5 (Land Development Acceptance Tester) described unexpected intangible outcomes in negative terms as shortfalls of expected outcomes, in contrast to their Land Development Officer peers Stakeholders 1 and 2 who were assigned to the project as Land Development Subject Matter Experts, who described expected intangible outcomes as having been either achieved or over-achieved. Based on this information it can be proposed that the longer term involvement of Stakeholders 1 and 2 may have led to them having more realistic expectations than those held by Stakeholder 5. Or conversely, it may be argued that Stakeholder 5 had the most realistic assessment of the three Land Development Officers. Whichever proposal is correct, suffice to say that based on the differences of opinion expressed by Stakeholder 1, 2 and 5, like project stakeholders may hold different opinions of intangible project outcomes due to one or more of the following; the type of project role assigned to them, the project stage at which they are assigned to the project, the duration of their assignment to the project, the percentage of their working time assigned to their project role.

When assessing the quality of action research cycle 1 according to whether the research participants benefited from the “encounter” (McNiff & Whitehead 2002, p19), the author proposes that the research quality of this action research cycle is demonstrated by the learning benefits gained by the author as a research participant.

#### *4.2.3.7 Action Research Step 7 – Amend Action Plan*

##### Action Research Step 7 – Combined Problem Solving and Research Interest – Amend Action Plan and return to Step 4

Action research cycle 1 involving Project ARP was completed during the course of action research cycle 2 involving the VRAS Project Resolve being conducted. Therefore the author decided to use the evaluation of action research cycle 1 involving the AWU Project ARP as an input to the process for amending the action plan and action steps to be implemented in action research cycle 3.

Refer to section 4.3.3.8 in section 4.3 Action Research Cycle 2 – VRAS Project Resolve for details.

### **4.3 Action Research Cycle 2 – The Victims Referral and Assistance Service - Project Resolve**

#### **4.3.1 Action Research Cycle 2 – The Project Organisation**

The Victims Referral and Assistance Service (VRAS) was established on 1 July 1997 as a Victorian State Government Department of Justice agency with the mission “To assist victims of crime to overcome the negative effects of their experiences resulting from crime” (Victims Referral and Assistance Service 2002, p4) by serving as the single central referral and advice agency (Victims Referral and Assistance Service 2002, p4); linking “the wide variety of people who can impact upon victims of crime” including “support agencies and community organisations, lawyers, police officers, correctional service agencies, academics, bureaucrats and administrators” (Victims Referral and Assistance Service 2002, p1).

The Director, VRAS agreed to the agency participating in the author’s research study, without a need for organisational anonymity. However, individual VRAS stakeholders did request anonymity, so the agency is referred to by name and individual project stakeholders are not.

According to the VRAS model, “a victim of crime is a person who has suffered harm because of a criminal act. Harm can mean physical injury, emotional trauma, or financial loss. The crime may be reported to police or not” (Victims Referral and Assistance Service 2002, p4).

VRAS comprised three main components – “the Victims Helpline, Victims Counselling Service and Regional Projects” (Victims Referral and Assistance Service 2002, p2) and specialist projects (e.g. supporting victims of the October 2002 “Bali Bombing”).

The Victims Helpline “staffed by an equivalent full-time total of sixteen Victim Service Officers (VSOs)” (Victims Referral and Assistance Service 2002, p5-6) took 56,000 calls from mid 1999 to mid 2000 (Victims Referral and Assistance Service 2002, p12). VSOs are university graduates with “qualifications predominantly in criminology, social science, social work or psychology” and are provided access to an integrated set of databases comprising (Victims Referral and Assistance Service 2002, p5-6) :

- Qmaster – a telephone answering system that ensured no victim of crime calling VRAS got an ‘engaged’ signal or was put on hold when they called, instead if all VSOS were busy, a signal alerted another staff member to pick up the incoming call;
- Case Management System (CMS) – the system used by VSOs to record details related to the crime and the victim whilst speaking to the victim on the phone;
- Infocom – a database of referral agencies that VSOs may refer victims of crime to, including approved counsellors, domestic violence agencies, specialist and government agencies within Victoria and interstate;

- Oracle Financials – the financial recording system used to record payments to referral agencies, cross-referenced to a victims record in CMS.

According to the Director, VRAS personnel had a clear understanding that the agency provided its stakeholders, including staff, clients and Department of Justice management with a combination of tangible and intangible benefits. So, the Director considered participation in the author's research study as a means of providing an opportunity for VRAS personnel to focus upon and learn about VRAS intangibles.

#### ***4.3.2 Action Research Cycle 2 – The Problem Solving Project***

The Director of VRAS nominated Project Resolve as the problem solving project to be included within an exploratory action research cycle. Project Resolve comprised two parallel sub-projects – the Case Management System upgrade and the Infocom database upgrade.

The project had commenced in mid 2002 and was due to be completed by mid 2003. The author was introduced to the Director, VRAS in December 2002 and commenced working with the Project Resolve Project Manager and their Project Management Coach during the same month.

#### ***4.3.3 Action Research Steps – Action Research Cycle 2 – VRAS Project Resolve***

##### ***4.3.3.1 Action Research Step 1 – Identification***

##### **Action Research Step 1 – Problem Solving – Identify problem**

VRAS was required by the Department of Justice (DoJ) to manage projects according to the PRINCE2 project management methodology, including Project Resolve the purpose of which was to upgrade the Case Management System and accompanying Infocom database.

As described in Chapter 2 of this dissertation, PRINCE2 uses Product Descriptions to define project inputs and outputs “physical or otherwise” (Office of Government Commerce 2002, p6). To date, the definition of tangible Project Resolve project products had proved to be relatively straightforward, however the Project Manager and Project Executive Board were finding it considerably more difficult to use PRINCE2 Product Descriptions to define and document expected intangible project products.

Therefore the problem that needed to be solved was the definition and documentation of Project Resolve intangible project products, so that the development of these products could be integrated into the Project Resolve project plan.

#### Action Research Step 1 – Research Interest – Identify research interests

The research question of *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?* was applied to action research cycle 2 with the aim of using PRINCE2 Product Descriptions to define and align intangible project outcomes (PRINCE2 products) with tangible project products (also PRINCE2 products).

#### *4.3.3.2 Action Research Step 2 – Reconnaissance*

##### Action Research Step 2 – Problem Solving – Reconnaissance of problem context

Information about VRAS and Project Resolve (as included above as the introduction to this action research cycle) was gained from VRAS publications and a series of planning meetings conducted with the Project Resolve Project Manager and their Project Management Coach. Formal Project Resolve project planning documentation (e.g. Business Case) was scarce because the Director, VRAS had made an independent executive decision to proceed with the project, without gaining Authority to Proceed approval from Department of Justice management. The Director, VRAS had made this decision based on the political situation within the Department, gaining informal approval (or rather no formal disapproval) to proceed after the commencement of the project.

##### Action Research Step 2 – Research Interest – Reconnaissance of relevant literature.

A detailed Literature Review was conducted of the PRINCE2 project management methodology and PRINCE Product Descriptions, with the result being an understanding that PRINCE2 Product Descriptions are intended to be used to describe tangible and intangible project products, with the products comprising either project outputs or inputs. So, for the purposes of action research cycle 2, it was understood that PRINCE2 Product Descriptions would support the research intention since these Product Descriptions were intended to be used to describe intangible project products that were outputs of the project, with the methodology permitting tailoring of Product Descriptions to meet the purposes of the project; in this case, Project Resolve.

#### *4.3.3.3 Action Research Step 3 – Planning*

##### Action Research Step 3 – Problem Solving - Planning the problem solving activity

As a result of the series of planning meetings that included the Project Resolve Project Manager, their Project Management Coach and the author, it was agreed that groups of like stakeholders would be asked to define their expected intangible project products in a series of structured meetings scheduled by the Project Resolve Project Manager and conducted by the

author, with the author responsible for documenting the meeting outcomes in the form of PRINCE2 Product Descriptions.

The five (5) groups of like stakeholders identified, were :

1. The Information Technology Team;
2. The Administration Team;
3. Users of Management Reports;
4. Victim Support Officers (VSOs);
5. The Project Resolve Project Manager and their Project Management Coach.

It was expected that the stakeholder meetings would be conducted during February 2003, along with the author's write-up of stakeholder meeting outcomes.

As per action research cycle 1, the author's role as the (interview) facilitator is consistent with the action research literature reviewed in Chapter 3 of this dissertation that describes the researcher-facilitator role as that of a "process guide" (Straus 2002, p118) who "does not need to be an expert in the context of the issue" (Straus 2002, p71); and as such a role that provides organisations with a means of creating "opportunities for everyday research" (McClintock, Ison & Armson 2003, p721) "where understandings can emerge" (McClintock, Ison & Armson 2003, p723). Profiles of each stakeholder group are included as Appendix 11.

#### Action Research Step 3 – Research Interest - Planning the research project

It was the author's responsibility to define the structure of stakeholder meetings and the PRINCE2 Intangible Product Description template.

Stakeholder meetings were planned as a walkthrough of the table of questions titled A Stakeholder's Expectations of Intangible Project Products, included as Appendix 12. This table is derived from the categories of currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001) i.e. leadership, communication, culture/values, innovation, relationship, learning, processes, reputation and trust.

The PRINCE2 Product Description template was drafted with reference to the PRINCE2 literature review and is included as Appendix 13.

#### *4.3.3.4 Action Research Step 4 – Define Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest Steps

The planned action steps comprised the following :

During January 2003

- The Project Resolve Project Manager to introduce the action research problem solving project to VRAS staff members by sending an introductory email message to team leaders of each of the stakeholder groups and following up on the email message with brief face to face meetings with the same team leaders to clarify the purpose, format etc of the action research problem solving project;
- The Project Resolve Project Manager to work with each team leader to book a suitable one hour time slot for the author to meet with team members.

During February 2003

- The author to conduct each scheduled meeting of like project stakeholders according to a structured format, starting with author and stakeholder introductions, followed by the signing of participant consent forms and a walkthrough of the table included as Appendix 12, asking stakeholders to define their expected intangible project products;
- The author to document meeting outcomes as PRINCE2 Product Descriptions using the Intangible Product Description template (included as Appendix 13);
- The author to provide the write-up of meeting outcomes to meeting participants for review and comment;
- The author to finalise the write-up of meeting outcomes;
- The author to review the finalised write-up of meeting outcomes with the Project Resolve Project Manager and their Project Management Coach.

#### *4.3.3.5 Action Research Step 5 – Implement Action Steps*

##### Action Research Step 5 – Combined Problem Solving and Research Interest Step

The action steps were implemented as follows :

- It was intended that the Project Resolve Project Manager contact each of the five stakeholder groups during January 2003, however this activity took longer than planned, with the introductory activity extending into February 2003;
- Whilst it was expected that there would be five (5) stakeholder meetings – one per stakeholder group, there actually ended up being eight (8) stakeholder meetings – four (4) as planned with the Information Technology Team, Victim Support Officers

(VSOs), the Administration Team and the Project Resolve Project Manager and their Project Management Coach, with an additional four (4) meetings with the three (3) individual Users of Management Reports and the VSO Helpline Manager. The reason for the separate meetings with the Users of Management Reports was that they each had different reporting needs and therefore it was not considered a good use of their time to sit and listen to each other's needs within the same meeting. The VSO Helpline Manager requested a meeting separate from their team members so that the VSO team members had the opportunity to speak frankly without their manager being present. In addition, due to VRAS business pressures outside of Project Resolve, the meetings with the Administration Team and VSO team members were rescheduled a number of times.

A total of sixteen (16) Project ARP stakeholders were involved in the eight (8) project stakeholder meetings - Information Technology Team = 3, Administration Team = 4, Users of Management Reports = 3, VSO Helpline Manager = 1, VSOs = 3, Project Resolve Project Manager & Project Management Coach = 2;

- Whilst it was planned that all stakeholder meetings would be conducted during February 2003. due to VRAS business pressures outside of Project Resolve, the stakeholder meetings were conducted from February 2003 through to early April 2003.
- The first stakeholder meeting (with the Project Manager & Project Management Coach) commenced as planned with an introduction and signing of participant consent forms. However, it became evident very quickly that the walkthrough of the table of planned questions (as per Appendix 12) was going to be far too time consuming and more importantly, stakeholders' replies to initial questions were found to address multiple planned questions, making many of the remaining planned questions, redundant. The format of the table included as Appendix 12 did not fit in with the way in which stakeholders' defined intangible project products. Therefore the table of planned questions was abandoned early on since it obstructed the process. Instead the dialogue between the author and project stakeholders became less structured, focusing instead on the column headings of the table that comprised the categories of currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001). Near the end of each subsequent hour long stakeholder meeting, the table of planned questions (included as Appendix 12) was

used to cross-check meeting outcomes to ensure sufficient coverage of the topic of intangible product products.

As per action research cycle 1, the author justified making changes part way through Implementation based on their understanding that exploratory research relies upon a researcher's willingness to change direction "as a result of new data that appears and new insights that occur" (Saunders 2003, p97), without undue concern for the original plan (Kemmis & McTaggart 1992, p77);

- As planned, the author documented meeting outcomes as PRINCE2 Product Descriptions. However, the actual time required to do so was far longer than estimated. Each of the eight (8) stakeholder meetings generated a report of meeting outcomes; resulting in a total of thirty six (36) Intangible Product Descriptions (refer Appendix 14 for an example).

An additional complicating factor was that different stakeholders defined the same expected outcome in different terms. For example, the expected outcome of IT Coordinator Learning was defined by the Director, the Helpline Manager and the IT Coordinator themselves. The Director defined the IT Coordinator Learning outcome in terms of improved project leadership and management, team leadership and management, delegation skills, meeting management, negotiation skills and participation in the VRAS Management Team. The Helpline Manager defined the same expected outcome of IT Coordinator Learning in terms of improved communications, scheduling/timetabling, stakeholder management, leadership and negotiation. The IT Coordinator defined their expected Learning outcome in terms of improved skills in the areas of project management, project communications, supplier management, succession planning, contract management and negotiation. So, all three stakeholders certainly defined the expected outcome in similar, if not identical terms. At this point in the process, the author considered it inappropriate for them to be responsible for reconciling and prioritising the different definitions of the same expected outcome. They considered that this was more appropriately done by stakeholders working together to define an outcome. It was also expected that it would both take less time, and prove more accurate for multiple stakeholders to jointly define an outcome, rather than to do so independently and then rely upon the facilitator to reconcile the individual definitions.

- The initial version of the Product Description template was found to be lacking and as a consequence was revised (as per the sample Intangible Product Description included as Appendix 14), further adding to the author’s write-up workload;
- As planned, the author provided the write-up of stakeholder meeting outcomes to each individual/group of relevant stakeholders to review and provide feedback. In addition to reviewing the documented meeting outcomes, the author also asked stakeholders to assign an ‘importance rating’ (from 1 = Very Low Importance through to 5 = Very High Importance) to each documented Intangible Product Description to assist the author to prioritise the thirty six (36) Intangible Product Descriptions.
- As planned, the author updated the meeting outcome reports with stakeholders’ review feedback. Based on reviewers’ assigned ‘importance ratings’, the author used simple arithmetic to calculate average ratings per intangibles category. However, this was considered too simplistic an approach for prioritising the intangible project product descriptions;
- The thirty six (36) Intangible Product Descriptions relate to the seven key categories of currently relevant intangibles (defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001) listed in Table 4-1, with each intangible category having an average stakeholder importance rating, as listed.

**Table 4-1 - Count of Expected Project Resolve Intangible Products**

<b>Intangible Category</b>	<b>No. of Product Descriptions</b>	<b>Average Stakeholder Importance Rating 1 – very low importance to 5 - very high importance</b>
Leadership	2	5
Relationships & Communication	4	4
Culture/Values	6	4.17
Innovation	4	4.5
Learning	8	4.5
Processes	4	3.25
Reputation & Trust	8	4.75
Overall	36	4.31

The average importance rating assigned by project stakeholders, of four (4) or greater, to six (6) of the seven (7) intangible categories indicates that overall, intangible project products were considered important.

The ranking of intangible categories in descending order of the number of product descriptions and average importance ratings is included as Table 4-2.

Table 4-2 - Ranking the Number of Project Resolve Intangible Product Descriptions

Ranking	Number	Descending order of Number of Product Descriptions	Descending order of Average Importance Ratings	Rating
1.	8	Learning, Reputation & Trust	Leadership	5
2.	6	Culture/Values	Reputation & Trust	4.75
3.	4	Processes, Innovation, Relationships & Communication	Innovation, Learning	4.5
4.	2	Leadership	Culture/Values	4.17
5.			Relationships & Communication	4
6.			Processes	3.25

These contrasting lists indicate that the number of individual stakeholder comments per intangible category could not be considered to be an indication of the average importance of an intangible category;

- In the process of finalising the combined report to be presented to the Project Resolve Project Manager and their Project Management Coach, it became evident that there was a clear relationship between intangible project products and tangible project products. So, the author drafted two additional unplanned cross reference tables. The first table cross-referenced intangible project product descriptions to tangible project products (Refer Appendix 15 for a sample excerpt) and the second similarly formatted table cross referenced intangible project product descriptions to tangible operational (non-project) products. This finding in regard to intangible project outcomes is consistent with the UK Treasury Department's Green Book which describes outcomes being able to be expressed in terms of outputs which are "the results of activities that can be clearly stated or measured" and relate "in some way" to the desired outcomes (HM Treasury 2003, p13).
- As planned, the author reviewed the finalised write-up of all combined stakeholder meeting outcomes with the Project Resolve Project Manager and their Project Management Coach. However, this occurred in late May 2003, rather than in late February 2003 as expected, due to five (5) main reasons. Firstly, due to the larger number of stakeholder meetings (eight (8), instead of five (5)), secondly because meetings were re-scheduled a number of times, thirdly because external VRAS business pressures led to the stakeholder meetings being held over an extended period of time, fourthly because the Intangibles Product Description template needed to be revised and lastly because of the extended period of time required to document meeting outcomes, including the Intangible Product Descriptions and cross reference tables.

#### *4.3.3.6 Action Research Step 6 – Reflection*

##### Action Research Step 6 – Problem Solving - Reflect upon problem solving efficacy

Overall, the problem was solved – PRINCE2 product descriptions were able to be used to define and document intangible project products.

However, the process of doing so had a number of practical shortcomings. The time required to write-up stakeholder meeting outcomes was not tenable in a real-life project situation, where the time to complete the documentation activities took far too long for the Intangible Project Product Descriptions to be of practical use as project planning inputs. Another major shortcoming of the process was that it did not adequately capture the prioritisation of intangible project product descriptions.

When assessing the quality of action research cycle 2 according to whether the research participants benefited from the “encounter” (McNiff & Whitehead 2002, p19), the author proposes that the problem solving quality of this action research cycle was mixed, in that the problem solving criteria were partially met by PRINCE2 product descriptions being able to be used to define and document intangible project products, but not within a practicable period of time.

##### Action Research Step 6 – Research Interest - Reflect upon research interests

Project stakeholders had little if any problem articulating their expectations regarding intangible project products. The issue did not seem to be their inability to describe their expectations, rather the method for gaining this information from them.

As per the problem solving observations, the action steps resulted in the author having to do far more work than anticipated in too long a time to be practicable.

In summary, the process for facilitating project stakeholders’ definition of intangible project products required considerable revision.

When assessing the quality of action research cycle 2 according to whether the research participants benefited from the “encounter” (McNiff & Whitehead 2002, p19), the author proposes that the research quality of this action research cycle is demonstrated by the learning benefits gained by the author as a research participant.

#### *4.3.3.7 Action Research Step 7 – Amend Action Plan*

##### Action Research Step 7 – Combined Problem Solving and Research Interest – Amend Action Plan and return to Step 4

Similar to a project Lessons Learned activity, the author, Project Resolve Project Manager and their Project Management Coach identified key aspects of the action plan that were worth repeating and those that required amendment.

Aspects of the action plan worth repeating were :

- Stakeholders being provided with introductory information;
- Stakeholders being provided with a reference list of intangibles as a basis for discussion.

Noted action plan amendments included :

- A reduced number of stakeholder meetings;
- Stakeholder meetings needing to be semi-structured in order to provide sufficient balance between defining expected intangible project products sufficiently well, fitting the discussion within an allotted time frame (i.e. a meeting agenda) whilst also providing stakeholders with sufficient flexibility to describe project specific aspects of intangible project products;
- The format used to write-up project stakeholder meeting outcomes needed to be simplified so that it took less time to complete;
- The method for rating the importance of intangible product descriptions needed to be improved.

#### *4.3.3.8 Action Research Step 4 – Redefine Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest – Redefine Action Steps

With action research cycle 1 involving the AWU Project ARP (Automatic Referral Process) having been completed during the course of conducting action research cycle 2 involving the VRAS Project Resolve and both action research cycles having converged “on the same set of facts or findings” (Yin 1994, p78), the evaluation of action research cycle 1 was combined with the evaluation of action research cycle 2.

The result being the following redefinition of the Action Steps to be applied in action research cycle 3 :

1. Develop an introductory PowerPoint slide pack to use as the basis of introductory meetings with Project Sponsors and Project Stakeholders;
2. Meet the Project Sponsor or their delegate (e.g. Project Manager) to discuss the combined problem solving and research objectives of defining and documenting intangible project outcomes. The expected outcomes of this meeting are :
  - Agreement that the definition of expected intangible outcomes is important to a project;
  - Identification of a problem solving project;
  - An identified list of project stakeholders;
  - A tentatively agreed date, time and place for an introductory meeting between the researcher and project stakeholders to discuss and review the combined problem solving and research objectives of defining and documenting intangible project outcomes.
3. Conduct the introductory stakeholder meeting to discuss and review the combined problem solving and research objective of defining and documenting intangible project outcomes. The expected outcomes of this meeting are
  - Common agreement amongst the project stakeholders and the researcher that intangible outcomes are important to the project;
  - An agreed time, place and duration of a stakeholder workshop to define intangible project outcomes;
4. Conduct the stakeholder workshop to identify, prioritise and describe expected intangible project outcomes by
  - i. Listing planned tangible project outputs;
  - ii. Listing and Prioritising intangible project outcomes, based on the categories of currently relevant intangibles defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001) i.e. leadership, communication, culture/values, innovation, relationship, learning, processes, reputation and trust.
  - iii. In order of priority, describe each intangible outcome in terms of a profile that comprises
    - Outcome Title
    - Outcome Identifier
    - Short Description

- Benefit Description
- Presentation
- Associated Tangible Outputs
- Dependencies

The focus upon prioritising intangibles, defining the means of assessment and describing what (tangible outputs) needs to be done to improve the performance of priority intangibles is consistent with the approaches recommended in the intangibles related literature reviewed in Chapter 2 of this dissertation, including the step-wise approach recommended by Low and Kalafut (Low & Kalafut 2002, p213-219) to

1. Determine the Priority Intangibles for your Business;
2. Decide on Metrics for the Priority Intangibles
3. Create a Baseline and Benchmark it against the competition;
4. Undertake Initiatives to Improve the Performance of Priority Intangibles
5. Communicate far and wide to demonstrate a clear understanding of the intangible value drivers; mitigating stakeholder suspicions and scepticism (Low & Kalafut 2002, p91).

In addition, the use of a stakeholder workshop to identify project outcomes is consistent with

- the benefits management literature described in Chapter 2 of this dissertation that describes “The literature (as) strongly support(ing) [...] workshops with stakeholders as a technique of identifying project benefits” (Bennington & Baccarini 2004, p24);
  - the public sector environment literature described in Chapter 2 of this dissertation which describes the public sector environment as requiring processes and time to effectively reconcile and synthesise multiple stakeholder perspectives of services to be provided (Donnelly 1999, p51).
5. Following the stakeholder workshop, document the workshop outcomes, as a summary workshop report comprising
    - An Executive Summary;
    - An Introduction;

- A tabulated form per priority intangible outcome as per Figure 4-1

Title		Outcome I.d.	
Short Description			
Benefits	Presentation	Dependencies	Tangible Outputs

Figure 4-1 - Intangible Outcome Form

- A summary table (Figure 4-2), cross-referencing Intangible Project Outcomes to Tangible Project Outputs. With the list of Tangible Project Outputs including planned Tangible Project Outputs identified during the workshop and also as yet unplanned Tangible Project Outputs identified as a result of the researcher’s analysis of workshop outcomes;

Intangible Outcome	Intangible Description		Tangible Outputs							
	I.d.	Title	TO1	TO2	TO3	TO4	TO5	TO5	TO6	
<i>e.g. Innovation</i>										
<i>e.g. Leadership</i>										

Figure 4-2 - Intangible Project Outcomes/Tangible Project Outputs Cross-Reference

- A table cross-referencing Intangible Project Outcomes to Tangible Operational (non-project) Outputs. With the list of Tangible Operational Outputs including planned Tangible Project Outputs identified during the workshop that need to be perpetuated after completion of the project (e.g. ongoing commitment to maintenance and support contracts) and also those Tangible Operational Outputs that are currently unplanned, but identified as a result of the researcher’s analysis of workshop outcomes.

The cross-reference tables mapping multiple outputs to one or more outcomes is consistent with the literature that describes the potential for one output to influence

multiple outcomes (Department of Finance and Administration 2003d). In addition, these cross-reference tables implement the practice advocated by Cooke-Davies and described in Chapter 2, to define “which deliverable makes which benefits available” (Cooke-Davies 2001, p2). In addition, the explicit cross-referencing of outcomes and outputs addresses the situation described in Chapter 2 of this dissertation, where the relationship between outputs and outcomes is a “matter of judgement” (Department of Finance and Administration 2003a, p4).

6. Review the Workshop Summary report with the Project Sponsor, their delegate and/or the project stakeholders, especially with regard to the currently unplanned tangible project and operational outputs cross-referenced to intangible project outcomes i.e. tangible outputs that delivery of intangible project outcomes was somewhat dependent upon. Assist the Project Sponsor and/or their delegate to define the Next Steps for implementing the combined problem solving and research findings.

#### **4.4 Summary**

This chapter described how an action research methodology comprising the dual parallel cycles of problem solving and research was applied in a step-wise manner to two (2) exploratory action research cycles to address the research question of *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?*

For action research cycle 1, the problem solving cycle for Project ARP was addressed to the satisfaction of the Australian Water Utility (AWU), but not to the satisfaction of the author’s research interest.

For action research cycle 2, the problem solving cycle for Project Resolve at the Victims Referral and Assistance Service (VRAS) was partially addressed and hence did not satisfy the author’s research interest.

As a result the action steps for action research cycle 3 have been substantially revised.

These exploratory action research results are consistent with the action research literature which suggests that action researchers should not expect “immediate and substantial ‘success’” from their initial stages of reflection. Instead they should be prepared to learn what needs to be done to deliver a successful result and plan to act on these learnings (Kemmis & McTaggart 1992, p87). With it being “quite usual to make substantial changes” (Kemmis & McTaggart 1992, p89) in light of actual events (Brook 2004, p6), during the early cycles of action research, with a “firmer sense of direction” developing through the

successive cycles of action research (Kemmis & McTaggart 1992, p89). With the action research spiral being repeated until “the desired improvements to practice are achieved” (Earl-Slater 2002, p133) and the researcher’s resilience demonstrated by their “ability to bounce back after setbacks and to remain focused on a goal, yet to be adaptable enough to modify how the goal is to be achieved” (Steane & Burton 2004, p1).

The following chapter will describe the remaining three major cycles of action research.

## **5 Major Action Research Cycles 3, 4 & 5**

### **5.1 Introduction**

As introduced in Chapter 3, Figure 3-4 provides an overview of the action research cycles conducted by the research study described in this dissertation.

The first two (2) exploratory action research cycles described in Chapter 4, resulted in the definition of a step-wise process for project stakeholders to collaboratively define and align intangible project outcomes with tangible project outputs, using a small number of document templates including an outcome profile and cross-reference tables that map intangible project outcomes to corresponding tangible project and operational outputs.

The purpose of this chapter is to describe how the results of the initial two (2) exploratory action research cycles were applied using the dual cycles of action research described in Figure 1-3 to the latter three (3) major action research cycles comprising the problem solving projects of the CYPRASS project with Victoria Police, the Youth Friendly Health Services (YFHS) project with the Campaspe Primary Care Partnership and the Aboriginal Community Liaison Officers (ACLOs) Feasibility Study with Victoria Police.

The CYPRASS project, Youth Friendly Health Services (YFHS) project and Aboriginal Community Liaison Officers (ACLOs) Feasibility Study share a number of similarities, primarily that they are pro-active, preventative, multi-agency, public sector driven community service projects with a particular focus on crime prevention (the CYPRASS and ACLOs projects) and health promotion (the Youth Friendly Health Services project).

The remainder of this chapter comprises four sections, one describing each of the three major action research cycles (including relevant qualitative and quantitative validation exercises), followed by a chapter summary.

### **5.2 Action Research Cycle 3 – The CYPRASS Project**

#### **5.2.1 Introduction**

The problem solving project for action research cycle 3 is the CYPRASS (Campaspe Young Persons Referral and Support Scheme) project nominated by the Police Commander of the Community and Cultural Division of Victoria Police. Victoria Police is one of the agencies which reports through to the Department of Justice (DoJ) within the Victorian state government in Australia.

Victoria Police did not require anonymity in the author's doctoral dissertation, however did require the author to note that the views of participating members of Victoria Police are

personal in nature and are not necessarily representative of Victoria Police in general (Poznanski 2005, p3).

The following sections describe the top-down alignment between Victorian state government policy, Victoria Police services, Community and Cultural Division outputs and the CYPRASS project.

## **5.2.2 The Project Organisation**

### *5.2.2.1 Victorian State Government*

As introduced in Chapter 2, the Victorian state government has defined an intentionally broad framework titled “Growing Victoria Together” which links the issues of importance to Victorians, the priority actions that strategic government needs to take and the measures to show progress (Department of Premier and Cabinet 2003, p3).

With the three key Victorian state government priorities being to (Bracks quoted in Department of Premier and Cabinet 2003, p2) :

1. Provide decent and responsible government;
2. Get the basics right – good schools, quality health care, more jobs, safe streets;
3. Lead the way to a between Victoria with education and lifelong learning as the key.

### *5.2.2.2 Victoria Police*

The Victoria state government comprises a number of government departments including the Department of Justice which “provides services to six ministerial portfolios : Attorney-General, Police and Emergency Services; Corrections; Consumer Affairs; Racing and Gaming” (Public Accounts and Estimates Committee 2003, p320). For the 2002 – 2003 financial year, 92.25% of the annual budget of the Police and Emergency Services portfolio was assigned to Victoria Police (Public Accounts and Estimates Committee 2003, p340), amounting to \$1,208.9 million dollars (Corporate Improvement Unit 2003a, p18) of the total portfolio budget of \$1,310.4 million (Public Accounts and Estimates Committee 2003, p340). “By June 2002 Victoria Police employed more than 12,500 people including Police, Public Servants, Forensic Officers, Reservists and Protective Security Officers to serve a Victorian population of 4.8 million” (Victoria Police 2002, p2).

With reference to the Victorian state government’s policy of “Growing Victoria Together”, “Victoria Police has an important contribution to make in partnership with other departments, organisations and the community to focus on *‘safe streets, homes and*

workplaces’ and ‘building cohesive communities and reducing inequities’” (Corporate Improvement Unit 2003a, p7). With the Victoria Police contribution to the state government policy defined by its four strategic goals, to (Victoria Police - Office of Deputy Commissioner 2003,p1)

1. “Reduce the road toll and incidence of road trauma;
2. Increase community safety and the community's belief in its own safety;
3. Reduce the crime rate and the fear of crime;
4. Increase customer satisfaction”.

The relationship between “Growing Victoria Together” and the four Victoria Police strategic goals is illustrated in Figure 5-1.

Government Outcomes	<b>Growing Victoria Together Delivering a Safer Victoria</b>			
Key Performance Measures	Reduced Crime Rate	Reduced Road Toll & Trauma	Community Perception of Safety	Customer Satisfaction
Outputs	↑ Investigating Crimes	↑ Targeting Driver Behaviour	↑ Responding to Calls for Assistance	↑ Community Confidence
	Police Court & Custody Services		Diversion & Support Programs	Partnership Policing

Figure 5-1: Victoria Police Alignment of Police Services and Government Outcomes (Corporate Improvement Unit 2003a, p7)

The (then) Minister for Police and Emergency Services described the Victoria Police strategy as being “well connected to both whole of government and whole of community approaches” involving “an emphasis on establishing stronger community partnerships to achieve a safer Victoria and improve our quality of life” (Haermeyer quoted in Corporate Improvement Unit 2003b, p4). Although, consistent with the Victorian state Auditor-General’s comments regarding the partial implementation of the state government Performance Management and Reporting Framework included in Chapter 2, the state government Public Accounts and Estimates Committee describes the Victoria Police framework as a positive development with “scope for improvement” (Public Accounts and Estimates Committee 2003, p345-346).

The four key value areas of Victoria Police supporting the four strategic goals are listed in Table 5-1 (Corporate Improvement Unit 2003a, p1, p10-15).

Table 5-1- Victoria Police Key Value Areas

Num-ber	Value Area	Description
1	Intelligent policing	A pro-active data-driven problem-oriented response based on evidence.
2	Confident Policing	Strongly motivated and innovative, enabling “a management style that aims to create police as community leaders who are capable ethical and high performing”
3	Community Policing	Responses tailored to local community needs
4	Partnership Policing	Development and strengthening of partnerships with agencies and other groups to deliver common community safety outcomes.

### 5.2.2.3 Victoria Police Community and Cultural Division

The Community and Cultural Division within Victoria Police delivers a large number and a wide variety of community policing projects and programs. These operational responsibilities combined with the Victoria Police four (4) key values of intelligent policing, confident policing, community policing and partnership policing have a high intangibles ‘quotient. Therefore, an issue being faced by the Community and Cultural Division was how to improve its identification and definition of intangible project outcomes and how to integrate the delivery of these outcomes by its projects. Of additional relevance to the author’s research interest, is that coincident with this, Victoria Police also had “a new project management focus” (Nixon quoted in Victoria Police 2002, p5).

The mission statement of the Victoria Police Community and Cultural Division is (Victoria Police - Office of Deputy Commissioner 2003,p6) "To provide integrated strategic support to enhance community safety and security in accordance with Local Priority Policing". With the mission being accomplished by the Community and Cultural Division "provid(ing) consultancy and support to operational service delivery through police working with their local community" (Victoria Police - Office of Deputy Commissioner 2003,p9) by drawing upon information "founded on the philosophies of crime prevention and community participation and engagement". (Victoria Police - Office of Deputy Commissioner 2003,p9). The Division's desired outcome of the consultancy and support it provides, is for the knowledge, theories and strategies underpinning proactive community policing to be included into "the everyday repertoire of all Victoria Police members" (Victoria Police - Office of Deputy Commissioner 2003,p9).

At the time of the author’s research study being conducted in 2003, the Division was considered to be in an "enviable position" (Victoria Police - Office of Deputy Commissioner 2003,p9), because the work it had "undertaken for numerous years, that is community consultation, liaison and proactive crime prevention, which has often been

viewed as an adjunct to traditional policing responses, is now recognised as a component of the preferred service delivery model for Victoria Police" (Victoria Police - Office of Deputy Commissioner 2003,p9).

### ***5.2.3 The Problem Solving Project***

The CYPRASS (Campaspe Young Persons Referral and Support Scheme) project is one of the projects undertaken by the Community and Cultural Division and is considered a good example of relevant Victoria Police strategic goals and key values "in action" (Victoria Police - Office of Deputy Commissioner 2003,p11).

The CYPRASS project was established in response to concerns expressed by a number of agencies and services about the large number of young people attending the local Children's Court and the apparent waste of human resources and potential involved in dealing with young people through the Justice system (CYPRASS Management Committee 2003). The CYPRASS project is based in Echuca, a regional Australian town with a population of 10,000 people, located in the Shire of Campaspe in the central north of the state of Victoria, approximately 220 kilometres (140 miles) north of the state capital city of Melbourne (Tourism Victoria 2005). The project was launched in March 2002 by Police Chief Commissioner Christine Nixon and Children's Court Victoria Judge Jennifer Coates (CYPRASS Management Committee 2003).

The CYPRASS project is based on international and national research findings into early intervention and social capital and was developed collaboratively by Victoria Police and representatives from state and local government agencies, and is now managed by a Management Committee comprising representatives from these groups. (Victoria Police - Office of Deputy Commissioner 2003,p12). The Management Committee has actively fostered a network of relationships with referral agencies (to whom at risk youth are referred for assistance), local businesses and community groups (Victoria Police - Office of Deputy Commissioner 2003,p12).

The referral process is initiated by police officers working in the Shire of Campaspe when a young person comes to their notice. With the permission of the young person and/or their legal guardian, the police officer completes a standard Referral Form identifying the young person's 'at risk' profile. Based on this profile, the police officer refers the young person to a local agency capable of helping address the 'at risk' factors. The agency then provides the appropriate service to the young person within seven (7) days. The CYPRASS project also

includes a Community Mentoring Program and is associated with the regional Juvenile Justice Group Conferencing Program.

With reference to the alignment of the Victoria Police strategy with the Victorian state government’s policy of “Growing Victoria Together”, the CYPRASS project addresses the two key outputs of Diversion and Support Programs and Partnership Policing as depicted in Figure 5-2.



Figure 5-2 - Alignment of the CYPRASS project with the strategic goals of Victoria Police and Victoria State Government (adapted from Corporate Improvement Unit 2003a, p7)

The output of Diversion and Support Programs focuses upon “preventing crime, supporting victims of crime, and using a range of alternative measures to divert low-risk offenders from custodial sentences to appropriate community supervision and treatment orders” (Public Accounts and Estimates Committee 2003, p349). The output of Partnership Policing is intended to integrate the Victoria Police approach to crime and violence prevention with community safety strategies through “the development of sustainable partnerships and relationships with other agencies and local communities” (Corporate Improvement Unit 2003b, p6), with “everyone – not just the police – being responsible for tackling the problems that affect community safety”. (Corporate Improvement Unit 2003b, p16).

The CYPRASS project is a Diversion and Support Program and the membership of the CYPRASS Management Committee comprises representatives of the organisations listed in Table 5-2, demonstrating the Victoria Police commitment to Partnership Policing.

Table 5-2 - CYPRASS Project Management Committee Organisations

Victoria Police	Shire of Campaspe	St Luke's Family Care
Community Corrections	Centre Against Sexual Assault	West Goulburn Community Health
Dept of Human Services – Juvenile Justice	Community Projects e.g.: Viticulture	Campaspe Murray Community Care
Local Schools	Employment Brokers	Victoria Legal Aid
Finding Yourself Program		St Vincent de Paul

With reference to the Literature Review included in Chapter 2 of this dissertation, the clear alignment between the CYPRASS project, Victoria Police strategic goals and state government policy confirms the ability of projects to implement strategy by supporting the ‘flow’ and ‘cascade’ of strategy through an organisation (Jamieson & Morris 2004, p1), with the CYPRASS project serving as a “vector” (Bredillet 2002, p74) relating the Victoria Police organisation to the Shire of Campaspe community. The alignment of Victoria Police strategic outputs and goals to state government policy is an example of a public sector organisation broadening its focus from a policy driven one to one driven by both policy and strategy (Llewellyn & Tappin 2003, p959). The hierarchical representation of Victoria Police outputs and state government outcomes is consistent with the literature which describes hierarchical diagrams as providing “a very effective means of structuring and managing strategy, and communicating it to the organisation” (Morris 2004, p3), leading to an improved “understanding (of) the relationship between organisational objectives and project objectives”, with each objective linking the others in a “means-end chain” and the project objectives being subordinate to higher-level organisational objectives (deWit 1988, p167).

The multifaceted context of the CYPRASS project is representative of the public sector contexts described in the literature reviewed in Chapter 2 as comprising “a variety of competing signals that emanate not from markets but from complex political, economic, legal and organisational structures, processes and relationships” (Wechsler & Backoff 1987, p35, p40).

The concept of citizen as customer is challenged by the CYPRASS project when considering ‘at risk’ youth as customers of CYPRASS project services. Consistent with the literature, these customers do not necessarily pay for the services to which they are referred (Donnelly and Dalrymple cited in Donnelly 1999, p50).

In terms of a partnership project that is responding to local community needs, the CYPRASS project is both an example of

- the public service moving away from “the intellectual glamour [...] of policy development and advice to the much less exciting but ultimately more necessary area of delivering results that the community can see and appreciate” (Barber 2002, p13); and
- changing community expectations, with Victorian communities wanting “policing services that are more sensitive to their local needs and priorities. They want to be informed and actively involved in how they are policed” (Nixon quoted in Corporate Improvement Unit 2003b, p3).

The diversity of Management Committee members is consistent with trends reported in the literature (reviewed in Chapter 2) that predict the delivery of public sector services is becoming dependent upon an increasing number and type of working relationships involving various public and private sector stakeholders (Ferlie & Steane 2002, p1460) that will require processes and time to effectively reconcile and synthesise multiple perspectives before a service can be defined (Donnelly 1999, p51).

Whilst consistent with the reviewed body of literature in the main, the clear alignment between the CYPRASS project, Victoria Police strategic goals and state government policy are contrary to the findings of a recent survey conducted by the Cranfield School of Management which reported that “the strategy of most organisations provides little direction or support for improvement initiatives” (Presswire 2004, p1).

#### **5.2.4 Action Research Steps**

##### *5.2.4.1 Action Research Step 1 – Identification*

###### Action Research Step 1 – Problem Solving – Identify problem

The CYPRASS Management Committee needed a formal means of identifying and defining intangible outcomes so that the delivery of these outcomes could be integrated into project delivery.

###### Action Research Step 1 – Research Interest – Identify research interests

The research question remained the same - *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?*

##### *5.2.4.2 Action Research Step 2 – Reconnaissance*

###### Action Research Step 2 – Problem Solving – Reconnaissance of problem context

Reconnaissance of the problem context took two (2) main forms, firstly meetings with staff members of the Community and Cultural Division, including the responsible Commander and policy/research officers responsible for a number of Divisional projects. And secondly, by reading relevant Victoria state government and Victoria Police reports and documents (e.g. Victoria Police Annual report 2001/2002) and the CYPRASS Project brochure (Refer Appendix 16).

###### Action Research Step 2 – Research Interest – Reconnaissance of relevant literature.

Issues identified in exploratory action research cycles 1 and 2 combined with the author’s reconnaissance of the Victoria Police CYPRASS project context, prompted the author to broaden her literature review in two (2) key directions. Firstly, to include the topics of

‘benefits management’ and ‘benefits realisation’ addressed by authors such as Cooke-Davies (2001a, 2001b), Reiss (2000, 2003) and Remenyi (Remenyi 1999; Remenyi & Sherwood-Smith 1998). And, secondly to include the topics of Strategy Development and Strategy Implementation via Projects as addressed by deWit (1988), Cicmil (1997), Campbell and Alexander (1997), Stewart (2001), Low and Kalafut (2002) and Archibald (2003). These sources were later supplemented with reviews of Morris (Morris & Jamieson 2004; Morris 2004), Turner (as cited in Morris and Jamieson 2004) and Kaplan & Norton (2004a, 2004b).

#### *5.2.4.3 Action Research Step 3 – Planning*

##### Action Research Step 3 – Problem solving - Planning the problem solving activity

Based on the author’s research proposal to Victoria Police (submitted in November 2002), her learnings from exploratory action research cycles 1 and 2 (commenced in December 2002) and expanded literature review (conducted from March 2003 onwards), in April 2003 the Victoria Police research/policy officer responsible for the CYPRASS project agreed to the following step-wise approach being proposed in turn to the CYPRASS Management Committee :

1. Identify project stakeholders;
2. Schedule & conduct introductory meeting with project stakeholders;
3. Conduct stakeholder workshop;
  - i. Identify tangible project outputs;
  - ii. Identify and prioritise intangible project outcomes;
  - iii. Define priority intangible project outcomes.
4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;
5. Review tangible project outputs.

##### Action Research Step 3 – Research Interest - Planning the research project

With the benefit of the learnings from exploratory action research cycles 1 and 2 (commenced in December 2002) and the expanded literature review (conducted from March 2003 onwards), the author advanced the approach defined at the end of exploratory action research cycle 2, in two (2) key ways; by enhancing

1. The introductory PowerPoint slide pack;
2. The outcome profile.

The three (3) key slides included in the introductory PowerPoint slide pack were the following illustrated by Figure 5-3, Figure 5-4 and Figure 5-5. The first to set the scene of the research context :

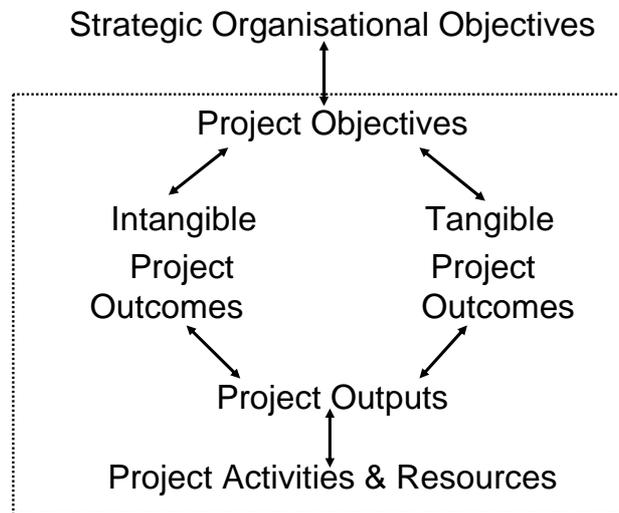


Figure 5-3 – The Research Context

The second to make the link between outcomes and benefits :

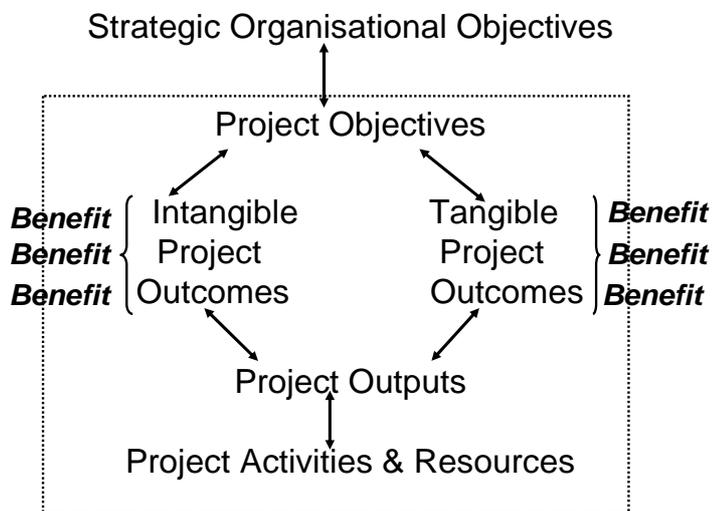


Figure 5-4 - The Link Between Outcomes and Benefits

And the third slide to highlight the scope of the author's research :

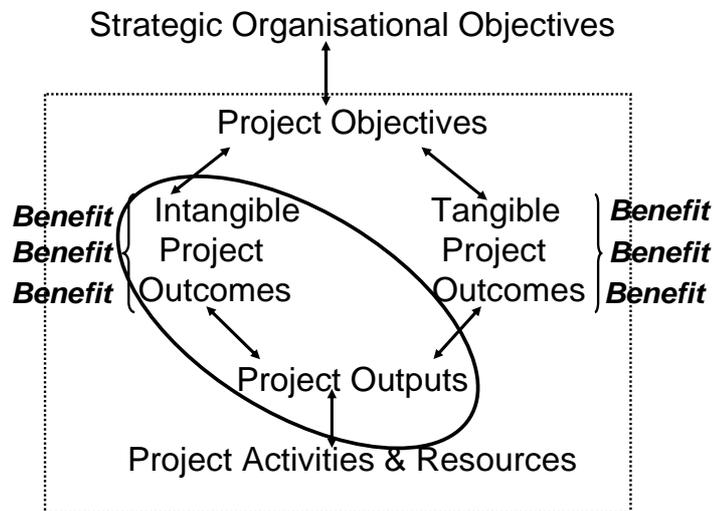


Figure 5-5 – The Scope of the Research Study

The Outcome Profile was enhanced by incorporating a combination of benefits management and project management concepts, to become :

- Description
- Beneficiary/ies
- Owner
- Benefits
- Assessment
  - Quantitative
  - Qualitative e.g. "scoring (e.g. on a scale of 1 to 5), anecdotes and stories"
- Roles and Responsibilities
- Outputs
- Dependencies
- Risk Assessment
- Financial Summary

The link made between outcomes and benefits within an Outcome Profile is consistent with the benefits management literature (reviewed in Chapter 2) that describes benefits only being able to be realised as a result of an “observable outcome”, with the outcome being needed “for

the benefit to be realised” (Ward, Murray & David 2004, p54) and for expected benefits to be considered at the start of a project (Simon 2003, p59).

The inclusion of quantitative and/or qualitative means of assessment in an Outcome Profile is consistent with a potential means of the public sector adapting private sector models as described in Chapter 2 of this dissertation where it was noted that public sector projects could be assessed according to “indicators”, rather than according to quantitative measures which can all too readily incite political discussion (Martinsuo & Dietrich 2002, p362). In addition, this approach to assessment is also consistent with the intangibles literature reviewed in Chapter 2 that cites a number of sources including Keen and Digrius who suggest that arguments about the unavailability of intangibles measures be countered by providing “guesstimates’ backed up with explanations of assumptions” to get decision-makers thinking about possibilities (Keen & Digrius 2003, p107), Andriessen and Tissen who describe it as unlikely that the value of intangibles will be able to be expressed in terms of a “final figure that is accurate to two decimal points”, so “it is better to be approximately right rather than absolutely wrong” (Andriessen & Tissen 2000, p158) and Kaplan Norton who assure managers that “even if the measures (of intangible assets) are imprecise” the simple act of attempting to gauge them “communicates the importance of these drivers for value creation” (Kaplan & Norton 2004a, p63).

The inclusion of Roles and Responsibilities in an Outcome Profile is consistent with Shead’s comments reported in Chapter 2 of this dissertation, that “well defined responsibilities and reporting arrangements” have the potential to form the basis “of an effective accountability framework” and “provide a better result than the vague accountabilities which result from mixing output and outcome measures of performance” (Shead 1998, p95).

The inclusion of Dependencies in an Outcome Profile is also consistent with Shead’s comments reported in Chapter 2 that “almost all” government “outcomes are likely to be influenced by factors that are beyond the control of the agency and/or influenced by multiple outputs across a range of portfolios” (Shead 1998, p92).

#### *5.2.4.4 Action Research Step 4 – Define Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest Steps

Problem solving planning was integrated with the research interest planning, with the enhanced support materials being used at the relevant steps - the enhanced PowerPoint slide pack during the introductory stakeholder meeting and as a prompt to start the workshop and the enhanced Outcome Profile as a prompt during the workshop and also as the basis for writing up the workshop results.

The agreed action steps were :

1. Identify project stakeholders;
2. Schedule & conduct introductory meeting with project stakeholders;
3. Conduct stakeholder workshop;
  - i. Identify tangible project outputs;
  - ii. Identify and prioritise intangible project outcomes;
  - iii. Define priority project outcomes.
4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;
5. Review tangible project outputs.

A brief description of the purpose of each action step follows :

1. Identify project stakeholders.

The purpose of this step is to identify the project stakeholders who will be responsible for identifying, prioritising and defining the intangible project outcomes. Generally, this group of stakeholders includes the project sponsor, key stakeholders including project steering committee members and "resource managers" (those people assigning their staff to the project) and operational staff representatives. Operational staff representatives should be included in this group because they will be responsible for ensuring the ongoing realisation of benefits delivered by intangible project outcomes (as per the Benefits Management Models described in Chapter 2 of this dissertation (Cooke-Davies 2004; Ward, Murray & David 2004)).

2. Schedule & conduct introductory meeting with project stakeholders.

The purpose of this meeting is to review, discuss and agree upon :

- The hierarchical relationship between project objectives, project outcomes and benefits and project outputs;
- Project benefits being somewhat dependent on the delivery of intangible project outcomes;
- Outcome Profiles providing an acceptable means of documenting intangible project outcomes;
- A date, time and place to conduct the project stakeholder workshop.

The participatory consent form would also be introduced at this meeting.

3. Conduct stakeholder workshop.

The purpose of the three-step workshop is to generate descriptions of as many priority intangible project outcomes as can be discussed during the available workshop time. These descriptions comprise an input into the project management activities and also the project/organisation benefits management strategy, if it exists.

If it is not possible to collect all of the required information for every priority intangible outcome during the workshop, then follow-up action items need to be documented and agreed, including who is responsible for providing what information to whom and by when.

i. Identify tangible project outputs;

The purpose of this step is to reinforce project stakeholders' current understanding of the project scope and outputs to be generated. Project outputs generally comprise a collection of tangible and measurable, products and services.

ii. Identify and prioritise intangible project outcomes;

The purpose of this step is for project stakeholders to briefly describe and prioritise the expected intangible project outcomes. The brief descriptions are used as the basis of the expanded definitions completed in the following step. There are two (2) main reasons for prioritising the outcomes. Firstly, to gain stakeholder agreement on project priorities and secondly to ensure that the remainder of the workshop focuses on the intangible outcomes of greatest importance to the project.

Discussion is prompted/guided by reference to a list of currently relevant intangibles e.g. leadership, communication, relationships, learning, reputation and trust, processes, innovation, culture/values.

iii. Define priority intangible project outcomes.

The purpose of this step to further define each priority intangible outcome in terms of an Outcome Profile that describes each outcome in terms of its :

- Description
- Beneficiary/ies

- Owner
- Benefits
- Assessment
  - Quantitative
  - Qualitative e.g. "scoring (e.g. on a scale of 1 to 5), anecdotes and stories
- Roles and Responsibilities
- Outputs
- Dependencies
- Risk Assessment
- Financial Summary

As for the previous two (2) exploratory action research cycles, the author's role as a (meeting) facilitator is consistent with the action research literature reviewed in Chapter 3 of this dissertation that describes the researcher-facilitator role as that of a "process guide" (Straus 2002, p118) who "does not need to be an expert in the context of the issue" (Straus 2002, p71); and as such a role that provides organisations with a means of creating "opportunities for everyday research" (McClintock, Ison & Armson 2003, p721) "where understandings can emerge" (McClintock, Ison & Armson 2003, p723).

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

This post-workshop step documents

- The Outcome Profiles generated by the project stakeholder workshop; and
- A cross-reference of priority intangible outcomes to tangible project outputs - planned and unplanned. Planned outputs are those identified during the stakeholder workshop and unplanned outputs are those identified by the author as a result of them analysing the outcome profiles.

5. Review tangible outputs.

The purpose of this step is to assess how well the existing project plan addresses the activities and resources required to develop the complete list of tangible project outputs required to deliver intangible project outcomes. The step is conducted as a

meeting with the Project Sponsor and/or their delegate and depending upon the differences between the currently planned outputs and those identified by the previous step may require some negotiation between the Project Manager and Project Sponsor, with the Project Manager applying traditional project management practices such as scope management, change management and risk management during the course of these negotiations.

If the step-wise approach is used in the planning stages of a project, then this step helps the delivery of intangible project outcomes to be integrated into the development of tangible project outputs. If the method is used to review project outputs, it will assist to evaluate the delivery of intangible project outcomes by tangible project outputs.

#### *5.2.4.5 Action Research Step 5 – Implement Action Steps*

##### Action Research Step 5 – Combined Problem Solving and Research Interest Step

The Action Steps were implemented as follows :

1. Identify project stakeholders;

For the CYPRASS project, the CYPRASS Management Committee represented the stakeholders who would define intangible project outcomes.

2. Schedule & conduct introductory meeting with project stakeholders;

For the CYPRASS project, there were actually two (2) separate, sequential introductory meetings. The first was between the author and the policy/research officer assigned from the Victoria Police Community and Cultural Division to the CYPRASS project (and a member of the CYPRASS Management Committee). The second introductory meeting was between the author and the CYPRASS Management Committee and was scheduled as an agenda item in the Management Committee's regular monthly meeting in June 2003. The introductory meeting was conducted as planned, resulting in agreement to conduct a stakeholder workshop of a maximum of 1½ hours duration following the Management Committee's next monthly meeting in July 2003.

3. Conduct stakeholder workshop;

- i. Identify tangible project outputs;

The CYPRASS Management Committee readily identified thirty-three (33) project outputs that were grouped into the following categories :

- Project Management (11)
- Communications (4)
- Referral Policy (2)
- Mentoring Project (5)
- Victoria Police (3)
- Employment Project (3)
- Community Event Management (5)

ii. Identify and prioritise intangible project outcomes;

Using the list of currently relevant intangibles as a guide, the CYPRASS Management Committee identified five (5) key intangible outcomes in the following order of priority :

1. Youth Personal Development - to support at risk Shire of Campaspe youth through the rite of passage from child to youth and young adult;
2. A Network comprising three layers - Formal Links, Partnerships and Personal Relationships;
3. Cultural Change Within Victoria Police;
4. CYPRASS Image and Reputation;
5. Improved Community Perception of Youth;

The top, first priority of the CYPRASS project was to provide personal development opportunities to at risk youth members of the Shire of Campaspe community. This is a service intentionally targeted at individuals, to address their specific needs.

iii. Define priority intangible project outcomes.

The CYPRASS Management Committee defined outcome profiles for each priority intangible outcome. Having defined the outcome profiles, the Management Committee quickly agreed that delivery of the top priority intangible outcome of youth personal development was dependent on delivery of the lower priority intangible outcomes, all of which relied upon involvement from members of the Shire of Campaspe community. Following

on from this agreement, the Management Committee was also able to depict both the hierarchy of priority intangible outcomes and the networks hierarchy in terms of a stylised version of the CYPRASS cypress tree logo; providing a graphical means of communicating CYPRASS intangible outcomes as illustrated by Figure 5-6.

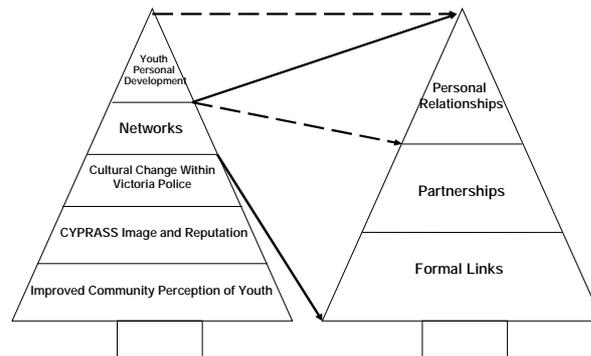


Figure 5-6 – Graphical depiction of CYPRASS Project Priority Intangible Outcomes

The alignment of Youth Personal Development and Personal Relationships at the top/pinnacle of each CYPRASS tree is coincidental. The alignment of Youth Personal Development and Personal Relationships at the top of each ‘tree’ reinforces the dependence of Youth Personal Development on Personal Relationships.

During the course of the workshop the CYPRASS Management Committee agreed to exclude a financial summary from all outcome profiles.

The workshop was scheduled for a maximum of 90 minutes. After 75 minutes, it was agreed that the Management Committee had completed the planned workshop activities. The remaining time available was used to review the workshop notes that had been captured (by the author) on an electronic whiteboard and printed out each time the whiteboard surface was filled with information.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs.

As expected, the Outcome Profiles developed in the workshop were documented (refer Appendix 17 for a sample).

The cross-reference table mapping intangible project outcomes to tangible project outputs identified that the list of project outputs listed by the Management Committee in step 3i) at the start of the workshop formed the majority of outputs

required to deliver the intangible outcomes. The exceptions being the tangible outputs required to support :

1. The creation and maintenance of the three tiers of the CYPRASS network - formal links, partnerships and personal relationships;
2. The CYPRASS image and reputation that in turn attracts formal links, partnerships, personal relationships, cultural change in Victoria Police and an improved community perception of youth;
3. The generation of accurate resource estimates.

The cross-reference table is included as Appendix 18.

5. Review tangible project outputs

For the CYPRASS project there were actually two (2) meetings to review the tangible project outputs, firstly with the Victoria Police policy/research officer and secondly with the CYPRASS Management Committee.

Based on the author's analysis, it was recommended that the following additional CYPRASS project outputs be considered to :

1. Support the creation and maintenance of the three tiers of the CYPRASS network
  - Management Committee meeting agenda that includes standing items for the review of activities and outcomes related to management of formal links and partnerships by both the Management Committee and the Project Officer;
  - An issues management process to prevent issues escalating in an unmanaged way;
  - Proforma partnership agreement/guidelines;
  - Selection criteria for referral agencies e.g. accreditation;
  - Partner event outputs including agenda, venue, invitation and RSVP list;
  - The existing contacts list be enhanced to clearly describe which Management Committee member is responsible for the creation and maintenance of which formal links and partnerships. With one or more people clearly identified as the being responsible for the partnerships with local media organisations.
2. Promote the CYPRASS image and reputation :

- A regular newsletter e.g. quarterly, designed to address all tiers of the CYPRASS network - formal links, partnerships and personal relationships;
- A communications calendar that comprises public presentations by Management Committee members and the newsletter publication schedule;
- A calendar of community events, so that CYPRASS project participants' involvement in these events can be planned ahead;
- A calendar of community group meetings, so that CYPRASS speakers can be booked ahead to address these meetings;
- A brief biography of each Management Committee member that can be used to introduce CYPRASS speakers at events, to the media and in funding submissions;
- Documenting stories, anecdotes, case studies and profiles as a means of supplementing quantitative measures with qualitative assessments.

3. Generate accurate resource estimates.

- Adopt a cyclical Plan-Do-Check-Act approach to project activities that generates outputs including estimates at each step in the cycle;
- Plan, conduct, review and learn from pilot initiatives. For example, conduct a Mentoring pilot project to ensure that estimates of resources required are sufficiently accurate not to put an initiative at risk;
- Review progress to plan at monthly Management Committee meetings e.g. review the actual number of communications generated during the past month versus the planned number.

*5.2.4.6 Action Research Step 6 – Reflection*

Action Research Step 6 – Problem Solving - Reflect upon problem solving efficacy

The following was identified by reflecting upon each action step :

1. Identify project stakeholders;

This was achieved in a straightforward manner because a project steering committee in the form of the Management Committee already existed.

2. Schedule & conduct introductory meeting with project stakeholders;

Again, this was achieved in a straightforward manner by the Victoria Police policy/research officer including the introductory meeting as an agenda item on the Management Committee's regular monthly meeting. With the purpose of the introductory meeting being met by the Management Committee agreeing to the author's proposal that :

- There is a hierarchical relationship between project objectives, project outcomes and benefits and project outputs;
- Project benefits being somewhat dependent on the delivery of intangible project outcomes;
- Outcome profiles providing an acceptable means of documenting intangible project outcomes;

Based on the experience gained in action research cycle 3, it is to be recommended that both the introductory meeting and follow-on workshop be scheduled as agenda items of the stakeholder group's regular meetings. With the expectation that this approach will increase the likelihood of stakeholder attendance at both the introductory meeting and workshop and also send a clear message that the identification and definition of intangible project outcomes is part of the group's operating agenda (Thornbury 2003).

If the stakeholder group does not meet regularly, then special purpose meetings will be required.

### 3. Conduct stakeholder workshop;

Management Committee members arrived at the workshop with varying degrees of preparedness, including one committee member who brought along documented draft outcome profiles. Based on informal chat as people were finding their seats at the start of the workshop, the project stakeholders identified that they felt the benefit of a month having elapsed between the introductory meeting and the stakeholder workshop; the elapsed time had allowed them time to think about priority intangible project outcomes. It was agreed that there should be a period of time between the introductory meeting and the stakeholder workshop, although not necessarily a full month as had occurred with them linking the scheduling of the workshop to the monthly Management Committee meeting.

- i. Identify tangible project outputs;

The Management Committee readily identified tangible project outputs.

ii. Identify and prioritise intangible project outcomes;

Using the list of intangible outcomes (leadership, communication, culture/values, innovation, relationships, learning, processes, reputation & trust) derived from the currently relevant list of intangible outcomes defined by the UK Government Future and Innovation Unit (Future and Innovation Unit 2001) as a prompt, the Management Committee readily identified expected intangible outcomes and then prioritised them by referring to the agreed charter of the CYPRASS project.

iii. Define priority project outcomes;

Using the outcome profile sub-headings provided by the author, the Management Committee readily defined the different aspects of each priority intangible outcome (excluding financial summaries) and also agreed on a graphical depiction of the CYPRASS hierarchy of priority intangible outcomes along with an accompanying depiction of the hierarchy of relationships. The time limit of ninety (90) minutes served to focus workshop attendees' attention, with the workshop proceeding at a rapid pace.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

The author prepared a workshop report that included Outcome Profiles for each priority intangible outcome, a cross-reference of intangible project outcomes to planned and unplanned tangible project outputs and also a table of Management Committee roles and responsibilities (Refer to Appendix 19 for an excerpt).

Whilst this effort took some time, the documentation exercise flowed far more smoothly than the documentation of the results of the exploratory action research cycles 1 & 2. The main reasons being that the Management Committee had collaborated to identify the tangible project outputs and intangible outcomes, prioritise and define the intangible outcomes, meaning that the author did not need to take responsibility for interpreting and reconciling multiple stakeholder perspectives. Instead, the interpretation and reconciliation was completed by the project stakeholders.

The workshop report including the Outcome Profiles and author's recommendations for improvement were reviewed a few times with the Victoria Police policy/research officer to confirm the correct use of terminology and to complete the risk assessment

– rating risk probability and impact and also identifying risk mitigation and contingent actions.

5. Review tangible project outputs.

The Victoria Police policy/research officer accepted the author's proposal, as did the Management Committee agreeing that the future inclusion of currently unplanned tangible outputs identified by the author had the potential to improve the delivery of priority intangible outcomes. The author's research report was handed over to the CYPRASS Project Officer for implementation.

In addition to the reaction of the individual Victoria Police policy/research officer and the CYPRASS Management Committee at their December 2003 meeting, the problem solving value of action research cycle 3 is also clearly demonstrated by the author having been invited by the Police Commander of the Community and Cultural Division to be a speaker at the Victoria Police Senior Management Conference in November 2003. The author's presentation introduced the step-wise method for defining intangible project outcomes and the tangible outputs required to deliver them along with a description of the CYPRASS project experience as a case study. In addition to the presentation, the author also planned a workshop based on a Liquor Licensing Accord case study, which was delivered to three parallel workshop groups by senior members of the Community and Cultural Division previously trained by the author. The comparison of pre- and post-workshop surveys completed by workshop attendees (senior members of the Victoria Police force) indicated a statistically significant increase in the confidence of workshop attendees confidence in their ability to define, plan, deliver, and assess intangible project outcomes. Refer to Appendix 20 for a more detailed description of the Senior Police Management conference survey result. In addition to the author's invitation to participate in the Victoria Police Senior Management conference, the author also presented a similar presentation and workshop at the 41<sup>st</sup> Meeting of the Academy of Criminal Justice Sciences (ACJS) in Las Vegas, Nevada, USA in March 2004.

The CYPRASS case study has also been included in a peer reviewed paper jointly authored with the author's academic supervisor for the 2nd ANZAM 2004 Operations Management Symposium held in Melbourne, Australia in June 2004 and for a peer reviewed paper presented (in virtual mode) at the Management Conference 2004 held in London, England in August 2004. This same paper was consequently published in the International Journal of Knowledge, Culture and Change Management, Volume 4.

### Action Research Step 6 – Research Interest - Reflect upon research interests

The research question *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?* was comprehensively addressed by the revised approach implemented in action research cycle 3. The “how can” part of the questions was addressed by the combination of the process, use of outcome profiles to capture definitions and the provision of the intangible outcomes/tangible outputs cross-reference table.

The drawing of an agreed diagram to depict the hierarchy or priority intangible outcomes was an unexpected result – a spontaneous reaction by the workshop attendees. The author is an experienced workshop facilitator, trainer and qualified teacher, so the author’s own skill and experience need to be acknowledged as part of the research context.

#### *5.2.4.7 Action Research Step 7 – Amend Action Plan*

### Action Research Step 7 – Combined Problem Solving and Research Interest – Amend Action Plan and return to Step 4

Since the action steps had both solved the problem and addressed the research interest, neither the problem solving nor research action plans were amended.

The next step was to apply the problem solving and research action plans and the action steps to another research cycle, so that as described in Chapter 3, the research makes a “distinctive contribution to knowledge” by “progress(ing) through at least two or three major cycles” (Zuber-Skerritt & Perry 2002, p176).

With the CYPRASS Management Committee being dedicated to a single project, there was no scope to continue to contribute to problem solving nor advance the author’s research interest with this group of project stakeholders, therefore as mentioned in Chapter 3, the author’s plan was to pass the reflections gained by working with the CYPRASS Management Committee onto another workgroup. (Zuber-Skerritt & Perry 2002, p176-177).

## **5.3 Action Research Cycle 4 – The Youth Friendly Health Services Project**

### **5.3.1 The Problem Solving Project Organisation & Project**

#### *5.3.1.1 Introduction*

The problem solving project for action research cycle 4 is the Youth Friendly Health Services (YFHS) project nominated by the Campaspe Primary Care Partnership (PCP), reporting through to the Department of Human Services (DHS) within the Victorian state government in Australia. The following sections describe the top-down alignment between Victorian state

government policy, DHS Strategic Objectives, the DHS PCP Strategy, the Campaspe PCP Community Health Plan and the YFHS project.

#### *5.3.1.2 Victorian State Government*

As mentioned in Chapter 2, the Victorian state government has defined an intentionally broad framework titled “Growing Victoria Together” which links the issues of importance to Victorians, the priority actions that strategic government needs to take and the measures to show progress (Department of Premier and Cabinet 2003, p3).

With the three key Victorian state government priorities being to (Bracks quoted in Department of Premier and Cabinet 2003, p2) :

1. Provide decent and responsible government;
2. Get the basics right – good schools, quality health care, more jobs, safe streets;
3. Lead the way to a better Victoria with education and lifelong learning as the key.

The priority of ‘quality health care’ is to be addressed by providing “high quality, accessible health and community services” (Aged Care Branch 2003, p3).

#### *5.3.1.3 Department of Human Services (DHS)*

The Department of Human Services (DHS) is the Victorian state government department responsible for the provision of health and community services. As such, the Department’s mission “is to enhance and protect the health and wellbeing of all Victorians, emphasising vulnerable groups and those most in need” (Aged Care Branch 2003, p4).

The following six organisational objectives have been developed to assist DHS to achieve its mission (Aged Care Branch 2003, p4) :

1. Achieving benchmark-waiting times;
2. Improving service quality;
3. Building sustainable, well managed and efficient services;
4. Building strong communities and primary services;
5. Increasing the proportion of family or community based service responses;
6. Reducing health inequalities in health and wellbeing and improving access to services”.

Objective 4 above, related to primary services is based on the Victorian State government policy platform that gives priority to health promotion and forms the basis of the Primary

Care Partnership (PCP) Strategy (Aged Community and Mental Health Division 2000, pvii). The purpose of the PCP strategy which has received Victorian state government funding of AUD45 million over four (4) years, is to build the ongoing capacity of the human services system in Victoria to plan and deliver effective, integrated health promotion (Aged Community and Mental Health Division 2000). Therefore, PCP “core business” (Primary and Community Health Branch 2003, p9) comprises the delivery of integrated health programs that “deliver benefits for the community through promoting positive wellbeing, strengthening community capacity and minimising the burden of serious diseases” (Primary and Community Health Branch 2003, Foreword). As defined by the PCP strategy, “the term ‘integrated health promotion’ refers to agencies and organisations from a wide range of sectors and communities in a catchment working in a collaborative manner using a mix of health promotion interventions and capacity building strategies to address priority health and well being issues” (Primary and Community Health Branch 2005). The inter-sectoral characteristic of integrated health programs “enables health promotion to reach a larger proportion of the population, to address the broader determinants of health, and to achieve broad health and wellbeing outcomes. In addition, it can support the implementation of more sustainable health promotion interventions, such as organisational development and community action” (Aged Community and Mental Health Division 2000, p1).

The PCP Strategy applies the “Program Logic” approach which comprises “the four stages of inputs, process, impacts and outcomes”; providing a robust framework within which to measure change (Australian Institute for Primary Care 2002,p9).

#### *5.3.1.4 Primary Care Partnerships (PCPs)*

The Victorian state government launched the PCP Strategy in April 2000 with the goal of reforming primary health and addressing the perceived fragmentation in the primary health care system (Primary and Community Health Branch 2003, p9). With the goal being achieved by the PCP Strategy improving the planning and delivery of primary care services by agencies working together effectively to achieve improved health and well being for the Victorian community (Aged Community and Mental Health Division 2000, p3). To ensure that agencies do indeed work well together, PCP governance arrangements require PCPs to “initiate a management and coordination structure that supports a multi-disciplinary and multi-agency approach to health promotion” (Aged Community and Mental Health Division 2000, p4). This approach includes obtaining input from local communities, consumers and carers since it is “critical to the effective planning, implementation and evaluation of integrated health promotion programs delivered by PCPs” (Aged Community and Mental

Health Division 2000, p4). Delivery of the Government's PCP strategy is dependent on "voluntary alliances" between more than 800 service providers in 32 "catchments" across Victoria (Primary and Community Health Branch 2003, p9). It is considered critical to the success of the PCP strategy that PCP health promotion experiences and skills be shared amongst local services and also be used to forge effective links between local services, regional and state-wide sources of expertise (Aged Community and Mental Health Division 2000, pvii).

Integrated health programs are planned and delivered by each PCP working with their local community and DHS to develop a Community Health Plan that identifies the priority health needs of the local area and describes how the PCP service providers will work with each other and key stakeholders to respond to these needs (Aged Community and Mental Health Division 2000, p3). Therefore, based on Victorian state government policy, the DHS strategic objectives and the PCP Strategy, integrated health programs and health promotion comprise key parts of a PCP's Community Health Plan (Aged Community and Mental Health Division 2000, pvii).

In each PCP catchment area, local government is a key PCP stakeholder and is required to prepare a Municipal Public Health Plan that provides a "framework for an intersectoral approach to many programs and activities within the locality"; documenting local public health activities and priorities through a defined process which includes needs assessment and community consultation (Aged Community and Mental Health Division 2000, p11).

Municipal Public Health Plans inform and link in with PCP Community Health Plans (Aged Community and Mental Health Division 2000, p11).

#### *5.3.1.5 Campaspe Primary Care Partnership*

The Campaspe PCP catchment area is in the central north of the state of Victoria, with the major town Echuca, located approximately 220 kilometres (140 miles) north of the state capital city of Melbourne (Tourism Victoria 2005). The 2002 Campaspe PCP Community Health Plan "highlights" a common sense of purpose within the Campaspe PCP and the strength of its partnerships (Campaspe Primary Care Partnership 2002, p1), with "sound partnerships" existing at both "an operational and management level [...] underpinned by an active community purpose" (Campaspe Primary Care Partnership 2002, p1).

The Campaspe PCP Strategic Objectives for 2002-2003 were (Campaspe Primary Care Partnership 2002, p2) :

1. Services And Program Coordination;

2. Delivering Outcomes Through Implementation;
3. Building Sustainability Into PCP Activities;
4. Investing In Workforce Development;
5. Contributing To Regional, Cross Regional, Statewide And Cross Border Activity;
6. A Continued Focus on Aboriginal and Culturally and Linguistically Diverse Communities.

As suggested by the title, the second of these objectives is of direct relevance to the research study described in this dissertation. The rationale for this objective being that “the Campaspe Primary Care Partnership has moved from describing service system change to an implementation stage where there is a clear focus on outcomes for the community” (Campaspe Primary Care Partnership 2002, p2).

At the time of the research study being conducted in 2003, the Campaspe PCP priority program areas comprised (Campaspe Primary Care Partnership 2002, p16)

- Children and Young People;
- Older People;
- Mental Health Issues;
- Alcohol and Drug Issues
- Disability Issues;
- Hospital Demand Management;
- Aboriginal Health.

The Campaspe PCP problem solving project described in this section of the dissertation addresses the priority area of Children and Young People.

The Shire of Campaspe is the local government stakeholder in the Campaspe PCP and comprises an organisation led by an Chief Executive Officer and three (3) General Managers in charge of Assets and Planning, Corporate Services and Community and Culture (Shire of Campaspe 2003, p3). Within the division of Community and Culture, key community services actions include the promotion and maintenance of healthy outcomes for the community (Shire of Campaspe 2003, p8) and key community development actions include implementation of the Shire’s Youth Strategy (Shire of Campaspe 2003, p9). In 2002, nearly ten percent (9.6%) of the Shire of Campaspe workforce was employed in the health and community services sector. At the same time, twenty percent (20%) of the Shire of Campaspe

population comprised young people aged ten (10) to twenty-four (24) years of age (Shire of Campaspe 2003, p2).

#### *5.3.1.6 Youth Friendly Health Services Project*

The Campaspe Primary Care Partnership (PCP) nominated the Youth Friendly Health Services (YFHS) project as their problem solving project. The Campaspe PCP did not require anonymity as a research client.

As an integrated health program, the main objective of the YFHS project was to “Develop youth friendly services and enhance service provider skills in working with young people” (Campaspe Primary Care Partnership 2002, p20).

The key benefits of the project, as documented in the YFHS project brief were (Mulvahill 2003, p3)

- Active youth involvement in defining youth friendly criteria and an accreditation process (to be applied to Campaspe PCP service providers);
- Promotion of the concept of "youth friendly" health services via a competition to design the accreditation logo;
- An easily recognisable means for youth to identify "youth friendly" health services via the accreditation logo;
- Information that will assist Campaspe PCP service providers to better understand the local, current definition of youth friendly health services;
- Active development of relationships between local youth and participating Campaspe PCP service providers.

As a youth oriented health promotion project, the YFHS project was clearly aligned with the Department of Human Services’ need for PCPs to focus "on outcomes for specific groups of consumers” (Australian Institute for Primary Care 2002,p10).

With reference to the Literature Review included in Chapter 2 of this dissertation, the YFHS project “focus on delivery and improved results for ordinary citizens” provides a clear demonstration of the Campaspe PCP and its inter-sectoral service providers “mov(ing) their thinking away from the intellectual glamour and challenging complexities of policy development and advice to the much less exciting but ultimately more necessary area of delivering results that the community can see and appreciate” (Barber 2002, p13). In addition, the clear alignment between the YFHS project, the Campaspe PCP Community Health Plan and Shire of Campaspe Municipal Health Plan, the Department of Human

Services mission, strategic objectives and the PCP Strategy and state government policy confirms the ability of projects to implement strategy by supporting the ‘flow’ and ‘cascade’ of strategy through an organisation (Jamieson & Morris 2004, p1), with the YFHS project serving as a “vector” (Bredillet 2002, p74) relating the Campaspe PCP and its service providers to the local community. The alignment of Department of Human Service strategic objectives and the PCP Strategy to state government policy is an example of a public sector organisation broadening its focus from a policy driven one to one driven by both policy and strategy (Llewellyn & Tappin 2003, p959). The hierarchical relationship between Victoria state government, Department of Human Services, the Campaspe PCP and the YFHS project is consistent with the literature which describes hierarchies as providing “a very effective means of structuring and managing strategy, and communicating it to the organisation” (Morris 2004, p3), leading to an improved “understanding (of) the relationship between organisational objectives and project objectives”, with each objective linking the others in a “means-end chain” and the project objectives being subordinate to higher-level organisational objectives (deWit 1988, p167). The delivery of the PCP Strategy by various inter-sectoral PCP service providers working together and with local communities, consumers and carers (Aged Community and Mental Health Division 2000, p3-4) is consistent with the literature (reviewed in Chapter 2) that describes the delivery of public services becoming dependent on an increasing number and variety of working relationships with various stakeholders (Ferlie & Steane 2002, p1460) that will require processes and time to effectively reconcile and synthesise multiple perspectives before a service can be defined (Donnelly 1999, p51). In addition, the requirement for PCP governance arrangements to “initiate a management and coordination structure that supports a multi-disciplinary and multi-agency approach to health promotion” (Aged Community and Mental Health Division 2000, p4) combined with the expectation that PCP health promotion experiences and skills will be shared amongst local services, regional and state-wide sources of expertise (Aged Community and Mental Health Division 2000, pvii) is both :

- consistent with public sector literature that suggests “governance systems may emerge which involve devolved decision making partnerships, networks and more interchange between and across different level of government and stakeholders” (Ferlie & Steane 2002, p1461); and
- an example of where a balanced top-down and bottom-up flow of information is being sought, consistent with the project management research literature that calls for an

improved understanding of how project feedback can inform (and potentially transform) business unit and corporate strategy (Jamieson & Morris 2004, p178).

With reference to the arguments about citizens as customers, health promotion projects consider citizens to be ‘consumers’ of health promotion services rather than ‘customers’ (Australian Institute for Primary Care 2002, p14). Consistent with the literature, these consumers do not necessarily pay directly for the services to which they are referred (Donnelly and Dalrymple cited in Donnelly 1999, p50).

Whilst consistent with the reviewed body of literature in the main, the clear alignment between the YFHS project, the Campaspe PCP Community Health Plan, Department of Human Services strategic objectives and the PCP Strategy and Victorian state government policy is contrary to the findings of a recent survey conducted by the Cranfield School of Management which reported that “the strategy of most organisations provides little direction or support for improvement initiatives” (Presswire 2004, p1).

### **5.3.2 Action Research Steps**

#### *5.3.2.1 Action Research Step 1 – Identification*

##### Action Research Step 1 – Problem Solving – Identify problem

The Campaspe PCP expected that the YFHS project would generate both tangible and intangible outcomes. However, they did not know how to plan the delivery of intangible project outcomes. Therefore, based on their membership of the CYPRASS Management Committee (refer to Section 5.2.3 describing the action research cycle 3 problem solving project), the Campaspe PCP **Planning & Health Promotion Project Manager requested that the author work with the PCP to identify and define intangible YFHS project outcomes and related tangible project outputs.**

##### Action Research Step 1 – Research Interest – Identify research interests

At the commencement of action research cycle 4, the author’s research interest was to confirm the repeatability of the process used in action research cycle 3, to address the research question: *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?*

#### *5.3.2.2 Action Research Step 2 – Reconnaissance*

##### Action Research Step 2 – Problem Solving – Reconnaissance of problem context

As demonstrated by the description of the problem solving project organisation and project in the immediately preceding sections, the author read a variety of Victorian state government, Department of Human Services (DHS) and Campaspe PCP documentation relating to the

alignment of Victorian state government policy, DHS strategic objectives and the Campaspe PCP Community Health Plan.

#### Action Research Step 2 – Research Interest – Reconnaissance of relevant literature

Given that all the problem solving projects were to be drawn from the public sector, the literature review was broadened to include the topics of the Public Sector Environment and Public Sector Frameworks. The review of literature related to the Public Sector Environment drew upon the work of authors such as Ejigiri (1994), Donnelly (1999), Martinsuo and Dietrich (2002), Ferlie and Steane (2002), Hall and Holt (2002) and Llewellyn and Tappin (2003). The review of literature related to Public Sector Frameworks focused upon frameworks related to, and including the Australian federal government Outcomes and Outputs framework and the Victorian state government (Australia) Performance Management and Reporting Framework.

#### *5.3.2.3 Action Research Step 3 – Planning*

#### Action Research Step 3 – Problem solving - Planning the problem solving activity

Based on their membership of the CYPRASS Management Committee (refer to Section 5.2.3 describing action research cycle 3), the Campaspe PCP **Planning & Health Promotion Project Manager requested that the same problem solving approach (as follows) be used for the YFHS project as had been used in action research cycle 3 for the CYPRASS project :**

1. Identify project stakeholders;
2. Schedule & conduct introductory meeting with project stakeholders;
3. Conduct stakeholder workshop;
  - i. Identify tangible project outputs;
  - ii. Identify and prioritise intangible project outcomes;
  - iii. Define priority intangible project outcomes.
4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;
5. Review tangible project outputs.

#### Action Research Step 3 – Research Interest - Planning the research project

With the research interest for action research cycle 4 being to repeat the research project conducted in action research cycle 3, as closely as possible, the research project plan for action research cycle 4, was to repeat the action steps defined for action research cycle 3.

#### *5.3.2.4 Action Research Step 4 – Define Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest Steps

As per section 5.3.2.3 above, the same action steps were to be used in action cycle 4 as had been used in action research cycle 3.

#### *5.3.2.5 Action Research Step 5 – Implement Action Steps*

##### Action Research Step 5 – Combined Problem Solving and Research Interest Step

The Action Steps were implemented as follows :

1. Identify project stakeholders;

For the YFHS project, the project stakeholders responsible for identifying and defining project outcomes were the YFHS project Steering Committee comprising the

- i. **Campaspe PCP Planning & Health Promotion Project Manager;**
- ii. Shire of Campaspe Community Development Manager;
- iii. Shire of Campaspe Youth Project Officer.

2. Schedule & conduct introductory meeting with project stakeholders;

Since the three (3) members of the YFHS project Steering Committee were all also members of the CYPRASS project Management Committee, the purpose of this meeting was met by them attending the introductory stakeholder meeting conducted for the CYPRASS project in action research cycle 3. So, no YFHS project specific introductory meeting was held.

3. Conduct stakeholder workshop;

i. Identify tangible project outputs;

The YFHS project Steering Committee readily identified twenty-one (21) project outputs that were able to be grouped into the following three categories

:

- Project Management (8);
- Communications (9);
- Youth Assessor Training (4).

In addition to these tangible project outputs, a number of operational tangible outputs outside the scope of the project were also identified.

ii. Identify and prioritise intangible project outcomes;

Members of the YFHS project Steering Committee identified five (5) key intangible outcomes, in the following order of priority :

1. New and Strengthened Partnerships, and Leadership Development;
2. Enhanced and Maintained Image and Reputation, and Demonstration of PCP Values;
3. Learning Benefits.

With the first two intangible outcomes being of equal importance as were the next two, with the last intangible outcome considered to be last only because it was a consequence of the other intangible outcomes.

The following graphical representation (Figure 5-7) was agreed to accurately depict the relationship between the expected intangible outcomes.

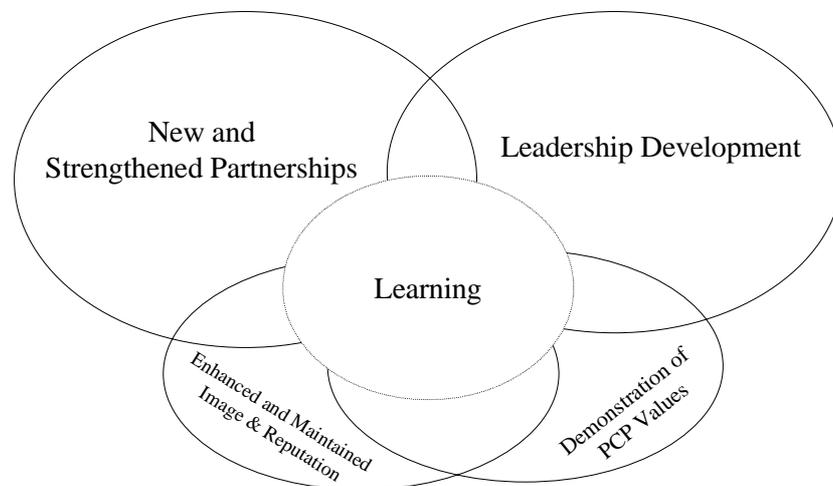


Figure 5-7 – YFHS Project – Relationship Between Priority Intangible Project Outcomes

iii. Define priority intangible project outcomes;

YFHS project Steering Committee members identified six (6) key groups of project stakeholders, each of which had different, specific interpretations of the intangible outcomes.

The six key groups of stakeholders were :

1. The Primary Care Partnership;
2. The Shire of Campaspe;

3. Youth of the Shire of Campaspe community;
4. Shire of Campaspe Youth Project Officer;
5. PCP service providers;
6. Members of the Shire of Campaspe community;

Therefore, each intangible outcome was defined in terms of what was expected for each stakeholder type.

In addition, similar to the CYPRASS Management Committee in action research cycle 3, the YFHS steering committee decided to exclude financial summaries for all outcomes profiles.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

In accordance with the YFHS project Steering Committee's definition of each intangible YFHS outcome addressing each stakeholder type, each Outcome Profile also addressed each stakeholder type. Refer to Appendix 21 and Appendix 22 for the outcome profiles documented for the two highest priority intangible outcomes of New and Strengthened Partnerships and Leadership Development.

As indicated by both Appendices 21 and 22, the stakeholders' decision to have each outcome profile address all stakeholder types, led to outcome profile text being supplemented by cross-reference tables and diagrams as a means of defining each expected intangible outcome as clearly as possible.

To ensure that the expected intangible outcomes per stakeholder group were clearly understood, the outcome profiles were supplemented by an additional table (refer Appendix 23 for an excerpt) which summarised each expected intangible project outcome per each stakeholder type.

As per action research cycle 3, a cross-reference table mapping intangible project outcomes to tangible project outputs was created and is included as Appendix 24.

5. Review tangible project outputs.

Two main categories of additional outputs were identified as being required to improve the delivery of intangible YFHS project outcomes. The first category of outputs were inside the scope of the project and comprised outputs related to project management, communications and youth assessor training. The second category of outputs were outside the scope of the project and comprised PCP/Shire management

outputs that will help to ensure the sustained realisation of the intangible YFHS project outcomes.

For the YFHS project, the list of project outputs identified by representatives of the steering committee (in step 3i at the start of the workshop) formed approximately two-thirds of the outputs required to deliver the intangible outcomes. Comparison of intangible project outcomes and project outputs identified that there were insufficient outputs being developed to adequately support the delivery of :

- The maintenance and enhancement of stakeholders' image and reputation;
- Project communications, including the provision of project updates to local high schools and opportunities for local youth stakeholders to author project communications;
- Youth Assessor Training – a more comprehensive set of learning materials needed to be developed to support the training of youth assessors and thereby the actual conduct of "youth friendly" assessments of local health services, by the youth assessors.

#### *5.3.2.6 Action Research Step 6 – Reflection*

##### Action Research Step 6 – Problem Solving - Reflect upon problem solving efficacy

The following was identified by reflecting upon each action step :

1. Identify project stakeholders;

The YFHS project Steering Committee presented itself as the key project stakeholders responsible for defining intangible project outcomes.

2. Schedule & conduct introductory meeting with project stakeholders;

The fact that all three (3) members of the YFHS project Steering Committee had participated in this type of meeting for the CYPRASS project in action research cycle 3, meant that it was not required for the YFHS project in action research cycle 4.

3. Conduct stakeholder workshop;

Based on their participation in action research cycle 3, the YFHS project Steering Committee scheduled a one hour (sixty (60) minute) workshop to be conducted prior to their monthly Steering Committee meeting in August 2003. The workshop actually lasted only three-quarters of an hour (forty-five (45) minutes).

i. Identify tangible project outputs;

Since they were responsible for defining the scope of the YFHS project according to the Victorian state government PCP Strategy, the Campaspe Community Health Plan and the Shire of Campaspe Municipal Health Plan, the YFHS project Steering Committee was able to readily identify tangible YFHS project outputs.

ii. Identify and prioritise intangible project outcomes;

The use of a list of currently relevant intangibles e.g. leadership, communication, relationships, learning, reputation and trust, processes, innovation, culture/values worked well as a prompt and guideline for discussion.

Again, since they were responsible for defining the scope of the YFHS project according to the Victorian state government PCP Strategy, the Campaspe Community Health Plan and the Shire of Campaspe Municipal Health Plan, the YFHS project Steering Committee was able to readily identify and prioritise intangible project outcomes. As per the CYPRASS project described in action research cycle 3. The YFHS project Steering Committee was able to draw a 'picture' that provided a graphical representation of the relationship between the priority intangible project outcomes

iii. Define priority intangible project outcomes.

Again, since they were responsible for defining the scope of the YFHS project according to the Victorian state government PCP Strategy, the Campaspe Community Health Plan and the Shire of Campaspe Municipal Health Plan, the YFHS project Steering Committee was able to readily define intangible project outcomes (excluding financial summaries).

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

The author documented draft Outcome Profiles which were reviewed by the Campaspe PCP **Planning & Health Promotion Project Manager** for accuracy and completeness, with the PCP Project Manager also providing assistance with the risk assessment, especially rating the probability and impact of each identified risk.

The draft cross-reference table mapping intangible project outcomes to tangible project outputs was also reviewed by the Campaspe PCP **Planning & Health Promotion Project Manager** with no changes requested.

A report comprising the following sections was documented and emailed to the Campaspe PCP **Planning & Health Promotion Project Manager** for review and discussion (via email and telephone) :

- Executive Summary;
- Outcome Profiles;
- A table summarising all five intangible project outcomes per each stakeholder type;
- A cross-reference table mapping intangible project outcomes to tangible project outputs

5. Review tangible project outputs;

The combined list of tangible project outputs identified by the YFHS project Steering Committee and those identified by the author were firstly reviewed via an exchange of email messages and telephone between the Campaspe PCP **Planning & Health Promotion Project Manager** and the author and secondly at the monthly YFHS project Steering Committee meeting in December 2003. At this meeting a walkthrough was conducted of the author's report, with the Shire of Campaspe Youth Project Officer openly and repeatedly remarking upon the positive impact they perceived the additional tangible project outputs identified by the author would have upon the delivery of expected intangible project outcomes.

In addition to the reaction of the YFHS project Steering Committee at the December 2003 meeting, the problem solving value of action research cycle 4 is also clearly demonstrated by the Campaspe PCP engaging the author as a paid consultant to plan and conduct a half-day Health Promotion Project Planning seminar that was based on the use of a revised version of the DHS mandated health promotion project planning template. The revised version of the project planning template included the use of a health promotion specific outcome profile to explicitly define tangible and intangible project outcomes. The table of contents for the author's revised version of the health promotion project planning template is included as Appendix 25 and the health promotion outcome profile template as Appendix 26. Further evidence of the problem solving value of action research cycle 4 is provided by Health2004 – the 18<sup>th</sup> World

**Conference on Health Promotion and Health Education held in Melbourne, Australia in April 2004, accepting the author's proposal to display a poster at the conference describing action research cycle 4. The Health2004 poster is included as Appendix 27.**

Action Research Step 6 – Research Interest - Reflect upon research interests

In summary, the research question *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?* was comprehensively addressed by repeating the action steps defined for use on the CYPRASS project in action research cycle 3.

1. Identify project stakeholders;

Similar to the CYPRASS project in action cycle 3, if a project management/steering committee already exists, this presents itself readily as the group of project stakeholders responsible for defining intangible project outcomes. Assessing the composition of such a management/steering committee is outside the scope of this research study.

2. Schedule & conduct introductory meeting with project stakeholders;

The need not to conduct this meeting for the YFHS project Steering Committee because they had already participated in such a meeting for the CYPRASS project in action research cycle 3 highlighted that if the concepts introduced in this meeting had previously been discussed with all project stakeholders, the meeting need not be re-run.

3. Conduct stakeholder workshop;

It is proposed that the relatively short duration (forty-five (45) minutes) of the workshop was due to two main reasons. Firstly, the Steering Committee comprising only three (3) people and secondly the clear project scope related to, and aligned with the Shire of Campaspe Municipal Health Plan and the Campaspe PCP Community Health Plan and through the PCP's plan to the DHS PCP strategy and Victorian state government policy. Both of these factors led to limited discussion, with quick and common agreement between members of the YFHS project Steering Committee at each step of the workshop.

i. Identify tangible project outputs;

Tangible outputs were readily identified because the scope of the YFHS project was clearly defined in the minds of the YFHS project Steering Committee by the project being aligned to both the Shire of Campaspe Municipal Health Plan and the Campaspe PCP Community Health Plan and through the PCP's plan to the DHS PCP strategy and Victorian state government policy.

iii. Identify and prioritise intangible project outcomes;

Prompted by the list of currently relevant intangibles and with clear reference to the Shire of Campaspe Municipal Health Plan, the Campaspe PCP Community Health Plan, the DHS PCP strategy and Victorian state government policy, the YFHS project Steering Committee identified and prioritised intangible project outcomes.

The priority assigned to the Partnerships related intangible outcome is consistent with the intangible literature that describes the "network effect" of relationships whereby the benefit of belonging to a network (PCP in this case) increases with the size of the network because there are more people with whom to interact or conduct business (deliver community and health services) (Lev 2001, p26).

iii. Define priority intangible project outcomes.

Intangible project outcomes were defined by members of the YFHS project Steering Committee in terms that related to the Shire of Campaspe Municipal Health Plan, the Campaspe PCP Community Health Plan, the DHS PCP strategy and Victorian state government policy.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

The same Outcome Profile sub-headings developed for action research cycle 3 were able to be used for the YFHS project in action research cycle 4. Outcome profiles from action research cycle 4 differ from those of action research cycle 3 in that the actual format of each Outcome Profile varied based on the definition of the outcome provided by the YFHS project Steering Committee. This highlighted to the author that the sub-headings continued to work well as prompts/cues and that a degree of

flexibility had to be applied to the actual format used to document each Outcome Profile; rather than be a prescriptive format, Outcome Profiles needed to ‘follow’ project stakeholders’ definition of intangible project outcomes.

Given the relative complexity of the Outcome Profiles, a summary overview table mapping intangible outcome to stakeholder type was required as an introduction to the Outcome Profiles (Refer Appendix 23 for an excerpt).

As per the CYPRASS project in action research cycle 3, the cross-reference table mapping intangible outcomes to tangible project outputs was very well received by project stakeholders, with the person responsible for implementing the project (the Shire of Campaspe Youth Project Officer) openly remarking upon the usefulness of this table to help address ‘missing’ tangible project outputs required to improve the delivery of intangible project outcomes.

Documentation reviews were able to be conducted effectively by the author and Campaspe PCP **Planning & Health Promotion Project Manager participating in a series of telephone calls and email message exchanges.**

5. Review tangible project outputs.

As described for the previous step, as per the CYPRASS project in action research cycle 3, the cross-reference table mapping intangible outcomes to tangible project outputs again identified ‘missing’ tangible project outputs that for the YFHS project, the Shire of Campaspe Youth Project Officer proposed be addressed to improve the delivery of intangible project outcomes.

The author is an experienced workshop facilitator, trainer and qualified teacher, so her skill and experience needs to be acknowledged as part of the research context.

*5.3.2.7 Action Research Step 7 – Amend Action Plan*

Action Research Step 7 – Combined Problem Solving and Research Interest – Amend Action Plan and return to Step 4

Since the action steps had both solved the problem and addressed the research interest, neither the problem solving nor research action plans were amended.

The next step was to apply the problem solving and research action plans and the action steps to another research cycle, so that as described in Chapter 3, the research makes a “distinctive contribution to knowledge” by “progress(ing) progress through at least two or three major cycles” (Zuber-Skerritt & Perry 2002, p176).

With the YFHS project Steering Committee being dedicated to a single project, there was no scope to continue to contribute to problem solving nor advance the author's research interest with this group of project stakeholders, therefore as mentioned in Chapter 3, the author's plan was to pass the reflections gained by working with the YFHS project Steering Committee onto another workgroup. (Zuber-Skerritt & Perry 2002, p176-177).

#### **5.4 Action Research Cycle 5 – The Aboriginal Community Liaison Officers (ACLOs) Feasibility Study**

##### **5.4.1 The Project Organisation**

Action research cycle 5 involving the Aboriginal Community Liaison Officers (ACLOs) Feasibility Study was conducted with the Victoria Police Community and Cultural Division – refer to section 5.2.4 for a description of the alignment between Victorian state government policy, Victoria Police and the Community and Cultural Division.

As per the CYPRASS project that comprised action research cycle 3, Victoria Police did not require anonymity in the author's doctoral dissertation, however did require the author to note that the views of participating members of Victoria Police are personal in nature and are not necessarily representative of Victoria Police in general (Poznanski 2005, p3).

The ACLOs Feasibility Study was being planned by the Victoria Police Aboriginal Advisory Unit (AAU), at the time the author met the Police Commander responsible for the Community and Cultural Division in early 2003. The Aboriginal Advisory Unit (AAU) is one of the seven (7) offices operating within the Victoria Police Community and Cultural Division (Victoria Police - Office of Deputy Commissioner 2003, p2), its function being to “further improve the good relationships that exist between Victoria Police and Victorian Aboriginal Communities” (Victoria Police 2005).

The ACLOs Feasibility Study had two (2) main groups of stakeholders – Victoria Police and the indigenous communities of Victoria (Victoria Police 2003, p3). Membership of the ACLOs Feasibility Study Steering Committee (derived from the Victoria Police Aboriginal Policy Reference Group (O'Sullivan 2003, p2)) reflects these two main groups of stakeholders, with the 'Committee's members comprising representatives from the following agencies (Victoria Police 2003, p18) :

- Victoria Police Aboriginal Advisory Unit;
- Victorian Aboriginal Community Services Association (VACSAL);
- Victorian Aboriginal Legal Services (VALS);
- Aboriginal and Torres Strait Islanders Commission (ATSIC);

- Aboriginal Community Justice Program (ACJP);
- Department of Justice (Koori Recruitment and Career Development);
- Department of Justice (Indigenous Issues).

The ACLOs Feasibility Study Steering Committee based the definition of the Feasibility Study's objectives upon the following key federal Australian and Victorian state government initiatives (Victoria Police 2003, p4):

- The Royal Commission into Aboriginal Deaths in Custody;
- The Victorian Aboriginal Justice Agreement (VAJA);
- The Victorian state government policy – Growing Victoria Together (GVT);
- The Victorian Police Aboriginal Strategic Plan.

The Royal Commission into Aboriginal Deaths in Custody was established in October 1987 to investigate "why so many Aboriginal people were dying in prison" (Aboriginal and Torres Strait Islander Commission (ATSIC)). The findings and recommendations of the Royal Commission released in May 1991 included recommendations 188, 214 and 215 which emphasised the need for Aboriginal self-determination, for involving Aboriginal people in developing community policing and for introducing procedures for negotiating with Aboriginal communities (Victoria Police 2003,p4).

The Victorian Aboriginal Justice Agreement (VAJA) is an initiative jointly developed by the Victorian state government "Department of Justice, Department of Human Services, Aboriginal and Torres Strait Islander Commission(ATSIC), the Victorian Aboriginal Justice Advisory Committee (VAJAC) and the Koori community to achieve improved Indigenous justice outcomes" (Department of Justice 2004). The aim of the VAJA which is considered essential to the reconciliation process (Victoria Police 2003, p4), is to address principles underlying the Royal Commission into Aboriginal Deaths in Custody, by minimising "Indigenous over-representation in the criminal justice system by improving accessibility, utilisation and effectiveness of justice-related programs and services in partnership with the Aboriginal community" (Department of Justice 2004).

The Victorian state government policy "Growing Victoria Together" is relevant to the ACLOs Feasibility Study for two main reasons. Firstly because one of the priority policy issues is that of "Promoting rights and respecting diversity" (Department of Premier and Cabinet 2003, p26) and secondly because of the reliance upon Victoria Police to deliver to the priority of "safe streets, homes and workplaces" (Department of Premier and Cabinet 2003, p14). With

respect to the policy issue of "Promoting rights and respecting diversity", the government has defined the corresponding actions being to (Department of Premier and Cabinet 2003) :

- “Improve awareness of rights and promote equal opportunity;
- Improve access to courts, legal aid, victim support and alternative dispute resolution procedures;
- Increase racial and religious tolerance;
- Promote reconciliation between indigenous and non-indigenous Victorians and move to redress the dispossession of Aboriginal land and culture;
- Improve access to services for culturally and linguistically diverse Victorians”.

Of additional relevance is that “Growing Victoria Together” considers reconciliation between indigenous and non-indigenous Victorians as one of the State's top 10 key challenges in the coming decade (Department of Premier and Cabinet 2003, p5).

When considering the reliance upon Victoria Police to deliver to the priority of “safe streets, homes and workplaces” (Department of Premier and Cabinet 2003, p14), the ACLOs Feasibility Study addresses the two key Victoria Police outputs of Diversion and Support Programs and Partnership Policing as depicted in Figure 5-8.



Figure 5-8- Alignment of the ACLOs Feasibility Study with the strategic goals of Victoria Police and Victoria State Government (adapted from Corporate Improvement Unit 2003a, p7)

From the perspective of the Victoria Police Aboriginal Advisory Unit, the ACLOs Feasibility Study was established with a view towards the role of ACLOs addressing the following objectives of the Victoria Police Aboriginal Strategic Plan (Victoria Police 2003, p3), to:

- “Create a positive partnership between members of Victoria Police and the Indigenous community;

- Assist Indigenous communities in identifying the ways in which Police can support them in attaining recognition of the rights of Australian Indigenous people;
- Increase implementation and maintenance of safety and security within Indigenous communities;
- Strive towards ensuring Victoria Police is representative of the communities they serve;
- Reduce the level of crime committed by and against Indigenous people, within the community;
- Ensure that the Aboriginal Advisory Unit adopts a leadership role in establishing and setting the agenda for Victoria Police Indigenous affairs issues”.

#### **5.4.2 *The Problem Solving Project***

The purpose of the ACLOs Feasibility Study was to scope the work required to employ, train and support Aboriginal Community Liaison Officers (ACLOs) within each Victoria Police operating region (Victoria Police 2003, p3) and thus define the ACLOs project business case.

The objectives of the ACLOs Feasibility Study, as defined by the responsible Steering Committee were (Victoria Police 2003, p3) :

- To help build a solid foundation of trust and respect between police and Indigenous people;
- To improve understanding between police and Indigenous people through better communication and working toward common goals;
- To employ Aboriginal Community Liaison Officers (ACLOs), increasing the number of Indigenous people working within Victoria Police;
- To support and enhance the existing partnerships and programs such as the Victorian Aboriginal Justice Agreement (VAJA) and the Aboriginal Community Justice Panels (ACJP - volunteer based).

At the time of initiating the Feasibility Study, the Steering Committee considered the ACLOs role to be one of an unsworn, full time, permanent member of Victoria Police, responsible for liaising with the Indigenous community so that the Victoria Police can provide effective and appropriate law and order policies to the Indigenous community (Victoria Police 2003, p3).

With reference to the Literature Review included in Chapter 2 of this dissertation, the clear alignment between the ACLOs Feasibility Study, Aboriginal Advisory Unit strategic objectives, Victoria Police strategic goals and state government policy confirms the ability of projects to implement strategy by supporting the ‘flow’ and ‘cascade’ of strategy through an organisation (Jamieson & Morris 2004, p1), with the Aboriginal Community Liaison Officers intended to serve as “vectors” (Bredillet 2002, p74) relating the Victoria Police organisation to indigenous communities in Victoria. The alignment of Aboriginal Advisory Unit and Victoria Police strategic objectives and outputs with the goals of state government policy is an example of a public sector organisation broadening its focus from a policy driven one to one driven by both policy and strategy (Llewellyn & Tappin 2003, p959). The hierarchical representation of Victoria Police outputs and state government outcomes is consistent with the literature which describes hierarchical diagrams as providing “a very effective means of structuring and managing strategy, and communicating it to the organisation” (Morris 2004, p3), leading to an improved “understanding (of) the relationship between organisational objectives and project objectives”, with each objective linking the others in a “means-end chain” and the project objectives being subordinate to higher-level organisational objectives (deWit 1988, p167).

The multifaceted context of the ACLOs Feasibility Study is representative of the public sector contexts described in the literature reviewed in Chapter 2 as comprising “a variety of competing signals that emanate not from markets but from complex political, economic, legal and organisational structures, processes and relationships” (Wechsler & Backoff 1987, p35, p40).

In terms of a partnership project that is responding to local community needs, the ACLOs Feasibility Study is both an example of

- the public service moving away from “the intellectual glamour [...] of policy development and advice to the much less exciting but ultimately more necessary area of delivering results that the community can see and appreciate” (Barber 2002, p13); and
- changing community expectations, with Victorian communities wanting “policing services that are more sensitive to their local needs and priorities. They want to be informed and actively involved in how they are policed” (Nixon quoted in Corporate Improvement Unit 2003b, p3).

The diversity of ACLO Feasibility Study stakeholders is consistent with trends reported in the literature predicting that the delivery of public sector services is becoming dependent upon an

increasing number and type of working relationships involving various public and private sector stakeholders (Ferlie & Steane 2002, p1460) that will require processes and time to effectively reconcile and synthesise multiple perspectives before a service can be defined (Donnelly 1999, p51). Whilst consistent with the reviewed body of literature in the main, the clear alignment between the ACLOs project, Victoria Police strategic goals and state government policy are contrary to the findings of a recent survey conducted by the Cranfield School of Management which reported that “the strategy of most organisations provides little direction or support for improvement initiatives” (Presswire 2004, p1).

In terms of the ACLOs Feasibility Study being intended to define the business case for the ACLOs project, this aligns closely with concepts described in the literature review included as Chapter 2 of this dissertation. Firstly, that a business case is a key element of the business management/project management interface (Morris & Jamieson 2004, p87). Secondly, that all governance decisions about a project be driven through the business case, with the business case used to “link project deliverables to corporate strategy through understanding and quantifying the benefits that the project is intended to contribute” (Cooke-Davies 2001, p2). Thirdly, that business cases “devoid of intangible analysis” lead to “projects vital to the enterprise go(ing) unfunded because intangibles can’t add to the hard number ROI”; potentially undermining “critical strategic goals” (Keen 2003a, p20).

### ***5.4.3 Action Research Steps***

#### *5.4.3.1 Action Research Step 1 – Identification*

##### Action Research Step 1 – Problem Solving – Identify problem

The purpose of the ACLOs Feasibility Study was to scope the work required to employ, train and support Aboriginal Community Liaison Officers (ACLOs) within each Victoria Police operating region (Victoria Police 2003, p3) and thus define the ACLOs project business case.

Based on their combined experience of working in Victoria Police and with indigenous Victorian communities, the manager of the Aboriginal Advisory Unit (AAU) knew that these two key groups of stakeholders would define some expected outcomes of the ACLOs project in common and some differently. In particular, the expected differences would concern indigenous communities seeking intangible outcomes similar to the list of currently relevant intangibles described by the UK Government Future and Innovation Unit i.e. leadership, communication, culture/values, innovation, relationships, learning, processes, reputation and trust (Future and Innovation Unit 2001). However, at the time of the author meeting the

manager of the AAU and the policy/research officer assigned to the ACLOs Feasibility Study, there was no known way for Victoria Police to identify and define priority intangible outcomes and the tangible outputs required to ensure delivery of the intangible outcomes and therefore include mention of them in the ACLOs project business case. Therefore, the author was asked to work with the policy/research officer to help them to do so. This information – the definition of intangible outcomes identified by indigenous Victorian communities and associated tangible outputs could then be used as the basis for estimating the work activities and resources required to generate the intangible outcomes expected by indigenous Victorian communities. These estimates could then be included in the ACLOs project business case, along with the outcome profiles and cross reference of intangible outcomes and tangible outputs as attachments to the standard Victoria Police business case document (that currently did not address intangible project outcomes). It was the policy/research officer's responsibility to develop and include the same type of information for expected tangible outcomes of the ACLOs project.

#### Action Research Step 1 – Research Interest – Identify research interests

The approach being taken to conduct the ACLOs Feasibility Study meant that the author's method for identifying and defining intangible outcomes and associated tangible outputs used in action research cycles 3 and 4 had to be slightly modified. The ACLOs Feasibility Study was being conducted in a highly consultative manner, with a series of twelve (12) community consultation meetings scheduled to be conducted from mid July 2003 to mid August 2003 throughout metropolitan and regional Victoria. The meetings were being conducted by a senior sworn member of the AAU along with the policy/research officer assigned to the ACLOs Feasibility Study. The purpose of the meetings was to gain input from indigenous communities about their expectations of the role ACLOs would play in their local community. The author's work commitments and personal financial commitments prevented them from accompanying the Victoria police representatives to the series of consultative meetings. Instead it was agreed that the author would use the documented report of the consultative meetings as the basis for identifying and defining priority intangible outcomes and associated tangible project outputs, therefore providing the policy/research officer with the basis for estimating the cost of resources required to develop the tangible outputs that would ensure the delivery of intangible outcomes of the ACLOs project.

Despite the slightly modified approach, the research question remained the same *How to improve the way in which project stakeholders define and align intangible project outcomes, with tangible project outputs ?*

#### *5.4.3.2 Action Research Step 2 – Reconnaissance*

##### Action Research Step 2 – Problem Solving – Reconnaissance of problem context

Reconnaissance of the problem context comprised meetings with the Police Commander responsible for the Community and Cultural Division, the manager of the Aboriginal Advisory Unit (AAU) and the policy/research officer assigned to conduct and document the ACLOs Feasibility Study.

##### Action Research Step 2 – Research Interest – Reconnaissance of relevant literature

The scope of the literature review was not increased in association with action research cycle 5.

#### *5.4.3.3 Action Research Step 3 – Planning*

##### Action Research Step 3 – Problem solving - Planning the problem solving activity

Since the ACLOs Feasibility Study was based on a series of twelve (12) consultative community meetings that the author was unable to attend due to work and personal financial constraints, it was agreed with the Manager of the AAU and the policy/research officer assigned to the ACLOs Feasibility Study, that the general approach to identifying intangible project outcomes and corresponding tangible outputs would remain the same as per action cycle 3 for the CYPRASS project, with the policy/research officer responsible for collecting and documenting the information required by the author to develop outcomes profiles and the cross-reference of intangible project outcomes to corresponding tangible outputs.

##### Action Research Step 3 – Research Interest - Planning the research project

The planning of the research project was addressed by the combined problem solving and research interest steps described in the next section.

#### *5.4.3.4 Action Research Step 4 – Define Action Steps*

##### Action Research Step 4 – Combined Problem Solving and Research Interest Steps

As described in section 5.4.3.3 above, it was agreed with the Manager of the AAU and the policy/research officer assigned to the ACLOs Feasibility Study, that the policy/research officer was responsible for collecting and documenting the information required by the author to develop outcomes profiles and the cross-reference of intangible project outcomes to corresponding tangible outputs. Table 5-3 describes how the action steps used in action research cycles 3 (CYPRASS project) and action research cycle 4 (YFHS project) would be adapted for use in action research cycle 5 to assist the ACLOs Feasibility Study to develop the ACLOs project business case :

Table 5-3 – Action Research Steps for Action Research Cycle 5

Step No.	Description from action research cycles 3 & 4	Action Research Cycle 5 Step No.	Description for action research cycle 5	Action research cycle 5 Primary Responsibility
1	Identify project stakeholders;	1	Identify indigenous project stakeholders – i.e. indigenous communities with which community consultative meetings would be held.	Policy/ Research Officer
2	Schedule & conduct introductory meeting with project stakeholders;	2	Schedule community consultative meetings with indigenous stakeholders	Policy/ Research Officer
3	Conduct stakeholder workshop;	3	Conduct community consultative meetings.	Policy/ Research Officer
3i	Identify tangible project outputs;		Not included in agenda of community consultative meetings with indigenous stakeholders.	Policy/ Research Officer
3ii	Identify and prioritise intangible project outcomes;	3i	Ask attendees at community consultative meetings to describe their	Policy/ Research Officer
3iii	Define priority project outcomes.		expected outcomes of the ACLOs project.	
		3ii	Document meeting outcomes as a report.	
		3iii	Analyse the meeting outcomes report to identify priority intangible outcomes.	Author
4	Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;	4	Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;	Author
5	Review tangible project outputs.	5	Review resources and activities required to generate tangible project outputs required to deliver intangible outcomes with the policy/research officer.	Author

So the policy/research officer would complete the work equivalent to steps 1, 2 and 3 via their attendance at the community consultation meetings and documentation of the meeting results. There was no intention for the agenda of the community meetings to match that of the workshop that was scoped to address the author’s research interest. Instead, intangible outcomes expected by the indigenous communities of Victoria of the ACLOs project would be addressed within the context of the community consultation meetings and documented as such. The meeting results documented by the policy/research officer would then be used by the author as the basis of steps 4 and 5 which would include the author conducting periodic reviews with the policy/research officer with a view towards the Outcome Profiles and cross-reference of intangible project outcomes to tangible project outputs being key references during the preparation of the ACLOs project business case by the policy/research officer.

#### 5.4.3.5 Action Research Step 5 – Implement Action Steps

##### Action Research Step 5 – Combined Problem Solving and Research Interest Steps

The revised version of Action Steps defined for action research cycle 5, were implemented as follows :

1. Identify indigenous project stakeholders;

Working with the ACLOs Feasibility Study Steering Committee, the policy/research officer identified eleven (11) indigenous communities in Victoria, where consultative meetings would be held. There were a combination of metropolitan and regional communities representing the areas surrounding the towns of Bendigo, Echuca, Swan Hill, Robinvale, Mildura, Halls Gap, Horsham, Shepparton, Gee long, Warrnambool and Melbourne Metropolitan.

2. Schedule community consultative meetings with indigenous stakeholders;

The policy/research officer scheduled twelve (12) meetings with the eleven (11) indigenous communities between mid July 2003 and mid August 2003, with two (2) meetings being held in Shepparton.

3. Conduct community consultative meetings

- i. Ask attendees at community consultative meetings to describe their expected outcomes of the ACLOs project.

As expected by the Manager of the AAU and indicated in the meetings outcomes report, members of the indigenous communities emphasised the importance of the facilitation and relationship aspects of the ACLO role, founded on the ACLO's 'connectedness' to the local indigenous community.

- ii. Document meeting outcomes as a report.

As planned, the policy/research officer documented the meeting outcomes as a report titled "Regional Consultation Feedback" (O'Sullivan 2003).

- iii. Analyse the meeting outcomes report to identify priority intangible outcomes;

Using skills primarily developed as a software testing consultant (to identify and extract testing requirements from software documentation), the author analysed the "Regional Consultation Feedback", identifying an overarching priority intangible outcome and four (4) subordinate intangible outcomes as follows:

The overarching priority intangible outcome was 'The ACLO "Connects" with the local Aboriginal community', and the four subordinate intangible outcomes of :

1. The ACLO develops mutual understanding and trust between the local Aboriginal community and Victoria Police members;
2. The ACLO is a role model for local Aboriginal children and youth;
3. The ACLO assists members of the local Aboriginal community to solve societal problems;
4. The ACLO develops good working relationships with local existing Indigenous agency and committee representatives.

The policy/research officer assigned to the ACLOs Feasibility Study reviewed and agreed with the author's identification of these priority intangible ACLOs project outcomes.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

As planned, the author documented Outcome Profiles for each of the five priority intangible outcomes identified in the previous step, with a risk assessment conducted for only the 'over arching' intangible outcome of 'The ACLO "Connects" with the local Aboriginal community' by mutual agreement between the policy/research officer and the author. The basis of this agreement was that the level of detail included in the collective outcome profiles was sufficient for the purposes of the ACLOs project business case, especially since the outcome profile including the risk assessment served as an example of how to assess the risks associated with the remaining intangible outcomes. The Outcome Profile for the overarching intangible outcome of 'The ACLO "Connects" with the local Aboriginal community' is included as Appendix 28.

The outcome profile for the 'over arching' intangible outcome of 'The ACLO "Connects" with the local Aboriginal community' defines the commonalities shared by the four subordinate intangible outcomes. These commonalities include ownership of the outcome, the expected beneficiaries, benefits, roles and responsibilities, forms of assessment, dependencies and risks. In terms of ownership, contrary to the general recommendation that outcomes have a single owner, ownership of each expected intangible outcome is shared between members of the local police force and members of the local aboriginal community. This shared ownership then dictates that other key aspects of each expected intangible outcome are also shared :

- Expected benefits will be shared between beneficiaries representing members of the local police force and the local Aboriginal community;

- Roles and responsibilities for delivering each outcome are shared between members of the local police force and the local Aboriginal community;
- The forms of assessment need to address the shared ownership of the outcome, comprise a combination of quantitative assessment primarily required to meet police reporting needs and qualitative assessment to supplement the quantitative assessment and meet the assessment needs of the local aboriginal community.
- Documented dependencies and risks also reflect the dependence on the combination of members of the local police force and the local Aboriginal community.

As planned, a cross-reference table mapping intangible project outcomes to tangible project outputs was documented and is included as Appendix 29.

5. Review resources and activities required to generate tangible project outputs required to deliver intangible outcomes with the policy/research officer.

The lists of tangible outputs documented for each Outcome Profile were reviewed with the policy/research officer. The lists of outputs comprised two main categories, firstly of standard Human Resources Management, Support and Training outputs and secondly the locally customised outputs created by the ACLOs.

Human Resources Management outputs include an ACLO position description, standard interview procedures, interview questions, letters of offer/rejection and performance review criteria, forms and reports. Support and Training outputs include a standard presentation that each ACLO can use to introduce themselves to community groups, letter and report templates and directories of relevant contacts from Victoria Police, government and non-government organisations.

Based on this categorisation, it became evident that to date, the project outputs required to provide the ACLOs with sufficient support and training to deliver intangible project outcomes had been significantly under-estimated. Therefore the revised effort estimates needed to be reviewed with the Manager of the AAU and Steering Committee members. The consequences of under-estimation of resources to date were that Victoria Police in particular did not assign sufficient resources to provide support and training to the ACLOs.

#### 5.4.3.6 Action Research Step 6 – Reflection

##### Action Research Step 6 – Problem Solving - Reflect upon problem solving efficacy

The following was identified by reflecting upon each action step :

1. Identify indigenous project stakeholders;

The policy/research officer was able to relatively easily identify communities of indigenous project stakeholders with the assistance of the ACLOs Feasibility Study Steering Committee.

2. Schedule community consultative meetings with indigenous stakeholders;

The policy/research officer was able to schedule community consultation meetings with the assistance of the ACLOs Feasibility Study Steering Committee and members of staff within the Aboriginal Advisory Unit (AAU).

3. Conduct community consultative meetings

- i. Ask attendees at community consultative meetings to describe their expected outcomes of the ACLOs project.

To ensure consistency between community consultation meetings, a list of questions predefined by members of the AAU and approved by the ACLOs Feasibility Study Steering Committee was used as the basis of discussion at each meeting.

- ii. Document meeting outcomes as a report.

The policy/research officer was able to use the list of predefined questions posed to the consultative community meetings as a guide for the report structure.

- iii. Analyse the meeting outcomes report to identify priority intangible outcomes;

The author's analysis of the meeting outcomes report using pre-existing skills gained by analysing software documentation for software testing requirements meant that the author was able to extract the priority intangible outcomes from the meeting outcomes report quite readily.

The policy/research officer's agreement with the priority intangible outcomes identified by the author verified the accuracy of the author's analysis. The policy/research officer was "amazed" that the author was able to identify the priority intangible outcomes from the documentation, as clearly as if they had actually attended the meetings.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

As planned, using the Outcome Profile sub-headings used in both action research cycles 3 and 4, the author was able to document Outcome Profiles for each priority intangible outcome.

As planned, a cross-reference table mapping intangible project outcomes to tangible project outputs was also documented.

5. Review resources and activities required to generate tangible project outputs required to deliver intangible outcomes with the policy/research officer.

The categorisation of tangible outputs into the two categories of standard Human Resources Management, Support and Training outputs and locally customised outputs created by the ACLOs, highlighted the importance of ACLOs being provided with a base kit of information including document templates that they would then customise as required according to local requirements. Whilst the base kit of information and templates would serve a number of purposes, a main one was to maximise the time the ACLO would spend ‘out of the office’, connecting with the local indigenous community’.

The risk assessment conducted for the overarching intangible outcome of ‘The ACLO “Connects” with the local Aboriginal community’ identified twelve (12) of the total nineteen (19) risks as being Medium and thus requiring ongoing management of mitigation/contingent actions to prevent these risks from becoming high risks. With most mitigation/contingent actions being depended on the creation of tangible outputs, it was important that Victoria Police resources especially, were assigned to the ACLOs project and the cost of doing so, included in the ACLOs project business case.

The outcome profiles and the cross-reference mapping intangible project outcomes to tangible project outputs were both in a format that allowed them to be included as attachments to the ACLOs project business case document.

#### Action Research Step 6 – Research Interest - Reflect upon research interests

The following was identified by reflecting upon each action step :

1. Identify indigenous project stakeholders;

This activity was able to be completed by the policy/research officer with assistance from others.

2. Schedule community consultative meetings with indigenous stakeholders;

This activity was able to be completed by the policy/research officer with assistance from others.

3. Conduct community consultative meetings

- i. Ask attendees at community consultative meetings to describe their expected outcomes of the ACLOs project.

Use of the same list of a predefined questions at each community consultation meeting lead to consistent approach to capturing meeting results.

- ii. Document meeting outcomes as a report.

Use of the list of predefined questions posed to the consultative community meetings as a guide for the report structure, led to the meeting outcomes report being documented in a form consistent with the actual conduct of the meetings. However, since this report did not document the financial expectations of individual outcomes, this information was not available to the author. Therefore financial summaries were excluded from all outcome profiles.

- iii. Analyse the meeting outcomes report to identify priority intangible outcomes;

The author relied on her pre-existing skills (gained by analysing software documentation for software testing requirements) to identify and extract the priority intangible outcomes from the meeting outcomes report. The analytical results were objective because the author had not been present at the meetings and therefore was identifying and extracting information from the record of the meetings that had been accepted as complete and true by members of the AAU, including the senior sworn officer who had accompanied the policy/research officer to the community consultative meetings. The policy/research officer's spontaneous and positive reaction to the author's identification of priority intangible outcomes strongly supports the accuracy of the author's analysis.

This experience demonstrated to the author that the person responsible for analysing a document to identify and extract intangible project outcomes

- would benefit from having skills and experience that assisted them to apply a repeatable straightforward technique to identify and extract intangible project outcomes from an existing document; and
- they need not be the author of the document, nor have participated in meeting/s and/r discussions that generated the document.

4. Document Outcome Profiles and cross-reference intangible project outcomes to tangible project outputs;

As expected this step was able to be conducted in very much the same way as had occurred for action research cycles 3 and 4, with the Outcome Profile sub-headings used in action research cycles 3 and 4 providing the author with the necessary structure to define each priority intangible outcome for the ACLOs project. The agreement between the author and the policy/research officer for the author not to conduct risk assessments for the four (4) subordinate intangible outcomes indicated that a subset of Outcome Profile headings may be sufficient for the purposes of generating business case estimates

As expected, the cross-reference table mapping intangible project outcomes to tangible project outputs was able to be documented in the same way as had occurred for action research cycles 3 and 4.

5. Review resources and activities required to generate tangible project outputs required to deliver intangible outcomes with the policy/research officer.

As expected this step was able to be conducted in very much the same way as had occurred for action research cycles 3 and 4. Estimates of the resources required to develop the tangible outputs to support the delivery of intangible project outcomes were able to be included in the ACLOs project business case along with the information that linked the estimates to the tangible outputs and intangible outcomes.

#### *5.4.3.7 Action Research Step 7 – Amend Action Plan*

##### Action Research Step 7 – Combined Problem Solving and Research Interest – Exit if the problem has been solved and the research question satisfactorily addressed

Action research cycle 5 was able to replicate the results of action research cycles 3 and 4 for the most part, with slight variations in approach and documentation formats dictated by the problem solving projects. Therefore, the author and her academic supervisor agreed that action research cycle 5 would comprise the final cycle of action research undertaken by the author for the purposes of her doctoral dissertation, and that the completion of action research cycle 5 signalled the exit point from the series of action research cycles.

With reference to McKay and Marshall's dual cycle of action research described in Chapter 3 of this thesis (McKay & Marshall 2001, p50-51), completion of action research cycle 5 satisfied the action research exit criteria of both the problem having been solved and the research question having been addressed.

This decision to exit the series of action research cycles was based on the results of action research cycles 3, 4 and 5 satisfying the following conditions of action research included in Chapter 3 of this dissertation :

- The need for a doctoral level action research project to “progress through at least two or three major cycles to make a distinctive contribution to knowledge” (Zuber-Skerritt & Perry 2002, p176);
- The number of action research cycles being determined according to the extent to which an additional cycle will contribute to understanding (Shaw 1999, p63);
- The author having reached a point of “theoretical saturation” (Eisenhardt 1989, p545) with diminishing levels of return expected from any additional action research cycles;
- The author’s results considered to be replicable since “two or more cases are shown to support the same theory” (Yin 1994, p31);
- The author being able to draw conclusions that describe the results of action research in terms of “What I have found true of the people in this study is likely to be true of any people placed in this situation” (Kidder and Judd cited in Hyde 2000, p84);
- The ‘useability’ of action research results to find solutions to real problems (Levin & Greenwood 2001, p107);
- The action research having been demonstrably objective because :
  - “the social world constructed by those researched” (Carter 1999, p13) was clearly described, along with relevant “backstage information” (Riege 2003, p81);
  - Full descriptions of the research methods used, were provided (Carter 1999, p13; Riege 2003, p81);
  - The impact of the author’s prior experience was taken into account (Carter 1999, p13);
  - Study data had been retained for reanalysis by others (Riege 2003, p83).

Further endorsement of the author and her academic supervisor’s decision that both the problem solving and research interests had been met by the series of five (5) action research cycles is provided by the journal papers approved for publication and the number and diversity of conference/seminar audiences to whom the author has presented the results of this research study (Refer to Appendix 30 for details). Conference\seminar audiences include project management academics and professionals (Australia and the USA), international

knowledge management academics (Australia, the United Kingdom and France), evaluation professionals (Australia), operations management academics (Australia/New Zealand), information systems academics (Asia-Pacific), international health promotion professionals, criminal justice academics and professionals (USA) and senior members of the Victoria Police force.

### **5.5 Summary**

The author used a dual cycle approach comprising the two (2) parallel cycles of problem solving and research to help organisations solve the problem of defining and aligning intangible project outcomes with tangible project outputs, whilst simultaneously advancing the practice of project management.

The problem solving value of action research cycles 3, 4, and 5 was validated by the organisations' responses to the value provided to the problem solving projects along with additional requests for assistance which took the form of :

- The Campaspe PCP asking the author to integrate the action research results into the existing health promotion planning approach and templates and to conduct a half (½) day educational workshop for Campaspe PCP service providers introducing them to the use of the revised planning approach and templates (Refer to Appendix 25 and Appendix 26 for more detail);
- Victoria Police inviting the author to be a speaker at their November 2003 Senior Management Conference and to also assist with the planning and delivery of conference workshops for members of senior management to put the step-wise approach for identifying, prioritising and defining intangible project outcomes into practice (using a predefined crime prevention case study).

In addition to these qualitative forms of validation, the author's involvement in the Victoria Police Senior Management Conference provided the opportunity to use pre- and post-workshop surveys to quantitatively validate the step-wise approach for identifying, prioritising and defining intangible project outcomes. The results of these surveys indicated that conference attendees' exposure to the author's presentation and participation in conference workshops had caused a statistically significant shift in conference attendees' confidence in identifying, prioritising and defining intangible project outcomes (Refer to Appendix 20 for more details).

The research value of action research cycles 3,4 and 5 was validated by the research study meeting predefined research quality criteria and action research conditions.

In addition, the author has also had a number of journal articles describing the research findings accepted for publication and also presented numerous seminar and conference papers in Australia and overseas (Refer to Appendix 30 for more details).

The following chapter draws conclusions from the experience gained by implementing the dual cycles of action research; describes the limitations and implications of the research along with potential future directions for additional research.

## **6 Conclusions**

### **6.1 Introduction**

This chapter commences with a summary of the research study conducted to address the research and problem solving question of *How to improve the way in which project stakeholders define and align intangible project outcomes with tangible project outputs ?* This is followed by a description of the expected contribution of the research study to general management and project management research and practice, a description of the limitations of the research study and further related research opportunities. The chapter concludes with a chapter summary.

### **6.2 Research Summary**

#### **6.2.1 Overview**

The DPM comprises a combination of coursework and research. As intended, the research idea sprang from a coursework project – in particular, the one that addressed the issue of "When developing a project proposal, many clients may not clearly think through the way in which intangible value such as organisational learning and innovation can be harvested. Discuss this issue with respect to the concept of delivering value to clients and stakeholders that moves beyond merely supplying a product or service that meets the immediate client needs".

The coursework project based on a literature review and interviews with a mixed sample of fifteen (15) experienced project managers, program managers and project sponsors, identified two key points. Firstly, that the delivery (or even acknowledgement) of intangible project outcomes was considered a 'point of difference' between good and better project managers (and projects) and secondly, that intangible project outcomes could be related to tangible project outputs, despite the absence of a known clear method for doing so. Whilst the evaluation of a project manager or project might be partly based on the achievement of intangible project outcomes, there seemed to be no tangible basis for such an evaluation.

Therefore the coursework project prompted the research idea, which was to improve the way in which project stakeholders defined and aligned intangible project outcomes with tangible project outputs.

Following on from the coursework project, the research study literature review identified that organisations are placing an increased strategic importance upon intangibles, and that it can be expected that the importance of intangibles will cascade from an organisation's strategy

through to its projects, in terms of both outcomes and outputs. With delivery of an organisation's strategy and its expected benefits being partially dependent upon project stakeholders developing a consistent understanding and means of identifying, prioritising and defining intangible project outcomes and their aligned project outputs. The literature review also identified that no such method existed.

The author responded to the anticipated need for such a method by planning and conducting an action research study which addressed the dual imperatives of research and problem-solving via series of five (5) action research cycles, commencing with two (2) exploratory action research cycles.

The first two (2) exploratory action research cycles focused on problem solving projects at an Australian Water Utility (AWU) and the Victims Referral and Assistance Service (VRAS), respectively. The first action research cycle at the AWU solved the problem to the satisfaction of the organisation, but did not satisfy the research interest. The second action research cycle at VRAS partially solved the problem and did not satisfy the research interest.

Therefore, the results of the first two (2) exploratory action research cycles resulted in the combined research and problem solving action steps being substantially revised prior to the start of action research cycle 3. These exploratory action research results are consistent with the action research literature which suggests that action researchers should not expect "immediate and substantial successes" from their initial stages of reflection. Instead they should be prepared to learn what needs to be done to deliver a successful result and plan to act on these learnings (Kemmis & McTaggart 1992, p87). With it being "quite usual to make substantial changes" (Kemmis & McTaggart 1992, p89) in light of actual events (Brook 2004, p6), during the early cycles of action research.

The problem solving value of action research cycles 3, 4, and 5 was validated by the organisations' responses to the value provided to the problem solving projects along with the author

- Being a speaker at numerous seminars and conferences in Australia and overseas;
- Having peer-reviewed journal articles published;
- Being invited to integrate the results of action research cycle 4 into an existing health promotion planning approach and templates and to conduct a half (½) day educational workshop for health service providers introducing them to the use of the revised planning approach and templates (Refer to Appendices 25 and 26 for more detail);

- Being invited to be a speaker at the Victoria Police (Australian state police force) Senior Management Conference and assist with the planning and delivery of related conference workshops during which attendees practised the step-wise approach for identifying, prioritising and defining intangible project outcomes (using a predefined crime prevention case study).

In addition to these qualitative forms of validation, the author's involvement in the Victoria Police Senior Management Conference provided the opportunity to use pre- and post-workshop surveys to quantitatively validate the step-wise approach for identifying, prioritising and defining intangible project outcomes. The results of these surveys indicated that conference attendees' exposure to the author's presentation and participation in conference workshops had caused a statistically significant shift in conference attendees' confidence in identifying, prioritising and defining intangible project outcomes (Refer to Appendix 20 for more details).

### **6.2.2 Original Contribution**

As introduced in Chapter 1, the research study described in this dissertation will advance general management and project management research and practice by providing organisations with an improved method for delivering strategic outcomes and benefits aligned to intangible project outcomes and tangible project outputs; by making the intangible tangible, linking project stakeholders' outcomes based perspective with the project manager and project team's outputs based perspective. This dissertation is in itself a 'how-to' guide.

Therefore, the planning, conduct and documentation of the author's research study complies with the DPM program requirement that the research component of the degree generate and develop practical and useful ideas that improve project management practice (Walker 2002, p2); developing both professional knowledge and "ways of working" (Malfroy 2004, p69).

Whilst the research study can be considered to have introduced relatively small changes to general management and project management research and practice, it can be expected that these changes have the potential to influence more extensive changes over time (Kemmis & McTaggart 1992, p24-25). For example, the method developed by the research study has the potential to be used to improve the identification, prioritisation and definition of all expected project outcomes – positive and negative, tangible and intangible. Also, a greater number of facilitators/project managers could be trained to deploy the method across a number of projects in different industries – both in the public and private sector.

The author's expectation as described in Chapter 1 of this dissertation is that the experience gained by planning and conducting the research study will help them to become a future leader of management and project management thought and practice (Graduate School of Business 2004, p2; Malfroy 2004, p73; Research and Graduate Studies Committee 2002, p1). An expectation that has already started to be realised by peer-reviewed journal articles having been accepted for publication and numerous seminar and conference presentations having been made, based on the research study described in this dissertation.

### **6.3 Research Study Limitations**

As described in Chapter 1, the Introduction to this thesis, the sample of projects was founded on the author's professional network of contacts; resulting in five (5) Australian public sector projects of similar complexity and pace, studied from late 2002 through to late 2003.

Also, due to the expected duration of a professional doctorate, the scope of the research study was limited to planning the delivery of expected positive intangible outcomes only, and does not address the latter project stages of execution and close-out/evaluation. Nevertheless, it is expected that periodic stakeholder reviews of outcome profiles and their associated outcome/output cross-reference table will ensure that the definition, priority and alignment of intangible project outcomes and outputs remain current and relevant throughout the course of a project.

The research study does not include the definition of expected positive tangible project outcomes or expected negative tangible and/or intangible project outcomes and their aligned tangible project outputs. Nor does the research study does not distinguish between direct and indirect expected outcomes. In addition, stakeholders of problem solving projects decided against defining financial summaries for expected positive intangible outcomes.

Also, in terms of the action research interviews, meetings and workshops,

- the author was the sole facilitator and scribe for all action research cycles (Additional facilitators were only involved in conducting the workshops at the Victoria Police Senior Management Conference);
- the groups of problem solving project stakeholders primarily comprised people responsible for delivering project outcomes, rather than receiving project outcomes or their associated benefits (with the exception of action research cycle 5 which involved indigenous community representatives).

Whilst the research study uses benefits management literature as a key input, there was no opportunity to integrate the method developed by the author with an organisation's established benefits management process.

#### **6.4 Further Research Opportunities**

The limitations of the research study described in this dissertation provide the following opportunities to build upon the combined scope of research and problem solving.

1. To define outcome profiles for expected intangible project outcomes, including financial summaries;
2. To refine the method to differentiate the definition of direct and indirect expected outcomes;
3. To apply the method to different types of projects – different in terms of how well project goals/methods are defined and/or in terms of project novelty, complexity, technological uncertainty and pace;
4. To extend the group of project stakeholders responsible for defining intangible project outcomes to also include those stakeholders expected to benefit from intangible project outcomes (in addition to those responsible for delivering the outcomes).
5. To integrate the method developed by this research study with established evaluation practices (as suggested by attendees of the May 2004 meeting of the Victorian chapter of the Australasian Evaluation Society).
6. To repeat the research study with private sector projects.
7. To repeat the research study with projects that are not clearly aligned to organisational strategy.
8. To repeat the research study in organisations which have a clearly defined benefits management process by integrating the definition of expected project benefits with their delivery by the established benefits management process.
9. To use the method developed by this research study to identify, prioritise and define combinations of expected positive and negative intangible and tangible project outcomes.
10. To extend the scope of this study focused on planning the delivery of intangible project outcomes to the actual delivery of intangible (and possibly also, tangible) project outcomes.
11. To identify key facilitator skills requirements, by training a greater number of project managers/facilitators/researchers to implement the method developed by this research

study across one/multiple organisations, capturing their short-term, medium-term and longer-term training feedback, and amending the facilitator training materials accordingly.

In addition, the findings of the research study described in this dissertation could be used to review/modify business case templates, ensuring that they adequately address expected tangible and intangible outcomes in terms of corresponding tangible project outputs and the resources required to generate them.

Identification of these future research opportunities does not diminish the contribution of the author's research study since "Good research can and does provide a momentum for further research to be undertaken" (Trim & Lee 2004, p473) and new data doesn't destroy existing theory, it just expands and improves upon it (Gummesson 2000, p90).

### **6.5 Summary**

This chapter commenced with an overview of the research study; describing how it progressed from a coursework project to a research study that comprised a literature review and a series of five action research cycles focused on addressing the combined research and problem solving question of *How to improve the way in which project stakeholders define and align intangible project outcomes, with tangible project outputs ?*

This is followed by a description of how the method developed by the research study contributes to general management and project management research and practice by providing organisations with an improved method for delivering strategic outcomes aligned to intangible project outcomes and tangible project outputs; making the intangible tangible, linking project stakeholders' outcomes based perspective with the project manager and project team's outputs based perspective. As a result of this contribution to research and practice, the author's research study complies with the DPM program requirement that the research component of the degree generate and develop practical and useful ideas that improve project management practice (Walker 2002, p2); developing both professional knowledge and "ways of working" (Malfroy 2004, p69).

The chapter concludes with a description of research study limitations and opportunities for future related research.

## 7 Bibliography

Note : References capable of identifying the water utility anonymously described as the Australian Water Utility (AWU) have been “blacked out” in the Bibliography.

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## **8 Appendices**

### **8.1 Appendix 1 – Research Methodology – Research Strategy Options**

#### **8.1.1 Introduction**

As introduced in section 3.3 of this dissertation, the following sections of this appendix describe the research paradigms, approaches, methodologies and data collection methods considered by the author when planning the research strategy for the research study described by this dissertation.

#### **8.1.2 Research Paradigms**

Taking a top-down view of research options, a research paradigm provides the “overarching framework” (Heron & Reason 1997, p274) that defines the researcher’s approach to “the development of knowledge” (Saunders 2003, p83).

There is no common agreement regarding the types or numbers of key research paradigms. For example, Saunders describes the three most common paradigms included in the literature as being positivism, realism and interpretivism (Saunders 2003, p83), whilst Riege describes the four main paradigms as positivism, realism, critical theory and constructivism (Riege 2003, p77) and Stiles describes them as positivism, symbolic interactions, ethnomethodology, realism, idealism and phenomenology (Stiles 2003, p263). Whilst some may consider all these different perspectives as problematic, it can also be argued that “these differences are simply a reflection of alternative combinations of political and value considerations, which exist in the world we operate in, and that each combination – and consequent approach – can therefore usefully provide further insights into investigation” (May cited in Stiles 2003, p263).

Of these options, the author’s literature review focused on positivism, interpretivism, constructivism, and realism, with a summary of each provided in the following sub-sections.

##### **8.1.2.1 Positivism**

Positivist researchers are theory driven, so implement fixed, defined research plans which are designed to prove that a predefined hypothesis is true (Clark 2004, p1). Positivism is usually associated with the natural sciences (Saunders 2003, p84) where a positivist hypothesis has the notion of a single concrete reality which is knowable and unchangeable (Clark 2004, p1, p3) and can be defined by ‘definite laws’ (Saunders 2003, p84) that define relationships and/or causality that apply at all times (Welman 2002, p181).

Positivist researchers rely on observation as their form of enquiry to generate empirical knowledge that is objective and not biased by a researcher's direct involvement (Clark 2004, p1). Although the true extent of objectivity and lack of bias seems arguable considering comments such as those made by Saunders who describes the positivist researcher as assuming "the role of an objective analyst, coolly making detached interpretations about those data that have been collected in an apparently value-free manner" (Saunders 2003, p83). Nevertheless the strength of the paradigm is considered to be its ability to "fulfil the requirements of both generalisability and reliability" (Stiles 2003, p264), although it is also criticised for simply refining and extending what is already known (Stiles 2003, p263-264).

Whilst positivist research tends to be associated with "quantifiable observations that lend themselves to statistical analysis" (Saunders 2003, p83), this need not necessarily be the case, with qualitative data also able to be used in positivist research (Johnson and Cassell cited in Arnold 2004, p5).

#### *8.1.2.2 Interpretivism*

The interpretivist research paradigm assumes that the world is just as people perceive it to be (Cavana 2001, p9).

Therefore the aim of interpretivist research is for the researcher to "uncover the socially constructed meaning as it is understood by an individual or group of individuals" (Cavana 2001, p9) and to "describe it in a way that is meaningful for these research participants" (Saunders 2003, p84).

This is achieved by the researcher engaging and participating with (Cavana 2001, p9) the "social actors" (Schwandt cited in Locke 2001, p9) involved in the research situation, to develop an understanding of their subjective reality based upon the actors' motives, actions and intentions (Saunders 2003, p84).

So, in contrast with the 'single reality' view of positivism, interpretivist research assumes "it is more likely that people experience physical and social reality in different ways" (Cavana 2001, p9). Therefore in contrast with positivism, the interpretivist researcher needs to have a relatively flexible research plan capable of responding to information provided by the research 'actors' (Cavana 2001, p11).

Being based on peoples' subjective perceptions of reality leaves interpretivism open to criticism as being too subjective, focusing on micro-level events and not seeking to initiate

change (Cavana 2001, p10). Interpretivists respond to these criticisms of subjectivity by describing the fundamentals of interpretivism as being inconsistent with the concepts of verification and testability that rely on the elimination of personal subjective judgement (Locke 2001, p9). In addition, interpretivists believe that subjective researcher bias cannot be eliminated “because social scientists are caught in the same human meaning making web as those they study” (Locke 2001, p9). So, interpretivist researchers need to be ‘up front’ and “confess their values and interests” (Locke 2001, p9) and apply their preunderstanding as a resource and not a filter to bias an investigation (Gummesson 2000, p121). In response to criticisms concerning the micro-perspective of interpretivism, again interpretivists consider the “concern with discovering universally applicable laws or structuring principals (sic)” (Locke 2001, p9) to be inconsistent with the fundamentals of interpretivism (Locke 2001, p9).

Rather than defending interpretivism in the terms used to criticise it, proponents of interpretivism propose that resulting research instead be assessed according to its trustworthiness and authenticity (Cavana 2001, p11).

### *8.1.2.3 Constructivism*

Constructivism is based on the concept of each person constructing knowledge. (Oregon State University 2005) according to their individual interpretation of situations (Yackel, Cobb & Merkel 1990, p34).

More than a dozen different versions of constructivism are proposed in the literature (Windschitl 2002, p138). It is not the intention of this dissertation to examine each variant, only to comment upon those described in the limited review of constructivist research literature undertaken by the author.

Defined in terms of cognitive constructivism, individuals construct knowledge instead of receiving it from others (Scherer 1999, p5). With these individual constructs based on a combination of their experiences (Kinzie 2005) and ideas “that seem intuitively reasonable to them”, even though these ideas may “lack explanatory power or application across various situations and exhibit little internal coherence” (Windschitl 2002, p138). Therefore, “constructivists assume that that there are many possible interpretations of the same data, all of which are potentially meaningful” (Clark 2004, p3).

In contrast to cognitive constructivism, social constructivism “views knowledge as primarily a cultural product” (Vygotsky cited in Windschitl 2002, p139) and therefore focuses on the context in which knowledge is acquired (Windschitl 2002, p139), ascribing

meanings to peoples' actions within the wider framework of critical social theory (Clark 2004, p3). So, with its view of knowledge being a "social construction" (Clark 2004, p3), social constructivism is mainly concerned with the definition of social problems (Peper 2003).

Given its dependency on identifying individuals' knowledge constructs, data collection under this research paradigm is a discovery process dependent on the researcher making repeat visits to the "study site" to refine their hypotheses over time (Clark 2004, p5).

In the context of constructivist research studies, knowledge and interpretation result from the collective process that takes place between the researcher and respondents (Clark 2004, p3). So, constructivists dispute the argument that researcher bias can truly be eliminated from scientific enquiry, instead considering a researcher's subjectivity to be "an important aid in good judgement and understanding" (Clark 2004, p6), contributing to the "co-construction" of knowledge created by the researcher and the respondents (Clark 2004, p3). With this co-construction leading to an improved understanding of the similarities and differences of the constructions formerly held by the researcher and respondents (Anderson cited in Riege 2003, p77), including the researcher's earlier assumptions (Clark 2004, p3).

In keeping with the constructivist focus on individuals, constructivists study small populations, so do not generate "findings that are generalisable to behaviours, psychological motivations or even meanings made by other people" (Clark 2004, p6). Instead, the goal of the constructivist researcher is to seek out and interpret the common meanings held by people (Clark 2004, p6), to "offer an interpretation that challenges, provokes or encourages further questions rather than one that provides definitive explanations" (Clark 2004, p4).

Since constructivists consider all meanings to be co-created and to be of equal importance, they do not claim that their findings are more important than those of their research audience, nor that their findings are necessarily complete or final (Clark 2004, p3).

#### *8.1.2.4 Realism*

If positivism is considered to lie at one end of the spectrum of paradigms and interpretivism and constructivism towards the other end, then realism bridges these perceived extremes, overlapping each (Stiles 2003, p265).

On the one hand, realism accepts that people's understanding of the world emanates from their personal perspective and therefore knowledge of a situation needs to be examined 'inside out' (Stiles 2003, p265). However, this understanding is qualified by the realist

researcher's appreciation that this form of knowledge might be "partial or incomplete" (May quoted in Stiles 2003, p265) and therefore needs to be complemented by the use of theoretical frameworks that "determine the underlying mechanisms that influence people's actions" (Stiles 2003, p265). By bridging the gap between the positivist and constructivist and interpretivist perspectives (Stiles 2003, p265), realist research removes the debate about the selection of a paradigm being an 'either-or' decision. Instead, realists aim to understand the research situation by assembling multi-faceted views of reality (Riege 2003, p77).

Returning to the earlier comment about realism overlapping the contrasting ends of the paradigm spectrum, these overlaps may in turn present problems of definition as evidenced by the to-fro debate conducted by Mir and Watson and Kwan and Tsang regarding the definition and delineation of different forms of realism and constructivism (Kwan & Tsang 2001; Mir & Watson 2001) and acceptance by positivists that the realist approach is a valid alternative scientific approach for generating "rich" rather than "soft" data" (Riege 2003, p84).

Whilst recognising that the realist paradigm provides the researcher with the advantage of a holistic view of the research situation (without being compelled to separate facts and values, theory and practice) (Symons cited in Stiles 2003, p264), realists need to keep in mind that differences may remain between the real world and their particular definition of it (Riege 2003, p77).

### **8.1.3 Research Approaches**

#### *8.1.3.1 Introduction*

The two most commonly described research approaches – deductive and inductive, both comprise the steps of data collection and theory development, just in the reverse order from each other (Saunders 2003, p87). The deductive approach can be considered to be theory-driven, whilst the inductive approach is data-driven (Dick 2002a, p160). A deductive approach firstly develops a theory (or hypothesis) which is then proven by collected data, whereas an inductive approach firstly collects data and then uses it to develop a theory (Saunders 2003, p87).

Qualitative research may be conducted from either an inductive or deductive perspective (Saunders 2003, p377).

So, when defining their research approach, the researcher needs to consider a number of factors including whether their starting point is defined by the literature or the research

situation and whether they plan to closely follow a recipe or design and conduct their study to fit the situation (Dick 2002a, p168).

#### *8.1.3.2 Deduction*

Deduction is the “theory driven process” (Dick 2002a, p160) researchers use to move from a theoretical proposition towards concrete empirical evidence (Cavana 2001, p35) and is the “dominant research approach in the natural sciences” (Saunders 2003, p86). Whilst deductive research approaches are most often associated with the positivist research paradigm, this need not necessarily be the case (Saunders 2003, p85). A deductive approach is best suited to researching a topic on which there is a wealth of literature that can be used as the basis for defining the theoretical proposition (Saunders 2003, p90). The testing of the hypothesis is dependent on the clear definition and collection of sufficient measurable data to support the definition of cause and effect links between particular variables, resulting in confirmation of a rigorously tested, generalisable hypothesis (Saunders 2003, p86-87).

#### *8.1.3.3 Induction*

Induction is the process of observing particular phenomena to arrive at certain conclusions (Cavana 2001, p36) by collecting data to develop a theory (Saunders 2003, p85). So, an inductive research approach can be considered to be data driven (Dick 2002a, p160).

Given its dependence on collecting, analysing and reflecting upon data, the inductive approach is well suited to researching topics “on which there is little existing literature” (Saunders 2003, p91) and is also most often associated with the interpretivist research paradigm (although this need not necessarily be the case) (Saunders 2003, p85).

Whilst theory is developed in response to the collected data, induction does not comprise simple interpretation and extrapolation of collected data, it also relies on the researcher to challenge the theories emerging from the data “by seeking alternative explanations and negative examples that do not conform to the pattern or relationship being tested” (Saunders 2003, p384). Being data driven the flexibility of an inductive research plan needs to extend to the conduct of the literature review too, since the definition of ‘relevant literature’ may change over time (Dick 2002a, p161). The process of defining and applying a theory developed using an inductive approach is considered to be one of “moving from the specific to the general” because it “involves moving from individual observations to statements of general patterns or laws” (Collis 2003, p15).

#### **8.1.3.4 Combined Induction and Deduction**

Decisions regarding this aspect of the research strategy need not be made on an ‘either-or’ basis since a research strategy may comprise a combination of deductive and inductive research (Saunders 2003, p88). To the point where after the initial inductive or deductive stage, the research becomes a series of iterations or “interplays” (Hyde 2000, p88) between deduction and induction. A combination that Gummesson refers to as “abductive research” (Gummesson 2000, p64).

The use of both approaches ensures a balanced research approach, since extreme induction could deprive the researcher of useful theoretical perspectives and concepts and extreme deduction could preclude the researcher from developing new theory (Parke cited in Hyde 2000, p88). Advocating either extreme is considered undesirable (Parke cited in Hyde 2000, p88). In addition to the balance of perspectives, the resulting research plan will also comprise a balance of the relatively rigid structured approach to deduction and the relatively flexible approach to induction (Saunders 2003, p87).

### **8.1.4 Research Methodologies**

#### **8.1.4.1 Introduction**

Qualitative research is described as encompassing a number of methodologies, with the three key ones being ethnography, case study and action research (Locke 2001, p13), with grounded theory ‘overlapping’ each of the three former methodologies to some degree (Locke 2001, p18).

The following subsections provide summaries of ethnography, grounded theory, case study research and action research based upon the literature review conducted by the author.

#### **8.1.4.2 Ethnography**

Ethnography “stems from anthropology” (Collis 2003, p70), and is the study of people’s societies and customs (Collis 2003, p70), conducted with a view to understanding the culture of the group being researched (Patton cited in Brook 2004, p59; Collis 2003, p70); “in the way in which they interpret it” (Saunders 2003, p93).

A little confusingly, the term ‘ethnography’ can be used to refer to the research process and also to the research product – “a cultural portrait of the social system studied” (Agar, Hammersley and Atkinson as cited in Locke 2001, p17).

Since the ethnographical methodology is based on observed data, an ethnographical research plan needs to be flexible enough to accommodate a researcher's new/changed patterns of thought prompted by the data (Saunders 2003, p93).

In adopting an ethnographical methodology, researchers need to be prepared for this mode of research to be very time consuming and to be conducted over a long period of time (Saunders 2003, p93).

#### *8.1.4.3 Grounded Theory*

The grounded theory methodology develops theory from data collected (Urquhart as cited in Brook 2004, p60) through direct contact with the research situation and no prior theorising (Locke 2001, p34; Saunders 2003, p93). With no preset guidelines theory emerges from the researcher's investigation, 'illuminating' the research situation (Turner quoted in Collis 2003, p73) with new insights being integrated as they arise (Stiles 2003, p264).

Whilst often considered the simplest form of an inductive research approach, grounded theory can also be considered as "theory building through a combination of induction and deduction" (Saunders 2003, p93).

The aim of grounded theory is to use the defined theory to develop recommendations that are "intelligible to, and usable by, those in the situation being studied" and "open to comment and correction by them" (Turner quoted in Collis 2003, p73).

#### *8.1.4.4 Case Study Research*

The following definition of case study research captures a lot of the common elements of the many available definitions "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" (Robson as cited in Saunders 2003, p93). The real life context of case study research is an essential element of this methodology, making it well suited to research where "the context is an important part of the study" (Yin as cited in Brook 2004, p61). The expectation being that examination of the real life context will be both "holistic and meaningful" (Yin 1994, p3). Another key element of case study research is that it provides researchers with the methodology required to observe and explain "contemporary events over which the researcher has little or no control" (McGuire 1998, p46, p48).

In terms of research questions and objectives, case study research is considered to be the preferred research methodology for addressing 'how' or 'why' questions (Yin 1994, p1).

Again, as for the other ‘layers’ of the research strategy, definitions and documented differentiators of the case study research methodology abound. For example, Riege describes case study research as having the following distinguishing features that differentiate it from other qualitative methods of research (Riege 2003, p75) :

- The main objective of case study research is to develop and construct theory;
- Case Study research relies on a “medium to high level of prior theory”;
- The processing of case study content is usually semi-structured, following standard procedures, (whilst other methods are more flexible);
- Replication is a strength of case study research.

In contrast with Riege’s description of ‘prior theory’, Gillham describes a fundamental characteristic of case study research being that it does “not start out with *a priori* theoretical notions (whether derived from the literature or not)” (Gillham 2000, p2). Instead data are collected and analysed to gain an understanding of the working context of the research situation and “what theories (explanations) work best or make the most sense” (Gillham 2000, p2). Eisenhardt’s description of the level of prior theory aligns with that of Gillham, with Eisenhardt describing case study researchers as starting the theory-building process with as ‘clean a slate’ as possible (Eisenhardt 1989, p536). Whilst acknowledging that this is difficult, Eisenhardt recommends that at the outset, case study researchers “should avoid thinking about specific relationships between variables and theories as much as possible” (Eisenhardt 1989, p536).

In terms of data collection, Gillham describes the relationship between a case study researcher and data as being analogous to that of a judge and the evidence provided to a judicial enquiry – no evidence is turned away, all evidence presented is assessed and related to other available evidence (Gillham 2000, p10). Therefore, since case study data collection procedures are not routinised, researchers selecting this methodology should expect the demands placed upon their intellect, ego and emotions to be “far greater than those of any other research strategy” (Yin 1994, p55). For example, it can be argued that the conduct of case study research is more difficult than conducting surveys or controlled experiments (McGuire 1998, p42).

Ultimately, in terms of the research product, case study research results in narratives (based on available material) written from the researcher’s point of view (Forster, Browne & Steane 1998, p9).

#### *8.1.4.5 Action Research*

Despite gaining international recognition as a field of research practice, “action research cannot be programmatic and cannot be defined in terms of hard and fast methods” (Reason & Bradbury 2001, p2), therefore “action research does not have one neat, widely accepted definition” (Altrichter et al. 2002, p125) nor one which has gained “pre-eminence on the field” (Altrichter et al. 2002, p125). Instead, action research is a ‘family’ of methodologies which are “approaches to inquiry” (Reason and Bradbury cited in Olsen & Lindoe 2004, p371) that pursue the dual outcomes of action (or change) and research (or understanding) at the same time (Dick 2002a, p159; Earl-Slater 2002, p133).

This is consistent with the conclusions drawn by the participants in the First International Symposium on Action Research in Industry, Government and Higher Education (Brisbane, Australia, 1989), who “recognised that rather than one fixed definition, a broadly accepted approach to defining action research would be the best response to the definition problem” (Altrichter et al. 2002, p125-126).

Rather than get overly concerned about this apparent lack of consistent definition, Dick describes the many potential forms of action research as providing “substantial flexibility and responsiveness to a complex situation” (Dick 2002a, p162). Altrichter et al also take a positive perspective accepting that “action research will continue to develop” since “part of doing research is researching research” (Altrichter et al. 2002, p128).

Despite there being no single agreed definition of action research, this ‘family’ like others shares a common set of characteristics :

1. Action Research includes the researcher taking genuine action (Reason and Bradbury cited in Gummesson 2000, p118-123; Olsen & Lindoe 2004, p371);
2. Research is concurrent with action (Coughlan & Coughlan 2002, p222). Action research always involves the two goals of solving the problem and making a contribution to knowledge (Gummesson 2000, p118-123). Action research is “research in action, rather than action about action” (Coughlan & Coughlan 2002, p222);
3. Action research comprises a series of successive research cycles, which when connected become a spiral (Saunders 2003, p95). With each cycle in turn comprising planning, action and reflection (Dick 2002a, p163). The results of the researcher’s reflections in one cycle may result in the planning stage of the following cycle actually being one of replanning; to ensure alignment between the

most recent (reflective) learning and the next actions to be taken (Saunders 2003, p94).

4. The reflective aspect of action research is critical because it combines thought about observations and relevant literature to plan the next cycle of action and research (Kemmis & McTaggart 1992, p88). The reflective step of the action research cycle includes reviewing the “thematic concern”, reconsidering the objective and subjective conditions of the situation, reviewing achievements (expected and unexpected), identifying limitations and considering what to do next (Kemmis & McTaggart 1992, p86).
5. Successive action research cycles converge towards a better understanding of practice in action (Dick 1999a; Earl-Slater 2002, p134). Each successive cycle of action research moves closer to achievement of the research objective (Parker 2004, p172).
6. It is valid for the first of the series of action research cycles to be preceded by a preparatory “reconnaissance” step that explores, develops and specifies the problem situation (Earl-Slater 2002, p133), resulting in a draft version of the overall research strategy and a detailed description of the first cycle (Saunders 2003, p94).
7. Action Research is a participative form of research dependent on direct researcher and practitioner involvement (Saunders 2003, p94), interaction and cooperation (Gummesson 2000, p118-123). With the practitioners involved as “partners and owners of change” (Earl-Slater 2002, p134).
8. Action research is based upon the collection and collation of real world data (Earl-Slater 2002, p134). The data can be collected in one or more of many ways (Gummesson 2000, p118-123) and may comprise either or both hard and soft data, where hard data comprises statistics, financial accounts and reports and soft data is “gathered through observation, discussions and interviewing” is “largely perceptual” (and potentially difficult to interpret) (Coughlan & Coughlan 2002, p231).

The implications of some of these characteristics are worth emphasising. Firstly, the combined concepts of action, research and cycles (or spirals) and secondly the degree of active researcher participation.

Firstly, regarding the implications of the combined concepts of action, research and cycles (or spirals). Researchers must not lose sight of the fact that action research is intended to

address two separate, parallel agendas; the research agenda and the agenda of the problem-solving project (Saunders 2003, p94). There being the common expectation that by working to the research agenda, the researcher will deliver to the project agenda (Saunders 2003, p95); linking theory and practice into “the one whole : ideas-in action” (Kemmis & McTaggart 1992, p6).

Sometimes, achievement of these two parallel agendas is described as being integrated into a single action research cycle. McNiff combines action and research in her description of action research as “identifying a problematic issue, imagining a possible solution, trying it out, evaluating it (did it work ?) and changing practice in the light of evaluation” (McNiff 2002, p6). Similarly, Dick describes action research as “a flexible spiral process which allows action (change, improvement) and research (understanding, knowledge) to be achieved at the same time. (Dick 2002b, p2). Whilst action research can be described in terms of a step-wise process, such as the following (McNiff cited in McNiff & Whitehead 2000, p204-205), these sorts of descriptions should be considered to be a series of prompts, rather than prescriptions :

1. Review current practice;
2. Identify an aspect that needs to be improved;
3. “Imagine a way forward”;
4. Try out the new way forward;
5. Review what happened;
6. Modify the plan according to lessons learned and continue with the action;
7. Monitor ‘what happens’;
8. “Evaluate the modified action”;
9. Return to step 3, until the aspect has been sufficiently improved.

McKemmis and Taggart depict the single combined research cycle as depicted in Figure 8-1.

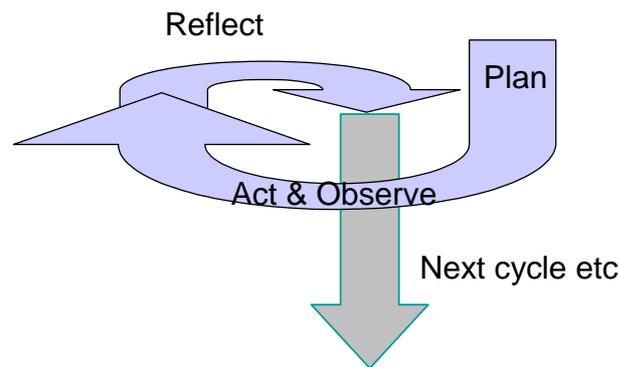


Figure 8-1 - Action Learning Cycle (Kemmis & McTaggart 1988, p11)

McNiff provides an alternative view (Figure 8-2) depicting the action research spiral as a “generative transformational evolutionary process” (McNiff & Whitehead 2002, p57) comprising a diverging spiral with small ‘offshoot’ spirals, intended to show “the creative process of multiple possibilities, indicating that “it is possible to follow a main focus while allowing for other divergent practices to emerge and be followed through” (McNiff & Whitehead 2000, p205).

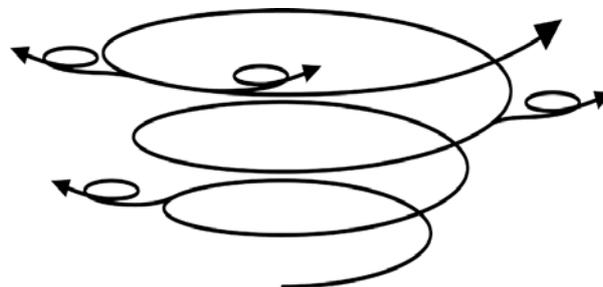


Figure 8-2 - The generative transformational evolutionary process (McNiff & Whitehead 2002, p57)

The single cycle/spiral representations rely on the researcher ‘remembering’ to maintain dual focus on the research and the action. However, rather than having to do so, the author preferred alternative representations of the research cycle which intentionally highlight the dual foci of action research.

One eye catching example is that provided by McKay and Marshall who propose that action research be considered to comprise the two interlinked cycles of problem solving interest and responsibilities (action/practice) and research interest and responsibilities (research/theory ) (McKay & Marshall 2001, p46, p50).

With these dual cycles able to be represented both graphically and in table-text form as per Figure 8-3 and Table 8-1 respectively.

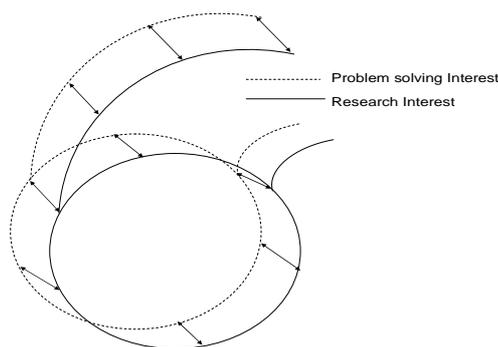


Figure 8-3 - Action research viewed as a dual cycle process (McKay & Marshall 2001, p52)

Table 8-1 - The problem solving interest and research interest in action research (adapted from McKay & Marshall 2001, p50-51)

Step	The problem solving cycle	The research interest cycle
1	Problem identification.	Research themes/interests/questions.
2	Reconnaissance/fact finding about problem context stakeholders etc.	Reconnaissance/fact finding in relevant literature.
3	Planning problem solving activity.	Planning and designing research project to answer research questions, hypotheses etc.
4	Define Action Steps	
5	Implement Action Steps	
6	Reflect upon problem solving efficacy of actions	Reflect upon efficacy of intervention in terms of research interests.
7a	Amend plan if further change is required and return to step 4.	Amend plan and design further explanation and research as required and return to step 4.
7b	Exit, if outcomes are satisfactory.	Exit, if questions are satisfactorily resolved.

The dual cycle conceptualisation of action research provides

- Improved rigour, since “it requires researchers to pay more considered attention to their research interests and responsibilities than do many of the more traditional models of AR (action research)” (McKay & Marshall 2001, p57);
- a firm rebuttal to allegations that action research is merely consultancy (McKay & Marshall 2001, p52);
- researchers with a ready reminder that reflection and learning are essential aspects of action research” (McKay & Marshall 2001, p57).

Other dual cycle conceptualisations also exist, including that proposed by Rowley who describes action research as comprising two separate cycles – the action research cycle and the (meta learning) experiential learning cycle, with the latter described as the “action research cycle about the action research cycle”, that forms the “focus of the dissertation or project report” (Rowley 2003, p133-134). The distinction made by Rowley is intended to clarify that “the work for the dissertation is an inquiry into the project, not the project itself”

(Rowley 2003, p134). The scope of the core project and the scope of research are not one and the same thing. The action researcher has to make sure that the scope of their research is well-defined, relating to defined issues (McNiff & Whitehead 2002, p85).

Locke, describes action researchers’ dual foci in terms of “two domains”, the organisational community and the professional scholarly community. (Locke 2001, p14). With the researcher’s role in the organisational community being to “develop the organisational competencies of individual organisational actors” and in the scholarly community, to “advance the understanding of the change process and the possibilities for the organisation” (Locke 2001, p14).

Similarly, Zuber-Skerritt and Perry describe the dual goals/imperatives faced by action researchers, as the solving of a practical problem and the generation of new knowledge and understanding (McKay and Marshall cited in Zuber-Skerritt & Perry 2002, p175). Zuber-Skerritt and Perry depict these dual goals/aims as per Figure 8-4 (Zuber-Skerritt & Perry 2002, p176).

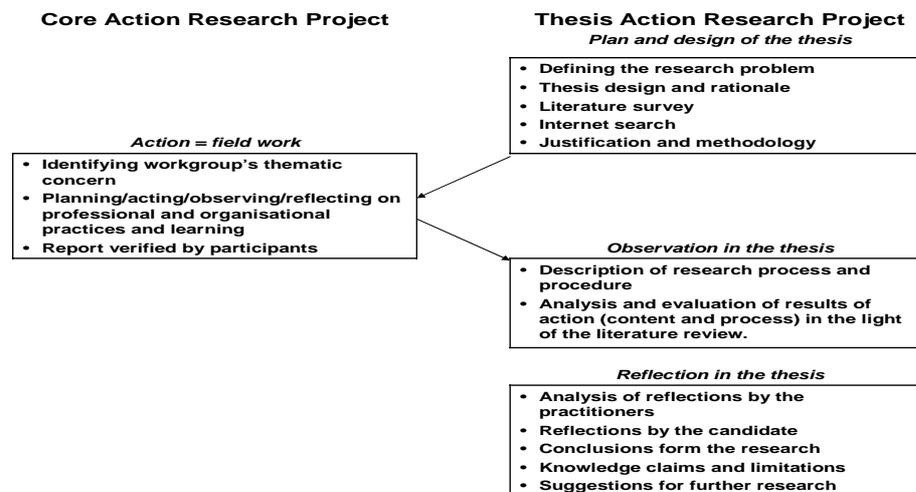


Figure 8-4 - Relationships between core and action research projects (Zuber-Skerritt & Perry 2002, p176)

As previously mentioned, the degree of active researcher participation in action research studies is worthy of additional note, since a “distinguishing feature” of action research is “the active and deliberate self-involvement of the researcher in the context of his/her investigation” (McKay & Marshall 2001, p47). Participation is key to action research for the sheer practical reasons that it encourages key learnings to be widely shared and for “the change to be pursued with commitment” (Dick 2002b, p2) because “change is usually easier to achieve when those affected by the change are involved” (Dick 1999a). The close working relationship between the researcher and research participants provides the

researcher with the opportunity to tap participants' knowledge, much of which is tacit; an opportunity rarely available in other forms of academic research (Senge & Scharmer 2001, p241). So, whereas "traditional researchers enquire into other people's lives and speak about other people as data. Action researchers enquire into their own lives and speak with other people as colleagues" (McNiff & Whitehead 2002, p15). So, by choosing to apply action research, the researcher is opting to become a participant in the research process, "working collaboratively with the other concerned and/or affected actors to bring about change in the problem context" (Checkland, Hult and Lennung as cited in McKay & Marshall 2001, p47). The level of actual true collaboration may vary, since all participatory research cannot be assumed to be genuinely collaborative, with all participants working together as equals (McNiff & Whitehead 2000, p217). Nevertheless, regardless of the actual level of true collaboration, McNiff and Whitehead consider action research to be participatory by definition, since there is no non-participatory form of action research (McNiff & Whitehead 2000, p217).

Whilst a single agreed definition of action research remains elusive, worthy candidate definitions do exist, such as that proposed by Olsen and Lindoe who define action research as seeking to "bring together action and reflection, theory (research) and practice (action) in participation with others in the pursuit of practical solution(s) to issues of pressing concern to people" (Olsen & Lindoe 2004, p371).

#### **8.1.5 Data Collection Methods**

Data collection methods are driven by the pre-selected methodology, with qualitative researchers selecting one or more data collection methods from an available "repertoire" of methods including interviews, participant observation and access to documents and personal accounts from the field (Franklin 1996, p252, p272), all of which rely heavily on "researchers as the main data gathering instruments" (Franklin 1996, p253).

Like all researchers, qualitative researchers need to ensure data credibility by paying close attention to defining how data is to be collected, ensuring the data is collected consistently and from reliable sources (Franklin 1996, p251). Rigorous qualitative data collection procedures will help address any challenges regarding the validity and reliability of the methods (Franklin 1996, p251), especially those stemming from the quantitative point of view that requires data to be collected according to a pre-defined set of rules (Gilgun cited in Franklin 1996, p251). The credibility of qualitative data can also be ensured by researchers subjecting their data, data sources and data interpretation to repeated

independent reviews (Franklin 1996, p253) (by peers and research participants). In addition, serious consideration needs to be given to using multiple types of data collection methods to meet the requirement of triangulation (Saunders 2003, p99). (Refer to section 3.4 for more details of triangulation as an aspect of research study workability).

As mentioned above, the selected data collection method will depend on the pre-selected methodology. So, for example, data for case study research will tend to be collected from one or more of the following six sources : “documents, archival records, interviews, direct observations, participant-observation and physical artifacts” (Yin 1994, p78).

Taking the top-down view of where data collection methods fit into a research strategy, it is important that the connections between the research question, research framework and the selected data collection method/s are clearly described. If the data collection methods were trialled then the results of these trials should also be described including any changes resulting from the trials (Rocco 2003, p345).

Another aspect of data collection that needs to be addressed is that of data sampling, because “a good description of the sampling process is necessary to develop the reader’s confidence that decision were informed and well reasoned” (Rocco 2003, p344). Where a data sample can comprise “people, behaviours, events or processes” (Marshall and Rossman cited in Rocco 2003, p344). Even though there are no apparent rules governing sample sizes of qualitative data (Patton cited in Rocco 2003, p344), it is still important for qualitative researchers to describe the rationale they applied to determine sample size/s (Rocco 2003, p344).

As with every layer of the research strategy, researchers are able to choose from a variety of data collection instruments. Two key types of data collection instruments are surveys and interviews.

Surveys support the collection of standard data for easy comparison, being especially suited to “the collection of a large amount of data from a sizeable population in a highly economical way” (Saunders 2003, p92). However, “even with well-constructed surveys it is impossible to know whether or not a respondent understands a certain word, phrase or value-laden statement in the same way the researcher does” (Clark 2004, p1). Leaving some potential for error or discrepancy when interpreting the results. Post-survey access to respondents may limit the researcher’s potential to clarify ambiguities arising from the data.

Research designs that rely on quantitative surveys or one-off interviews distance the researcher from the researched, resulting in the researcher being less likely to “hear’ the

‘voice’ of the participants” (Ezzy 2002, p80). Therefore it is unlikely that qualitative researchers would rely upon surveys as their sole data collection tool.

Interviews are quite different to surveys in that they tend to rely on closer direct contact between the researcher-interviewer and the interviewee and also involve a smaller number of interviewees than survey respondents.

Again as per all aspects of the research strategy, researchers can choose from a variety of different interview types including surveys, life stories, focus groups and internet interviewing (Rocco 2003, p345). Having decided to use a particular interview type, the researcher also needs to design the interview format (Rocco 2003, p345). Interview design considerations include whether the interview will be structured, standardised, whether it will rely on the interviewees being respondents or informants, whether the interviews will involve individuals or groups and the interview mode (e.g. phone, face to face) (Saunders 2003, p246). Researchers are not limited to one type or format of interview (Saunders 2003, p248), however the rationale for choosing particular types and formats need to be clearly described.

In terms of options regarding interview structure, as per Figure 8-5 Gillham (2000) represents the choices as a continuum.

Unstructured	←-----	-----	-----	-----	-----→	Structured
Listening to other people’s conversation; a kind of verbal observation	Using ‘natural’ conversation to ask research questions	‘Open-needed’ interviews; just a few key open questions.	Semi-structured interviews i.e. open and closed questions.	Recording schedules in effect, verbally administered questionnaires	Semi-structured questionnaires : multiple choice and open questions.	Structured questionnaires : simple, specific, closed questions

Figure 8-5 - The verbal data dimension (Gillham 2000, p60)

Structured and semi-structured interviews tend to be considered as respondent interviews, because the interviewer directs the interviewee. Unstructured or non-standardised interviews tend to be considered as informant interviews because the interviewee directs the interview (Saunders 2003, p247).

In group interviews the interviewer plays the roles of a moderator or facilitator and scribe, maintaining a balance between a discussion of the planned research themes and questions and interviewee/s’ own developmental answers whilst also taking notes (Saunders 2003, p270). An advantage of group interviews is that the participants can discuss themes amongst themselves (Saunders 2003, p270), with individual responses being tested by listeners ‘on the spot’ (Martinsuo 2001, p546).

Interviews are a useful means of gathering “valid and reliable data” at all stages of the research study (Saunders 2003,p245). In the early stages of a research study, interviews may help a researcher to better formulate their research question/s and objective/s (Saunders 2003,p245).

Regardless of the final selection, data collection instruments need to be described in terms of how they were developed, the numbers of items included (e.g. questions), topic coverage/scope and if the interview design/s were changed during the course of the research study and if so, why and how (Rocco 2003, p345).

**8.2 Appendix 2 – Research Methodology - An Overview of Research Quality Requirements**

No.	CRITERIA	Miles & Huberman as cited in Carter (1999)	Shipman cited in Gummesson (2000)	Cavana (2001)	Rocco (2003)	Reason and Bradbury cited in Coughlan & Coghlan (2002)	US General Accounting Office cited in Yin (1994)	Yin (1994)	Riege (2003)
1	Collaboration					X			
2	Credibility	X	X Believable detail (Gummesson 2000, p185)				X		X
3	Generalisability	X transferability	X Broader relevance (Gummesson 2000, p185)	X Applicability to other settings	X			X External validity	X External validity & transferability (refer trustworthiness too)
4	Objectivity			X Data analysis based on facts. Non-subjective	X			X Internal Validity incl sound inferences	X Internal Validity incl sound inferences
5	Parsimony			X Simple explanations & solutions					
6	Purposiveness			X Definite research aim					
7	Reflection - Ongoing					X			
8	Reliability	X Dependability	X “replication” (Gummesson 2000, p185)	X Same methods yield similar findings				X Reliability Repeatability	X Dependability X Reliability Repeatability
9	Research Significance					X			
10	Rigour			X Theoretical base & methodology	X	X Theoretical integrity		X Construct Validity – theory & measurement	X Construct Validity – theory & measurement

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

No.	CRITERIA	Miles & Huberman as cited in Carter (1999)	Shipman cited in Gummesson (2000)	Cavana (2001)	Rocco (2003)	Reason and Bradbury cited in Coughlan & Coughlan (2002)	US General Accounting Office cited in Yin (1994)	Yin (1994)	Riege (2003)
11	Subjectivity				X				
12	Sustained Change					X			
13	Testability			X Data Supports the hypotheses					
14	Triangulation				X		X Data Dependability		
15	Trustworthiness				X		X		X Transferability (refer generalisability too)
16	Validity	X Confirmability	X reality under study (Gummesson 2000, p185)	X Accuracy How close to reality ?	X Authenticity		X Confirmability		X Confirmability

### 8.3 Appendix 3 – Research Methodology - Assessing the Quality of this Research Study

Criteria	Description	This Dissertation
<b>Validity</b>	“Validity is the extent to which the research findings accurately represent what is really happening in the situation” (Collis 2003, p58).	<ul style="list-style-type: none"> <li>• Research client organisations have mature cultures.</li> <li>• Research participants were open and honest and discussed their feedback in group meetings/workshops (Martinsuo 2001, p544-548).</li> <li>• Research participants keen to learn and improve project management practices</li> <li>• Confidential meetings and workshops(Martinsuo 2001, p544-548).</li> <li>• Independent Reviews by research participants and academic supervisor</li> </ul>
Integrity/Trustworthiness	observing, reporting and interpreting “the complex field experience as accurately and faithfully as possible” (Cavana 2001, p135).	<ul style="list-style-type: none"> <li>• <i>As above</i></li> </ul>
Confirmability	the research describes “the social world constructed by those researched” (Carter 1999, p13)	<ul style="list-style-type: none"> <li>• <i>As above</i></li> </ul>
	data is interpreted in a logical and unprejudiced manner(Riege 2003, p81).	<ul style="list-style-type: none"> <li>• Independent Reviews by research participants and academic supervisor</li> <li>• Conference presentations</li> <li>• Validation at Victoria Police Senior Management Conference</li> <li>• Peer reviewed journal articles</li> </ul>
Authenticity/Reality	Believable detail (credibility) (Gummesson 2000, p185).	<ul style="list-style-type: none"> <li>• Independent Reviews by research participants and academic supervisor</li> <li>• Conference presentations</li> <li>• Validation at Victoria Police Senior Management Conference</li> <li>• Peer reviewed journal articles</li> </ul>
<b>Reality</b>	how close the data and finding are, to ‘reality’ (Gummesson 2000, p185) (Cavana 2001, p28-31)	<ul style="list-style-type: none"> <li>• Research client organisations have mature cultures.</li> <li>• Research participants were open and honest and discussed their feedback in group meetings/workshops (Martinsuo 2001, p544-548).</li> <li>• Research participants keen to learn and improve project management practices</li> <li>• Confidential meetings and workshops(Martinsuo 2001, p544-548).</li> <li>• Independent Reviews by research participants and academic supervisor</li> </ul>
	Case descriptions linked to internal and external contexts (Carter 1999, p13) :	<ul style="list-style-type: none"> <li>• Introductions to case reports ‘set the scene’ describing the (external) context of the case and its (internal) participants and issues.</li> </ul>
	Uncertainties noted (Carter 1999, p13) :	<ul style="list-style-type: none"> <li>• Addressed in individual case reports and Conclusions chapter of this dissertation.</li> </ul>

Criteria	Description	This Dissertation
<b>Reliability</b>	reasonably stable (McGuire 1998, p58) credible research outcomes (Patton as cited in Brook 2004, p82)	<ul style="list-style-type: none"> <li>Method developed by research study applied in multiple cases generating similar outcomes i.e. defined outcome profiles.</li> </ul>
	avoidance/minimisation of participant bias (Saunders 2003, p101)	<ul style="list-style-type: none"> <li>Research client organisations have mature cultures.</li> <li>Research participants were open and honest and discussed their feedback in group meetings/workshops (Martinsuo 2001, p544-548).</li> <li>Research participants keen to learn and improve project management practices</li> <li>Confidential meetings and workshops(Martinsuo 2001, p544-548).</li> <li>Independent Reviews by research participants and academic supervisor</li> </ul>
	avoidance/minimisation of researcher bias (Saunders 2003, p101)	<ul style="list-style-type: none"> <li>Independent Reviews by research participants and academic supervisor</li> <li>Conference presentations</li> <li>Validation at Victoria Police Senior Management Conference</li> <li>Peer reviewed journal articles</li> </ul>
Replicability	full descriptions of the research methods used (Carter 1999, p13)	<ul style="list-style-type: none"> <li>Addressed in individual case reports and Action Research Cycles chapters of this dissertation.</li> </ul>
	generates “general laws” (Levin & Greenwood 2001, p105)	<ul style="list-style-type: none"> <li>The method for developing outcome profiles for problem solving projects is a transferable method that can be applied to other projects.</li> </ul>
	same methods can be used to generate same results (Cavana 2001, p28-31; Gummesson 2000, p185; Riege 2003, p81; Yin 1994, p32-33)	<ul style="list-style-type: none"> <li>Within reason, since the external or internal environment may have changed affecting the ‘sameness’ of results of each problem solving project.</li> </ul>
Dependability	Clear links between research questions, theory and fieldwork (Carter 1999, p13)	<ul style="list-style-type: none"> <li>Provided in Chapter 3 by research strategy section of this dissertation</li> </ul>
<b>Rigour</b>	Objective, sound theoretical base and methodological design (Cavana 2001, p28-31; Collis 2003, p18)	<ul style="list-style-type: none"> <li>Academic supervision</li> <li>Researcher’s own critical reflection (Dick 2002b, p5);</li> <li>Using action/s to test underlying assumptions, by action (Dick 2002b, p5)</li> <li>Limited scope of each action research cycle (Dick 1993, p32)</li> <li>‘Sufficient’ number of action research cycles (Dick 1993, p32)</li> <li>Literature review going through a series of iterations in parallel with action research cycles (Dick 1993, p32)</li> <li>Taking action that challenged the researcher’s own ideas (Dick 1993, p32).</li> </ul>
	Follows Stable and consistent (Riege 2003, p81) accepted research practices” (Brook 2004, p78)	<ul style="list-style-type: none"> <li>As described in Chapter 3 of this dissertation and reports of individual action research cases in Chapters in Chapters 4 and 5.</li> </ul>

Criteria	Description	This Dissertation
	Relevance maintained in parallel with rigour (Argyris & Schon 1989, p612)	<ul style="list-style-type: none"> <li>Active participation of research participants who perceived the research to be relevant to their daily work.</li> </ul>
Triangulation	Variety of data sources (Barbour 2001, p1117; Denzin as cited in Brook 2004, p84; Carter 1999, p13; Martinsuo 2001, p545; McClintock, Ison & Armson 2003, p725; Saunders 2003, p99; Yin 1994, p92)	<ul style="list-style-type: none"> <li>Multiple research participants per research client site</li> <li>Reference to relevant documentation</li> <li>Multiple action research cases</li> </ul>
	multiple and different methods, (Denzin as cited in Brook 2004, p84; Yin 1994, p92)	<ul style="list-style-type: none"> <li>Individual meetings, group meetings, workshops</li> </ul>
	multiple and different investigators (Denzin as cited in Brook 2004, p84; Yin 1994, p92)	<ul style="list-style-type: none"> <li><i>Not applicable, dissertation to be the work product of an individual doctorate student</i></li> </ul>
	multiple and different theories (Denzin as cited in Brook 2004, p84; Yin 1994, p92)	<ul style="list-style-type: none"> <li>Started from position near to that of grounded theory, alternating through inductive and deductive approaches.</li> <li>Literature review highlighted                             <ul style="list-style-type: none"> <li>dominant public sector models linking outputs to outcomes</li> <li>strategy being implemented via projects.</li> </ul> </li> </ul>
Workability	useability (Gummesson 2000, p164) – useful, meaningful and credible (Patton as quoted in Carter 1999, p12) “workable solutions to real-life problems” (Levin & Greenwood 2001, p105)	<ul style="list-style-type: none"> <li>Acceptance of case reports by research clients.</li> <li>Victoria Police invitation to participate in Senior Management Conference to share findings that had broader practical application.</li> <li>Public conference and seminar presentations – number, diversity of audiences and audience feedback.</li> <li>Peer reviewed journal articles</li> </ul>
	Provides learning opportunities (Levin & Greenwood 2001, p107)	<ul style="list-style-type: none"> <li>Research clients considered the learning opportunities provided by action research to be a key benefit of the research methodology.</li> <li>Research participants keen to learn about how to improve project management practices</li> <li>Researcher’s own learning.</li> </ul>
Parsimony	simple explanations and solutions (Cavana 2001, p28-31)	<ul style="list-style-type: none"> <li>Researcher able to describe the research using plain business English.</li> <li>Variety of seminar and conference audience types interested in the research findings.</li> <li>Victoria Police support of the research findings able to be shared with senior management, with a minimum of introduction.</li> </ul>

Criteria	Description	This Dissertation
<b>Transferability</b>	making sense of the particular to generalise lessons that can be applied to improve practice (Walker 2002, p13). in other organisational settings (aka generalisability)(Cavana 2001, p28-31), external validity (Martinsuo 2001, p544; Yin 1994, p32-33).	<ul style="list-style-type: none"> <li>• Common case characteristics – all public sector projects, two IT projects, 3 community service projects, 2 crime prevention projects (and conference workshop crime prevention case stud), 1 health promotion project.</li> <li>• Post-validation paid consulting engagements – health promotion oaf public sector governance projects.</li> </ul>
	Analytic Generalisation - similar or different findings of a phenomenon amongst similar or different respondent or organisations (Riege 2003, p81) to “expand and generalise theories, not to establish the frequency with which a phenomenon is likely to occur in a population” (Hyde 2000, p84)	<ul style="list-style-type: none"> <li>• <i>As above</i></li> </ul>
Relevance	Described clearly, simply and concisely in terms that are meaningful to practitioners (Brook 2004, p81)	<ul style="list-style-type: none"> <li>• Researcher able to describe the research using plain business English.</li> <li>• Variety of seminar and conference audience types interested in the research findings.</li> <li>• Victoria Police support of the research findings able to be shared with senior management, with a minimum of introduction.</li> <li>• Peer reviewed journal articles</li> </ul>
	Real, immediate and practical (Benbasat & Zmud 1999, p9; Brook 2004, p78) - Can be implemented to resolve a problem (Benbasat & Zmud 1999, p5).	<ul style="list-style-type: none"> <li>• Number of seminar and conference presentations</li> <li>• Conference/seminar audience feedback</li> <li>• Victoria Police support of the research findings able to be shared with senior management, with a minimum of introduction.</li> <li>• Peer reviewed journal articles</li> </ul>
	Research focused on outcomes, rather than inputs (Brook 2004, p81)	<ul style="list-style-type: none"> <li>• Research focused on generating practical results – results focused.</li> </ul>
	Research directly related to stakeholders’ likely future interests (Brook 2004, p81)	<ul style="list-style-type: none"> <li>• Number and types of seminar and conference presentations indicate that this is a topic of interest.</li> <li>• Conference/seminar audience feedback</li> <li>• Victoria Police support of the research findings able to be shared with senior management, with a minimum of introduction.</li> <li>• Peer reviewed journal articles</li> </ul>
	Rigour maintained in parallel with relevance (Argyris & Schon 1989, p612)	<ul style="list-style-type: none"> <li>• Academic supervision</li> <li>• Prevailing research strategy</li> </ul>

8.4 Appendix 4 – Action Research Cycle 1 - Project ARP – Intangibles/Stakeholder Framework

A STAKEHOLDER'S REFLECTION ON EXPECTED AND UNEXPECTED INTANGIBLE PROJECT OUTCOMES V0.1

*Preface each question with "As a stakeholder of the ARP project...."*

<b>Stakeholder Perspective</b>	<b>Leadership</b>	<b>Communication</b>	<b>Culture/ Values</b>	<b>Innovation</b>	<b>Relationships</b>	<b>Learning</b>	<b>Processes</b>	<b>Reputation &amp; Trust</b>
<b>Me</b>	<i>How did my experience of leadership change/improve ?</i>	<i>How did communication from/to me change/improve ?</i>	<i>How were AWU culture/values reinforced in my daily work ?</i>	<i>What innovative processes did I learn/implement ? What innovative services did I develop/deliver ?</i>	<i>How did my working relationships change/improve ?</i>	<i>What did I learn from my participation in this project ? How did I learn this ?</i>	<i>Which of the processes I use, were changed/improved by the project ?</i>	<i>How did my personal reputation and the trust people place in me change/improve ?</i>
<b>Within My Group</b>	<i>How did leadership within my group change/improve ?</i>	<i>How did communication within my group change/improve ?</i>	<i>How were AWU culture/values reinforced in our daily work ?</i>	<i>What innovative processes did we learn/implement ? What innovative services did we develop/deliver ?</i>	<i>How did our working relationships with each other change/improve ?</i>	<i>What did we learn as a group, from our participation in this project ? How did we learn this?</i>	<i>Which of the processes we use, were changed/improved by the project ?</i>	<i>How did our group's reputation and the trust we place in each other change/improve ?</i>
<b>Between my Group and other AWU groups</b>	<i>How did leadership between my group and other AWU groups change/improve ?</i>	<i>How did communication between my group and other AWU groups change/improve ?</i>	<i>How were AWU culture/values reinforced in my group's interactions with other AWU groups ?</i>	<i>What innovative processes did AWU collectively learn/implement ? What innovative services did AWU collectively develop/deliver ?</i>	<i>How did our working relationships with other AWU groups change/improve ?</i>	<i>What did AWU as a whole learn from this project ? How did we learn ?</i>	<i>Which of the AWU-wide processes we use, were changed/improved by the project ?</i>	<i>How did the reputation and trust experienced between our group and other AWU groups change/improve ?</i>
<b>Between AWU and external entities e.g councils, land development industry groups</b>	<i>How did leadership between AWU and external entities change/improve ?</i>	<i>How did communication between AWU and external entities change/improve ?</i>	<i>How were AWU culture/values reinforced in AWU's interactions with external entities ?</i>	<i>What innovative processes did AWU implement for external entities ? What innovative services did AWU develop/deliver for external entities ?</i>	<i>How did AWU's relationships with external entities change/improve ?</i>	<i>What did external entities learn as a result of this project ? How did they learn this ?</i>	<i>Which of the processes we use to interact with external entities, were changed/improved by the project ?</i>	<i>How did AWU's reputation with external entities change/improve ? How did external entities trust in AWU change/improve ?</i>

**8.5 Appendix 5 – Action Research Cycle 1 - Project ARP - Stakeholder Feedback Data Collection Form – Initial Version**

Item	Priority 1-5	Description	Unexpected	Leadership	Communication	Culture/Values	Relationships	Innovation	Learning	Process	Reputation	Myself	My Group	AWU	LDOs
1															
2															
3															
4															
5															
6															

**8.6 Appendix 6 – Action Research Cycle 1 - Project ARP - Project Stakeholder Profiles**

<b>Stakeholder 1 – Land Development Subject Matter Expert</b>				
<b>Formal Qualifications &amp; Relevant Work Experience</b>	<b>Operational Role</b>	<b>Project Role &amp; responsibilities</b>	<b>Expected Intangible Outcomes</b>	<b>Unexpected Intangible Outcomes</b>
Undergraduate degree  Post graduate diploma in Land Surveying  Master in Town Planning (in progress)	Region 1 LDO Team/Section Leader (6-7 direct reports) responsible for <ul style="list-style-type: none"> <li>leading and managing a team of LDOs; the end users of the ARP system;</li> <li>monitoring ARP system performance, based on a combination of user feedback and system generated reports;</li> <li>monitoring system usage.</li> </ul>	Part-time business subject matter expert responsible for <ul style="list-style-type: none"> <li>contributing referral assessment expertise to various project activities, including business rule definition, system design, creation and review of test specifications, testing and technical input into creation of user support documentation;</li> <li>keeping their team of LDOs informed about project progress on an ongoing basis during the project.</li> </ul>	1. To personally learn improved leadership, communications and management skills 2. Positive changes to LDO team culture/values that enhance the reputation of the LDO teams within the AWU and also the AWU's reputation with external entities e.g. councils, land development industry groups and the state government.	Additional learning experiences that provided additional opportunities to develop leadership, communications and management skills more so than expected.
<b>Stakeholder 2 – Land Development Subject Matter Expert</b>				
<b>Formal Qualifications &amp; Relevant Work Experience</b>	<b>Operational Role</b>	<b>Project Role &amp; responsibilities</b>	<b>Expected Intangible Outcomes</b>	<b>Unexpected Intangible Outcomes</b>
Undergraduate degree in Town Planning  9 years AWU experience <ul style="list-style-type: none"> <li>2 years seconded to the IT group</li> <li>2 years assigned to the Business Planning and Reform unit</li> <li>5 years as a Land Development Officer</li> </ul>	Land Development Officer seconded to the Information Technology (IT) Group to work on behalf of the Land Development group on IT projects.	LDO business subject matter expert responsible for <ul style="list-style-type: none"> <li>Business analysis</li> <li>Acceptance testing.</li> </ul>	1. Innovative system and processes leading to improved communication, relationships and reputation, especially between the AWU and external entities. 2. Learning opportunities leading to personal professional development, in project management and software testing processes.	1. Increased opportunities to improve communications. 2. Increased learning opportunities. 3. Learning more about the actual operational context in terms of the actual skills/experience required to use the ARP system effectively.

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Stakeholder 3 – Idea Owner and Project Sponsor’s delegate</b>				
<b>Formal Qualifications &amp; Relevant Work Experience</b>	<b>Operational Role</b>	<b>Project Role &amp; responsibilities</b>	<b>Expected Intangible Outcomes</b>	<b>Unexpected Intangible Outcomes</b>
<p>Undergraduate degree in accounting</p> <p>Post graduate Certificate in Accounting and Human resources (HR)</p> <p>Master of Business Administration degree.</p> <p>30 years total service with the AWU :</p> <ul style="list-style-type: none"> <li>the most recent 7 years spent in finance related roles</li> <li>the prior 8 years spent in Land Development/ Planning management roles.</li> </ul>	<ul style="list-style-type: none"> <li>Team Leader of the Region 1 Land Planning Team that comprises a total of thirty (30) people, with 4 Section Leaders as direct reports</li> <li>Responsible for managing town planning development and subdivision referrals, development works and catchment related information requests and issues for Region 1</li> </ul>	<ul style="list-style-type: none"> <li>Idea Owner, responsible for proposing the idea of the project;</li> <li>Project Sponsor representative responsible for acting on behalf of the Project Sponsor in the day to day operation of the project</li> </ul>	<ol style="list-style-type: none"> <li>Communications, relationship and reputation with external entities</li> <li>Supporting existing corporate level initiatives;</li> <li>Qualitative means of assessment that can complement the quantitative means of assessment e.g. increased positive feedback from external entities,</li> <li>Professional development of Land Development Officers (LDOs) and section leaders</li> <li>Introduction and implementation of innovative operational and project team systems and processes.</li> <li>Reinforcement of the importance of including intangible outcomes in a project's business case</li> </ol>	<ol style="list-style-type: none"> <li>The extent of the impact of positive feedback from external entities upon the LDOs, their section leaders and fellow AWU colleagues.</li> <li>The extent of the impact of positive feedback upon the Managing Director's interaction with external entities.</li> </ol>

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Stakeholder 4 – Project Manager</b>				
<b>Formal Qualifications &amp; Relevant Work Experience</b>	<b>Operational Role</b>	<b>Project Role &amp; responsibilities</b>	<b>Expected Intangible Outcomes</b>	<b>Unexpected Intangible Outcomes</b>
<p>Master of Business Administration (MBA)</p> <p>20 years IT related industry experience, with the most recent five (5) years being spent full-time as a Project Manager.</p>	IT Project Manager	Project Manager, responsible for managing business projects intended to deliver business benefits that support the AWU corporate vision and goals.	<ol style="list-style-type: none"> <li>1. The benefits to be gained from applying project management techniques learnt on a recent training course, including those that address the distinction between the short and mid term project related responsibilities of the Project Manager and the short, mid and longer term responsibilities of business representatives assigned to the project. e.g. planning a formal handover of the ARP solution to nominated business representatives;</li> <li>2. The benefits to be gained from a business solution comprising the combination of an innovative system and business processes.</li> </ol>	<ol style="list-style-type: none"> <li>1. The extent of benefits gained from applying project management techniques learnt on a recent training course.</li> <li>2. The extent of benefits gained from a business solution comprising the combination of an innovative system and business processes.</li> </ol>
<b>Stakeholder 5 – Land Development Acceptance Tester</b>				
<b>Formal Qualifications &amp; Relevant Work Experience</b>	<b>Operational Role</b>	<b>Project Role &amp; responsibilities</b>	<b>Expected Intangible Outcomes</b>	<b>Unexpected Intangible Outcomes</b>
<p>High school graduation.</p> <p>25 years relevant industry experience, with the latter thirteen (13) years spent in Land Development roles.</p>	Land Development Officer (LDO) in the Region 2 Land Development team	Casual part-time assignment to the project, responsible for conducting parallel acceptance testing of the ARP system, by comparing the outcome of ARP's automated assessment of referrals with prior manual assessments of the same referrals.	The ARP system will reinforce and support the existing LDO team culture, communications and processes.	The actual use of the ARP system in an operational context falling short of expectations. Project processes intended to capture LDO subject matter expertise falling short of expectations.

**8.7 Appendix 7 – Action Research Cycle 1 – Project ARP - Project Stakeholder Feedback Data Collection Form – Final Version**

Item	Description	Un/Expected
1		
2		
3		
4		
5		
6		

**8.8 Appendix 8 – Action Research Cycle 1 – Project ARP - Sample Stakeholder Feedback**  
**Excerpt of report detailing Stakeholder 3’s feedback.**

No.	Description	Unexpected Expected Suggestion	Relevant Intangibles	Relevant Stakeholder Group/s
1.	Starting point was external focus.	E	<ul style="list-style-type: none"> <li>• Leadership</li> <li>• Communication</li> <li>• Innovation</li> <li>• Relationships</li> <li>• Processes</li> <li>• Reputation</li> </ul>	<ul style="list-style-type: none"> <li>• External entities</li> </ul>
2.	It was expected that the ARP project would supplement existing in house continuous improvement methods (including training) that had improved the processing time for referrals, of which nearly 95% were being processed within the statutory time limit of 28 days.	E	<ul style="list-style-type: none"> <li>• Innovation</li> <li>• Processes</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder 3</li> <li>• Region 1 &amp; 2 Land Planning Groups</li> <li>• External entities</li> </ul>
3.	The implementation of the ARP system was intended to supplement existing efforts to "shift" the culture. Up until the ARP system was implemented, LDOs assumed that a backlog of referrals provided a form of job security. Whereas the preferred AWU corporate and team level direction was for an increased sharing of information and faster delivery of results to external entities.	E	<ul style="list-style-type: none"> <li>• Leadership</li> <li>• Communication</li> <li>• Culture/Values</li> <li>• Innovation</li> <li>• Relationships</li> <li>• Learning</li> <li>• Processes</li> <li>• Reputation</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder 3</li> <li>• Region 1 Land Planning Group</li> <li>• Other AWU groups</li> <li>• External entities</li> </ul>
4.	Concerted efforts were in place to recruit people to join the Region 1 LDO team who over time would require a minimum of direct supervision. Applicants were assessed in terms of their formal qualifications and also numeracy, literacy and attitude. It was expected that the ARP system would enable new and existing LDOs to separate the simple referrals from the more complex and challenging ones, allowing time for the LDOs to consult with AWU staff in different teams during the course of the manual investigations required of the more complex referrals. Thus providing the LDOs with the opportunity to build relationships with members of other AWU teams.	E	<ul style="list-style-type: none"> <li>• Communication</li> <li>• Innovation</li> <li>• Relationships</li> <li>• Learning</li> <li>• Processes</li> </ul>	<ul style="list-style-type: none"> <li>• Region 1 Land Planning Group</li> <li>• Other AWU groups</li> </ul>
5.	By providing LDOs with the opportunity to focus on the more complex and challenging referrals, they were provided with the opportunity to learn more about the AWU and its different responsibilities and corresponding teams/groups. Interaction with the people in these different teams/groups then led to the development of working relationships that often led to the LDO either applying or being requested to join a non-LDO team/ group.	E	<ul style="list-style-type: none"> <li>• Communication</li> <li>• Relationships</li> <li>• Learning</li> <li>• Reputation</li> </ul>	<ul style="list-style-type: none"> <li>• Region 1 &amp; 2 LDOs</li> <li>• Other AWU groups</li> <li>• External entities</li> </ul>
6.	The Human Resources (HR) department expected the introduction of the ARP system to reduce the skills and experience required by LDOs. This expectation was overridden by Stakeholder 3 who recognised that the same existing basic level of skills and experience would be required for LDOs to conduct manual investigations.	E	<ul style="list-style-type: none"> <li>• Skill</li> </ul>	<ul style="list-style-type: none"> <li>• Region 1 &amp; 2 LDOs</li> </ul>

**8.9 Appendix 9 – Action Research Cycle 1 – Project ARP - Collated Stakeholder Feedback Regarding Expected and Unexpected Intangible Project Outcomes**

Stakeholder Perspective	Leadership	Communication	Culture/ Values	Innovation	Relationships	Learning	Processes	Reputation & Trust	Management
Me	1* 2 3	1* 2 3 4* 5	1* 3 4* 5	1 3 4*	1* 3 4*	1* 2* 3 4*	1 2* 3 4* 5	1 3 4*	1* 4*
Within my Team	1 3	1 3 4*	1 3 4*	1 3 4	1* 3 4*	1* 3 4*	1 2 3 4 5*	4*	1 2* 3
Between LDOs, LDO Teams and other AWU groups		3 4* 5*	4	4* 5*	1* 3 4* 5*	4* 5*	4* 5*	1 4*	4
Between AWU and external entities e.g councils, land development industry groups	1 3	1 2* 3* 4 5		1 2 3 4 5	1 2 3* 4		1 2 3 4 5	1 2* 3* 4 5	

**LEGEND**

**1 – Stakeholder 1 Expected Outcome**  
Land Development Subject Matter Expert

**2 – Stakeholder 2 Expected Outcome**  
Land Development Subject Matter Expert

**3 – Stakeholder 3 Expected Outcome**  
Idea Owner and Project Sponsor’s delegate

**4 – Stakeholder 4 Expected Outcome**  
Project Manager

**5 – Stakeholder 5 Expected Outcome**  
Land Development Acceptance Tester

**\* - Unexpected degree of an Expected Outcome**

5 – Stakeholder 5 Unexpected Outcome only

**8.10 Appendix 10 – Action Research Cycle 1 – Project ARP - A Stakeholder’s Personal Reflection on Expected and Unexpected Intangible Project Outcomes**

**STAKEHOLDER 3'S REFLECTION ON EXPECTED AND UNEXPECTED INTANGIBLE PROJECT OUTCOMES V0.2**

*Preface each question with "As a stakeholder of the ARP project...."*

Stakeholder 3’s Perspective – Me							
Leadership	Communication	Culture/ Values	Innovation	Relationships	Learning	Processes	Reputation & Trust
<p><i>How did my experience of leadership change/improve ?</i></p> <p>The project enabled an assertive, pro-active position to be demonstrated. Aggressive actions were not required. Productivity through streamlining activities has occurred and consistency in the responses achieved. Reputation for delivery enhanced with higher revenues and workloads not requiring more people and customers getting their products more reliably and faster. If you plan the change you are likely to get it.</p>	<p><i>How did communication from/to me change/improve ?</i></p> <p>A confident message of KPI delivery and productivity improvement could be made to management. More time could be spent on individual jobs and people issues including training. More time could be devoted to talking to customers and getting involved in wider planning system improvements on sustainability topics. Reporting to Board has reduced.</p>	<p><i>How were AWU culture/values reinforced in my daily work ?</i></p> <p>High level of pride in the approach by my team Orientation to customer service, commercial success, environmental improvement and respect from the industry. Working with others to get improvements and demonstration creativity and innovation.</p>	<p><i>What innovative processes did I learn/implement ?</i></p> <p>Use the GIS to filter applications to identify if issues needed to be followed up and if not then generate a standard response that also include financial calculations.</p> <p><i>What innovative services did I develop/deliver ?</i></p> <p>Faster customer responses, more accurate charging and more consistent documentation. Further enhancement has been added to the documentation to aid understanding by council officers and applicants.</p> <p>Recruiting practices have altered to get people to match the "value add" roles. This includes numeracy and literacy testing of graduates. Pursuing leading edge not bleeding edge.</p>	<p><i>How did my working relationships change/improve ?</i></p> <p>Immediate manager very happy with performance change and reduction in the risk of KPI failure. In particular the improved delivery to customers has reduced the volume of time taken up with complaints and issues.</p> <p>Management has noted the change and moved to other focus issues.</p>	<p><i>What did I learn from my participation in this project ?</i></p> <p>Different system development processes were worthy of consideration. Changes need to be constantly pursued to improve outcomes.</p> <p><i>How did I learn this ?</i></p> <p>Active participation in promoting the system change and driving for the business backing. Need to consider if we want to mimic or lead. Intangibles were not included in the key reasoning for pursuing the ARP project..</p>	<p><i>Which of the processes I use, were changed/improved by the project ?</i></p> <p>The close monitoring of KPI achievement late each month changed to exception reporting. Every monthly KPI has been achieved since the system was introduced despite growing work loads.</p>	<p><i>How did my personal reputation and the trust people place in me change/improve ?</i></p> <p>My reputation for delivery of results improvement was enhanced. The relationship with employees was enhanced as they see the results of efforts to change their activities to be less administrative and more value adding.</p>

<b>Stakeholder 3's Perspective – Within My Group</b>							
<b>Leadership</b>	<b>Communication</b>	<b>Culture/ Values</b>	<b>Innovation</b>	<b>Relationships</b>	<b>Learning</b>	<b>Processes</b>	<b>Reputation &amp; Trust</b>
<p><i>How did leadership within my group change/improve ?</i></p> <p>With work volumes still increasing but the KPI's getting better more of the team members started to take more responsible roles and key account /council client co-ordinator roles to promote our issues such as Water Sensitive Urban Design.</p> <p>A willingness to share knowledge and delivery responsibility has developed.</p> <p>Better able to delegate with confidence.</p>	<p><i>How did communication within my group change/improve ?</i></p> <p>Rapid improvement in the understanding of AWU commitment to making the LD jobs more value add and less administrative.</p> <p>Pride in KPI improvements. More time to talk to customers that call i.e. external focus rather than internal.</p>	<p><i>How were AWU culture/values reinforced in our daily work ?</i></p> <p>Faster and better quality customer responses. Telephone communication improvement. Proud of role in the industry and getting results on the ground. Seen to be leaders in dealing with industry.</p> <p>Impressive track record of improvement and positive orientation.</p> <p>Continually learning.</p>	<p><i>What innovative processes did we learn/implement ?</i></p> <p>We learnt to use the GIS based information to sift proposals and identify where attention needed to be directed.</p> <p><i>What innovative services did we develop/deliver ?</i></p> <p>We created standard response letters to send to council that were generated very quickly e.g. same day rather than just meeting the 28 day response requirement.</p> <p>Stakeholder plans were developed to focus on their expectations and how to make changes to deliver to their needs.</p>	<p><i>How did our working relationships with each other change/improve ?</i></p> <p>Some pressure developed on other teams to ensure internal referrals were processed quickly. Some sort to shift activities on the basis that more labour resource time was available.</p> <p>Everyone was happy with the KPI's.</p>	<p><i>What did we learn as a group, from our participation in this project ?</i></p> <p>We were competent at identifying and implementing changes that would improve the quality, consistency and timing of service delivery.</p> <p><i>How did we learn this?</i></p> <p>By our actions and the ARP project following on from other system enhancement projects. Team members expect to participate and learn- some voluntary, some interested in IT activity, rest just consider must do. Becoming more analytical about why there is a need to change and keen to make it happen.</p>	<p><i>Which of the processes we use, were changed/improved by the project ?</i></p> <p>The deployment of people was altered to have a champion for running the ARP system. Backups were also identified. The distribution of more complex jobs also altered so that professional training could be brought to the fore instead of just dealing with volume.</p>	<p><i>How did our group's reputation and the trust we place in each other change/improve ?</i></p> <p>Improved KPI's meant a growing confidence in relation to ability to control the work load in the area and confidence that new ideas would be acted upon. Team approach to issues became stronger as the ARP system gave people time to do other things that had been let go.</p>

<b>Stakeholder 3's Perspective - Between my Group and other AWU groups</b>							
<b>Leadership</b>	<b>Communication</b>	<b>Culture/ Values</b>	<b>Innovation</b>	<b>Relationships</b>	<b>Learning</b>	<b>Processes</b>	<b>Reputation &amp; Trust</b>
<p><i>How did leadership between my group and other AWU groups change/improve ?</i>                      Managing Director visits to councils no longer loaded with complaints about town planning referral response delays.                      Much more positive relationship developing as we take control of issues that often washed over to their areas.                      Competitive advantage when dealing with councils and developers based on ability to deliver to their needs.</p>	<p><i>How did communication between my group and other AWU groups change/improve ?</i>                      Positive understanding of improvement to KPI and reduced "pressure".                      Growing understanding of importance of data accuracy. Appreciation of systems work to aid productivity and service orientation.</p>	<p><i>How were AWU culture/values reinforced in my group's interactions with other AWU groups ?</i>                      Leadership shown in addressing significant problems and late product delivery by being customer focussed and determined to achieve.</p>	<p><i>What innovative processes did AWU collectively learn/implement ?</i>                      Mail sorting and loading processes were refined to ensure timely receipt and processing of cheques and mail.</p> <p><i>What innovative services did AWU collectively develop/deliver ?</i>                      A systems "back end" solution was created that would carry out a high percentage of council referrals when they are sent electronically.</p>	<p><i>How did our working relationships with other AWU groups change/improve ?</i>                      Complaints about the speed of delivery for almost all simpler jobs disappeared                      Communications teams were not being bogged down with small issues.                      The ARP system put pressure on other teams to find similar innovative solutions.</p>	<p><i>What did AWU as a whole learn from this project ?</i>                      The existing data could be more potently used to drive service delivery to customers.</p> <p><i>How did we learn ?</i>                      This was a pilot on an activity that was considered lower risk if it failed. The measured performance change post implementation solidified this new approach. The quality of the outcome can be impacted by the feedback sought/obtained. A survey of customer need's can be useful.                      Improved project management process for this type of system change.</p>	<p><i>Which of the AWU-wide processes we use, were changed/improved by the project ?</i>                      The development process for IT systems was altered so that "on the fly" web based type design was used. This was much faster and cheaper to do and the end product was being developed in front of your nose.</p>	<p><i>How did the reputation and trust experienced between our group and other AWU groups change/improve ?</i>                      Others understood we had valuable experience to share with them. Success with this type of system change has become business as usual.                      Must maintain systems or risk loss of reputation.</p>

<b>Stakeholder 3's Perspective – Between the AWU And The Land Development Industry (LDI)</b>							
<b>Leadership</b>	<b>Communication</b>	<b>Culture/ Values</b>	<b>Innovation</b>	<b>Relationships</b>	<b>Learning</b>	<b>Processes</b>	<b>Reputation &amp; Trust</b>
<p><i>How did leadership between AWU and LDI change/improve ?</i></p> <p>Stronger partnership style developing with industry participants. Council looking for more information from AWU to help them. Council often relying on AWU drainage knowledge to help deal with development proposals.</p>	<p><i>How did communication between AWU and LDI change/improve ?</i></p> <p>Positive in relation to turnaround and occasionally negative as one to one interface reduced. Statutory requirements being met or better.</p>	<p><i>How were AWU culture/values reinforced in AWU's interactions with LDI ?</i></p> <p>Customer orientation confirmed. Interest in improving capacity of council officers and consultants progressed. Reputation for reliable delivery developing into trust. Sharing our knowledge with others.</p>	<p><i>What innovative processes did AWU implement for Industry ?</i></p> <p><i>What innovative services did AWU develop/deliver for LDI ?</i></p>	<p><i>How did AWU's relationships with LDI change/improve ?</i></p> <p>Council relationship improved with some complaining the response was too quick and they had yet to file the original request letter so that the response could be attached. Discussions ensued about how a response could be provided to the applicant without having to go through a referral process.</p> <p>Smaller customers rarely call now with queries about when they will get a response. Special requests for fast turnaround from council or applicant are accommodated now.</p> <p>Far lower number of disputes and related legal costs - down to around \$200K p.a. rather than \$1.5M p.a.</p>	<p><i>What did LDI learn as a result of this project ?</i></p> <p>The industry appreciated the effort made to change the response time for most items and the value add that was now applied to complex jobs.</p> <p><i>How did they learn this ?</i></p> <p>Rapidly reducing need to chase AWU for responses. Client comments on items done included AWU issues.</p> <p>Significant reduction in the number of phone calls chasing up late jobs. Calls of thanks from council officers and consultants for fast responses to things they had overlooked. No press comments on AWU speed of response when commenting councils inability to deliver. Declining blame shift comments from councils. Peak industry bodies have commented on the change in performance and have appreciated the timely responses.</p>	<p><i>Which of the processes we use to interact with LDI, were changed/improved by the project ?</i></p> <p>ARP now processes all applications in the order received. Pressure to do one off exceptions out of sequence" as a favour" is gone. Special favours not required to get quickly through AWU process for simpler jobs.</p>	<p><i>How did AWU's reputation with industry change/improve ?</i></p> <p>Significant enhancement. Much more positive relationship. AWU took action to address their needs.</p> <p><i>How did industry trust in AWU change/improve ?</i></p> <p>Performance change meant AWU could not be blamed for delays (as used to happen-sometimes validly). They seek assistance from AWU to deal with other authorities and developers. Seek AWU to act as mediator in disputes between developers about drainage.</p>

## **8.11 Appendix 11 – Action Research Cycle 2 - Project Resolve Project Stakeholder Group Profiles**

### **Stakeholder Group 1 - The Information Technology Team**

#### *Introduction*

The IT Team comprised four (4) members - three (3) people with the role of Project Officer, Systems, and the IT Co-coordinator who is also the Project Resolve Project Manager.

Collectively, the IT team is responsible for

- Installing/upgrading software;
- Providing first level IT user support;
- Escalating IT user support as required to second level support groups e.g. Resolve system supplier, Department of Justice helpdesk;
- Co-ordinating/providing IT user training;
- Updating databases with information from counsellors.

At the suggestion of the IT Coordinator, there were separate meetings with the IT Co-coordinator (Project Resolve Project Manager) and the Project Officers to provide the Project Officers the opportunity to speak freely in the absence of the IT Coordinator who was both their operational and Project Manager.

#### *Project Officer 1, Systems - Experience and qualifications*

Project Officer 1, Systems had worked at VRAS for three and a half of the past four years, firstly for two years as a Victim Support Officer (VSO) working on the Helpline, followed by eighteen months as a Project Officer, Systems. Project Officer 1, Systems' formal qualifications comprised a Bachelor of Science degree in Psychology, a Post Graduate Diploma in Psychology and a Graduate Diploma in Software Development.

#### *Project Officer 2, Systems - Experience and qualifications*

Project Officer 2, Systems had fifteen (15) years of relevant work experience and had worked at VRAS for a period of four (4) months. Project Officer 2, Systems' formal qualifications comprised high school graduation and a Certificate IV in Workplace Assessment and Training.

#### *Project Officer 3, Systems - Experience and qualifications*

Project Officer 3, Systems had four (4) months of relevant work experience equivalent to their term of employment with VRAS. Prior to that time, Project Officer 3, Systems was an arborist, who had developed an interest in information technology and databases by using

systems required in that role. Project Officer 3, Systems' formal qualifications comprised a Bachelor of Science in Meteorology, a partially completed Graduate Diploma in Applied Science majoring in Horticulture and a short course in computer programming.

#### *Information Technology Team Project Role*

The members of the IT team formed the core of the Project Resolve project team, led by their operational manager, the IT Coordinator who was also assigned to the role of Project Resolve Project Manager.

The IT team's collective project responsibilities consisted of their operational responsibilities focused particularly on the integrated case management and database system solution.

#### Stakeholder Group 2 - The Administration Team

##### *Introduction*

The Administration Team comprised six members, four of whom participated in the Project Resolve Administration Team stakeholder meeting – the team leader (Admin 1) and three other team members (Admin 2, Admin 3 and Admin 4).

As the Team Leader, Admin 1's primary responsibility is to supervise the Admin Team and to act as an escalation point when required. Admin 1 is also responsible for querying claim forms received from counsellors delivering services on behalf of VRAS. Admin 1 has more than fifteen (15) years relevant work experience and formal educational qualifications comprising secondary school graduation, completion of business college and numerous administration related short courses.

Admin 2 is primarily responsible for reception duties and accounts payable. Admin 2 has approximately twenty (20) years' relevant work experience and formal educational qualifications comprising secondary school graduation, completion of business college and numerous administration related short courses.

Admin 3 is primarily responsible for accounts payable, entering costings data into systems and providing backup to Admin 2 in reception duties. Admin 3 has two and a half (2 1/2) years relevant work experience and formal educational qualifications comprising secondary school graduation and completion of Certificate IV in Business Administration.

Like Admin 2, Admin 4 is primarily responsible for reception duties and accounts payable. Admin 4 has eight (8) years relevant work experience and formal educational qualifications comprising secondary school graduation, completion of Certificates I to IV in Business Administration and partial credit towards a Diploma in Government currently being studied.

### *Administration Team Project Role*

All members of the Admin Team had the same project role that relied on them

- defining requirements for payment advice and other finance related functions of the case management system;
- acceptance testing that the defined requirement had been met.

### Stakeholder Group 3 - Users of Management Reports

#### *1) Director, VRAS*

The Director of VRAS had overall responsibility for the management and operation of the service. The Director is the founding Director of VRAS having been in this role since VRAS was established on 1<sup>st</sup> July 1997. The Director is also an Advisor to the United Nations Office on Drugs and Crime.

#### *The Director's Project Role*

In PRINCE2 terms, the Director is the Project Executive, ultimately responsible for the project, ensuring it is focused throughout its life cycle on achieving its objectives and delivering products that will achieve the projected benefits. The Director had delegated day to day responsibility for Project Executive activities including project quality assurance to the Project Management Coach assigned to the Project Resolve Project Manager.

#### *2) Victims Assistance Program (VAP) Manager*

The VAP Manager is responsible for managing the Victims Assistance Program (VAP) community services provided by regional, state-wide and specialist agencies, collectively referred to as VAPs.

The Victims Assistance Program has three main components :

1. Client work (case management);
2. Community Education;
3. Networking with other agencies.

The VAP Manager communicates with the VAPs by email, phone and regular site visits, collecting and reporting both quantitative case management data and qualitative community education and networking information.

The VRAS case management system is also used by the VAPs as the means of collecting and reporting case management data related to victims of crime. The VAP Manager uses the data

entered into the case management system by the VAPs to monitor their delivery of services funded by VRAS.

#### *VAP Manager's Project Role*

The VAP Manager's project role was to define VAP user requirements and VRAS reporting requirements.

#### *3) The Finance Manager*

The VRAS Finance Manager is responsible for managing the VRAS budget, fixed assets, facilities management and human resources.

The Finance Manager has thirty (30) years relevant experience and formal educational qualifications consisting of a Certificate in Business Studies (Accounting) and partial credits towards a Post Graduate Certificate in Public Sector Management currently being studied.

#### *The Finance Manager's Project Role*

The Finance Manager's project responsibilities included :

- Responsibility for the Project Resolve project budget;
- Being the finance subject matter expert, responsible for identifying the finance related requirements of the solution, including the need for quantitative data that meets the VRAS statutory reporting requirements and support VRAS qualitative arguments e.g. it is less expensive to provide services to victims of crime sooner rather than later, after a crime is committed.

#### Stakeholder Group 4a – VSO Helpline Manager

##### *Introduction*

The VSO Helpline Manager has three main responsibilities, comprising strategic responsibility for Victims Services and tactical responsibility for managing Helpline operations and the Counselling Scheme.

The VSO Helpline Manager's formal qualifications comprise undergraduate and post graduate qualifications in psychology.

#### *VSO Helpline Manager Project Role*

The VSO Helpline Manager's project role is to ensure that Project Resolve identified, planned and delivered a solution that met the requirements for

- Strategic management of Victims Services i.e. data analysis and reporting;
- VSOs staffing the Helpline;
- Management of the Counselling Scheme i.e. data analysis and reporting;

## Stakeholder Group 4b - Victim Support Officers (VSOs)

### *Introduction*

Twenty (20) Victim Support Officers work in the Helpline team, as full-time, part-time or casual employees. All VSOs report to the VSO Helpline Manager, with the two (2) Helpline Team Leader roles being rotated amongst the full-time VSOs on a fortnightly basis.

The VSOs are responsible for

- Staffing the Helpline;
- Providing information, support and referrals for victims of crime;
- Arranging counselling for victims of crime;
- Following up cases with victims, counsellors and referring agencies;
- Liaising with other community services that refer clients to VRAS.

Three (3) VSOs represented the team at the VSO Stakeholder meeting, with VSO 1 having two (2) years relevant work experience and a post graduate qualification, VSO 2 having three (3) years relevant work experience and a post graduate qualification and VSO 3 having fifteen (15) months relevant work experience and an undergraduate qualification.

### *VSOs Project Role*

The VSO's project responsibilities comprised the definition of Helpline user requirements and the acceptance testing and trialling of the upgraded systems to verify that they met the defined requirements.

## Stakeholder Group 5 - The Project Resolve Project Manager and their Project Management Coach

### *The Project Resolve Project Manager*

The IT Co-ordinator was assigned the role of Project Resolve Project Manager. The operational role of IT Co-ordinator comprised responsibility for :

- Managing of the Information Technology Team (3 staff);
- Managing the integrity of the VRAS and VAP Case Management Systems, including the implementation of upgrades and improvements;
- Managing the integrity and relevance of the VRAS referral database (Infocom);
- Managing the operation of VRAS systems within the broader Department of Justice network;
- Contract management of software suppliers;
- Managing the provision of effective IT support to VRAS staff;

- Purchasing of hardware and software;
- Data analysis and management reporting.

The IT Co-ordinator has worked at VRAS for six (6) years, in a number of roles including as the IT Co-ordinator (3 years), the Supervisor of the Administration Team (1 year), the Community Programs Officer (2 years) and a Victims Support Officer (10 months). The IT Co-ordinator's formal educational qualifications comprise a Bachelor of Arts Degree.

#### *IT Coordinator's Project Role*

The IT Co-ordinator's project role was that of Project Manager, responsible for planning, implementing and monitoring Project Resolve; to upgrade the case management system and Infocom database.

#### *The Project Management Coach*

The Project Management Coach was assigned to work with the Project Resolve Project Manager by the Director, VRAS. The Project Management Coach is a professional management consultant whose formal qualifications comprised an undergraduate degree and Master of Business Administration degree. During their consulting career, the Project Management Coach had been a Director of an international consulting company and had worked with executive management in both the public and private sector on major strategic assignments.

**8.12 Appendix 12 – Action Research Cycle 2 – Project Resolve - A Stakeholder's Expectations Of Intangible Project Products**

***Preface each question with "As a stakeholder of the projects to upgrade CMS and the Infocom database...."***

<b>Stakeholder Perspective</b>	<b>Leadership</b>	<b>Communication</b>	<b>Culture/ Values</b>	<b>Innovation</b>	<b>Relationships</b>	<b>Learning</b>	<b>Processes</b>	<b>Reputation &amp; Trust</b>
<b>Me</b>	<i>How do I expect my experience of leadership to change/improve ?</i>	<i>How do I expect communication from/to me to change/improve ?</i>	<i>How do I expect VRAS culture/values to be reinforced in my daily work ?</i>	<i>What innovative processes do I expect to learn/implement ? What innovative services do I expect to be able to develop/deliver ?</i>	<i>How do I expect my working relationships to change/improve ?</i>	<i>What do I expect to learn from my participation in this project ? How do I expect to learn this ?</i>	<i>Which of the processes I use, do I expect the project to change/improve ?</i>	<i>How do I expect my personal reputation and the trust people place in me to change/improve ?</i>
<b>Within My Group</b>	<i>How do I expect leadership within my group to change/improve ?</i>	<i>How do I expect communication within my group to change/improve ?</i>	<i>How do I expect VRAS culture/values to be reinforced in our daily work ?</i>	<i>What innovative processes do I expect us to learn/implement ? What innovative services do I expect us to be able to develop/deliver ?</i>	<i>How do I expect our working relationships with each other to change/improve ?</i>	<i>What do I expect us to learn as a group, from our participation in this project ? How do I expect us to learn ?</i>	<i>Which of the processes we use, do I expect the project to change/improve ?</i>	<i>How do I expect our group's reputation and the trust we place in each other to change/improve ?</i>
<b>Between my Group and other VRAS groups</b>	<i>How do I expect leadership between my group and other VRAS groups to change/improve ?</i>	<i>How do I expect communication between my group and other VRAS groups to change/improve ?</i>	<i>How do I expect VRAS culture/values to be reinforced in my group's interactions with other VRAS groups ?</i>	<i>What innovative processes do I expect VRAS to collectively learn/implement ? What innovative services do I expect VRAS to collectively develop/deliver ?</i>	<i>How do I expect our working relationships with other groups to change/improve ?</i>	<i>What do I expect VRAS as a whole to learn from this project ? How do I expect us to learn ?</i>	<i>Which of the VRAS-wide processes we use, do I expect the project to change/improve ?</i>	<i>How do I expect the reputation and trust experienced between our group and other VRAS groups to change/improve ?</i>
<b>Between VRAS and its clients</b>	<i>How do I expect leadership between VRAS and its clients to change/improve ?</i>	<i>How do I expect communication between VRAS and its clients to change/improve ?</i>	<i>How do I expect VRAS culture/values to be reinforced in VRAS's interactions with its clients ?</i>	<i>What innovative processes do I expect VRAS to implement for clients ? What innovative services do I expect VRAS to develop/deliver for clients ?</i>	<i>How do I expect our relationships with VRAS clients to change/improve ?</i>	<i>What do I expect VRAS clients to learn as a result of this project ? How do I expect the VRAS clients to learn this ?</i>	<i>Which of the processes we use to interact with clients, do I expect the project to change/improve ?</i>	<i>How do I expect VRAS's reputation with clients to change/improve ? How do I expect clients' trust in VRAS to change/improve ?</i>
<b>Between VRAS and DOJ/DHS</b>	<i>How do I expect leadership between VRAS and DOJ/DHS to change/improve ?</i>	<i>How do I expect communication between VRAS and DOJ/DHS to change/improve ?</i>	<i>How do I expect VRAS culture/values to be reinforced in VRAS's interactions with DOJ/DHS ?</i>	<i>What innovative processes do I expect VRAS to implement for working with DOJ/DHS ? What innovative services do I expect VRAS to develop/deliver for DOJ/DHS ?</i>	<i>How do I expect VRAS's relationships with DOJ/DHS to change/improve ?</i>	<i>What do I expect DOJ/DHS to learn as a result of this project ? How do I expect DOJ/DHS to learn this ?</i>	<i>Which of the processes we use to interact with DOJ/DHS, do I expect the project to change/improve ?</i>	<i>How do I expect VRAS's reputation with DOJ/DHS to change/improve ? How do I expect DOJ/DHS trust in VRAS to change/improve ?</i>

**8.13 Appendix 13 – Action Research Cycle 2 – Project Resolve - Intangible Product Description Template**

**PRODUCT DESCRIPTION  
PROJECT RESOLVE INTANGIBLE PRODUCTS**

<b>Product Title</b>		<b>Product Id</b>	
<b>Proposer Name/s</b>		<b>Version :</b>	
<b>Project Manager</b>		<b>Tel No.</b>	

<b>PURPOSE</b>		
<b>COMPONENT PARTS</b>		
1. 2. 3. n.		
<b>FORMAT/LAYOUT/PRESENTATION</b>		
<b>QUALITY/ACCEPTANCE/MEASUREMENT CRITERIA</b>		
<b>ACCEPTANCE METHOD</b>		
<b>SOURCE PRODUCTS</b>		
1. 2. 3. n.		
<b>ACCEPTANCE SIGNOFF</b>		
<b>Proposer Name</b>	<b>Signature</b>	<b>Date</b>
<b>Senior User</b>	<b>Signature</b>	<b>Date</b>

**8.14 Appendix 14 – Action Research Cycle 2 – Project Resolve - Sample Intangible Product Description**

**PRODUCT DESCRIPTION  
PROJECT RESOLVE INTANGIBLE PRODUCTS**

<b>Product Title</b>	IT Team Professional Development (Learning)	<b>Product Id</b>	HMgr 02	<b>Version No.</b>	01
<b>Product Purpose</b>					
The purpose of this product is to describe how the VSO Helpline Manager expects Project Resolve to contribute to the IT Team's professional development (learning).					
<b>Component</b>	<b>Presentation</b>		<b>Tangible Project Product</b>		
Supplier management	VRAS will gain short and long term benefits from the IT Team developing supplier management skills and experience through their interaction with the supplier during the course of the project.		IT Team members' learning plans include supplier management skills development learning goals. Supplier management included as standing agenda item in IT/Project Resolve status meetings.		
Self managing team and individuals	The IT Team as a group and as individuals will be provided the opportunity to develop their skills in managing the work required of the team and of them as individuals. Note : There is a dependency here upon the IT Co-ordinator further developing their leadership skills.		Project schedule/activity plan supports delegation of project related tasks to IT team members.		
Team identity	With the IT Team comprising a longer term employee and two new starters, project activities will provide them the opportunity to work as a team and develop a team identity more quickly than if solely concentrating on operational activities. The team identity will assist them to work together and also with members of other VRAS teams.		Project schedule/activity plan supports delegation of a range of different types of project related tasks to IT team members (in support of concept of interchangeability)..		
Understanding VRAS Operations	Planned project activities will assist the IT Team to develop a greater understanding of VRAS Operations. The longer term member of the team had already achieved this, especially due to her prior experience as a VSO, so the combination of her experience and support will assist the new starter members of the IT Team to develop a greater understanding more quickly than if relying solely on experience gained from providing reactive operational IT support.		Consider IT Team member Learning Plans including goals for developing an understanding of particular aspects of VRAS business. IT Team member self -assessment. VRAS Management Team feedback Admin Team feedback VSO feedback		
Dealing with non-co-location of IT Team and other teams	Planned project activities will lead to the IT Team that is located on a floor separate from the Helpline team to spend more time with Helpline team members, developing an improved understanding of the Helpline team's support needs. The IT Team will maintain frequent face to face communication with the Helpline team and other users after the completion of project activities.		IT Team members to proactively visit VSOs, bot only in response to help requests.		
<b>OPERATIONAL PRODUCTS</b>					
Review/revise IT Team member Learning Plans to include goals for developing an understanding of particular aspects of VRAS business. IT Team members to proactively visit VSOs, not only in response to help requests.					
<b>ACCEPTANCE SIGNOFF</b>					
<b>Job Title</b>	Name	<b>Signature</b>		<b>Date</b>	

### 8.15 Appendix 15 – Action Research Cycle 2 – Project Resolve - Intangible Product to Tangible Project Product Mapping

Note : an excerpt highlighting Intangible Product Description HMgr – 02 included as Appendix 3

Intangible Category	Intangible Product Title	Stakeholder Rating	Project Initiation	Schedule/Activity Plan	Change Request Process and Control	Status Report	Standard Reports Library & VAPs encryption software	Communications Strategy	Training	Learning Plan	System Maint, Backup & DR Strategy & Process	Requirements Specification & Test Cases	Supplier Support & Maint	Supp provided system	Meeting agenda	Prob Defn Process	DoI/DHS system architecture doc	CV updates
<b>Learning</b>				X	X	X	X	X	X	X		X	X	X	X			X
1	DIR 02 - IT Co-ordinator Professional Development	4		X		X				X					X			
2	HMgr 01 - IT Co-ordinator Professional Development	4						X		X								
<b>3</b>	<b>HMgr 02 - IT Team Professional Development</b>	<b>4</b>		<b>X</b>						<b>X</b>					<b>X</b>			
4	IT 01 - IT Coordinator's Learning Goals	5				X		X		X			X					
5	IT 02 - Development of IT Team skills and reputation	5			X					X								
6	IT 07 - VRAS Organisational Learning	4			X		X	X	X			X						X
7	ITT 04 - IT Team Development	5		X	X					X			X	X	X			
8	VSO 01 - Learning Opportunities	5							X	X								
	<b>Average Rating</b>	<b>4.5</b>																
<b>Processes</b>					X				X		X	X						
1	DIR 05 - Faster VRAS Processes	3									X	X						
2	VAPM 01 - Simplified VAP Processes	1									X	X						
3	IT 08 - Improved Admin service levels	4										X						
4	ADMIN 01 - Admin Process Improvements	5			X				X			X						
	<b>Average Rating</b>	<b>3.25</b>																
<b>Reputation &amp; Trust</b>				X			X	X	X	X	X	X	X				X	
1	DIR 06 - Improved VRAS Reputation	5		X				X			X							
2	VAPM 02 - Maintain/Improve VRAS Reputation with VAP funded agencies	5										X						

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Intangible Category	Intangible Product Title	Stakeholder Rating	Project Initiation	Schedule/Activity Plan	Change Request Process and	Status Report	Standard Reports Library &	VAPs encryption software	Communications Strategy	Training	Learning Plan	System Maint, Backup & DR Strategy & Process	Requirements Specification & Test Cases	Supplier Support & Maint	Supp provided system	Meeting agenda	Prob Defn Process	DoJ/DHS system architecture doc	CV updates
3	HMgr 06 - Maintained and Enhanced VRAS Reputation	4		X					X	X	X		X						
4	IT 05 - Preserve/Improve VRAS's relationship and reputation with clients and agencies	5		X				X		X		X	X	X					
5	IT 06 - Support the VRAS Transition	5							X				X	X				X	

## 8.16 Appendix 16 – Action Research Cycle 3 – CYPRASS Project - CYPRASS Brochure

# CYPRASS

As a community we should always  
be thinking about all the needs  
of young people.

That is, the spiritual,  
emotional, physical and  
intellectual needs so our young  
persons may  
develop and achieve to the  
best of their ability.

Joanne Holmes



### Contact Information

**Youth Officer**  
Senior Constable  
Allan Pankhurst  
Echuca Police Station  
Ph: 03 5482 2255

**CYPRASS Project Officer**  
Debbie Webster  
Ph: 03 54800749  
Fax: 03 54826588

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## Campaspe Young Persons Resource & Support Scheme



### Positive Partnerships

### Goals of CYPRASS

- Identify young people at risk of harmful behavior or continued offending.
- Utilize early intervention strategies to assist 'at risk' young people in staying out of the justice system.
- Reduce the incidence of repeat police contact or offending by young people in the Shire of Campaspe.
- Provide a whole of community response in the provision of alternative education and employment pathways.
- Ensure a co-ordinated response from community agencies to young people referred to them for support and services.

### Target Age Group

Young people between 10-17 years

### What is CYPRASS

The Campaspe Young Persons Resource and Support Scheme (CYPRASS) is a holistic community response to the needs of the young people of the Shire of Campaspe.

In particular the Scheme aims to provide 'at risk' young people with new pathways through early intervention strategies alternate education and employment programs and improved agency responses.

### Intervention Pathways

- High Risk Adolescent Referral
- Victoria Police Station Youth Officer
- Juvenile Justice Group Conferencing
- Community Projects

### Organisations Involved

- Victoria Police
- Shire of Campaspe
- St Lukes Family Care
- Community Corrections
- Centre Against Sexual Assault
- West Goulburn Community Health
- Dept. of Human Services – Juvenile Justice
- St Vincent de Paul
- Campaspe Murray Community Care
- Schools
- Employment Brokers
- Victoria Legal Aid
- Finding Yourself Program
- Community Projects eg: St Anne's Viticulture, Beacon Foundation

### **8.17 Appendix 17 – Action Research Cycle 3 – CYPRASS Project - Sample Intangible CYPRASS Outcome – Network – Partnerships**

#### Description

The purpose of this outcome is to establish and maintain formal one-to-one inter-organisational sharing links between the CYPRASS program and other organisations, supported by formal agreements (e.g. Memorandums of Understanding) that define a shared and combined commitment to the provision of youth referral and support services in the Shire of Campaspe.

Partnership organisations will comprise local representation of organisations that have established formal links with CYPRASS. e.g. Echuca Court representing the Department of Justice.

#### Beneficiary

1. At risk Shire of Campaspe youth, their families, peers and the broader community

#### Owner

1. CYPRASS Management Committee
2. CYPRASS Project Officer

#### Benefits

1. Capability to provide strategic, holistic services based on shared and combined contributions.
2. Shared and combined resources, skills and experience capable of providing larger range of services.
3. CYPRASS is seen as a “networking agent” introducing partners to each other e.g. could be formalised with “partner events”.
4. Intermediate layer of CYPRASS network building upon the foundation layer of Formal Links.
5. Intermediate layer of CYPRASS network capable of delivering personal relationships.
6. The number, frequency and diversity of programs offered by CYPRASS partners both reduce youth risk factors and increase protective factors.
7. Partnerships are based on an accurate and current understanding of CYPRASS objectives as described in (recent) formal communications.

8. Partnerships provide the opportunity for the CYPRASS Management Committee and Project Officer to develop informal communications (and personal relationships) by building on the foundation layer of standard, consistent, current, complete communication of CYPRASS message.
9. Partnerships support responsibility for review/monitoring of the CYPRASS program.  
i.e. shared lessons learned
10. Partnerships promote increased learning opportunities - 2-way shared learning.
11. Joint customisation of standard information/documentation presenting a common focus, purpose e.g. multiple organisations sponsoring a brochure, event.
12. Distribution of customised documents to partners' own networks.
13. Introduction of partner/s to each others' networks - establish more links.
14. Shared Success.
15. Address the challenge faced by the Victoria Police Community and Cultural Division to translate "high level partnerships to effect operational strategies at the local level".  
(Victoria Police - Office of Deputy Commissioner 2003,p14).

#### Quantitative Measures - statistical

1. Number of partnerships.
2. Number of partnerships that have delivered personal relationships e.g. mentors.
3. Increase/decrease in number of partnerships.
4. In-kind resources contributed by partners.
5. Funding provided by partners.
6. Number and frequency of communications with partners.
7. Duration of partnerships.
8. Number of guests from partner organisations who attend CYPRASS meetings/events.
9. Number of CYPRASS partner meetings/events attended by CYPRASS Management Committee representatives.
10. Number of "CYPRASS Partner" events.
11. News reports of CYPRASS partnerships.
12. News reports of CYPRASS partnership events.

13. News reports of partnership generated activities/events, communications e.g. brochures, results.

### Qualitative Assessments

1. Partnership case studies

### Roles and Responsibilities

1. Management Committee members – Forging and maintaining partnerships from established formal links e.g. each committee member assigned responsibility for fostering particular partnerships.
2. Management Committee member organisations - Support services including administration e.g. printing and distributing formal communications.
3. Victoria Police Youth Officer – Speaker at meetings held by partner organisations.
4. CYPRASS Project Officer – Responsible for maintaining the list of partnerships and fostering particular partnerships.

### Dependencies

1. Management Committee members' time.
2. Management Committee member organisations' support.
3. CYPRASS formal links are capable of delivering a sufficient number and diversity of partner organisations.
4. "Sufficient" number and diversity of partnering organisations.
5. Partnering organisations able to share resources, including qualified personnel and documentation.
6. Partnering organisations have a demonstrated commitment and strategic alignment to the provision of youth referral and support services.
7. Local media outlets respond positively to CYPRASS approaches to be partners in “spreading the good word” about CYPRASS.

### Deliverables

1. Proforma partnership agreement, including mention of whom/how makes public statements about the CYPRASS program.

2. Contact List to include which Management Committee member is responsible for managing which partnership/s, including media liaison partnership/s with local media.
3. Management Committee meeting agenda includes standing items for reviewing partnership related activities, including resource estimates for developing/maintaining partnerships.

## Risk Assessment

In summary, six (6) Partnership related risks were identified. Of these, five (5) are Medium risks and one (1) is a Low risk. The vast majority of risks being assessed as Medium, indicates that Partnership related risks need to be actively managed by the Management Committee to prevent them from becoming High risks and placing realisation of partnership outcomes at risk.

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>
1.	Management Committee members' have insufficient time to adequately foster partnerships.	Partnerships not maintained and lapse back to "formal link" status. CYPRASS management committee member organisations need to contribute more resources than expected. Shared resources less available. Poor partnership community perception that is difficult to change/correct.	H	M	H	Management Committee needs to strategically assess which formal links are most likely to develop into partnerships and deliver personal relationships.	M
2.	Management Committee member organisations are unable to provide the support required to foster partnerships.	Resource constrained CYPRASS services do not deliver expected outcomes. CYPRASS needs to seek additional resources from partners. Organisations' membership of management committee needs to be reviewed.	H	M	H	Management Committee meeting to include standing item to discuss partnership related activities and resource estimates.	M
3.	CYPRASS formal links are not capable of delivering a sufficient number and diversity of partner organisations	CYPRASS services limited due to unavailability of expected shared partnership resources. Additional time required of Management Committee members to create/revive formal links that can develop into partnerships.	H	M	H	Management Committee needs to strategically assess which formal links are most likely to develop into partnerships and deliver personal relationships. Management Committee members to assign responsibility amongst themselves for developing/maintaining formal links and partnerships.	M

*Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs*

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probab ility H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>
4.	The expected number and diversity of partnering organisations is not achieved.	CYPRASS services limited due to unavailability of expected shared partnership resources. Resource constrained CYPRASS services do not deliver expected outcomes. CYPRASS member organisations need to provide more resources than expected.	H	M	H	Management Committee needs to strategically assess which formal links are most likely to develop into partnerships and deliver personal relationships. Management Committee members to assign responsibility amongst themselves for developing/maintaining formal links and partnerships.	M
5.	Partnering organisations unable to commit promised resources	CYPRASS services limited due to unavailability of expected shared partnership resources. Resource constrained CYPRASS services do not deliver expected outcomes. CYPRASS member organisations need to provide more resources than expected.	H	M	H	CYPRASS Management Committee member responsible for developing/maintaining the partnership needs to meet with their partnership counterpart/s to discuss issues and define a means of resolving them.	M
6.	Local media outlets do not respond positively to CYPRASS approaches to be partners in “spreading the good word” about CYPRASS.	CYPRASS services have limited exposure, limiting its ability to promote its image and reputation.	M	M	M	CYPRASS Management Committee needs to clearly assign media liaison responsibilities.	L

**8.18 Appendix 18 – Action Research Cycle 3 – CYPRASS Project - Tangible Outputs to Intangible Outcomes Cross-Reference**

<b>Tangible Output</b>	<b>Assessment</b>	<b>Youth Personal Development</b>	<b>Formal Links</b>	<b>Partnerships</b>	<b>Personal Relationships</b>	<b>Cultural Change in Victoria Police</b>	<b>CYPRASS Image &amp; Reputation</b>	<b>Improved Community Perception of Youth</b>
<b>PROGRAM MANAGEMENT</b>								
CYPRASS Charter	No. of youth referred Recidivism Statistics Reduced youth crime statistics Youth participation rates in employment School retention rate/s No. of youth court appearance	X	X	X	X	X	X	X
Management Committee Meeting Minute Template							X	
Management Committee Meeting Minutes							X	
Management Committee Meeting Minute Attachments							X	
Management Committee Members	No. of members No. of organisations represented		X	X			X	
Management Committee Member Selection Criteria			X				X	
Program funding - submissions	No. of submissions Success rate Funding amounts Funding Duration No. of Funding Sources		X				X	
Program Database	Reports						X	X
Project Worker Position Description							X	

**Legend :** *bold italicised* text indicates currently unplanned tangible output

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

Tangible Output	Assessment	Youth Personal Development	Formal Links	Partnerships	Personal Relationships	Cultural Change in Victoria Police	CYPRASS Image & Reputation	Improved Community Perception of Youth
Project Worker	No. of applicants Worker CV	X			X		X	X
Project Workplan	Status Reports	X			X		X	X
<i>Contact List including assigned responsibilities for formal links and partners</i>			X	X	X		X	X
<i>Management Committee meeting agenda</i>			X	X	X			
<i>Management Committee "bio profiles"</i>			X	X			X	
<i>Issues Resolution process</i>		X		X	X	X	X	
<i>Youth Personal Development Benefits/program cross reference matrix</i>		X	X	X	X	X	X	
<i>Documented criteria for selecting referral agencies</i>		X	X	X	X	X	X	
<i>Proforma partnership agreement</i>				X	X	X	X	
<i>Documented anecdotes and stories</i>		X	X	X	X	X	X	X
<b>COMMUNICATIONS</b>								
PowerPoint Presentation	No. of presentations		X	X			X	X
Pamphlet	No. of pamphlets distributed No. of pamphlet distribution points	X	X	X	X	X	X	X
Police Training Pack	No. of presentations of Police Training Pack			X		X	X	X
Agency Training Pack	No. of presentations of Agency Training Pack		X	X			X	X

**Legend :** *bold italicised* text indicates currently unplanned tangible output

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Tangible Output</b>	<b>Assessment</b>	<b>Youth Personal Development</b>	<b>Formal Links</b>	<b>Partnerships</b>	<b>Personal Relationships</b>	<b>Cultural Change in Victoria Police</b>	<b>CYPRASS Image &amp; Reputation</b>	<b>Improved Community Perception of Youth</b>
<i>News stories</i>	<i>Number Size/duration Position e.g. front page</i>		X	X	X	X	X	X
<i>CYPRASS Communications Calendar</i>	<i>Number of communications Forms of communication Frequency of communication Audience diversity</i>		X	X	X	X	X	X
<i>Community groups' meeting schedules</i>			X	X	X		X	X
<i>Newsletter e.g. quarterly</i>	<i>No. of issues No. of pages</i>		X	X	X	X	X	X
<i>Partner Events</i>	<i>No. of events No. of attendees</i>			X	X	X	X	X
<b>REFERRAL POLICY</b>								
Referral Procedure incl Referral Chart	No. of referral agencies Diversity of referral agencies No. of Family Group Conferences No. of Court Referrals	X	X	X	X	X	X	X
Risk Assessment Criteria		X			X			
<i>Evidence of District Inspector and their direct reports supporting the use of the CYPRASS referral for, assessment criteria and referral process.</i>						X		

**Legend :** *bold italicised* text indicates currently unplanned tangible output

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

Tangible Output	Assessment	Youth Personal Development	Formal Links	Partnerships	Personal Relationships	Cultural Change in Victoria Police	CYPRASS Image & Reputation	Improved Community Perception of Youth
<b>MENTORING PROGRAM</b>								
Mentoring Policy		X	X	X	X		X	
Mentoring Procedures	Mentor Program Pilot/Kickoff Project Officer planning/review meetings with mentors/mentees	X			X		X	X
Mentoring Forms/Templates		X			X			
Mentors	No. of Mentors Duration of Mentors' commitment	X			X		X	X
Mentees	No. of Mentees Duration of Mentees commitment	X			X		X	X
<i>Mentoring Pilot Plan</i>		X			X		X	
<i>Mentoring Pilot interim reports</i>		X			X	X	X	
<i>Mentoring Pilot final report</i>		X			X	X	X	X
<b>VICTORIA POLICE</b>								
Victoria Police Youth Officer	% assignment	X			X	X	X	X
Victoria Police led At Risk Youth Meeting Procedures	No. of Victoria Police led At Risk Youth Meetings	X			X		X	
Victoria Police led Counselling Session Procedure	No. of Victoria Police led Counselling Sessions	X			X		X	

**Legend :** *bold italicised* text indicates currently unplanned tangible output

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Tangible Output</b>	<b>Assessment</b>	<b>Youth Personal Development</b>	<b>Formal Links</b>	<b>Partnerships</b>	<b>Personal Relationships</b>	<b>Cultural Change in Victoria Police</b>	<b>CYPRASS Image &amp; Reputation</b>	<b>Improved Community Perception of Youth</b>
<i>Evidence of District Inspector and their direct reports supporting the use of the CYPRASS referral for, assessment criteria and referral process.</i>						X		
<b>EMPLOYMENT PROGRAM</b>								
Employment Program Participants	No. of Employment Program Participants Duration of Employment Program Participant Commitment	X			X		X	X
Employment Program Participants CVs	Employment Program Participants Formal Qualifications & Experience	X			X		X	X
Employment Program Products	Number Complexity of skills required Quality e.g. commercial Time/effort required	X			X		X	X
<b>COMMUNITY EVENT MANAGEMENT</b>								
Invitations from community groups for youth participation in event management	No. of invitations	X		X	X		X	X
Community group feedback on youth participation in community event management incl lessons learned	No. of repeat invitations	X		X			X	X

**Legend :** *bold italicised* text indicates currently unplanned tangible output

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Tangible Output</b>	<b>Assessment</b>	<b>Youth Personal Development</b>	<b>Formal Links</b>	<b>Partnerships</b>	<b>Personal Relationships</b>	<b>Cultural Change in Victoria Police</b>	<b>CYPRASS Image &amp; Reputation</b>	<b>Improved Community Perception of Youth</b>
Youth feedback on their participation in community event management incl lessons learned	No. of youth participants No. of repeat youth participants	X			X		X	
News reports of youth involvement in community event management	No. of news reports Size of news reports Placement of news reports e.g. front page	X	X	X		X	X	X
<b><i>Community events calendar including key contacts</i></b>	<b><i>% events with CYPRASS involvement</i></b>							

**Legend :** *bold italicised* text indicates currently unplanned tangible output

**8.19 Appendix 19 – Action Research Cycle 3 - CYPRASS Project - Networks Intangible Outcomes - Roles and Responsibilities Summary**

<b>Intangible Outcome</b>	<b>Management Committee members</b>	<b>Management Committee organisations</b>	<b>Victoria Police Youth Officer</b>	<b>CYPRASS Project Officer</b>	<b>Referral Agencies</b>	<b>District Inspector &amp; direct reports</b>	<b>Individuals involved with CYPRASS</b>
Networks – Formal Links	Identifying potential formal link organisations, creating and maintaining the links Finalising/approving funding applications/review reports Defining formal communications calendar Finalising/Approving formal communications	Support services including administration	Speaker at meetings held by formal link organisations.	Maintaining the documented list of formal link organisations Drafting funding applications/review reports Drafting formal communications			
Networks – Partnerships	Forging and maintaining partnerships from established formal links e.g. each committee member assigned responsibility for fostering particular partnerships.	Support services including administration e.g. printing and distributing communications	Speaker at meetings held by partner organisations.	Maintaining the list of partnerships Fostering particular partnerships.			

*Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs*

<b>Intangible Outcome</b>	<b>Management Committee members</b>	<b>Management Committee organisations</b>	<b>Victoria Police Youth Officer</b>	<b>CYPRASS Project Officer</b>	<b>Referral Agencies</b>	<b>District Inspector &amp; direct reports</b>	<b>Individuals involved with CYPRASS</b>
Networks – Personal Relationships		Support services including administration, provision of private/public meeting spaces.		Managing programs that support/facilitate development of individual relationships			Individuals who make a commitment, maintain the commitment.

## **8.20 Appendix 20 - Victoria Police Senior Management Conference Survey Results**

As mentioned in sections 5.2.4.6 and 5.4.3.6, based on the value of the problem solving achieved in action research cycles 3 and 5 (CYPRASS project and ACLOs Feasibility Study respectively), the responsible Police Commander invited the author to be a speaker at the Victoria Police Senior Management Conference in November 2003. The author's presentation introduced the step-wise method for defining intangible project outcomes and the tangible outputs required to deliver them along with a description of the CYPRASS project experience as a case study. In addition to the presentation, the author also planned a workshop based on a Liquor Licensing Accord case study, which was delivered to three parallel workshop groups by senior members of the Community and Cultural Division previously trained by the author. The comparison of pre- and post-workshop surveys completed by workshop attendees (senior members of the Victoria Police force) indicated a statistically significant increase in the confidence of workshop attendees confidence in their ability to define, plan, deliver, and assess intangible project outcomes. The remainder of this Appendix describes the workshop survey results.

Three parallel workshops were facilitated by senior (sworn and unsworn) members of Victoria Police who had attended a "train the trainer" sessions facilitated by the author, prior to the conference. The conference workshops provided the opportunity to validate the usefulness of the process for defining intangible project outcomes and the tangible outputs required to deliver them. The validation was conducted using a combination of (intentionally) short, voluntary pre- and post-workshop surveys. The surveys were designed to test before and after self-assessed perceptions of confidence in planning and delivering intangible outcomes.

While there is not a precise roll call of all present (as people did need to periodically leave the room for various reasons) a very high proportion of workshop participants responded to the survey. Forty-one (41) people completed the pre-workshop survey prior to the author's presentation describing the CYPRASS project experience. Forty-six (46) people completed the post-workshop survey after completion of the hour-long workshops. The demographics of the senior police officers was such that, 83% of the respondents to the pre-workshop survey (n=41) were male and 89% of the respondents to the post-workshop (n=46) survey were male. Over 87% and 95% of those responding pre and post workshop respectively were at the rank of inspector or above so the seniority level and cumulative experience represented by this group was highly significant and adds to the credibility of the results. Further, over 70% of respondents were graduates or postgraduate trained.

The pre-workshop survey included questions 1 to 6 only, of the following list and the post-workshop survey included questions 1 to 7. Survey responses were recorded using a 5 point low to high Likert type rating scale:

1. Rate the importance of intangibles such as networks and partnerships to your day to day responsibilities: 1 unimportant - 5 very important
2. Rate the importance of intangibles such as networks and partnerships to the achievement of your business outcomes: 1 unimportant - 5 very important
3. Rate the importance of members of your networks/partnerships maintaining a shared vision: 1 unimportant - 5 very important
4. If sample intangibles include learning, leadership, networks, partnerships, communication, organisational culture and values, rate your confidence in: defining intangible outcomes: 1 Lacking confidence - 5 very confident
5. If sample intangibles include learning, leadership, networks, partnerships, communication, organisational culture and values, rate your confidence in: planning and delivering intangible outcomes: 1 Lacking confidence - 5 very confident
6. If sample intangibles include learning, leadership, networks, partnerships, communication, organisational culture and values, rate your confidence in: - assessing the delivery of intangible outcomes: 1 Lacking confidence - 5 very confident
7. Rate the likelihood of using today’s workshop method again: 1 unlikely - 5 very likely.

Table 8-2 presents the results as follows:

Table 8-2- ‘t –Test’ Results Of The Pre And Post Conference Responses

Question	Pre-Workshop Mean value 1-5	Pre-Workshop Std value	Post-Workshop Mean value 1-5	Post-Workshop Std value	Significance
1	4.46	0.674	4.52	0.547	0.658
2	4.41	0.774	4.46	0.622	0.780
3	4.34	0.762	4.26	0.743	0.619
4	3.32	1.011	3.91	0.626	<b>0.002**</b>
5	3.24	0.994	3.80	0.654	<b>0.003**</b>
6	3.05	0.999	3.67	0.762	<b>0.001**</b>
7	Not applicable		4.09		Not applicable

Std = standard deviation, Significance testing using t tests of difference of means\*\* = significant at the 99.5% level

The workshop generated much interest and discussion as well as follow on interaction between some of the attendees and the author. The general comments reflected interest in the process and agreement on its applicability to Victoria Police related projects.

The data indicates no significant change in responses to questions 1, 2 and 3, however the pre and post workshop values are rated as very important and that did not significantly change which is to be expected. The changes in perception for questions 4, 5 and 6 were highly significant moving from around average confidence to being confident. Given the short term exposure to the concept, the somewhat limited time of the hour-long workshops to fully test and explore the process, the significant change is highly encouraging. It was also interesting that after the workshop a more positive and consistent response was obtained for questions 4, 5 and 6. The characteristics of the participants and their police culture does not lead to an expectation of any halo effect or undue enthusiasm so the response would indicate a strong and genuine interest and endorsement of the process and its usefulness.

**8.21 Appendix 21 – Action Research Cycle 4 – YFHS Project - Intangible Outcome Profile - New and Strengthened Partnerships**

Description

To create new partnerships and strengthen existing ones.

The following table and diagram depict the two types of partnership outcomes :

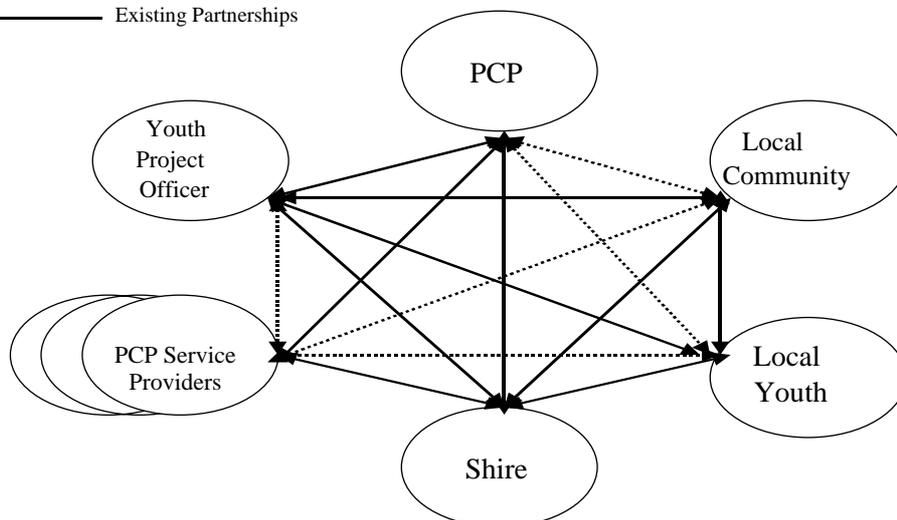
1. Creation of new partnerships
2. Strengthening of existing ones

with some partnerships generating both outcomes.

Stakeholder	Partner					
	PCP	The Shire	Youth Project Officer	Local Youth	Service Providers	Local Community
PCP	-	Strengthen Existing	Strengthen Existing	Create New	Create New Strengthen Existing	Create New (via youth) Strengthen Existing
The Shire	Strengthen Existing	-	Strengthen Existing	Strengthen Existing	Strengthen Existing	Strengthen Existing
Youth Project Officer	Strengthen Existing	Strengthen Existing	-	Strengthen Existing	Create New Strengthen Existing	Create New Strengthen Existing
Local Youth	Create New	Create New Strengthen Existing	Create New Strengthen Existing	-	Create New Strengthen Existing	Create New Strengthen Existing
Service Providers	Create New Strengthen Existing	Strengthen Existing	Create New Strengthen Existing	Create New Strengthen Existing	-	Strengthen Existing
Local Community	Create New Strengthen Existing	-				

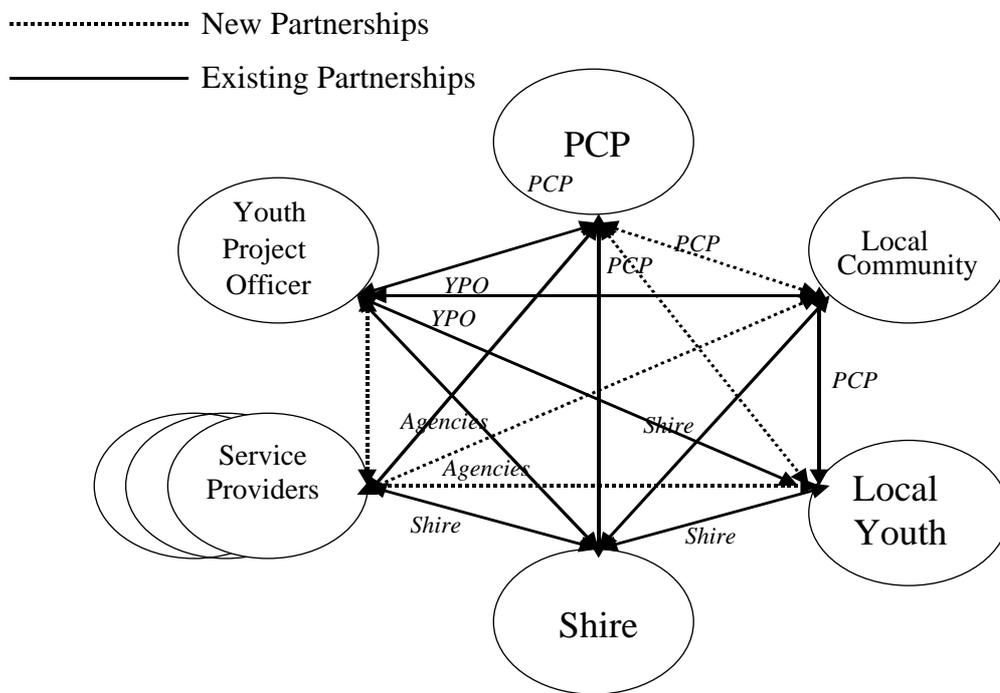
..... New Partnerships

———— Existing Partnerships



### Ownership

The concept of partnerships infers a shared focus and shared resources and shared ownership of outcomes. In order for the project to be successful, the creation of key new partnerships will need to be owned by one of the PCP, Shire, Youth Project Officer or PCP service providers as illustrated in the following version of the above diagram, this time with partnership owners included in the diagram. Where partnership owners have not been included, it is expected that partners will share ownership for creating/strengthening that partnership.



### Benefits

The two types of partnership outcomes will generate the following benefits that are expected to increase the social capital of the partnership network.

1. New partnerships will lead to the establishment of additional community links that further reinforce the existing partnership network. With the added opportunity for these new partnerships to be continued to be strengthened by ongoing partnership involvement in projects.
2. The strengthening of existing partnerships includes increased trust between the partners, which will help partners to better deal with, and learn from positive and negative shared experiences.

### Quantitative Measurement & Qualitative Assessment

1. YFHS Project evaluation feedback with numeric grading of partnerships before/after the project and also space for comments/stories/examples
2. Enquiries in response to YFHS Project publicity, received by the
  - PCP Coordinator
  - Shire
  - Shire Of Campaspe Youth Project Officer
  - School Welfare Officers

### Dependencies

1. PCP Coordinator takes ownership of PCP partnership with local youth.
2. PCP Coordinator takes ownership of PCP partnership with the broader community.
3. PCP Coordinator takes ownership of PCP partnership with PCP service providers.
4. Shire takes ownership of Shire partnership with local youth.
5. Shire takes ownership of Shire partnership with the broader community.
6. Shire takes ownership of Shire partnership with PCP service providers.
7. Youth Project Officer takes ownership of their partnership with the broader community.
8. Youth Project Officer takes ownership of their partnership with local youth..
9. Local youth volunteer to attend the youth stakeholder meeting.
10. Local youth volunteer to become accreditation interviewers.
11. Project Evaluation Form includes questions about partnerships that involve a numeric before/after rating and space for comments/an example/story.
12. PCP service providers deliver on their project commitments.

### Outputs

1. Project Brief that defines PCP Coordinator and Shire reps' role/s
2. Communications to engage and maintain youth volunteer involvement
  - Invitation to participate in youth stakeholder meeting;
  - Logo Competition invitation, rules etc;
  - Feedback to schools summarising youth stakeholder meeting outcomes and next steps;
  - Invitation to participate as interviewers, and receive basic training;
  - Feedback to schools summarising results of basic training and initial assessments;
  - Public announcement of logo competition winner and awards;
  - Public announcement of PCP service providers awarded initial "youth friendly" certification;

- Recommendations for post-project communications.
3. Shire Of Campaspe Youth Project Officer training and support of youth volunteers
    - Assessment questionnaire;
    - Assessment process description;
    - Documented learning objectives and corresponding activities;
    - Documented training/learning schedule;
    - Training/learning evaluation/feedback;
    - Assessment report template;
    - Structured post-assessment de-brief;
  4. Project Evaluation Form - suitably designed, distributed, collected and collated.
    - Project Evaluation Form asks respondents to grade strength of partnerships before/after the project on a numeric scale e.g. 1 = very weak, 5 = very strong;
    - Project schedule includes time to distribute, complete, collect and collate Project Evaluation results.
  5. Communications to engage and maintain the commitment of PCP service providers :
    - Draft questionnaire, process description and report template for review;
    - Description of interview purpose, format and duration;
    - Accreditation Assessment reports.
  6. Project Completion Report.
  7. PCP/Shire project plan templates that include a "Partnership" section that describes how new/strengthened partnerships will be developed by a project.

**Risk Assessment**

In summary, a total of six (6) Partnership related risks were identified of which one none are High risks, two (2) are Medium risks and four (4) are Low risks. The two Medium level risks are the following

Risk 4 - Insufficient youth volunteers for interview consultants

Risk 6 - PCP service providers do not deliver on their project commitments

The severity of both of these risks is assessed as High and the probability of them occurring as Medium, with contingent actions reducing their residual risk to Medium. The reason that the probability of them occurring is assessed as Medium is because the project cannot directly influence the involvement of these two stakeholder groups, members of which may decide (based on other higher priorities) whether to fulfil their agreed project commitments.

Therefore, these two stakeholder groups need to be closely managed by the Youth Project Officer and PCP Coordinator respectively.

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
1.	Partnership owners do not take responsibility for creating key new partnerships	Expected new partnership outcomes are not realised.	M	L	M	Partnership owners defined and agreed to. Partnership owners define an approach for creating the new partnerships.	L		
2.	Insufficient youth volunteers for stakeholder meeting	Stakeholder meeting does not generate assessment criteria or assessment process. Remainder of project placed at risk.	H	L	M	Youth Project Officer to ensure that approximately 20 young people respond to the meeting invitation, to ensure a turn-out of about 10 -12.	L	Youth Project Officer	N/a

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
3.	Insufficient youth volunteers for accreditation interviewers	Less than expected number of assessments conducted within project timeframe. Project has less than expected impact on new/existing partnerships. Alternative self-assessment process needs to be considered.	H	M	H	Youth Project Officer to ensure that <ul style="list-style-type: none"> <li>communications about the interview consultant's roles and responsibilities (including attendance at training sessions) are clearly documented, provided to school welfare officers with sufficient time for youth to apply for the roles.</li> <li>The preferred number of interview consultants is defined and that a larger pool of trained consultants will be available according to the project schedule.</li> </ul>	M	Youth Project Officer	Fortnightly
4.	Evaluation Form does not meet assessment requirements	Project outcomes ill defined. Project outcomes need to be assumed. Limited opportunity for Lessons Learned.	M	L	M	Youth project Officer and researcher to <ul style="list-style-type: none"> <li>draft an evaluation form for review by the steering committee</li> <li>define a schedule for distributing, collecting and collating the evaluations.</li> </ul>	L	Youth Project Officer	Fortnightly
5.	PCP service providers do not deliver on their project commitments	PCP does not deliver a priority project Project loses credibility because service providers are seen to be dropping their support. Less than expected number of assessments conducted within project timeframe.	H	M	H	PCP Coordinator to maintain ongoing communications with PCP service providers, informing them of project purpose, benefits and progress.	M	PCP Coordinator	monthly

*Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs*

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
6.	PCP/Shire project plan templates do not include a "Partnership" section	PCP/Shire will not include consideration of partnership development opportunities as a standard part of project planning/design.	M	M	M	YFHS stakeholders form the PCP and Shire to recommend that project planning documents be updated to include a standard section for documenting expected partnership outcomes.	L	Shire PCP	Once-off

**8.22 Appendix 22 – Action Research Cycle 4 - YFHS Project - Intangible Outcome Profile - Leadership Development**

Description

To further develop the leadership capabilities of each key group of project stakeholders.

Benefits, Assessment, Deliverables and Owners

Whilst the project can provide stakeholders with leadership opportunities during the project, the PCP Coordinator, Shire and Youth Project Officer are responsible for continuing to provide project stakeholders with the opportunities to consolidate or further develop their leadership capabilities after completion of the project.

Leadership Outcomes	Realisation		Primary Beneficiary					Assessment	Deliverables	
	During Project	After Project	PCP	Shire	Youth Project Officer	Youth	Service providers			Community
PCP further develops itself as a PCP agency "Partnership Leader"	X	X	X						Project Completion Report reports on the actual involvement of PCP service providers compared to their planned involvement. Project Evaluation feedback grading PCP as a Partnership Leader before/after the project. Number of enquiries received by PCP from new/existing PCP service providers	PCP updates to members Project Evaluation form and feedback Project Completion Report PCP status reports, including a record of the number, type and results of enquiries from new/existing PCP service providers PCP project plan template includes a "Leadership" section that describes how the project will provide stakeholders with leadership opportunities.

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

Leadership Outcomes	Realisation		Primary Beneficiary					Assessment	Deliverables	
	During Project	After Project	PCP	Shire	Youth Project Officer	Youth	Service providers			Community
The Shire develops its leadership role in community leadership, extending to the youth community.	X	X		X					<p>YFHS Project Evaluation feedback including</p> <ul style="list-style-type: none"> <li>grading of the Shire as a Partnership Leader before/after the project.</li> <li>Shire reps list three (3) of their own key leadership development outcomes, and whether they were expected or unexpected.</li> </ul> <p>Number of enquiries received by the Shire related to community involvement in Shire led projects.</p>	<p>Project Evaluation form and feedback</p> <p>Project Completion Report</p> <p>Shire status reports, including a record of the number, type and results of enquiries regarding community/youth participation in Shire led projects</p> <p>Shire project plan template includes a "Leadership" section that describes how the project will provide stakeholders with leadership opportunities.</p>
The Youth Project Officer develops their project leadership capabilities.	X	X			X				<p>YFHS Project Evaluation, including</p> <ul style="list-style-type: none"> <li>feedback assessing Youth Project Officer's leadership capability before and after the project.</li> <li>Youth Project Officer listing three (3) of their own key leadership development outcomes, and whether they were expected or unexpected.</li> </ul> <p>Youth Project Officer Performance Review</p> <p>Number of enquiries received by the Youth Project Officer related to community involvement in Shire/Youth Project Officer led projects.</p>	<p>Project Evaluation Form and feedback</p> <p>Youth Project Officer Performance Review</p> <p>Youth Project Officer monthly status reports, including a record of the number, type and results of enquiries related to community involvement in Shire/Youth Project Officer led projects.</p> <p>Youth Performance Plan includes additional opportunities to develop leadership capabilities.</p>

Leadership Outcomes	Realisation		Primary Beneficiary					Assessment	Deliverables	
	During Project	After Project	PCP	Shire	Youth Project Officer	Youth	Service providers			Community
Local youth develop leadership skills through their involvement in the project and identify themselves as influencers.	X	X				X			YFHS Project Evaluation including <ul style="list-style-type: none"> <li>An assessment of local youth reps' leadership capability before and after the project.</li> <li>Local youth reps listing three (3) of their own key leadership development outcomes, and whether they were expected or unexpected.</li> </ul>	Project Evaluation form and feedback Project Communications clearly describe the lead project roles assumed by local youth.
PCP service providers participating in the YFHS project will be leaders in the provision of youth friendly health services amongst their service sector.	X	X					X		YFHS Project Evaluation including an assessment of PCP service providers' leadership profiles	Project Evaluation form and feedback The Shire and PCP to work with PCP service providers to plan and implement communications that identify the service providers participating in the YFHS project as leaders in their field/s.
The YFHS Project demonstrates how members of the broader community can take on Consumer leadership roles in PCP activities e.g. Consumer Advocacy Committee (CAC)	X	X						X	Project Completion Report including Lessons Learned	Project Completion Report  Planned series of communications that continue to remind members of the local community (including school communities) of the project's reliance on community consumer involvement.

### Dependencies

1. The PCP Coordinator has a clear understanding of the expected leadership development outcomes for themselves, the PCP, PCP service providers and influences the project design to address these outcomes.
2. Shire representatives have a clear understanding of their/the Shire's expected leadership development outcomes and influences the project design to address these outcomes.

3. The Youth Project Officer has a clear understanding of the expected leadership development outcomes from themselves and local youth and therefore influences the project design to address these outcomes.
4. Project Evaluation form captures feedback on leadership development.
5. PCP/Shire project plan templates include a "Leadership" section that describes how the project will provide stakeholders with leadership opportunities.

**Risk Assessment**

In summary, five (5) Leadership Development risks were identified. All five risks are rated as Low, mainly because the probability of them being realised is assessed as Low, based on the assumption that the PCP Coordinator, assigned Shire representatives and the Youth Project Officer all have a clear understanding of the expected leadership development outcomes and will therefore ensure that the project is designed and implemented to deliver these outcomes.

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>
1.	The PCP Coordinator does not have a clear understanding of the expected leadership development outcomes for themselves, the PCP and PCP service providers.	Delivery of Leadership Development outcomes for some/all of the PCP Coordinator, the PCP, PCP service providers are not integrated into the project design. Expected Leadership outcomes are not delivered.	H/M	L	M	Youth Project Officer and researcher ensure that the PCP Coordinator is involved in the Project Design and signs off Project Brief as addressing their expected Leadership outcomes. PCP Coordinator continues to monitor project delivery of leadership development outcomes.	L

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>
2.	The Shire representatives do not have a clear understanding of their/the Shire's expected leadership development outcomes.	Delivery of Leadership Development outcomes for the Shire reps and/or the Shire are not integrated into the project design. Expected Leadership outcomes are not delivered.	H/M	L	M	Youth Project Officer and researcher ensure that Shire reps are involved in the Project Design and signs off Project Brief as addressing their expected Leadership outcomes. Shire reps continue to monitor project delivery of leadership development outcomes.	L
3.	The Youth Project Officer does not have a clear understanding of the expected leadership development outcomes from themselves and local youth	Delivery of Leadership Development outcomes for the Youth Project Officer and local youth are not integrated into the project design. Expected Leadership outcomes are not delivered.	H/M	L	M	Youth Project Officer is directly involved in the Project Design and signs off Project Brief as addressing their expected Leadership outcomes. Youth project Officer monitors project delivery of leadership development outcomes.	L
4.	Project Evaluation form does not capture feedback on leadership development.	Leadership development outcomes need to be assumed. Limited opportunity for Lessons Learned.	M	L	M	Youth project Officer and researcher to <ul style="list-style-type: none"> <li>draft an evaluation form for review by the steering committee</li> <li>define a schedule for distributing, collecting and collating the evaluations.</li> </ul>	L
5.	PCP/Shire project plan templates do not include a "Leadership" section.	PCP/Shire will not include consideration of leadership development opportunities as a standard part of project planning/design...	M	M	M	PCP/Shire project plan templates are updated to include a "Leadership" section.	L

**8.23 Appendix 23 – Action Research Cycle 4 - YFHS Project - Excerpt of the Summary of project intangible outcomes per stakeholder group**

<b>Intangible Outcome</b>	<b>Project Stakeholder</b>					
	<b>PCP</b>	<b>Shire of Campaspe</b>	<b>The Youth Project Officer</b>	<b>Young members of the Shire of Campaspe community</b>	<b>PCP service providers</b>	<b>Members of the Shire of Campaspe community</b>
<b>New and Strengthened Partnerships</b>	<p><i>Between</i></p> <ul style="list-style-type: none"> <li>- the PCP and its service providers</li> <li>- the PCP and the Shire</li> <li>- the PCP and young (consumer) members of the community</li> </ul>	<p><i>Between</i></p> <ul style="list-style-type: none"> <li>- the Shire and the PCP</li> <li>- the Shire and young (consumer) members of the community</li> </ul>	<p><i>Between</i></p> <ul style="list-style-type: none"> <li>- the Youth Project Officer and the PCP</li> <li>- the Youth Project Officer and the Shire</li> <li>- the Youth Project Officer and young members of the community</li> </ul>	<p><i>Between</i></p> <ul style="list-style-type: none"> <li>- Young members and the PCP consultative process</li> <li>- Young members and PCP service providers</li> <li>- Young members and the Youth Project Officer</li> </ul>	<p><i>Between</i></p> <ul style="list-style-type: none"> <li>-The PCP and its service providers</li> <li>-PCP service providers and young members of the community</li> </ul>	<p><i>Members of the broader community benefit by the YFHS Project demonstrating the genuine participative and influential partnership role that community members can take in PCP activities.</i></p>
<b>Leadership Development</b>	<p><i>PCP further develops itself as a PCP agency "Partnership Leader"</i></p>	<p><i>Shire develops its leadership role in community leadership, extending to the youth community.</i></p>	<p><i>The Youth Project Officer develops their project leadership capabilities.</i></p>	<p><i>Local youth develop leadership skills through their involvement in the project and identify themselves as influencers.</i></p>	<p><i>PCP service providers participating in the YFHS project will be leaders in the provision of youth friendly health services amongst their service provider type.</i></p>	<p><i>The YFHS Project demonstrates how members of the broader community can take on Consumer leadership roles in PCP activities e.g. Consumer Advocacy Committee (CAC)</i></p>

### 8.24 Appendix 24 – Action Research Cycle 4 - YFHS Project - Intangible Outcomes to Tangible Outputs Cross-Reference

No.	Intangible Outcome Tangible Outputs	Partner- ship	Leadership	Image & Reputation	PCP Values	Learning
	<b>PROJECT MANAGEMENT</b>					
1.	Project Brief	X				X
2.	Project Status Reports	X				X
3.	PCP Agency Assessment appointments	X			X	
4.	GP Assessment appointments	X			X	
5.	<i>Record of volunteer hours contributed by youth volunteers</i>			X		X
6.	Project Evaluation Form	X	X		X	X
7.	Project Evaluation Feedback	X	X		X	X
8.	Project Evaluation Activity Schedule	X	X		X	
9.	<i>Project Evaluation Form Cover Letter</i>	X	X		X	
10.	<i>A documented assessment of the current project plan, to ensure that it</i> <ul style="list-style-type: none"> <li>• <i>Provides stakeholders with opportunities to maintain/enhance their image and reputation</i></li> <li>• <i>includes project communications activities and outputs that maintain/enhance stakeholders' image and reputation.</i></li> </ul>			X		
11.	<i>Process for preparing/reviewing project communications, includes reference to the table included in section 5.4 Image and Reputation, to ensure that messages reinforcing the image and reputation of project stakeholders are included where and as possible.</i>				X	
12.	Project Completion Report	X	X		X	X
	<b>COMMUNICATIONS</b>					
13.	Invitation to participate in youth stakeholder meeting to define assessment criteria and process	X				X
14.	Logo Competition invitation, rules etc	X				X
15.	<i>Feedback to schools summarising youth stakeholder meeting outcomes and next steps</i>	X				X
16.	Invitation to participate as assessors, and receive basic training	X				X
17.	<i>Feedback to schools summarising results of basic assessor training and initial assessments</i>	X				X
18.	Public announcement of logo competition winner and awards	X				X
19.	Public announcement of PCP service providers awarded initial "youth friendly" certification	X				X

**Legend** – *bold italicised* text indicates unplanned tangible outputs

No.	Intangible Outcome Tangible Outputs	Partner- ship	Leadership	Image & Reputation	PCP Values	Learning
20.	<i>Description of agency accreditation interview purpose, format and duration</i>	X				
21.	Accreditation Assessment reports	X				
22.	Project Communications clearly describe <ul style="list-style-type: none"> <li>• the lead project roles assumed by local youth.</li> <li>• identify the service providers participating in the YFHS project as leaders in their field/s.</li> <li>• remind members of the local community (including school communities) of the project's reliance on community consumer involvement.</li> </ul>		X			
23.	Positive media reports of youth participation in PCP initiatives.			X		X
24.	<i>Outputs authored by youth representatives e.g. internet, radio, print media, TV, brochures, flyers</i>					X
25.	PCP agency response to assessment reports					X
	<b>YOUTH ASSESSOR TRAINING</b>					
26.	Assessment questionnaire	X				
27.	Assessment process description	X				
28.	<i>Youth Assessor Training - documented learning objectives and corresponding activities</i>	X				X
29.	<i>Documented training/learning schedule</i>	X				X
30.	<i>Youth Assessor training evaluation/feedback</i>	X				X
31.	<i>Assessment report template</i>	X				X
32.	<i>Structured post-assessment de-brief format</i>	X				X
33.	Assessment reports	X				X
34.	YFHS Logo			X	X	X

**Legend** – *bold italicised* text indicates unplanned tangible outputs

No.	Intangible Outcome Tangible Outputs	Partner- ship	Leadership	Image & Reputation	PCP Values	Learning
	<b>OUT OF PROJECT SCOPE</b>					
	<b>PCP/Shire Management</b>					
35.	PCP project plan template	X	X	X	X	X
36.	Shire project plan template	X	X	X	X	X
37.	Youth Project Officer Performance Review		X			
38.	Youth Project Officer monthly status reports, including a record of the number, type and results of enquiries related to community involvement in Shire/Youth Project Officer led projects.		X			X
39.	Youth Project Officer Performance Review Outcomes		X			X
40.	Youth Project Officer Performance Plan includes additional opportunities to develop leadership capabilities.		X			X
41.	PCP Updates to Members		X			X
42.	PCP status reports		X			X
43.	Shire status reports		X			X
44.	Shire/PCP/PCP agency customer satisfaction <ul style="list-style-type: none"> <li>• Survey forms</li> <li>• Survey results</li> <li>• Focus group outcomes</li> </ul>			X	X	X
45.	Future projects reference/include Lessons Learned documented in the YFHS Project Completion report					X
46.	Documented PCP/Shire plan to continue operation of the YFHS program after completion of the project.					X

**Legend – *bold italicised* text indicates unplanned tangible outputs**

**8.25 Appendix 25 - Campaspe PCP – Table of Contents for the Revised Health Promotion Project Planning Template**

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8.26 Appendix 26- Campaspe PCP Health Promotion Project Outcome Profile

**HEALTH PROMOTION PROJECT OUTCOME PROFILE**

<b>DESCRIPTION</b>
<b>OWNERSHIP</b>

BENEFIT	REALISATION		PRIMARY BENEFICIARIES					PROJECT DELIVERABLES	PROJECT ASSESSMENT
	During Project	After Project	Stake holder 1	Stake holder 2	Stake holder 3	Stake holder 4	Stake holder 5		

ASSUMPTIONS		DEPENDENCIES	
1.		1.	
2.		2.	
3.		3.	
4.		4.	

**HEALTH PROMOTION PROJECT OUTCOME PROFILE**

**RISK ASSESSMENT**

A total of xx risks have been identified. yy of these are high risks, xx are medium risks and the remaining xx are all low risks.

The high/medium risks are

- that ...
- that ...

No.	Risk Description	Risk Effect	Risk Severity H/M/L	Risk Probability H/M/L	Risk H/M/L	Contingent/Mitigative Action	Residual Risk H/M/L	Owner	Review Frequency
1.									
2.									
3.									
4.									
5.									
6.									

8.27 Appendix 27 – Action Research Cycle 4 – YFHS Project - Health 2004 – The 18<sup>th</sup> World Conference on Health Promotion and Health Education – YFHS project poster

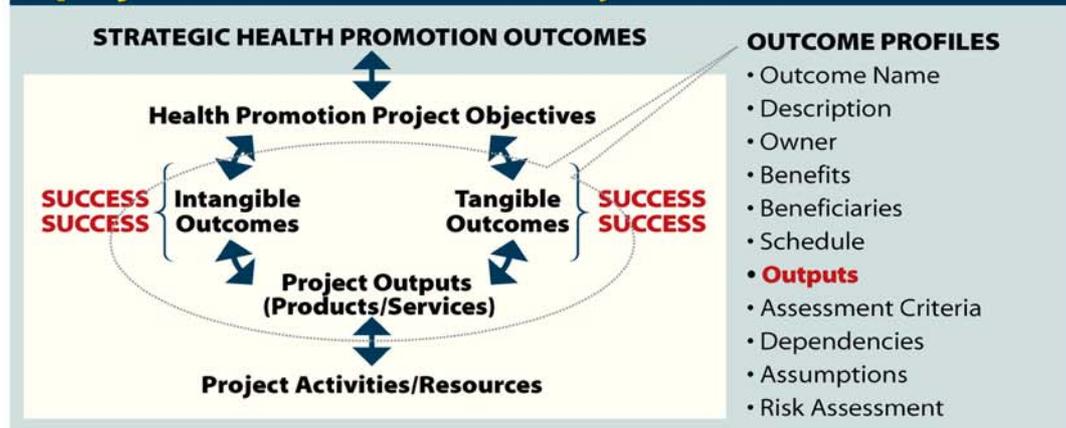
# HEALTH PROMOTION PROJECTS



## A METHOD FOR DEFINING PROJECT OUTCOMES

For more information contact: Ms Kersti Nogeste, Project Expertise, knogeste@projectxpertise.com.au

### A project's success is assessed by its outcomes



## CASE STUDY PROJECT



Define Intangible Outcomes of a Youth Friendly Health Services Trial



### STEP 1 IDENTIFY PRIORITY INTANGIBLE OUTCOMES

- 1 New and Strengthened Partnerships & Leadership Development
- 2 Primary Care Values & Image and Reputation
- 3 Learning Benefits

### STEP 2 DEFINE PRIORITY INTANGIBLE OUTCOMES using OUTCOME PROFILES

### STEP 3 LINK INTANGIBLE OUTCOMES TO OUTPUTS

OUTPUTS	INTANGIBLE OUTCOMES				
	PARTNERSHIP	LEADERSHIP	VALUES	IMAGE & REPUTATION	LEARNING
Project Management	X	X	X		X
Communications	X		X	X	X
Accreditation	X				X
Post-Project	X	X	X	X	X

## **8.28 Appendix 28 – Action Research Cycle 5 - ACLOs Feasibility Study – Overarching Intangible Outcome - The ACLO ‘Connects’ with the local Aboriginal community**

### **The ACLO “Connects” with the local Aboriginal community**

#### **Description**

This is the overall "umbrella" intangible outcome and comprises the establishment, development and maintenance of formal and informal relationships and communications

- between the ACLO and individuals and groups within the local Aboriginal community, and
- between the ACLO, the local Aboriginal community and local service provider agencies and community committees.

This outcome will be locally defined for each ACLO but is expected to comprise of a number of contributing and complementary intangible outcomes, including those identified by the community consultations.

1. The ACLO develops mutual understanding and trust between the local Aboriginal community and Victoria Police members.
2. The ACLO is a role model for local Aboriginal children and youth.
3. The ACLO assists members of the local Aboriginal community to solve societal problems.
4. The ACLO develops good working relationships with local existing Indigenous agency and committee representatives

Since these sample outcomes are complementary, they have owners, beneficiaries, benefits, roles and responsibilities, dependencies, risks and outputs in common. Therefore it is the purpose of this outcome profile to document the common aspects of the sample contributing outcomes.

#### **Beneficiaries**

The intangible outcomes of the ACLO project will benefit

- the ACLO
- individuals and groups within the local Aboriginal community,
- the local Aboriginal community at large
- local Victoria Police members
- the broader Victoria Police community
- the broader local community

- indigenous and non-indigenous people outside the community who “hear about” a local ACLO project (including fellow ACLOs in other areas).

### **Ownership**

The success of the ACLOs project is dependent on a combination of Victoria Police and Aboriginal community support provided at state, regional and local levels. Therefore, all these tiers of Victoria Police and Aboriginal community support have an ownership role in the success of the ACLOs role. Therefore, contrary to the general recommendation that an outcome have a single responsible owner accountable for the outcome, the success of the ACLOs role is dependent on ownership for the outcomes of “connectedness to the local Aboriginal community” being shared by local Victoria Police members and members of the local Aboriginal Community.

So, for the ACLOs project there will be shared ownership of outcomes, with each part owner having defined responsibilities per outcome.

### **Roles and Responsibilities**

The shared ownership for ACLO project outcomes relies on responsibilities being assigned to the following roles

- ACLO Recruiters;
- ACLOs;
- ACLO Support;
- ACLO Training;
- Local District Inspector (DI) and their direct reports;
- Police Aboriginal Liaison Officers (PALOs);
- Local Aboriginal Community;

#### ACLO Recruiters

ACLO Recruiters to :

- Ensure that the recruitment process includes sufficient time and resources to identify members of the local Aboriginal community to be interviewers, to gain their agreement, consult with them about the questions to be posed and to train them in Victoria Police interview procedures;
- Ensure that the recruitment process includes criteria/questions that address the potential for the ACLO candidates to develop a connectedness with the local Aboriginal community e.g. shared values, goals, understanding of current issues and successful

means of addressing them, preferably based on past personal experience or that of credible role models;

- Ensure that local Aboriginal community representatives included on the interview panel are briefed in Victoria Police interview procedures;
- Include representatives of the local Aboriginal community on the interview panel.

### ACLOs

ACLOs to :

- Identify and document community assets and priority issues;
- Draft, facilitate and monitor delivery of action plans;
- Recognise when they need assistance from ACLO Support or other Victoria Police more/specially skilled Victoria Police resources;
- Demonstrate an awareness of culturally aware conflict resolution process/es;
- Customise standard templates provided by ACLO Support to meet local needs.

### ACLO Support

ACLO Support to

- Document standard “ACLO Introduction” presentation materials that :
  - Describe the ACLO role, how it interacts with PALOs and other Victoria Police members and service provider agencies;
  - Describe Community building concepts;
  - Describe the ACLO role as an innovation for Victoria Police;
  - Describe shared responsibility of local Victoria Police for success of the ACLO role;
  - Describe importance of ACLO Lessons Learnt from success and “failure”;
  - Include a “cue” for the presenter to spend time placing the ACLO project in the context of past local indigenous oriented projects.
- Distribute “ACLO Introduction” presentation materials to DIs, prior to local interviews being conducted;
- Document a standard conflict resolution process for local customisation by ACLOs;
- Assign a Victoria police coach to each ACLO;
- Help ACLOs generate accurate resource estimates for achieving their defined goals, and where necessary to re-scope their goals to match available resources;

- Promote knowledge management amongst ACLOs and PALOs by facilitating a Community of Practice, which meets knowledge management needs identified by ACLOs and PALOs;
- Review local ACLO action plans and confirm that the remainder of the planned ACLO (and PALO) training program addresses high priority statewide issues;
- Establish formal links between Victoria Police and government and non-government agencies that will support the development of local partnerships and personal relationships between Victoria Police members, including ACLOs and local service provider representatives. i.e. ACLOs and other police members need to work within a defined network of contacts – they can't negotiate the terms of the partnerships and personal relationships without a foundation layer of formal "corporate" agreements;
- Document a standard referral process, including assessment criteria and assessment form;
- Provide information on an ongoing basis to ACLOs about Victoria Police partner service provider offerings, including eligibility criteria (e.g. age range);
- Provide ACLOs with introductions to local representatives of service provider agencies;
- Provide independent professional facilitators to ACLOs as required. to assist them to resolve issues that prove to be "show stoppers";

### ACLO Training

ACLO Training to include

- Introduction to current community building concepts and Australian practices;
- Facilitation skills development;
- Culturally aware conflict resolution skill development;
- Negotiation skills development;
- Practical problem management processes e.g. problem identification, definition, cause-effect analysis;
- Case studies and role play that require ACLOs to facilitate asset/issues identification sessions (including discussion of past indigenous projects) and document action plans including accurate resource estimates and schedules;
- Process for requesting operational changes and/or additional resources;
- Study of sample successful requests for operational changes and/or additional resources;
- Peer review of ACLO action plans developed to address case studies;

- Introductions to Victoria Police partner service provider offerings, including eligibility criteria (e.g. age range);
- Review of existing PALO training to identify opportunities to add/change PALO training so that it overlaps/aligns with ACLO training;
- Mentoring skills development.

#### Local District Inspector and direct reports

Local District Inspector and direct reports to :

- To reinforce the ongoing role of Victoria Police members for the shared success of the ACLO role, through both their actions and words;
- Review and confirm their agreement to the ACLOs draft action plans for building on local assets and resolving priority issues;
- Act as role models to local Victoria Police by openly demonstrating their ongoing support of the implementation of ACLO's action plans;
- Assign Victoria Police "resource managers" to attend initial joint Victoria Police /Aboriginal asset/issues review sessions to provide "on the spot" and realistic advice about Victoria Police resources available to support proposed ACLO action plans.

#### Police Aboriginal Liaison Officer (PALOs)

Each PALO, to

- Introduce the ACLO to elders and leaders of the local Aboriginal community;
- Introduce the ACLO to local representatives of service provider agencies.

#### Local indigenous community

The local indigenous community, to

- Nominate representatives to be members of the local ACLO interview panel;
- Confirm the agreement of local Aboriginal community representatives included on the interview panel to provide initial level 1 support to the locally appointed ACLO. (i.e. these peoples' responsibilities to extend beyond the immediate scope of the interview process.);
- Reinforce the local Aboriginal community's shared responsibility for the ACLO's success;
- Act as role models, especially during negotiations, conflict resolution and when reviewing lessons learned from experience;

- Define local definitions of “visibility” success criteria for each intangible outcome.

### **Benefits**

Connectedness infers a depth of understanding and trust.

Refer to descriptions of individual intangible outcomes for expected benefits of each.

### **Assessment**

A basic set of quantitative measurement tools will include

- “Customer Satisfaction” feedback from local Aboriginal community;
- Reduced complaints against Victoria Police from members of the local Aboriginal community;
- Reduced number of complaints about Victoria Police from members of the broader local community about Victoria Police interactions with the local Aboriginal community;
- Employee Opinion Survey feedback from Victoria Police;
- ACLO performance reviews;

A basic set of qualitative assessment tools will include

- “Visibility” of ACLO working with the local community (with “visibility” defined by the local Aboriginal community for each intangible outcome);
- Stories, anecdotes and feedback from Victoria Police members;
- Stories, anecdotes and feedback from members of the local Aboriginal community;
- Stories, anecdotes and feedback from members of the broader local community;
- "Good news stories" in local media.

### **Outputs**

- Periodic ACLO feedback on the accuracy of the defined Position Description, the recruitment process, training program (topics, sessions duration, frequency, format etc) how well their personal and professional support requirements are being met by Victoria Police and service provider agencies;
- Periodic PALO feedback on the accuracy of the defined Position Description, the recruitment process, training program (topics, sessions duration, frequency, format etc) how well ACLO (and PALO?) personal and professional support requirements are being met by Victoria Police and service provider agencies;
- ACLO Performance Reviews;
- Documented local community assets and priority issues;

- Documented action plans, including verified resource estimates, schedule, success criteria and assessment milestones;
- Action plan progress reports (including space for anecdotes/stories);
- Customer Satisfaction Surveys;
- Victoria Police Employee Opinion Survey (EOS) results.

### **Dependencies**

1. The ACLO retains a clear understanding of their responsibilities to both key groups of stakeholders – Victoria Police and the local Aboriginal community.
2. Victoria Police and local Aboriginal community appraisal of existing assets and priority issues are aligned, therefore limiting the ACLOs initial scope.
3. Key local combined Victoria Police and Aboriginal community assets and priority issues (i.e. “what is going well” and “areas for improvement”) able to be identified and agreed, with associated success criteria for issue resolution defined in both qualitative and quantitative terms (including the timeframes in which the success will be assessed).
4. Victoria Police understanding that that success of the ACLO role is a responsibility shared by local Aboriginal and Victoria Police communities.
5. Local Aboriginal community understanding that the success of the ACLO role is a responsibility shared by local Aboriginal and Victoria Police communities.
6. Each ACLO encouraged to identify a Victoria Police mentor (informal, voluntary relationship).
7. PALOs have positive established relationships with the local Aboriginal community,
8. The PALO training program overlaps with the ACLO training program.
9. The local Aboriginal community and local Victoria Police understand and accept that “mistakes” and/or setbacks are an expected part of the process of community building.
10. The local Aboriginal community and local Victoria Police understand and accept that conflict is an expected part of the process of community building and can lead to positive outcomes.
11. The estimate of resources required to proactively and reactively address local Aboriginal community problems is accurate.
12. The ACLO has sufficient personal, Victoria Police and partnership resources to address defined local Aboriginal community expectations.

13. Victoria Police has sufficient resourcing, including funding to change their operating model/services to meet the needs of local Aboriginal communities.
14. Victoria Police have sufficient resourcing, including funding to address a potential increased demand for their services from the local Aboriginal community.
15. Local Aboriginal community has sufficient resources (e.g. role models) to assist the ACLO to generate the expected outcomes of their role.
16. Local Aboriginal community understanding and acceptance that trust and understanding will take time to develop, the ACLO cannot change/improve things “overnight”.
17. Local Victoria Police understanding and acceptance that trust and understanding will take time to develop, the ACLO cannot change/improve things “overnight”.
18. Local Aboriginal community understanding and acceptance that the ACLO is not the sole Aboriginal “agent” responsible for developing mutual trust and understanding; this is a shared community responsibility too.
19. Demonstrated understanding and support from the local District-Inspector and their direct reports that the ACLO is not the sole member responsible for developing mutual trust and understanding with the local Aboriginal community; this is a shared Victoria Police responsibility too.
20. Participation by Victoria Police and/or local Aboriginal communities in past community initiatives has not made them cynical about the ACLO project.

## **Risk Assessment**

In summary, a total of nineteen (19) risks were identified of which there were no high risks, twelve (12) Medium risks and seven (7) Low risks.

The relatively high proportion of Medium risks indicates that the mitigation/contingent actions need to be closely monitored to ensure Medium risks do not become High risks.

The Medium risks are

1. Risk 3 - Victoria Police do not demonstrate an understanding of their shared responsibility for the success of the ACLO role;
2. Risk 4 - Members of the local Aboriginal community do not demonstrate an understanding of their shared responsibility for the success of the ACLO role
3. Risk 5 - ACLO is unable to voluntarily identify a Victoria Police mentor
4. Risk 6 - PALO does not have a positive established relationship with the local Aboriginal community,
5. Risk 8 - Local Victoria Police members do not understand and accept that “mistakes” and/or setbacks are an expected part of the process of community building.
6. Risk 9 - The local Aboriginal community does not understand and accept that “mistakes” and/or setbacks are an expected part of the process of community building.
7. Risk 10 - Local Victoria Police and/or members of the local Aboriginal community do not understand and accept that conflict is an expected part of the process of community building and can lead to positive outcomes.
8. Risk 11 - ACLO action plans based on inaccurate resource estimates.
9. Risk 12 - The ACLO does not have access to sufficient personal, Victoria Police and partnership resources to address defined local Aboriginal community expectations.
10. Risk 13 - Victoria Police does not have sufficient resources to change their operating model/services to meet the needs of local Aboriginal communities or address a potential increased demand for their services from the local Aboriginal community.
11. Risk 16 - Local Victoria Police do not demonstrate understanding and acceptance that trust and understanding between Victoria Police and community will take time to develop and that the ACLO cannot change/improve things “overnight”.
12. Risk 18 - The local District-Inspector and their direct reports do not demonstrate an understanding that the ACLO is not the sole Victoria Police responsible for the success of the ACLO action plans

*Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs*

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
1.	The ACLO does not retain a clear understanding of their responsibilities to both key groups of stakeholders – Victoria Police and the local Aboriginal community.	ACLO perceived as biased by either/both stakeholder groups.	H	L	M	ACLO position description describes ACLO role accurately. ACLO provided sufficient frequent genuinely helpful support by ACLO Support e.g. development of templates that they can customise locally.	L	ACLO Support	Monthly
2.	Victoria Police and local Aboriginal community appraisal of existing assets and priority issues are not aligned.	Lack of alignment needs to be resolved prior to an action plan being able to be prepared that meets both stakeholder groups' needs. ACLOs initial scope of work is broader than available resources. Stakeholder management is tricky, because key stakeholders' interests are not aligned.	H	L	M	Initial ACLO training includes training in facilitation skills. Professional independent facilitators are available to assist ACLOs to resolve “show stoppers”.	L	ACLO	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
3.	Victoria Police do not demonstrate an understanding of the their shared responsibility for the success of the ACLO role	ACLO does not deliver expected outcomes and therefore does not meet Victoria police and/or local Aboriginal community expectations. ACLO is alienated from fellow members of Victoria Police ACLO becomes disheartened and disinterested and potentially leaves.	H	H	H	<p>“ACLO Introduction” presented by local DI or their delegate includes a description of</p> <ul style="list-style-type: none"> <li>– the ACLO role</li> <li>– local Victoria Police member responsibilities for ACLO success</li> <li>– how community building initiatives like the ACLOs being dependent on shared responsibilities.</li> <li>– Local historical context of the ACLO project compared to past indigenous oriented projects.</li> </ul> <p>Local District Inspector and direct reports to reinforce the ongoing role of Victoria Police members through both their actions and words.</p>	M	<p><i>Initially</i> ACLO Support</p> <p><i>Ongoing</i> Local DI</p>	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
4.	Members of the local Aboriginal community do not demonstrate an understanding of their shared responsibility for the success of the ACLO role	ACLO does not deliver expected outcomes and therefore does not meet Victoria police and/or local Aboriginal community expectations. ACLO does not develop “connectedness” with local Aboriginal community ACLO becomes disheartened and disinterested and potentially leaves.	H	M	H	<p>“ACLO Introduction” presented by local DI or their delegate includes a description of</p> <ul style="list-style-type: none"> <li>– the ACLO role</li> <li>– local Victoria Police member responsibilities for ACLO success</li> <li>– how community building initiatives like the ACLOs being dependent on shared responsibilities.</li> <li>– Local historical context of the ACLO project compared to past indigenous oriented projects.</li> </ul> <p>Local elders/role models to reinforce the ongoing role of the local Aboriginal community through both their actions and words.</p>	M	<p><i>Initially</i> ACLO Support</p> <p><i>Ongoing</i> Local elders and leaders</p>	Monthly
5.	ACLO is unable to voluntarily identify a Victoria Police mentor	ACLO’s learning limited to what is formally provided/available. ACLO reliant on their own, PALO's and ACLO direct manager’s resources.	H	M	H	ACLO has sufficient opportunities for formal and informal interaction with a variety of local Victoria Police members.	M	ACLO	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

Risk No.	Risk Description	Risk Effect	Severity H/M/L	Probability H/M/L	Risk H/M/L	Contingency/Mitigation	Residual Risk H/M/L	Risk Owner	Review Frequency
6.	PALO does not have a positive established relationship with the local Aboriginal community,	More time required for ACLO to develop relationships with members of the local Aboriginal community and Victoria Police.	H	M	H	ACLO role and shared local Victoria Police and Aboriginal community member responsibilities for ACLO success are clearly presented to both stakeholder groups when the ACLO is assigned.	M	ACLO	Monthly
7.	The PALO training program does not overlap with the ACLO training program.	Missed opportunities for PALO and ACLO to work as a team with common expectations and skills.	M	L	M	ACLO Support reviews PALO training program and recommends additions/changes to align with newer ACLO training program.	L	ACLO Support	Monthly
8.	Local Victoria Police members do not understand and accept that “mistakes” and/or setbacks are an expected part of the process of community building.	ACLO is judged unnecessarily harshly. ACLO feels alienated from Victoria Police members ACLO motivated to hide mistakes/setbacks. ACLO becomes risk averse and reluctant to plan and implement change. ACLO becomes disheartened and disinterested and potentially leaves.	H	M	H	<p>“ACLO Introduction” includes</p> <ul style="list-style-type: none"> <li>– the ACLO role being innovative</li> <li>– the ACLO role being somewhat dependent on Lessons Learned from success and “failure”</li> <li>– “Mistakes”/setbacks as a legitimate and somewhat expected part of community building.</li> <li>– shared local Victoria Police and Aboriginal community member responsibilities for ACLO success</li> </ul> <p>Local District Inspector and direct reports to reinforce the ongoing role of Victoria Police members through both their actions and words.</p>	M	Initially ACLO Support  Ongoing Local DI	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
9.	The local Aboriginal community does not understand and accept that “mistakes” and/or setbacks are an expected part of the process of community building.	ACLO is judged unnecessarily harshly. ACLO feels alienated from individuals and/or groups within the local Aboriginal community. ACLO motivated to hide mistakes/setbacks. ACLO becomes risk averse and reluctant to plan and implement change. ACLO becomes disheartened and disinterested and potentially leaves.	H	M	H	<p>“ACLO Introduction” includes</p> <ul style="list-style-type: none"> <li>– the ACLO role being innovative in Victoria</li> <li>– the ACLO role being somewhat dependent on Lessons Learned from success and “failure”</li> <li>– “Mistakes”/setbacks as a legitimate and somewhat expected part of community building.</li> <li>– shared local Victoria Police and Aboriginal community member responsibilities for ACLO success</li> </ul>	M	<p><i>Initially</i> ACLO Support</p> <p><i>Ongoing</i> Local elders and leaders</p>	Monthly
10.	Local Victoria Police and/or members of the local Aboriginal community do not understand and accept that conflict is an expected part of the process of community building and can lead to positive outcomes.	ACLO/PALO/Victoria Police/ members the local Aboriginal community become seriously disheartened/cynical of the ACLOs attempts and reluctant to participate.	H	H	H	<p>Culturally aware conflict resolution included in initial ACLO training (and as a refresher for PALOs)</p> <p>ACLO Support documents standard conflict resolution process for local Victoria Police and Aboriginal community members to customise during an initial joint asset/issues review session.</p>	M	<p><i>Initially</i> ACLO Support</p> <p><i>Ongoing</i> ACLO</p>	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
11.	ACLO action plans based on inaccurate resource estimates.	ACLO action plans are not implemented in expected timeframes. ACLO/PALO/Victoria Police/ members the local Aboriginal community become seriously disheartened/cynical of the ACLOs attempts and reluctant to participate.	H	M	H	ACLO training includes preparation of action plans in response to case studies. ACLO Support skilled and available to review ACLO action plans to confirm resource estimates are accurate.	M	<i>Initially</i> ACLO Support ACLO Training  <i>Ongoing</i> ACLO	Monthly
12.	The ACLO does not have access to sufficient personal, Victoria Police and partnership resources to address defined local Aboriginal community expectations.	ACLO Action plan/s need to be re-prioritised and rescope according to available resources. Additional time and effort needs to be spent justifying request/s for additional resources.	H	H	H	ACLO Training includes case studies that require ACLOs to draft action plans and estimate required resources e.g time, people, budget. Victoria Police resource managers participate in initial joint asset/issues review sessions to provide “on the spot” and realistic advice about Victoria Police resources available to support implementation of ACLO action plans.	M	<i>Initially</i> ACLO Training  <i>Ongoing</i> Local DI	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
13.	<p>Victoria Police does not have sufficient resources to</p> <ul style="list-style-type: none"> <li>– change their operating model/services to meet the needs of local Aboriginal communities.</li> <li>– address a potential increased demand for their services from the local Aboriginal community.</li> </ul>	<p>ACLO Action plan/s need to be re-prioritised and rescope according to available resources.</p> <p>Additional time and effort needs to be spent justifying request/s for additional resources.</p> <p>ACLO/PALO/Victoria Police/ members the local Aboriginal community become seriously disheartened/cynical of the ACLOs attempts and reluctant to participate.</p>	M	H	H	<p>ACLO Training includes review of process to request operational changes and/or additional resources and also sample successful requests.</p> <p>Victoria Police resource managers participate in initial joint asset/issues review sessions to provide “on the spot” and realistic advice about Victoria Police resources available to support implementation of ACLO action plans.</p>	M	<p><i>Initially</i> ACLO Training</p> <p><i>Ongoing</i> Local DI</p>	Monthly
14.	<p>The local Aboriginal community does not demonstrate understanding and acceptance that trust and understanding between Victoria Police and community will take time to develop and that the ACLO cannot change/improve things “overnight”.</p>	<p>ACLO is judged unnecessarily harshly.</p> <p>Local Victoria Police members judged unnecessarily harshly.</p> <p>ACLO feels alienated from individuals and/or groups within the local Aboriginal community.</p> <p>ACLO motivated to “take short cuts”</p> <p>ACLO becomes risk averse and reluctant to plan and implement change.</p> <p>ACLO becomes disheartened and disinterested and potentially leaves.</p>	H	L	M	<p>Initial joint asset/issues review sessions address the time required to achieve desired outcomes and agree mutually agreeable assessment milestones and criteria.</p> <p>Elders and leaders of the local Aboriginal community reinforce the ongoing role of the local Aboriginal community through both their actions and words.</p>	L	<p><i>Initially</i> ACLO Training</p> <p><i>Ongoing</i> Local elders and leaders</p>	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
15.	The local Aboriginal community does not have sufficient resources to assist the ACLO to generate the expected outcomes of their role.	ACLO Action plan/s need to be re-prioritised and rescoped according to available resources.	H	L	M	Initial joint asset/issues review sessions confirm that requirements for resources from the local Aboriginal community can be met. If not, then this has to be identified as an issue for later resolution, or if it is a "showstopper", then a resolution plan needs to be drafted during the session. Elders and leaders of the local Aboriginal community reinforce the ongoing role of the local Aboriginal community through both their actions and words.	L	<i>Initially</i> ACLO Training  <i>Ongoing</i> Local elders and leaders	Monthly
16.	Local Victoria Police do not demonstrate understanding and acceptance that trust and understanding between Victoria Police and community will take time to develop and that the ACLO cannot change/improve things "overnight".	ACLO is judged unnecessarily harshly. Members of local Aboriginal community judged unnecessarily harshly. ACLO feels alienated from fellow Victoria Police members ACLO motivated to "take short cuts" ACLO becomes risk averse and reluctant to plan and implement change. ACLO becomes disheartened and disinterested and potentially leaves.	H	H	H	Initial joint asset/issues review sessions address the time required to achieve desired outcomes and agree mutually agreeable assessment milestones and criteria. Local District Inspector and direct reports to reinforce the ongoing role of Victoria Police members through both their actions and words.	M	<i>Initially</i> ACLO Training  <i>Ongoing</i> Local DI	Monthly

*Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs*

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
17.	The local Aboriginal community does not demonstrate an understanding that the ACLO is not the sole Aboriginal representative responsible for the success of the ACLO action plans.	<p>ACLO lacks credibility to gain assistance from members of the local Aboriginal community.</p> <p>Victoria Police members reluctant to work with ACLO on actions that lack support from the local Aboriginal community.</p> <p>ACLO action plans cannot be drafted and/or implemented</p> <p>ACLO is judged unnecessarily harshly.</p> <p>ACLO feels alienated from the local Aboriginal community</p> <p>ACLO becomes disheartened and disinterested and potentially leaves.</p>	M	M	M	<p>“ACLO Introduction” includes a description of</p> <ul style="list-style-type: none"> <li>– the ACLO role</li> <li>– local Aboriginal Community member responsibilities for ACLO success</li> <li>– how community building initiatives like the ACLOs are dependent on shared responsibilities.</li> </ul> <p>Local Aboriginal community elders/role models reinforce the ongoing support role of Aboriginal community members through both their actions and words.</p>	L	Local; elders and leaders	Monthly

Development of a Method to Improve the Definition and Alignment of Intangible Project Outcomes with Tangible Project Outputs

<b>Risk No.</b>	<b>Risk Description</b>	<b>Risk Effect</b>	<b>Severity H/M/L</b>	<b>Probability H/M/L</b>	<b>Risk H/M/L</b>	<b>Contingency/Mitigation</b>	<b>Residual Risk H/M/L</b>	<b>Risk Owner</b>	<b>Review Frequency</b>
18.	The local District-Inspector and their direct reports do not demonstrate an understanding that the ACLO is not the sole Victoria Police responsible for the success of the ACLO action plans	As a Victoria Police representative, the ACLO lacks credibility to gain assistance from members of the local Aboriginal community. Victoria Police members reluctant to work with ACLO on actions that lack support from their managers. ACLO action plans cannot be drafted and/or implemented ACLO is judged unnecessarily harshly. ACLO feels alienated from fellow Victoria Police members ACLO becomes disheartened and disinterested and potentially leaves.	M	H	H	<p>“ACLO Introduction” includes a description of</p> <ul style="list-style-type: none"> <li>– the ACLO role</li> <li>– local Victoria Police responsibilities for ACLO success</li> <li>– how community building initiatives like the ACLOs are dependent on shared responsibilities.</li> </ul> <p>Local District-Inspector and their direct reports reinforce the ongoing support role of Victoria Police members through both their actions and words.</p>	M	Local DI	Monthly
19.	Participation by Victoria Police and/or local Aboriginal communities in past community initiatives has made them cynical about the ACLO project.	ACLO has to deal with local historical context.	M	L	M	<p>DI or their delegate and elders/leaders of the local Aboriginal community to jointly attend “ACLO Introduction/s” in person to place ACLO project in local context, including local historical context.</p> <p>Joint asset/issue review session needs to address historical context of local ACLO role.</p>	L	Local DI and direct reports  Elders and leaders	Monthly

**8.29 Appendix 29 – Action Research Cycle 5 - ACLOs Feasibility Study – Cross Reference mapping intangible project outcomes to tangible project outputs**

No.	Output	Mutual understanding and trust between the local Aboriginal community and Victoria Police members.	Role models for local Aboriginal children and youth	Assist members of the local Aboriginal community to solve societal problems.	Relationships with local existing Indigenous agency and committee representatives
	<b>ACLO HR Management</b>				
1.	ACLO Position Description	X	X	X	X
2.	Standard ACLO Job Vacancy Advertisement	X	X	X	X
3.	ACLO Interview Procedure	X			
4.	ACLO Interview Questions	X	X	X	X
5.	List of prospective Aboriginal Interview panel members per ACLO region	X			
6.	List of confirmed Aboriginal Interview panel members per ACLO region	X			
7.	ACLO Interview Results	X			
8.	Standard ACLO "successful appointment" letters	X			
9.	Standard ACLO "unsuccessful appointment" letters	X			
10.	Standard ACLO Performance Review Form (aligned to expected tangible and intangible outcomes)	X			
11.	Standard ACLO Performance Review Results	X			
	<b>ACLO Support</b>				
12.	Standard ACLO Introduction presentation	X			X
13.	Standard ACLO Introduction letter ( to be sent to agency providers etc)	X		X	X
14.	Standard Action Plan template	X			
15.	Standard Action Plan tip-sheets e.g. resource estimation	X			
16.	Standard Action Plan progress reports (including space for recent Lessons Learned)	X			
17.	Standard Conflict Resolution process	X			
18.	Standard change request process and templates	X			X
19.	ACLO Community of Practice (CoP) requirements	X			
20.	ACLO CoP proposal	X			

No.	Output	Mutual understanding and trust between the local Aboriginal community and Victoria Police members.	Role models for local Aboriginal children and youth	Assist members of the local Aboriginal community to solve societal problems.	Relationships with local existing Indigenous agency and committee representatives
21.	ACLO CoP proposal approval	X			
22.	ACLO CoP Project Plan	X			
23.	ACLO CoP Project Status Reports	X			
24.	ACLO CoP Outputs	X			
25.	List of ACLOs and their Victoria Police coaches	X			
26.	List of Victoria Police service provider partners, including local reps in ACLOs regions			X	X
27.	File per service provider partner (with a copy provided to each ACLO)			X	X
28.	Standard agency referral process	X		X	X
29.	Standard agency referral assessment criteria	X		X	X
30.	Standard agency referral form	X		X	X
31.	List of facilitators who can support ACLOs	X		X	
32.	Periodic ACLO feedback	X			
33.	Periodic PALO feedback	X			
34.	PALO training review outcomes and recommendations	X			
35.	Approval of PALO training review recommendations	X			
36.	Project plan to implement PALO training review recommendations	X			
37.	Status reports for project to implement PALO training review recommendations	X			
38.	PALO training review project outputs	X			
39.	Standard letter requesting a person to be a role model		X	X	
40.	Standard letter thanking role model for meeting local children and youth		X	X	
41.	Standard role model support materials		X	X	
42.	Summarised Victoria Police EOS results that relate to ACLOs	X			

No.	Output	Mutual understanding and trust between the local Aboriginal community and Victoria Police members.	Role models for local Aboriginal children and youth	Assist members of the local Aboriginal community to solve societal problems.	Relationships with local existing Indigenous agency and committee representatives
43.	Summarised Customer Satisfaction Survey results per ACLO region	X			
44.	Draft media releases	X	X		X
	<b>ACLOs</b>				
45.	Locally customised ACLO Introduction presentation	X		X	X
46.	Locally customised ACLO Introduction letter ( to be sent to agency providers etc)			X	X
47.	Local Action Plan/s	X	X	X	X
48.	Local Action Plan progress reports (including space for recent Lessons Learned)	X	X	X	X
49.	Locally customised Conflict Resolution process	X		X	
50.	Locally customised change request process and templates	X		X	X
51.	Local ACLO Community of Practice (CoP) requirements	X			
52.	Locally customised file per service provider partner (with a copy provided to			X	X
53.	Locally customised agency referral process			X	X
54.	Locally customised agency referral assessment criteria			X	X
55.	Locally customised agency referral form			X	X
56.	Calendar of ACLO meetings with local service providers			X	X
57.	Calendar of service provider meetings with local Aboriginal community			X	X
58.	List of potential local, regional and state/national role models		X	X	
59.	Local calendar of role model visits/meetings		X	X	
60.	Locally customised letter/s requesting a person to be a role model		X	X	
61.	Locally customised letter/s thanking role model for meeting local children and youth		X	X	
62.	Locally customised role model support materials		X	X	

<b>No.</b>	<b>Output</b>	<b>Mutual understanding and trust between the local Aboriginal community and Victoria Police members.</b>	<b>Role models for local Aboriginal children and youth</b>	<b>Assist members of the local Aboriginal community to solve societal problems.</b>	<b>Relationships with local existing Indigenous agency and committee representatives</b>
63.	Local stories/anecdotes/case studies	X	X	X	X
64.	Draft media releases	X	X	X	X
	<b>ACLO Training</b>				
65.	Case studies for developing sample action plans	X	X	X	X
66.	Sample successful request for Victoria Police operational changes/additional resources	X			X

### 8.30 Appendix 30 –Author’s Research Related Awards, Presentations and Journal Papers

The following tables list awards, journal articles and conference papers based on the author’s research that have been accepted for publication and presentation.

#### Awards

Year	Award Granting Body	Award Title	Award Description
2003	RMIT University, Australia	PMI Melbourne Chapter Student Award for Project Management	Awarded to a student studying the Doctor of Project Management who has demonstrated advancing the Project Management profession through the dissemination of conference papers and journal articles
2002	RMIT University, Australia	PMI Melbourne Chapter Student Award for Project Management	Awarded to a student studying the Doctor of Project Management who has demonstrated advancing the Project Management profession through the dissemination of conference papers and journal articles

#### Journal Papers

Month/Year	Journal Title	Title of Author’s Paper	Journal Publisher	Peer-Reviewed
2006	The Journal of Workplace Learning	Using Knowledge Management to Revise Software Testing Processes (co-authored with supervisor Derek H.T. Walker)	Emerald	Yes
2005	Measuring Business Excellence	Project Outcomes And Outputs: Making The Intangible Tangible (co-authored with supervisor Derek H.T. Walker)	Emerald Group Publishing Limited	Yes
2004	International Journal of Knowledge, Culture and Change Management, Volume 4	Increase The Likelihood Of Project Success By Using A Proven Method to Identify and Define Intangible Project Outcomes.	Common Ground Publishing	Yes

#### Conference Papers

Month/Year	Conference Title	Title of Author’s Presentation	Conference Location	Peer-Reviewed
July 2005	The Ninth Pacific-Asia Conference on Information Systems (PACIS 2005)	Defining Intangible IS Project Products Using PRINCE2 Product Descriptions	Bangkok, Thailand	Yes
November 2004	National Australia Bank (NAB) – Project Management Forum	Using Outcome Profiles to Increase the Likelihood of Project Success	Melbourne, Australia	No
September 2004	5th European Conference on Knowledge Management (ECKM)	Aligning KM Strategy, Project KM Objectives, Outcomes and Deliverables.	Paris, France	Yes

**Conference Papers continued**

<b>Month/Year</b>	<b>Conference Title</b>	<b>Title of Author's Presentation</b>	<b>Conference Location</b>	<b>Peer-Reviewed</b>
August 2004 -	4 <sup>th</sup> International Conference on Knowledge, Culture and Change in Organisations	Increase The Likelihood Of Project Success By Using A Proven Method to Identify and Define Intangible Project Outcomes.	Greenwich, United Kingdom	Yes
June 2004	2nd ANZAM Operations Management Symposium	A Framework For Managing Intangible Project Outcomes—Reflections on Recent Project Management Research (jointly authored with academic supervisor Professor Derek Walker)	Melbourne, Australia	Yes
May 2004	Australasian Evaluation Society (AES) – Victoria Branch	Defining And Aligning Project Outcomes And Outputs.	Melbourne, Australia	No
May 2004	Australian Institute of Project Management (AIPM) – Victoria	Defining And Aligning Project Outcomes And Outputs	Melbourne, Australia	No
April 2004	18 <sup>th</sup> World Conference on Health Promotion and Health Education - Health 2004	Identifying and Defining Intangible Health Promotion Outcomes - An Australian Youth Friendly Health Services project case study (poster)	Melbourne, Australia	No
March 2004	Knowledge Management Challenge 2004 (Standards Australia)	Driving Project Performance with a Collaborative Definition of Knowledge Management.	Sydney, Australia	Yes
March 2004	Project Management Institute (PMI) – Honolulu Chapter	Increase the Likelihood of Project Success by Collaboratively Defining Intangible Project Outcomes.	Honolulu, Hawaii, USA	No

**Conference Papers continued**

<b>Month/Year</b>	<b>Conference Title</b>	<b>Title of Author's Presentation</b>	<b>Conference Location</b>	<b>Peer-Reviewed</b>
March 2004	41 <sup>st</sup> Meeting of the Academy of Criminal Justice Sciences (ACJS)	Both a presentation and workshop. Presentation was titled - Raising The Profile Of Qualitative Outcomes Up From Downunder, An Australian Case Study Illustrates How To Improve The Delivery Of Qualitative Crime Prevention Outcomes. Workshop was titled - Improved Definition of Qualitative Crime Prevention Outcomes.	Las Vegas, Nevada, USA	No
November 2003	Victoria Police Senior Management Conference	Both a presentation and supervision of a number of concurrent workshops. The presentation was titled - Using Tangible Outputs to Deliver Intangible Outcomes. The workshops applied the method for aligning project outcomes and outputs to a Liquor Licensing Accord case study (Refer to Appendix 20 - Victoria Police Senior Management Conference Survey Results).	Melbourne, Australia	Yes
October 2003	Australian Institute of Project Management (AIPM) Conference 2003	Getting a Grip on Intangibles : A Method for Integrating Intangible Outcomes into Tangible Outputs.	Alice Springs, Northern Territory, Australia	Yes
October 2002	PMI Project Management Conference and Seminars World 2002	Maximising Project Value through the Better Definition of Project Intangibles.	Melbourne, Australia	No