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# **Analysis of the relationship between implementers participation in strategy formulation and resistance in strategy implementation**

Doctoral Dissertation.

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# **Analysis of the relationship between implementers participation in strategy formulation and resistance in strategy implementation**

## **Abstract**

Practitioners participation in strategy formulation has a significant influence in strategy implementation. Formulation and implementation are interdependent processes. Although historically formulation has received more attention, any devised strategy without execution is useless. Execution also means adaptation to the reality of business and frequently it creates new strategy, more feasible and realistic.

The whole process from formulation to results, from vision to change effectiveness, pass by execution, a difficult part of the process that includes change, adaptation, challenge...resistance. Resistance -implementation barriers- may be envisaged, forecasted in some extent.

This work intends to add to the existing knowledge some insight about a mechanism to facilitate implementation, a mechanism within the reach of any company: managers *participation* in formulation, but not any managers, those that have to execute the strategy or be in charge of strategy execution.

Participation is not always something optional, sometimes there is not room for implementers involvement in formulation; it depends on the project and each company particular situation. That is not the field of this research, only focused in the linkage between participation and resistance. Once said that, this research reveals that limited participation is better than wide range, unrestricted participation. A limited participation with boundaries, clear agenda and goals reduces managers –subjective- perception of uncertainty about the project.

On the other hand, when participation is not possible the top management must be aware of (and forecast and quantify as much as possible) the risk of certain resistance that may produce delay, extra cost, difficulties in the process.

As a practical implication, this research may become also a helpful tool for executives and companies on implementation risk forecast.

Over the research process, based in the relationship of the aforementioned variables, participation and resistance, a set of influencing variables appeared. All these variables have influence upon managers behaviour in the strategy implementation, but in different extent.

Motivation –*incentive*- is key and it is related with managers feeling of ownership about the strategy to be implemented. Amongst the rest of important variables that may affect the implementation process there is one that has shown significant importance: the *hierarchical influence*. This variable can have neutral, negative or positive effect and it is linked with *communication* and *organizational alignment* as well as with the *importance of the project* transmitted to and perceived by the implementers. *Communication* emerged as an aspect of a paramount importance and significant influence in formulation and execution.

Another important variable is the effect of linking the strategy implementation success to the Managers' (implementers') bonus: *reward*. By so doing the manager is strongly committed with the success of the project...not necessarily with neither the strategy nor the goals or means, but committed with the consecution of the established goals.

From this research a clear and evident relation cause-effect between participation in Strategy Formulation and implementation barriers emerges. Knowing that some level of participation offered to the implementers reduces the risk of implementation barriers, it is clear that participation is something to be considered, seriously taken into account, before starting strategy formulation.

## **Key Words**

*Strategy planning, strategy formulation, strategy implementation, participation, involvement, incentive, resistance, implementation barriers, communication, hierarchical dependence, reward, organizational alignment, project relevance.*

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## **Chapter 1. Introduction**

### **1.1. Introduction**

This research intends to contribute to knowledge covering the extant scientific gap about the linkage between practitioners implication in Strategy Formulation actions and theirs at the later Strategy Implementation process. Particularly I analyze the resistance in executing the devised strategy and how it can be diminished by means of implementers involvement in formulation.

Following the Strategy as Practice theoretical approach, this qualitative study based on exploratory case study research (Yin R.K., 1994) analyzes three real strategic projects from a well-known multinational company. Each project constitutes a case, all three different in terms of level of participation offered in strategy formulation to the managers in charge of strategy execution.

All the data collected through standard means in qualitative research – interviews, questionnaires, documents and observation- were analyzed with the help of qualitative analysis software, Atlas Ti. Sources of data triangulation applied in order to increase robustness and a complementary quantitative chapter included trying to objectivise the collected opinions.

The aim of this study is to add some insight in a field that traditionally has received less attention, the execution of the devised strategy, and how it is influenced by involving implementers in formulation.

As a practical consequence, this study intends to help business managers to deal with difficulties that usually appear at the implementation phase -responsible of project delay, extra cost, and a long etcetera of unexpected problems- providing them with some orientation about how can it be reduced managing participation at the formulation phase.

I chose the Strategy as Practice approach because it perfectly fits the perspective of my study, an eminent practicality in strategy knowledge application to the field. Strategy is not something that companies own but something that people do...in this idea remains the key of the study, into the micro-social level, linking managers involvement with execution results, trying to enlighten the field identifying the leavers for implementation success...part of them, at least.

The accessibility to the main practitioners in strategy planning, top and middle management from a well-known multinational company was determinant to choose the research setting. Each minute of their time is significantly important for the company and a very scarce resource indeed. Therefore, a thoroughly designed process from the selection of the key managers accordingly to the aim of the research, to the data collection procedure execution at the company headquarters was key for the success of the project. Over the past four years different sets of interviews, questionnaires, meetings and field observation was carefully carried out in order to get as much insight as possible into the research core objective without interfering in the management extremely complicated day to day.

The decision about the research line was made taking into account the existing gap in the literature about this specific issue but also by realizing the need of a better performance in strategy implementation as a consequence of more than 20 years experience as executive in several companies and different sectors. The common pattern of all of the businesses in which I have been executing strategy plans, strategizing, is people. By people I mean human relations, motivation, team, knowledge, leadership, communication, engagement ...management is a social activity, indeed, something that sometimes we tend to forget, especially when we have to devise a new strategy as it was something that company owns, not something that people has to, necessarily, do.

In addition I must say that from my years of experience as a lecturer, the most rewarding asset received was the appreciation from my students of the practical approach to strategy as something useful to be applied, to be executed and how to successfully do it. Again I wish to remark the practical consequence of this study for business managers as micro-social activity protagonists and company's success drivers.

## **1.2. Outline of the Dissertation**

This dissertation is divided in eight chapters.

After introductory chapter ,three chapters review literature in an eclectic approach to the fundamental research aspects of this research: Strategy as Practice approach, Strategy Implementation and Participation.

On SasP chapter the idea of strategizing as the nexus of practice, praxis, practitioners is presented after an introductory part and followed by future research directions.

A review of some key concepts and contributions in relation with the research is done in order to facilitate understanding of strategy as something that is adapted, recreated, modified, over the implementation process and something that people do, particularly managers.

Implementation chapter reviews this field as a part of the strategic planning and introducing argued aspects like strategy execution failure rate.

Participation is also approached in the fourth chapter through literature review and introduced as a lever to influence resistance in implementation.

Chapter five explains the research design of this qualitative, inductive, exploratory study based on case Study.

Results are presented on chapter six and discussed on chapter seven. Discussion compares the main findings with previous research.

Finally, conclusion chapter presents a research overview, contribution of the thesis to knowledge, research limitations, and future research venues.

A summary of this dissertation outline is presented in the following figure:

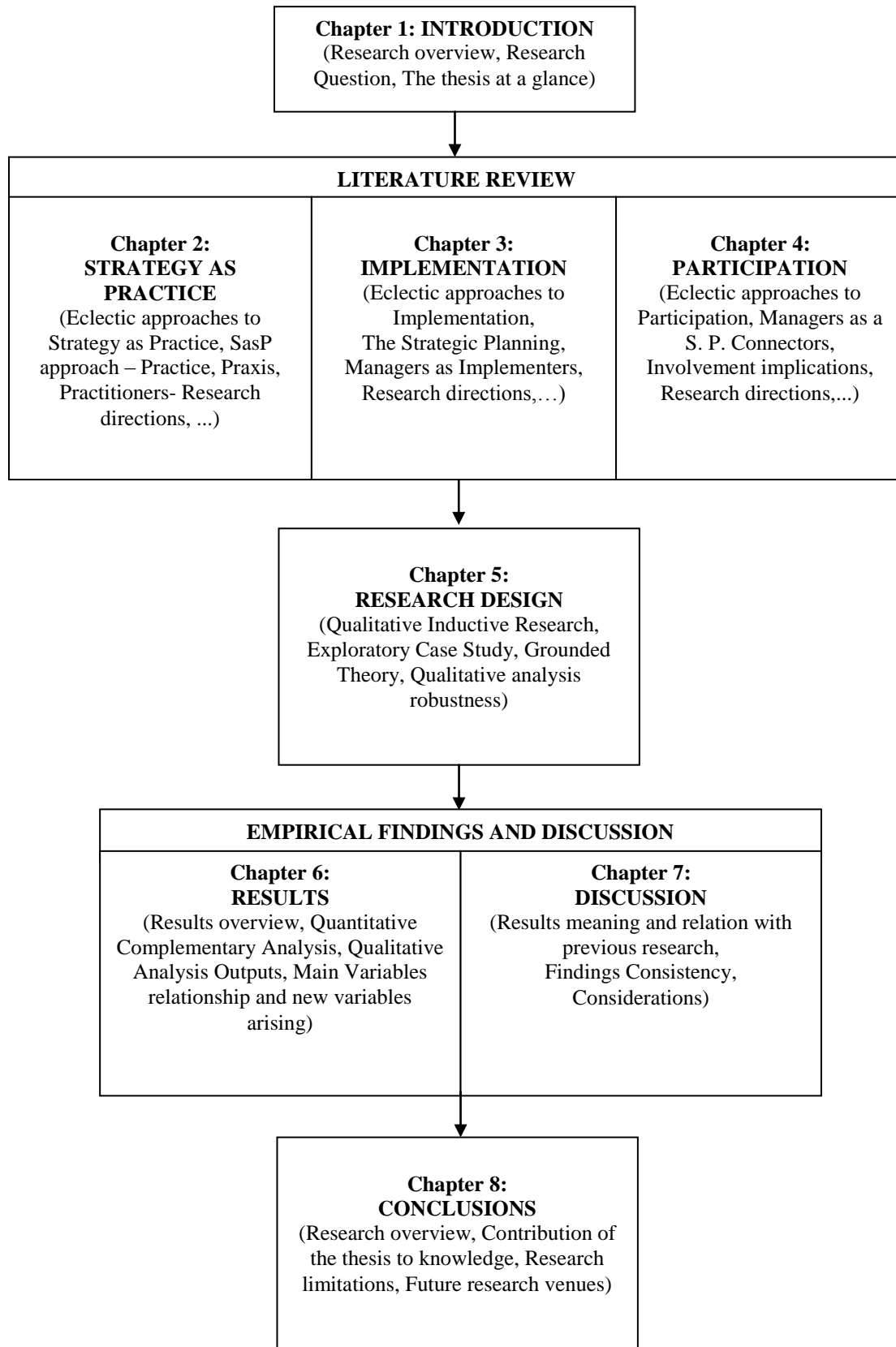


Fig 1 Dissertation Outline

## Literature Review

Over the next chapters -2,3 and 4- literature review about the theoretical frame Strategy as Practice, and the two main theoretical issues of this research, participation and implementation, is carried out.

The literature revision was done to find out existing gaps in the science about the specific relation between participation in strategy formulation and strategy execution, particularly resistance at this later stage of strategic planning.

In these chapters, therefore, is described the summary overview of literature review conducted on strategizing process associated with strategy implementation and practitioners involvement in the strategy formulation process

## **Chapter 2. The theoretical frame: Strategy as Practice Perspective**

### **2.1. Introduction**

Over the years the evolution of strategy studies drove the need of a more practice view on strategy. After decades the idea of strategy as something that company has, has been the research trend in strategic management. Strategy as Practice reverses this trend by putting the focus on a more micro level, on what people do in relation to strategy development in their organizations.

Strategy as practice (SAP) approach is an emerging and growing stream of research as in strategic management.

Different schools of thought have contributed to the understanding of the central role of practices in social activities. Philosophers (Whittgenstein 1951; Foucault 1977; Dreyfus 1991; Tuomewla 2005), sociologists (Giddens 1984; de Certeau 1984), anthropologists (Bourdieu 1990; Ortner 2006), discourse analysts (Fairclough 2003), and others. Their contribution may be summarized in three main ideas (Golsorkhi, Rouleau, Seidl, Vaara, 2010):

A focus on practice provides a way to examine the micro-level of social activity and its construction in a real social context or field.

The practice approach breaks with methodological individualism by emphasizing that activities needed to be understood as enabled or constrained by the prevailing practices in the field in question. A practice approach to strategy should examine how managers behaviours or actions are linked with prevailing practices.

And finally, the notion of practice allows us to deal with an important issue in social analysis: how social action is linked with structure and agency. It helps to understand how and why sometimes social action follows and reproduces routines, patterns, rules and norms and sometimes doesn't. (Golsorkhi, Rouleau, Seidl, Vaara 2010).

The SasP research agenda: Whittington (1996) was the first in positioning Strategy as Practice with reference to the policy, planning and process approaches as the major perspectives on strategy.

Some scholars analyzed the similarities and differences of SasP with the process approach (Johnson et al, 2007; Whittington 2007; Chia and MacKay 2007). And some works showed how SasP can be understood as a complementary approach to the resource-based view in general (Johnson et al 2003, 2007) and dynamic capabilities in particular.

Strategy as Practice research has included explicit publications that have developed the research agenda and offered specific frameworks. I want to point out the framework proposed by Whittington based on 'practitioners, praxis and practices', further developed later by Jarzabkowsky et al (2007), as the three columns of strategizing.

Later, Rasche and Chia (2009) propagates ethnographic approaches as most suitable for Strategy as Practice research.

The main stream of SasP research has focused on ways in which strategizing is conducted in specific organizational settings; processes, activities and practices in particular contexts.

Strategizing in different sectors and companies has been approached from SasP perspective (Jarzabkowsky 2003, 2004, 2005; Vaara et al 2004; Rouleau 2005, 2007; Paroutis and Pettigrew 2007; Von Arx 2008; and more) and also revealed general patterns of strategizing. In particular, the findings from Regnér (2003) study in this field are especially interesting to my study, since reveal significant differences in the way that people in the centre of a firm strategize compared with people in the periphery.

Researchers has been specially focused also on formal strategic practices.(Hendry and Seidl 2003; Hodgkinson et al 2006; Bourque and Johnson 2008; Whittington et al. 2006; Jarzabkowsky and Seidl 2008; Hoon 2007; Paroutis and Pettigrew 2007; and more).

Particularly special attention on strategic planning as a future venue has been pointed out from 2008 onwards. My research follows that recommended venue and within the strategic planning seeks to add some light to the field.

Another part of SasP research to date has been focused on sensemaking in strategizing (Balogun and Johnson 2004, 2005; Rouleau 2005; Kaplan 2008; and more).



Also several studies have focused their attention on the discursive aspects of strategy (Hendry 2000; Samra-Fredericks, 2003,2004,2005; Vaara et al.2004; Seidl 2008; Mantere and Vaara 2008; and more).

One important focus of interest in SasP is the usage of tools and techniques in strategizing (Jarzabkowsky and Wilson 2006; Molly and Whittington 2005,Spee and Jarzabkowsky 2009; and more).

Some future research venues are pointed out later, on this document.

## **2.2. Strategy as Practice approach**

As aforementioned, thus, SasP is an important and distinctive approach for studying strategic management. SasP is a stream of research, part of a broader practice turn in contemporary social theory and the management sciences over the past 20 years, concentrating on how people engage in strategic practices (Jarzabkowski & Spee, 2009; Paroutis, Heracleous & Angwin, 2013).

This study focuses on strategizing process with SasP as a lens to understand and interpret it.

The increasing importance of SasP:

- A permanent group at EGOS (European Group of Organizational Studies)
- A virtual community made up by more than 5000 members
- Official Website [www.strategy-as-practice.org](http://www.strategy-as-practice.org)
- Present at the main international conferences
- An important research activity and continuous interest and outcomes (papers, books, ...)

In recent years, strategy-as-practice has emerged as a distinctive approach for studying strategic management, organizational decision-making, and managerial work. (Whittington, 1996; Johnson, Melin and Whittington, 2003; Jarzabkowski, Balogun, and Seidl, 2007).

“Strategy is not something that firms have, but something that people do” (Johnson et al., 2003; Jarzabkowski et al., 2007). SasP approach emerges from a different trend from the established idea of strategy as a something that organization own.

Within the SasP approach, strategy is understood to be a complex set of strategic activities and practices: (Jarzabkowski & Spee, 2009).

SasP is focused on the micro-level social activities and practices that characterize organizational strategy and strategizing (Golsorkhi, Rouleau & Seidl, 2010).

From a SasP perspective, strategy can be defined “as a situated, socially accomplished activity, while strategizing comprises those actions, interactions and negotiations of multiple actors and the situated practices that they draw upon in accomplishing that activity” (Jarzabkowski et al., 2007, pp. 7–8).

SasP is currently established as a distinct subfield within strategy research (Jarzabkowski & Spee, 2009) thanks to this socially based view of strategy.

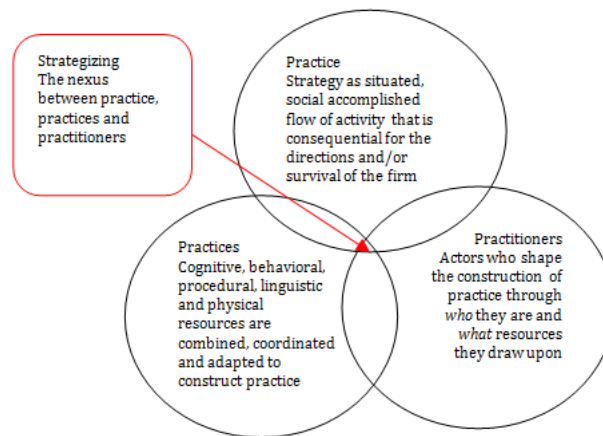
In addition to providing an organizational perspective on strategy, the SasP view offers a strategic angle for examining strategic activities and practices, and thereby serves as a useful research paradigm to complement contemporary strategic management research. (Salih&Doll, 2013)

Strategy research usually focuses on the effect of strategies on organizational performance. In contrast, the SasP perspective calls for an “in-depth analysis of what actually takes place in strategic planning, strategy implementation and other activities that deal with strategy” (Golsorkhi et al., 2010, p. 1). By drawing on theories and applying methods that are different from the common practices of strategy scholars, studies following the SasP approach can contribute to the development of strategic management as a discipline and a body of knowledge (Salih&Doll, 2013)

Praxis, practices and practitioners: These three main interrelated concepts made up the framework proposed by Whittington (2006): “practitioners (those people who do the work of strategy); practices (the social, symbolic and material tools through which strategy work is done); and praxis (the flow of activity in which strategy is accomplished)”.

Within those domains, SasP researchers have explored a wide range of strategic issues with a focus on micro-level strategic phenomena. Further, SasP scholars have developed an interest in

studying strategy practitioners and their activities, emotions, practices, and behaviours (Jarzabkowski & Spee, 2009).



**Fig 2. Strategizing. Practice, Practices and Practitioners.**  
**'Strategy and Practice Perspective'. J.Balogun, P.Jarzabkowski and D.Seidl**

After this reconceptualization provoking a fundamental ontological shift, strategy becomes something *alive*, something that can change, that can be modified in execution...more than something invariable or stable. In addition the idea of strategy as something that people do allows strategy to be seen as something present in any level of the organization, not only at the organizational level. As a social reality, strategy is devised first and later re-created in its adaptation process to the existing circumstances (market, customers, capabilities and limitations, resources...) appeared or found in implementation-

Although the three blocks, praxis, practices and practitioners are present in strategizing, one is clearly more interesting by nature: Practitioners.

Some research studies have focused on strategy practitioners and their perspectives on organizational issues (Bourque & Johnson, 2008; Hodgkinson & Clark, 2007; Mantere, 2008). Other studies have centred on aggregate practitioners, such as middle managers (Rouleau & Balogun, 2011; Teulier & Rouleau, 2013).

“Analysis of the specialist change management corpus revealed ...the impact of managers’ ideologies or ethics on change. Texts in the corpus were found to examine the way that middle managers can contribute to the change process, particularly focusing on their resistance to, or

participation in, the change process (Ole 2010; Teulier & Rouleau 2013)". (Julien Pollack, 2015) My research follows in some extent that path, focused in practitioners and particularly in managers as implementers.

The interest in studying strategy practitioners and their influence and environment (activities, emotions, practices, and behaviours) has been increasing over the last years (Jarzabkowski & Spee, 2009). In particular it is relevant the paper of middle managers as strategy practitioners from a strategy implementation point of view.

This increasing interest in middle managers participation in implementation justifies in part my research. Nevertheless middle managers are not the only practitioners involved in implementation. *Implementer* is a broader idea that includes middle management and top management, depending on the project. The importance here is to determine how both can interact in order to facilitate strategy execution in a successful way, reducing resistance, avoiding implementation barriers.

As it was pointed out in the *Cambridge Handbook of Strategy as Practice*, (Golsorkhi, Rouleau, Seidl, Vaara 2010). there is a rich research agenda in this field indicating some research avenues. Amongst the challenges for future research there was one especially interesting for me, according to my experience and knowledge: *Coping and resistance*.

I decided to follow this research avenue in order to clarify the relation between participation and resistance. Resistance belongs to the Praxis and, particularly, to the implementation process within the Strategic Planning.

Conventional research doesn't pay significant attention to resistance; it is often framed as an obstacle to be dealt with or even as illegitimate behaviour to be avoided... "If we want to better understand the social processes in strategizing, we need to take the issue of resistance seriously. Such analysis involves a re-conceptualization of the ways in which organizational actors interpret, make sense of, consume, or react to strategies that are imposed upon them." (*Cambridge Handbook of Strategy as Practice, 2010*)

Another motivation for this research is to create something applicable to the management arena, to the business administration field and particularly to management practices. Something that may be useful to companies in the manager's day to day. Focused in the figure of practitioners and their knowledge and also in the praxis they do, I intend to add some helpful

insight to the manager's profession, far to be seen as something only theoretical but eminently practical.

“Practice research should be accessible to practitioners. Increasingly sophisticated theoretical analysis runs the risk of becoming alienated from the problems and challenges of the practitioners. Researchers should be mindful of this and strive to better understand the world of the practitioners with new epistemological, theoretical and methodological perspectives, overcoming the prevailing view that holds that academic knowledge is superior to practical knowledge.” (Golsorkhi, Rouleau, Seidl, Vaara 2010)..

Getting the practitioners involved in a collaborative way is, probably, the best alternative to achieve that goal. Therefore, a research based on the analysis of situations with different level of involvement and participation makes sense in order to follow the research agenda and produce something not only theoretical but also practical, understandable and applicable from the first day by non academic people.

As aforementioned, not only middle managers are of paramount importance in strategy implementation but also top managers. Nevertheless is widely accepted the key figure of the middle manager in strategizing. The study *Making strategy work: The role of the middle manager* (Van Rensburg, Davis and Venter, 2014) provides an integrated account of the literature on the strategic roles of middle managers. This research contributes to our understanding of middle manager strategizing, as previous strategy-as-practice research has focused on conceptually identifying middle manager roles from the perspective of researchers rather than from the perspective of middle managers. My research aims to contribute in this area as well from a manager's point of view to the extant literature.

This study complements the SasP studies by focusing upon *implementers* (specifically top managers and middle managers, main practitioners in strategy execution.) motivation and the development of a sense of ownership about the strategy to be implemented. Furthermore, managers probably are the real nexus and cohesive element of the strategy planning. Neither the strategy itself nor the artifacts or any other part in the strategizing are more critical and important than implementers' strategizing when they are involved in the whole process, from formulation to execution.

## Chapter 3. Strategy Implementation

Strategy implementation is a process of a paramount importance since it transforms the existing reality into the devised reality. “Implementation is the process of causing the firm to behave in accordance with the purposes, guidelines and strategies.” (Ansoff & McDonnell, 1990)

A literature review of implementation from a *practice* point of view reveals a clear relationship between execution and participation. Taking into account that, as mentioned above, strategy is worthless without a successful implementation we start to envisage another important relationship, the feasible influence of participation in strategy formulation and, at the end in strategy success.

Strategic planning helps determine the direction and scope of an organization over the long term, matching its resources to its changing environment and, in particular, its markets, customers and clients, so as to meet stakeholder expectations. (Johnson and Scholes 1993)

According to Hopkins and Hopkins (1997), there is a general agreement among strategic planning researches such as Armstrong (1982) and theorists like Hax and Majluf (1991); Higgins and Vincze (1993); Pearce and Robinson (1994) that strategic planning process consists of three major components: formulation, implementation and finally the control.

This research focuses on the two main stages of Strategic Planning: Strategy Formulation and Strategy implementation, and tries to unveil a mechanism that may improve execution by giving participation in formulation.

Strategy formulation includes developing a mission, setting major objectives, assessing the external and internal environments, and evaluating and selecting strategy alternatives...

Johnson and Scholes, (2002) reinforces the need to regard strategy formulation as an interactive multidisciplinary process requiring creative thinking.

All those activities that formulation is composed by, can be done by the top management and communicated top-bottom or can be done in a collaborative way, offering participation to all the

management involved in implementation, in an interactive and multidisciplinary process summing up the knowledge and experience existing in the organization management.

Traditional Strategic management perspective considers strategy as a top-down process where formulation and implementation are separated processes. Formulation has been traditionally focused upon top managers (Karger & Malik, 1975; Hambrick & Mason, 1984; Van de Ven, 1992; Wiersema & Bantel, 1992; Papadakis, Lioukas, & Chambers, 1998; Carpenter, 2002; Hambrick, 2007; Lyles & Schwenk, 2007). Contemporary management perspectives hold that the middle manager's role has evolved to a more active participant in strategy formulation and that they have become facilitators of strategic conversations and information streams. (O'Shannassy, 2003).

I analyze three cases with different strategy levels. From corporate level to functional level passing by business level. At the corporate level the practitioners, usually top management, have an involvement different in intensity, time and impact from the involvement at the business level, more practical and closer to implementation and obviously far less in contact with the strategy adaptation to the field that appears at the functional level. One linkage between each level is communication but participation -which includes communication as an important issue – acts as a *drive chain* for the whole process being key not only in the strategy transmission between levels but also facilitating the implementation reducing the level of resistance that all organization offers to change.

Functional strategies are relatively short-term activities that each functional area within a company will carry out to implement the broader, longer-term corporate level and business level strategies. Each functional area has a number of strategy choices, which interact and must be consistent with the overall company strategies.

Three basic characteristics distinguish functional strategies from corporate level and business level strategies: shorter time horizon, greater specificity, and primary involvement of operating managers

Getting focused on implementation, the first obvious and important aspect but frequently ignored is the strategy uselessness when it is not executed or wrongly executed.

Failure to successfully implement strategies in organizations has long been recognized as widespread, commonplace, and costly. Though estimates of implementation failure rates vary, some studies point out that failure rates may be from 55% to 93%. There is no great consensus amongst the scientific community about that failure numbers. In the recent research *Strategy*

*implementation: What is the failure rate?* (Cândido, C.J.F. , Santos, S.P., 2015) an extensive review of the literature was presented, assessed, compared and discussed. The study concludes that “while it is widely acknowledged that the implementation of a new strategy can be a difficult task, the true rate of implementation failure remains to be determined.” (Cândido, C.J.F. , Santos, S.P., 2015)

Nevertheless, from my experience of more than twenty years executing strategies in different sectors I can say than the failure rate is high. “Neither advances in organizational measures, such as culture or alignment, nor attempts to enhance decision making, nor the addition of change management techniques have led to a dramatic reduction in implementation failure” (Decker, P., Durand, R., Mayfield, C.O., (...), Skinner, D., Perdue, G., 2012)

One key aspect that emerges from literature is leadership. “The biggest obstacle to strategy execution is poor leadership” (Čater, T.a, Pučko, D.b, 2010). Leadership is about communication, motivation, managerial behaviour that has an impact on other managers. Involvement as a part of leadership strategy facilitates implementation.

“Greater obstacles to strategy execution in the forms of inadequate leadership skills and employees' reluctance to share their knowledge have a negative influence on performance, while adapting the organizational structure to the selected strategy as an activity for strategy implementation has a positive influence on performance.” (Čater, T.a , Pučko, D.b ,2010).

Whenever strategy implementation initiatives culminate in failure, it is important to understand what the main causes for the failure were in order to identify if there are causes more important and frequent than others (Cândido, C.J.F. , Santos, S.P., 2015). This research tries to contribute to failure causes identification by establishing a theoretical relationship between resistance or even failure and participation.

Again, there is frequently mentioned on literature the positive effect of motivation and commitment on strategy execution success. “Without effective implementation, strategic planning is a futile exercise...., the most important, value-creating parts of strategy implementation rely on the discretionary activity of motivated, committed individuals”. Smith, B.D. (2010)

The regular strategy formulation, like recurrent strategic plans, is indeed influenced by the previous executed plan and its results. Implementers have thus the knowledge about the previous experiences from a practical point of view and can contribute in a significant way to



strategy formulation improvement. Yet another reason to consider the possibility to offer implementers' participation in formulation. "The significant impact than research from a middle management perspective has had on the field's understanding of how strategy forms in large organizations". (Bill Wooldridge, Torsten Schmid and Steven W. Floyd, 2008)

Managers (middle managers or even top managers), usually have their strategic role strongly associated with the traditional perspectives on the roles as implementers of strategies and communicators linking their subordinates and higher levels of management. (Mari Jansen Van Rensburg, Annemarie Davis and Peet Venter, 2014).

Strategizing is, from a Strategy as Practice point of view, an activity that includes a wide range of players. "Moving beyond the truncated views of strategy as deliberate, top-down processes, the practice turn in management led to strategy scholars acknowledging a much wider group of actors as strategists" (Jarzabkowski, Balogun, & Seidl, 2007) . Therefore involving all of them in the process is necessary; adequately, respecting the necessary boundaries of participation and obviously when it is possible. There is some consensus that strategising is being decentralised (Wooldridge, Schmid, & Floyd, 2008).

Considering strategy making not an organizational process but as a human activity middle managers are recognised as influential strategic actors (Currie & Procter, 2005; Mantere, 2008; Wooldridge, Schmid, & Floyd, 2008). By identifying middle managers as strategists, the strategy research agenda expands beyond top managers (Rouleau, 2005; Balogun, 2007).

Managers and particularly middle managers have a substantive influence on the strategy-making process, strategising activities and company performance (Floyd & Wooldridge, 2000, 2003; Huy, 2001, 2002; Balogun & Johnson, 2004; Carney, 2004, Ika`valko, 2005; Mantere, 2005, 2008; Costanzo & Tzoumpa, 2008; Nordqvist & Melin, 2008; Wooldridge, Schmid, & Floyd, 2008; Raes, Heijltjes, Glunk, & Roe, 2011; Rouleau & Balogun, 2011).

Middle managers as strategists may be able to connect divergent ideas generated from both, outside and within the organisation, to strategic issues (Floyd & Wooldridge, 2000). Middle managers mediate between different levels and units (Balogun & Johnson, 2004).

Literature not only recognises the important role of middle managers as implementers but also "acknowledges the value of middle managers as linking pins who have upward, downward and lateral influence" (Mari Jansen Van Rensburg, Annemarie Davis and Peet Venter , 2014).

Middle managers implement strategy by translating corporate strategy into action plans and individual objectives (Currie & Procter, 2005: 1325).

Middle managers are “central to effective strategy implementation” (Raes et al. (2011). Furthermore, depending on the company size and the project, top management as implementers are central as well, not only as strategy makers.

The level of resistance at the implementation stage and its causes constitute object of analysis in this research. A perfect, seamless strategy can fail if it is not rightly and properly implemented. The application to the field of the devised strategy is, therefore, absolutely of paramount importance. A huge investment in consultancy firms and company efforts and resources to get a brilliant strategy is worthless if this strategy is not implemented or implemented in a wrong way. As mentioned at the beginning of this chapter, implementation is the process of causing the firm to behave in accordance with the purposes, guidelines and strategies (Ansoff & McDonnell, 1990) and if that process fails as a change agent the strategy becomes something useless.

“Implementation is action. It is not planning to act; nor thinking about acting; nor clearing the organizational decks for action; nor persuading others to back your proposed plan; nor even just deciding what action should occur and how it should take place. It is the action itself...” (Eccles, 1993).

“Strategy implementation is concerned with the translation of strategy into organizational action through organizational structure and design, resource planning and the management of strategic change...” (Johnson & Scholes, 1999)

Papers like *A Middle Management Perspective on Strategy Implementation* (Salih & Doll, School of Management, Walden University, 2013) draw upon the idea of “middle managers as strategy practitioners who are key players in the strategy implementation process”. Following this idea and the aforementioned general idea of middle managers as a positive or negative contributors to the strategy implementation process, this paper goes beyond and, extending the concept to all the management, analyzes how could be forecasted, in some extent, the managers’ resistance or collaboration in implementing strategy.

As a complementary area there is a set of variables raised from the research that significantly affect into the process, into the relation between participation and resistance. Those variables have been incorporated to the study as well, being *communication*, *inventive*, *hierarchical dependence* and *project relevance* the most important.

## Chapter 4. Participation

After the practice turn from the Strategy as Practice approach and the revision of literature about the importance of implementation as a fundamental process to value the devised strategy, another idea emerges: the influence of participation into execution.

Previous researches point out participation as a positive driver for strategic planning success. Nevertheless other studies criticise the hypothetical negative effect that giving participation may provoke. Some recent research collecting previous studies concludes that participation has a positive effect upon the process. (Collier, Fishwick and Floyd, 2004)

Other ideas arise from literature review that will be important in underpinning my research.

Mantere and Vaara (2008) confirm the conclusion of Westley (1990) that the championing expectation is subject to inclusion: when top managers invite and expect middle managers to participate in planning, the middle managers gain more control over the future. (Van Rensburg, Davis and Venter 2014). “Organisations do not create, implement or renew strategies. People do”. (Mantere, 2008)

Participation is a key issue in strategy research and practice. (Saku Mantere, Eero Vaara, 2008) While there is no consensus in literature over the most appropriate degree to which organizational members should participate in strategy formulation, most scholars agree that a lack of participation easily leads to poorly developed strategies (Floyd and Wooldridge 2000), dissatisfaction among those who are excluded (Westley 1990), and consequent difficulties in implementation (Mintzberg 1994). A lack of inclusion has also been seen as a sign of organizational inequality (Knights and Morgan 1991), and thus a moral problem in its own right (Collins 1997).

The trouble is that these conceptions are spread beyond organizations by institutional actors such as strategy experts and consultants, business schools, and the business press (Whittington 2006)

The need for enhanced participation strategies, all management levels involvement and participation, is consistently found in empirical research on organizational change.

(Coch and French 1948; Eby, Adams, Russell, and Gaby 2000; Jones, Jimmieson, and Griffiths 2005; Edwards Collinson and Rees 1998 and more)

Managers and particularly middle managers hold unique positions within organizations providing them with the opportunity to influence an organization's strategic activities. (Salih&Doll, 2013). It is clear that managers play strategic roles within organizations, particularly important to strategy execution. "In order for middle managers to become proactively involved in strategies, it is essential for them to believe they are owners of the outcome of strategic initiatives" (Mair & Thurner, 2008). In some extent, to be owners of the outcome is related to be engaged with the strategy and, as this research unveils, it is of paramount importance to participate in an appropriate measure, in strategy formulation. The higher participation offered is not necessarily the best in terms of output (lower resistance), one of the findings of this research about involvement and resistance, participation and implementation barriers.

Managers are in a position to use different types of political powers in order to influence strategic sensemaking of others in their organizations. (Hope 2010) . By using this political power managers –particularly middle management positions- can influence meaning construction to promote or suppress the implementation of new strategies (Guth & MacMillan, 1986).

Middle managers that are in contact with market, with customers (external knowledge) and with internal structures, have the knowledge to assess the viability of proposed strategies (Hutzschenreuter & Kleindienst, 2006; Rouleau & Balogun, 2011), being therefore an important asset for the organization's strategic planning process.

Participation offered in strategy making is influential in execution. key organizational factors influencing strategy implementation are participative management style, strategic alignment, and internal communication. "Participative management style ... inspires employee engagement as one of the key factors influencing strategy implementation" (Salih & Doll, 2013)

The roles and influence of middle managers have been studied in strategy implementation (Balogun& Johnson, 2004, Guth& MacMillan, 1986; Huy, 2002) and strategy-making processes (Currie & Procter, 2005; Dutton & Ashford, 1993; Floyd & Lane, 2000; Pappas & Wooldridge, 2007; Wooldridge & Floyd, 1990). Their participation at both parts of planning fosters

successful results. “Middle managers are central to explaining key organizational outcomes.” (Salih& Doll, 2013)

The struggle to strategy implementation in any sector companies is widely accepted (Hrebiniak, 2006; Neilson, Martin, & Powers, 2008; Schaap, 2012). “A better understanding of the mechanisms of influence in strategy implementation could assist business leaders to overcome potential barriers to strategy implementation by embedding the analysis of possible problems during the strategy development and planning”. (Salih & Doll,2013).

Significant relationship has been found between participative leadership at supervisor level and employee commitment and trust (Miao, Newman, Schwarz, &Xu, 2013).

“Adopting a participative management style by engaging key employees in the early stages of strategy planning and development has important implications, which include (a) being closer to those who do the actual work of implementation, (b) inclusion of staff input, (c) obtaining multiple perspectives and being open to new ideas, and (d) reducing potential resistance” (Salih & Doll,2013).

When middle managers are included in formulating strategic initiatives, they feel they have contributed in the strategic efforts and develop a sense of ownership. It is argued that employee engagement encourages a sense of ownership of the strategy and further develops organizational capabilities (Shirey, 2011).

Engagement contributes with resistance reduction. The identification of a mechanism to enhance employee engagement remains a challenge (Truss et al., 2013).

In *Strategic Planning as a communicative process* Paul Spee commented “a strategic plan is not a static document promoting inflexibility as claimed by Mintzberg et al. (1998), but rather that it is dynamic and has organizing effects on workplace interactions. The strategic plan is thus an organizing device for embedding social order during strategic planning activities”. Embedding social order may be understood in the sense of giving participation, fostering involvement.

The participative style implies collaborative engagement. “A new role for managers is advocated to create conditions for genuine collaborative engagement ... as a facilitator of emancipatory dialogue, a discourse among parties that can lead to mutual learning, deep understanding and insight, and collaborative consciousness and action” (Raelin, JA, 2013)

Top management team behavioural integration is related positively to an organization's "productive energy", which in turn is related to employees' increased job satisfaction and decreased turnover intentions. (Raes, AML; Bruch, H; De Jong, SB., 2013)

In *The moderating effect of organizational change cynicism on middle manager strategy commitment*, Barton and Ambrosini, explore some of the barriers to effective implementation of strategic change initiatives. "to understand strategizing in organizations we need to appreciate both when it is successful and when it is not, but that we still know little about the latter" (Barton and Ambrosini, 2013), pointing out the need of more research on understanding when implementation fails. In this study, as the title shows, it is explored the relationship between implementation resistance –that may conduct to execution failure- and previous participation.

Participation implies the interaction of top management and middle management. "The interaction of the top management and middle managers is central to effective strategy formulation and implementation", (Raes, AML ; Heijltjes, MG ; Glunk, U ; Roe, RA, 2011)

Nevertheless there is also literature that goes beyond the idea of a positive general effect of participation and communication upon implementation and demands some compromise between practitioners, derived from negotiation. "Strategic planning is able to deliver strategic integration within organizations. While communication and participation within planning processes are perceived to have an integrative effect, we argue that these effects are unlikely to arise simply from bringing people together. Rather, we suggest that, given the varying interests of actors in different business units, integration will only arise from active negotiations and compromises between these actors". (Jarzabkowski, P; Balogun, J., 2009)

Managers who are more involved in strategy not only see the process in a more favourable light but also act in ways that make the process more effective. (Nardine Collier, Francis Fishwick and Steven W. Floyd, 2004)

Clearly, something else than managerial planning is necessary to successfully tackle execution. "Careful managerial planning does not of itself guarantee successful outcomes: the organizational context is crucial in framing actions and influencing achievement" (*Beyond Planning. Strategies for Successfully Implementing Strategic Decisions*, Susan Miller, David Wilson and David Hickson, 2004)

Successful strategy implementation requires the input and cooperation of all players in a company. (Crittenden, 1991)

A new framework focused in social micro-level and considering management as a strategy planning integrator may derive from this idea of participation in formulation and its relationship with execution success. As pointed out by Yang Li<sup>1</sup>, Sun Guohui<sup>1</sup> and Martin J. Eppler *Making Strategy Work: A Literature Review on the Factors influencing Strategy Implementation* (2008) “Although there is a trend towards holistic frameworks of strategy implementation, most of them simply add new variable to previous frameworks (Skivington & Daft, 1991; Noble, 1999b; Noble & Mokwa, 1999; Beer & Eisenstat, 2000; Okumus, 2001) or re-group variables from new angles (Noble & Mokwa, 1999; Higgins, 2005; Qi, 2005; Brenes & Mena & Molina, 2007). Some authors call their frameworks models although they cannot be tested empirically. Future research should thus focus on further developing both, focused models examining key relationships, as well as comprehensive strategy implementation frameworks that provide guidance to practitioners on different levels”

Involvement has been identified as a core element in the strategy-making process in different ways. Not only in a positive way, but. It depends, amongst other issues, on the level of participation offered. (Collier, Fishwick and Floyd,2004).

The positive effects ascribed to increasing the scope of involvement include: improved strategy execution, higher quality strategic decisions, better understanding of deliberate strategy, enhanced organizational learning, stronger organizational commitment, higher job satisfaction, more adaptive core competencies, the development of competitive advantage and improved organizational performance. (Collier, Fishwick and Floyd, 2004)

Collier, Fishwick and Floyd Study works on a double interpretation of involvement effect:

A positive effect including strengthen vision, increasing rationality and enhancing adaptability: “When people are involved in strategic decisions, they are more likely to understand, and thus share, the vision of top management”. “Involving a broader range of organization members makes strategic decision-making more rational. Rational decisions are well informed, and greater participation increases the amount and diversity of information incorporated into strategic decisions”. Participation facilitates adaptation reducing resistance. . (Collier, Fishwick and Floyd, 2004)

According to some extant literature, involvement may increase inertia, politics and external constraints as well. Nevertheless Collier, Fishwick and Floyd in their study “not only confirm the predicted positive effects of involvement on strategy, but also contradict the negative ones”

Findings reported in this article:

More involvement increases ... managers' (perceptions of) the process as more rational, more adaptive and as guided by a shared vision and involvement increases managers' tendency to see desirable attributes in strategy process and decreases the tendency to see negative attributes (Collier, Fishwick and Floyd, 2004)

Competing theoretical arguments predict that involvement may have negative effects on the process. In particular, involvement has been said to expose the process to increased political behaviour, cultural inertia and a greater number of internal and external constraints.

Creating a shared vision leads to a shared awareness and to a shared commitment towards the vision. "One key element in effective leadership is inspiring a shared vision, which is a major element of change processes in terms of providing orientation and engaging the whole system towards excellence in healthcare practice (Lukas et al., 2007; McCormack et al., 2007).

Several venues for future research in the field are indicated on extant literature:

"Despite the emerging body of research from the human resource management field proposing a positive relationship between employee engagement and performance outcomes, there is little empirical evidence to suggest that engagement enhances strategic practice, particularly in relation to strategy implementation. Empirical research to support such claim is lacking". (Salih& Doll 2013)

As a justification for this study, Yang Li, Sun Guohui and Martin J. Eppler indicate that "future research on strategy implementation could move beyond these approaches and consider the use of communication theory, innovation diffusion theory, actor network theory, or the strategy as practice paradigm"

## **Positioning this research**

This study adds to the body of knowledge related to resistance in strategy implementation by explaining the relation between participation, involvement in Strategy Formulation, and future commitment or incentive in Strategy Implementation. The research reveals, as aforementioned, other significant variables that affect in the process' success reducing or increasing the level of resistance, the barriers or difficulties in implementation. The existing gap, the area that remains



unexplored is the linkage between level of participation offered and later implementation barriers.

Particularly communication is especially relevant; hierarchical dependence and project importance are significant variables as well linked one each other and affecting resistance through communication

Strategy implementation is a key process in any organization. It is accepted that strategy is useless if its execution does not allow the company to achieve the expected goals, devised in the strategy.

Managers and particularly middle managers have a significant influence in strategy implementation. Participation provokes involvement but not any participation. It depends on each situation and top management must decide which is the best level of participation to be offered to implementers at the formulation phase.

There is a gap in knowledge in this field, an opportunity to contribute to science enlighten this grey area and providing business management and organizations with more criteria to increase the effectiveness of this critical decision: optimal level of participation to be offered in formulation.

According to that in this research the two main variables analyzed from the early beginning were *participation* and *implementation barriers*. All the researching process was built upon this relation expressed in the research question (RQ):

*“How does practitioners participation in strategy formulation affect to strategy implementation?”.*

...or, in other words,

*“How does participation of the implementers in Strategy Formulation affect Strategy Implementation?”*

All the means (interviews, questionnaires,...) were RQ oriented in order to better fit the purpose of this research.

## **Chapter 5. Research Design**

The methodology for data collection and analysis that better fits the proposed research is the qualitative interpretative research approach within the inductive paradigm.

Particularly, the selected method for this study was Case Study research and Grounded Theory.

### **5.1. Research approach and paradigm**

I selected a qualitative interpretative research approach (Smith, Flowers & Larkin, 2009) with the aim of constructing a holistic, rich, and in-depth understanding of the phenomenon under study (Creswell, 2009). In addition, qualitative approach is the one that better fits the conditions, characteristics and limitations of the environment and general situation upon which the research had to be drawn, considering the access to information sources and the characteristics of the accessed and collected data.

Qualitative research allows for flexibility in gathering of information and in-depth exploration of issues in a less structured format, (De Ruyter and Scholl, 1998).

The qualitative approach to data collection discovers information behaviours and attitudes drawing on words, sentences and paragraphs. Most analysis is done with words to permit the researcher to contrast, compare, analyze, and bestow patterns upon them (Miles and Huberman, 1994).

Inductive research methods are interpretative research paradigm for situations with a relatively under-developed theory base (Yin, 1989).

Inductive theory methods establish propositions to explain facts.

Deductive approach usually has easier beginning: ‘Deductive approach...can save the researcher from suffering through uncertainty in doing the initial fieldwork because starts with relevant concepts rather than waiting for them to emerge’ (Yin, Choices in designing qualitative research studies.) . Although that is generally true, it is less significant in my particular case.

After more than twenty years experience in business management together with six years lecturing in Management and Strategy the initial fieldwork was not as uncertain as it could be.

The knowledge of the company (all the cases and interviews had been made about a multinational company I worked for during six years) and the field (Management and Strategy are my specialities and experience areas) made easier the initial approach as well as to deal with the whole process.

## **5.2. Research Methods and Data**

Exploratory studies can generate certain evaluative information discovering new emergent ideas from the subjects being investigated. It is the most suitable approach when the problem to be analyzed has not been clearly defined.

### **5.2.1. Case Study Research**

According to Yin (1994), there are three major reasons to use Case Study method for this research:

1. The type of research problem being posed (“how” or “why”)
2. The extent of control an investigator has over actual behavioural events;
3. The degree of focus on contemporary as opposed to historical events.

And a complementary reason: Theory building rather than theory testing

Case Study application process

Yin (1994) recommended following some stages in the application of case study research:

- 1) Design the case study protocol:
  - a) develop and review the protocol
- 2) Conduct the case study:
  - a) prepare for data collection
- 3) Analyse case study evidence
- 4) Develop conclusions, recommendations, and implications based on the evidence.

## 5.2.2. Research Setting

### 5.2.2.1. *Criteria for case study selection.*

Three different cases in order to cover all the possible options based on the Research Question (RQ) . Since the RQ intends to unfold the relation between participation and implementation barriers I selected one case in which the participation was inexistent, another case in which the participation was widely offered to implementers and finally a case in which the participation was significant although limited to certain areas of the strategic plan.

### 5.2.2.2. *Case A. ERM*

### 5.2.2.3. *Case B. ARM*

### 5.2.2.4. *Case C. FSSP*

## 5.2.3. Data triangulation

I strictly followed the three principles of data collection (Case Study Research, Design and Methods, Robert K. Yin),

- Use Multiple Sources of Evidence
- Create Case Study Database
- Maintain a Chain of Evidence

### 1) Multiple Sources of Evidence.

Data Triangulation (Rationale for using multiple sources of evidence) allows to the development of converging lines of inquiry.

‘Validity, in qualitative research, refers to whether the findings of a study are true and certain—“true” in the sense that research findings accurately reflect the situation, and “certain” in the sense that research findings are supported by the evidence. Triangulation is a method used by qualitative researchers to check and establish validity in their studies’ (Guion, Diehl, and McDonald, 2011)

The benefits of triangulation include “increasing confidence in research data, creating innovative ways of understanding a phenomenon, revealing unique findings, challenging or

integrating theories, and providing a clearer understanding of the problem” (Thurmond, 2001, p. 254)

There are several types of triangulation:

Data triangulation

Investigator triangulation

Theory triangulation

Methodological triangulation

Environmental triangulation

In this research I have apply the first of them, data triangulation.

Data triangulation consists of “using different sources of information in order to increase the validity of a study” (Guion, Diehl, and McDonald, 2011)

These sources in my research are managers from other areas different that the area in study, external consultants, top management if not directly involved in the particular strategic plan to be implemented, support areas as Financial, Human Resources, Information Technologies, etc.. External opinions (external support or participation from a “practitioner’s” point of view) were collected and added to the body of evidence, to the data that to be analyzed and interpreted.

The usage of many sources of data from different levels strengths the data collection process making the case study result stronger as well, more reliable

Triangulation of different sources of data was done, thus, seeking a seamless perspective from the main practitioners as well as from the participants in the process.

During the analysis stage, feedbacks from the different sources of data were compared to determine areas of agreement as well as areas of divergence.

.With data triangulation the potential problems of *construct validity* can be addressed because the multiple sources of evidence essentially provide multiple measures of the same phenomenon (Robert K. Yin, Case Study Research).

Finally another improvement was done in order to improve the overall process, following a trend in implementation research to combine different research methods (such as interviews and surveys) together in order to achieve more robust results. Effective combinations of different research methods could provide more triangulated results on this complex issue.

(Yang Li, Sun Guohui, Martin J. Eppler, 2008). In this research interviews and micro surveys included in the different questionnaires were applied. This type of combination allowed me to increase robustness of the results and a more confident interpretation.

## 2) Case Study Database

The way of organizing and documenting the data collected for case studies has an impact in the final result of the researching process.

In this process there are two main collections:

- The data or evidentiary base
- The report of the researcher

By so doing, I intend to increase the reliability of the research; any other researcher can access to the field data, raw information of the case, and review the evidence directly. Therefore the results are not constricted to my case report.

## 3) Chain of evidence

I intend to maintain a chain of evidence from initial research questions to ultimate case study conclusions.

## 4) Case Study Protocol

The case study protocol is a major way of increasing the reliability of the case study research. (Robert K. Yin, case Study Research)

The protocol's index for this research follows the typical structure:

### A. Introduction to the Case Study and Purpose of the Protocol

- 1.- Case Study Questions, hypothesis and propositions
- 2.- Theoretical framework

3.- The Protocol as a standardized agenda for the investigator's line of enquiry

B. Data Collection Procedures

- 1.- Contact details and relevant information about interviewees
- 2.- Data Collection Plan (expected evidence, events and other documents to be reviewed)
- 3.- Preparation prior to interviews

C. Outline of Case Study Report

- 1.- Base information about the case according to previous exploration of company's data. Prior qualification as a *positive, negative or neutral* case.
- 2.- Director's profile (The main responsible of the analysed business situation)
- 3.- Level of participation offered in the Strategic Planning and Strategy Formulation phase
- 4.- level of participation identified or understood by the implementers
- 5.- Artifacts that have been utilized in the process.
- 6.- Identified barriers within the strategy implementation
- 7.- Overall assessment from both sides, management in charge of the project and implementers.

D. Case Study Questions

- 1.- Initial Questionnaire
- 2.- Modifications and final Questionnaire
- 3.- Evaluation

5.2.4. Data Collection

5.2.4.1. Interviews

The empirical material was collected through in-depth, semi-structured interviews drawn upon a comprehensive and representative set of executives within the company's management.

As explained, triangulation of sources was applied.

Most of the semi-structured interviews are based on a common pattern –practitioner's

questionnaire- lasting from thirty minutes to one hour. The method slightly differs from one case to the next one. From the first case interviews' analysis I got significant information to adapt the questionnaire for the second case and so on from the second to the last one. The version of the questionnaire, therefore, was adapted after each case in order to be more useful to the process, fitting better to the research question requirements and to the previous case findings.

Additionally, seeking a better adaptability to the field, in each case there are different types of interviews depending on the source of information (practitioner, external participant, top management, etc.) and also on the interviewee's profile.

The initial interviews were transcribed directly to a document. Lately, the interviews were recorded first to get more detail from each interview from the ulterior transcription analysis

#### 5.2.4.2. *Documents and other Artifacts*

The intention is, thus, to find a convergence of evidence analysing *Artifacts* (documents, presentations, emails...), Archival Records, Interviews, Observations,...as many sources of data as possible and from as many ways as available.

#### 5.2.5. Participants

The unit of analysis for this research was the so-called implementers, managers involved in strategy execution process. Not only middle managers, also top managers although the main body of participants is middle management

The participants were selected taking into account two main characteristics:

- 1) Belonging to management, either top management or middle management.
- 2) Being involved in strategy formulation, strategy execution or both.

Thus, seeking to get as multifaceted view of the phenomenon as possible, the interviewees were at different levels and different positions in the company. From the first executive at the helm of the organization, the CEO, passing by all the management, members of the board, general directors, business area directors, middle managers...all of them in a senior level.

All of them are practitioners involved in some-different extent in the Strategy Planning process.



The focus was on the Strategy Formulation process and the participation offered in this process to the practitioners “implementers”. Thus, the most important body of interviews and text refers to implementers. In order to increase the objectivity of the process and strengthen it I did also interviews to “external” practitioners, not directly involved in implementation or even in Strategy Formulation but provided with a clear understanding and a deep knowledge of the Strategy Planning, the company, the processes and difficulties, etc.

As mentioned before, external opinions (Consultants, non-practitioners Directors, external support or participation from a “practitioner’s” point of view) were collected and added to the body of evidence, to the data that lately was analyzed and interpreted.

The participants selection was coordinated by the HHRR general manager of Grupo Ferrovial (GF) with the help of the Strategic Planning Director of Ferrovial Servicios, division from GF.

After the first selection a personal call from the HHRR General Director to each executive introduced the issue and proposed the collaboration in the project. All the executives contacted and proposed accepted to participate in the research.

Within the two first cases the managers’ profile are similar, executives from the top level and up to two levels below.

The third case, the most extensive, incorporated a higher profile, FS CEO, in order to get an opinion from the main executive at the helm of the organization and his perceptions about the research question and analyzed variables. It was part of the triangulation of sources.

A comprehensive relation of each case participants can be found at each case chapter.

#### 5.2.6. Data analysis

##### *Grounded Theory*

Developed by Barney Glaser and Anselm Strauss (Glaser & Strauss,1967), Grounded Theory claims to be a qualitative methodology to inductively generate theory. Glaser (1992) defines grounded theory as “a general methodology of analysis linked with data collection that uses a systematically applied set of methods to generate an inductive theory about a substantive area”.

GT is an essential research method for the development of new insights into social phenomena. Both its key concepts, that of “constant comparison,” in which data collection and analysis are an iterative process, and that of “theoretical sampling,” in which data collection decisions are progressional and subject to the theory in construction, are invaluable to the determination of quality in research on how individuals construct meaning from intersubjective experiences.(Fend & Sachs, 2008), *Grounded Theory Method in Management Research : Users' Perspectives*, Organizational Research Methods, Volume 11 Number 3, 430-455)

Theory is said to lay grounded in the data from the field and to emerge by analyzing observational and interview data, constantly comparing, fractioning, coding, memoing... until saturation is reached. Context (e.g., the organization, the actors, and their interrelation) .(Fend & Sachs, 2007),

As standard in Grounded Theory, the research starts without initial hypothesis. Although that a clear Research Question gives some insight about the intention of the research and the aforementioned years of experience help to make easier the decision making process that the research involves, deciding each step based on the previous one conclusions.

Since GT takes a case rather a variable perspective, the variables analysis were done within each case first and compared later to re-feed the set of variables improving the analysis process adding more variables and relations amongst them in the subsequent text revisions.

Within each case the variables interact as a unit in complex ways to produce certain outcomes. Cases similar on many variables but with different outcomes are compared to find out where the key causal differences may lie.

As aforementioned, my aim was to draw the research based on three different cases with three different patterns in order to observe and analyse the inputs and the outputs in each one of them. Based on this analysis I intend to acquire more in-depth understanding of the phenomenon under research and reveal some insights to explain the interaction of both variables, participation and implementation barriers, within each case. After this first case analysis the research continues comparing the three situations, analyzing them jointly and getting a tentative common pattern or, at least, a first step in a direction that could be broadly developed by future research in order to determine the internal links between participation offered and implementation difficulties as well as the effect and importance of other significant variables over the process.

Three cases are analyzed in a process that makes a continuous improvement of the means for data collection, mainly questionnaires and interviews, the codification according with each case quotations re-feeding the previous cases codification establishing a common set of variables (codes) and finding relationship amongst them, and, overall, reviewing the text and data on an iterative way in order to increase insight and accuracy.

In each case there are two types of data: qualitative and quantitative. The qualitative data is the main body of data upon which the research is carried out. Although that a complementary feedback from the managers interviewed in terms of quantitative assessment was gathered. The quantitative data is organized in questions with a determined score adhoc for each variable assessed. Basically participation and implementation had scored by 12 from the 21 interviewees.

The process: description

For each case the process was the same:

First part

- Selection of the participants.
- Brief introduction and study explanation presented to the future interviewees.
- Interview scheduled.
- Questionnaire is send to the participant at least one week in advance.
- Interview done (in person -if impossible, then by phone-)
- Each interview is recorded and complementarily main notes are taken.

Second Part

- Questionnaires quantitative data are gathered in a specific file to be treated and interpreted.
- Questionnaires and interviews qualitative data are transcribed into a text file.
- All the text files from each case were gathered in a unique file or Hermeneutic Unit. (HU)

- All the HUs were incorporated to the Qualitative Data Analysis Software Atlas Ti to be analyzed.

### Third part

- Within each HU an iterative process of text revision and analysis is carried out.
- The significant parts of the text are identified (in relation with the object of the research) and marked as a quotation.
- Each quotation –selected part of a text- is assigned a code.
- The codes identify the main idea present in the quotation and are treated as variables in the analysis.
- All the quotations are gathered accordingly with the assigned code.
- The relations between the codes raised from the text are also gathered and can be graphically represented in Networks (Nets of codes relationship).
- The list and –and first part- of all the quotations and the most relevant networks of this research can be found at the Appendices part. (Quotations Annex 7 to 9, Networks Annex 10 to 12).

### Fourth part

- After each case analysis starts the preparation for the next case data collection, etc. The main part of this process is the revision of the information already available from the previous case and its interpretation in relation with the research question and the objective of the study.
- Then, the questionnaires, the participants' profile, the interviews' question were modified accordingly in order to better fit the porpoise of the research.

### Fifth part

- All three cases data are compared in a cross sectional analysis and interpreted in relation with the main variable analyzed, participation offered, that was different in each case.

The need of a Qualitative Data Analysis Software for qualitative research is clear. It strengthens significantly the quality of the research broaden the possibilities of analysis and facilitating the study.

Atlas Ti provides robustness to the research and allows incorporating several tools like Networks that graphically help to understand and interpret data.

## **Chapter 6. Results**

The research seeks to get some insight into a quite familiar topic from Strategic Management arena, although don't significantly explored yet: The barriers appeared at the implementation stage in relation with the previous participation offered at the Strategic Planning.

There is a complementary part of the research based on quantitative data from the quantitative assessment questions in most of the interviews. Data from these quantitative assessments were analyzed in a very simple way –since the quantitative data present in this research is neither the object nor the main body of the research- arising interesting outcomes.

Results from this quantitative *humble* chapter add some insights and clarity to the research.

The analysis of the quantitative data gathered is based on frequency of answers and intensity of each of them.

Results are graphically represented to facilitate interpretation and the main aim is to complement, reinforce and in some extend help to guide the qualitative data analysis.

### **6.1. Individual Case Analysis Description**

#### **6.1.1. Case A: ERM (Enterprise Risk Management) in Ferrovial Corporation.**

The first analyzed, case A, is ERM (Enterprise Risk Management), at Ferrovial Corporation Case A is a positive sign case in which the participation offered to the practitioners was significantly high. Since that particular strategic tool was being defined and implemented for first time in the Ferrovial group's history an external support and advice was necessary. An advisory company also helped, therefore, to build the ERM.

The leader of the project, the Chief Risk Officer (CRO), decided to widely open the participation for all parties involved and particularly for the practitioners that later would be responsible for the ERM implementation.

The process had three main stages. In which one of those stages the participation offered to external practitioners was different. We call “external practitioners” those that don’t belong to the leader’s team. It is, to the CRO’s team.

First phase: Internal design

The project leader and his team helped by an external team of consultants design a first ERM draft including main parts, protocols, and main practitioner that must be involved in the process. At this first phase the participation offered was null. A team made up by internal and external experts made the initial design

Second phase: Revision and improvement of the initial design.

Internally the project leader and his team review the initial design and check main characteristics of each of the different parts of the tool correspondent to different areas of the company. The checking is done by meeting selected individuals from each area involved.

At this second stage a bridge between initial design and existing reality of the company was built, giving some participation quota to some practitioners, future implementers.

After this first revision the tool is modified accordingly.

Third phase: Completion of the main required data from Business and Support Areas.

At this phase all the practitioners considered key for the project were invited to participate.

The duration of this phase was significantly long.

At this third phase the participation was widely offered to those in charge of future implementation but also to third parties, back-office and support areas. Participation was offered in an unlimited way offering the possibility to express opinions, to propose tool improvements, to learn more about the tool, and a long etcetera.

This participation system provoked delays in the project and difficulties in gathering information from the areas involved as well as in getting agreements about the conclusions.

A total of 7 interviews were done gathering significant opinions from different participants, practitioners involved in the implementation process.

#### *6.1.1.1. Quantitative Analysis Approach*

As commented, there is a complementary part of the research based on quantitative data from the quantitative assessment questions in most of the interviews.

The first version of the questionnaire is presented in the Appendices section, Annex 1.

The questionnaire is divided into four sections:

- a) Questions about participation offered in formulation.
  - b) Questions about the implementation.
  - c) Overall assessment of the process
  - d) Open question to allow managers to express any idea or concern about the research issue.
- Three questions in a) section, one of them quantitative.
  - Seven questions in section b), none of them quantitative.
  - Two questions in section c), one of them quantitative.
  - One open question constitutes section d), just qualitative.

More detail about each particular question is offered below, in each case section, since the iteration process produced a questionnaire evolution in content that must be detailed in each case. Particularly in the second case a specific questionnaire was introduced in a complementary way to the standard questionnaire.

An interesting data arose from question C, Practitioners Questionnaire (all versions):

*Question C: Overall Assessment:*

*“Did your participation at the Strategic Planning stage facilitate the Strategic Plan?”*



*Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.*

Showing in a graphic the answers about the re question, the research reveals a clear relationship between participation and motivation.

The first case (ERM) results show a very positive effect:



**Fig 3. Participation's effect upon motivation. Case A. ERM**

The graphic shows the relationship between a significant, unlimited participation offered at the strategy formulation stage and its positive effect upon implementation, reducing resistance and consequently execution barriers.

All the answers were gathered and represented in the table below.

ERM, unrestricted participation			
value	freq	accum	%
-5	0	0	0
-4	0	0	0
-3	0	0	0
-2	0	0	0
-1	0	0	0
0	0	0	0
1	1	1	5,26
2	0	0	0,00
3	1	3	15,79
4	0	0	0,00
5	3	15	78,95
	5	19	100
AVERAGE		3,80	

**Fig 4. Participation's effect upon Implementation Quantitative assessment. Case ERM.**

First case -ERM- data shows a clear positive effect of participation offered (unrestricted in this case) upon implementation. The average score was 3.8. Taking into account that the maximum possible score is 5, it represents a very positive impact from participation in implementation.

Over the data collection process, as previously mentioned, each participant was asked about three aspects in a quantitative way:

- Quantitative question in section a): self-assessment of personal implication in the Strategic Planning and assessment of the level of participation offered.
- Quantitative question in section c): assessment of the positive effect of participation upon implementation.
- And also a *semi-quantitative* assessment, in section d): In case A and B about the implementation process based on the selection of one option amongst a set of two or three opposite options (*easy vs complex, perfectly understood, partly understood or not understood...etc.*). That assessment became completely quantitative in case C, scoring from 1 to 10 each characteristic of the implementation process.

The collected data were treated in order to objectify the opinions about participation

- Practitioner’s (interviewee’s) participation self assessment
- Participation offered assessment
- Participation’s effect upon implementation assessment

First case, ERM, total results are shown in the table below:

Quantitative interview	a) participation self-assessment (1-10)	a) participation offered assessment (1-10)	c) positive effect upon implementation assessment (-5, 5)
case A, ERM	1	-	-
	2	7,5	7,5
	3	8	8
	4	4,5	4,5
	5	7,5	7,5
	6	8	8
	7	10	10
avg	7,6	7,6	3,8

Fig 5. Case A -ERM- Quantitative Assessments Summary

The results are significantly homogeneous since the participation offered and the self assessment of each executive’s participation in the formulation stage scored exactly the same. In addition, comparing the average participation score with the perception of positive effect upon execution the score is also the same (7.6 in base 10 and 3.8 in base 5)

6.1.1.2. *Qualitative Analysis Approach*

The qualitative analysis of the first case, ERM, reveals a relation between nine different variables within the Strategic Planning process, particularly from Strategy Formulation up to Strategy implementation processes , both included.

The related variables are

- participation
- implementation barriers
- communication

- hierarchical dependence
- incentive
- project relevance
- responsibility - duty
- reward
- organizational alignment

All variables have been coded and, as a code, each one of them shows different intensity in relation of the citations supporting their relevance as well as in relation with the rest of the codes (variables).

The level of support is being determined by the density of citations in which each code can be directly found or indirectly expressed.

After the first text analysis carried out over the three different cases and interviews, the list of significant variables was updated including the same codes for the analysis of each case. For this reason, although there are two variables without any citation support in this first case (*reward* and *organizational alignment*), they appear on the significant variables of the process in terms of analysis.

In this first case, ERM, the codes are, in order of importance, the following:

(In second column the total amount of citations linked with each code)

ERM case text analysis	
variable	quotations
participation	36
implementation barriers	11
communication	5
hierarchical dependence	4
incentive	2
project relevance	2
responsibility - duty	2
reward	0
organizational alignment	0

**Fig 6. Qualitative analysis (Atlas Ti). ERM quotations in relation with codes**

It is absolutely clear the importance of *participation* in the process and, in second place, the effect upon implementation represented by the code *implementation barriers*.

The analysis of the different quotations about *participation* reveals a clear idea: *participation facilitates the ulterior implementation process* reducing the barriers, difficulties in the implementation and making the difficulties that may appear less significant and easier to tackle with.

The Effect of *communication* and the influence of the direct manager, *hierarchical dependence*, come immediately after the main variables, but in a second level of relationship, less important. I named *incentive* the positive effect upon implementers. *Incentive* is, in some extent, the opposite of *implementation barriers*, not in *stricto sensu* but in the behaviour in front of the level of participation offered. If *participation* is high, *incentive* is high and *implementation barriers* low and vice versa. In the same way, thus, the higher *incentive* the lower *implementation barriers*.

*Incentive* is directly quoted twice but, as it is going to be showed soon, it is the most important variable in relation with the rest of variables or codes, together with *implementation barriers*. Representing all the relationships between codes in a matrix it is easier to realize the different linkages:

	<i>Particip.</i>	<i>Implem. barriers</i>	<i>Comm..</i>	<i>Hierarc h. Dep.</i>	<i>incentive</i>	<i>project relev.</i>	<i>Resp. - duty</i>	<i>reward</i>	<i>Organiz. Alignm.</i>
<i>participation</i>			√		√				√
<i>implementation barriers</i>			√	√	√	√	√		√
<i>communication</i>	√	√			√				√
<i>hierarchical dependence</i>		√			√				
<i>incentive</i>	√	√	√	√		√	√	√	√
<i>project relevance</i>		√			√				
<i>responsibility - duty</i>		√			√				
<i>reward</i>		√			√				
<i>organizational alignment</i>	√	√	√		√				
<b>density</b>	<b>3</b>	<b>7</b>	<b>4</b>	<b>2</b>	<b>8</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>4</b>

Fig 7. Qualitative analysis (Atlas Ti). Case ERM. Relationship between codes

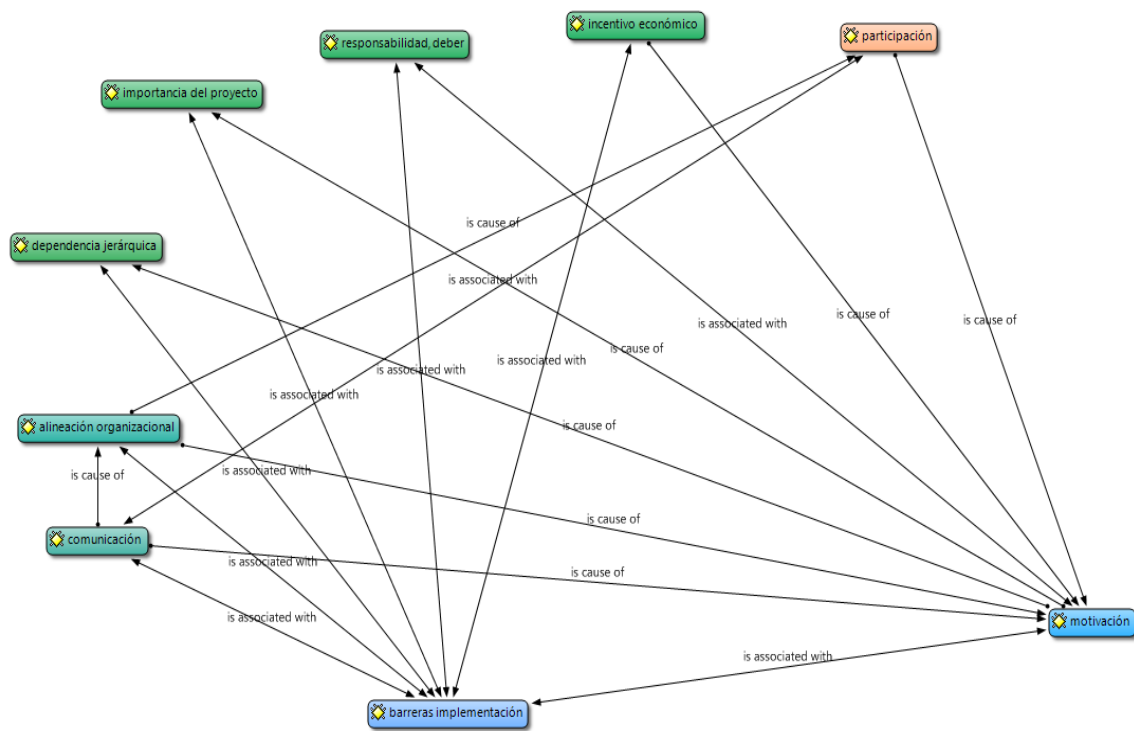
The conclusion of this first case Network analysis from the text is clear: two variables are the most linked with the rest of variables within the set of nine significant codes appeared in the research: *incentive* and *implementation barriers*. This really makes sense since both are different interpretation of the same reality, directly linked with and as a consequence of *participation*.

All these links and relationships are shown at the code's network, a very useful tool that offers the qualitative analysis software Atlas Ti.

As a way of illustration, below is shown the Implementation Barriers network.

The different colour indicates the intensity of each relationship with the main variable analysed in each situation:

(All the networks may be found at the annex 7 to 9, Appendices section)



**Fig 8. Implementation Barriers Network (Case A, ERM).**

#### 6.1.2. Case B: ARM (Accounts Receivable Management) in Cespa (Ferrovial Servicios).

The second case analyzed, case B, is ARM. (Accounts Receivable Management) in Cespa, a company within Ferrovial Servicios (FS) division from Ferrovial group.

The ARM case is a negative sign case in which the participation offered to the practitioners was null. The strategy was defined by the CEO and therefore imposed to the rest of the management in a top-bottom process.

The leader of the project, the Urban Services Division Director (USDD), was in charge of the strategy communication to the management and also responsible for the implementation process management, monitoring and reporting.

The ARM strategy was entrusted directly to the CEO of Cespa by the CEO of FS. The ARM strategy derives directly from the FS Strategic Plan. In order to facilitate and contribute to the implementation, the CFO of FS was significantly involved in the process. The CFO was, in some extent, the leader of a bigger project within which Cespa was included. Two main practitioners can add some insight into this case, the USDD of Cespa and the CFO of FS.

The case was conducted through interviews but in this case only the main practitioners were interviewed in deep detail since the rest of managers answered in a negative way to the first question, participation at the Strategic Planning stage, making the rest of the questions about participation useless. This really make sense since I am seeking a relationship between participation and motivation and, being this second case a negative approach (in terms of participation) the logical answers have to point out this situation. Thus, there is a common pattern that gathers all the other interviews' answers. This information is represented in a summary following the two aforementioned main interviews.

It is important to bold that the CFO interview provides, in fact, external information in a strict sense since FS is strictly an external area in relation with Cespa, a company within FS division but with its own structure and management. The process had, therefore, some data source triangulation in order to increase accuracy and reliability.

Two main parts make up the Strategic Planning process here:

- First phase: Internal design, imposed by CEO
- Second phase: Communication (unidirectional) and implementation.

The process is very simple in conception since the strategy to be implemented in a tough situation of crisis did not allow any implementers participation in formulation.

After decided, the strategy was communicated in a top-bottom process and also results-linked with the bonus of all the management involved.

The interviews were drawn up using the specific version of the questionnaire for this ARM case for the two top management practitioners (The project leader and the CFO) and for the rest of practitioners, the implementers (7), a simplified version of the standard questionnaire.

The main content of the specific questionnaire (applied for the top management practitioners) is shown below:



- a) Background information
  - a.1) Original Idea from....
  - a.2) Key issues
    - a.2.1) Main Goals
    - a.2.2) Main Practitioners
    - a.2.3) Progressive implementation: phases (detail) (milestones)
    - a.2.4) Communication and tools
  - a.3) Criteria for implementers' selection: organizational chart
  - a.4) Practitioners' involvement:
- b) Observed resistance:
- c) Implementers Questionnaire
  - c.1) How was your implication in the strategy definition/creation?
  - c.2) What was your perception of the project?
  - c.3) Did it facilitate the subsequent step, the implementation ?
  - c.4) Main problems envisaged as an implementer.
- d) Practices
- e) Praxis
- f) Open question in which three ideas are introduced:
  - \* link/relation between Account Receivable Management and Business Strategy/goals
  - \* Incorporation of ARM (resulting budget) to the general budgeting process
  - \* New variables.

And for the rest of practitioners -implementers- a simplified version of the standard questionnaire was applied to seven business directors.

Below the basic structure and main results:

- a) Participation at Strategic Planning stage:

*Null.*
- b) Main problems cause of implementation resistance
  - *Lack of communication*
  - *Different points of view*
  - *Imposed*
- b) Motivation derived from participation offered (from -5 to 5)

*-2,63 (see table below)*

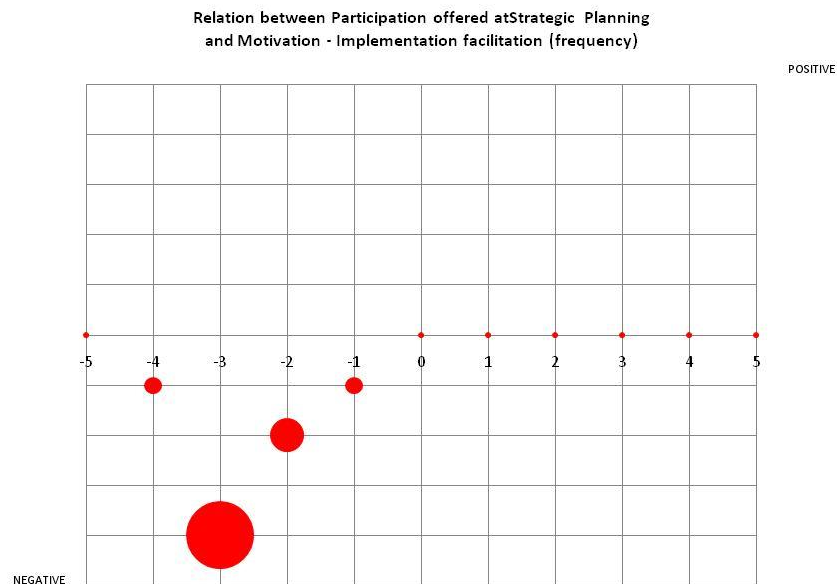
d) Open question. Motivational issues

*Linkage between Bonus and Strategy Implementation result*

The ARM questionnaire specific version is included at the end of Annex 2, (Case B) as well as the rest of the information about the case.

6.1.2.1. *Quantitative Analysis Approach*

The analysis of the quantitative data collected in this second case, graphically represented, shows a clear relationship between null participation offered and negative effect upon implementation:



**Fig 9. Participation's effect upon motivation. Case B, ARM**

The null participation offered in the second case, ARM, produced the expected negative effect. The interviewed executives' assessment scores -2.63, a negative assessment taking into account that the minimum score is -5.

ARM, null participation			
value	freq	accum	%
-5	0	0	0
-4	-1	4	19,05
-3	-4	12	57,14
-2	-2	4	19,05
-1	-1	1	4,76
0	0	0	0
1	0	0	0
2	0	0	0
3	0	0	0
4	0	0	0
5	0	0	0
	-8	21	100
AVERAGE		-2,63	

**Fig 10. Participation's effect upon Implementation Quantitative assessment. Case ARM.**

And for this second case the two first assessments do not apply:

Quantitative	Interview	a) participation self-assessment (1-10)	a) participation offered assessment (1-10)	c) positive effect upon implementation assessment (-5, 5)
		1	-	-
case B, ARM	2			-3
	3			-1
	4			-2
	5			-3
	6			-2
	7			-3
	8			-4
	9			-3
	avg		0,0	0,0

**Fig 11. Case B -ARM- Quantitative Assessments Summary**

6.1.2.2. Qualitative Analysis Approach

The qualitative analysis of the second case, ARM, also reveals a relation between the aforementioned nine different variables over the Strategic Planning process.

As explained before, the level of support is being determined by the density of citations in which each code can be directly found or indirectly expressed.

In this second case, ARM, the codes are, in order of importance, the following:

(In second column the total amount of citations linked with each code)

ARM case text analysis	
Variable	Quotation
implementation barriers	19
Participation	9
communication	9
Incentive	5
project relevance	4
Reward	4
hierarchical dependence	3
organizational alignment	3
responsibility - duty	1

**Fig 12. Qualitative analysis (Atlas Ti).ARM case quotations in relation with codes.**

In this case the text analysis reveals an important quotations support of the code or variable *implementation barriers* and again *participation*. In this case appears a third variable, *communication*, in the group of most quoted variables.

The ARM case is a negative sign case in terms of participation. Since the strategy to be implemented was decided by top management, *top-bottom* communicated and without any option to be discussed or modified. In one director's words, "*It was not possible to offer participation to the management (practitioners, implementers) in the ARM strategy formulation since it was an objective and urgent need to carry it (ARM Strategy) out , not something that may be discussed . It was something absolutely necessary. It was not debate at all*". Therefore, participation was null. The implementation difficulties were significantly high, since the managers implementers identified the Strategy as a wrong way to proceed, completely different from the *modus operandi* that they were have had up to that moment. *Communication* was unidirectional, *top-bottom*, accordingly with *participation*. Both variables, null *participation* and *top-bottom communication* were responsible of a high *implementation barriers* situation.

In terms of importance, *communication* appears as important as *participation*. In this case the lack of participation offered had a negative influence.

Unidirectional communication contributes, according with the analysis, to create a sense of imposition creating disengagement in some extent. From the text, nevertheless, I want to point out an interesting finding about communication: the ARM strategy was implemented in two main areas, both reporting to the company headquarters which were based precisely on one of these areas, sharing building.

The *informal communication* –in the coffee machine, corridors, offices...- amongst the managers from this area with the top management facilitated the whole process acting as a catalyst of the process, making it more understandable and reducing the implementation barriers.

There is, therefore, an important influence of communication in the implementation process that should be taken into account; the informal communication may help to reduce the negative effect of the unidirectional communication in a strategic planning process without participation offered in the strategy formulation.

Representing all the relationships between codes in a matrix it is easier to realize the different linkages:

	<i>Particip.</i>	<i>Implem. barriers</i>	<i>Comm.</i>	<i>Hierarch. Dep.</i>	<i>incentive</i>	<i>project relev.</i>	<i>Resp. - duty</i>	<i>reward</i>	<i>Organiz. Alignm.</i>
<i>participation</i>		√			√				
<i>implementation barriers</i>	√		√	√	√		√		
<i>communication</i>		√			√	√			
<i>hierarchical dependence</i>		√			√				
<i>incentive</i>	√	√	√			√		√	
<i>project relevance</i>		√	√		√				
<i>responsibility - duty</i>		√							√
<i>reward</i>					√				
<i>organizational alignment</i>							√		
<b>density</b>	<b>2</b>	<b>6</b>	<b>3</b>	<b>1</b>	<b>6</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>2</b>

Fig 13. Qualitative analysis (Atlas Ti). Case ARM. Relationship between codes

Again, the results from this second case, ARM, Network analysis from the text is clear: two variables amongst the set of nine identified as a significant are the most representative: *incentive*

and *implementation barriers*. The difference here is the negative approach to the concept of *incentive*.

In ERM the *incentive* was considered in the text as a positive consequence from participation. In this negative sign case (null participation offered) we could rename incentive as disincentive or negative incentive as a consequence of the lack of *participation*.

### 6.1.3. Case C: FSSP (Ferrovia Services Strategic Plan)

The third case, case C, FSSP (Ferrovia Services Strategic Plan), is the most complete in this group of cases that were analysed. The participation offered to the practitioners was very significant although well defined in terms of possible contributions to the Strategic Plan (SP) at the design phase, Strategy Formulation. The process was widely open but not unlimited.

The leaders of the project, the Strategy Director (SD) and the Strategy Planning Director (SPD) are responsible for the design and completion of the SP and consequently they manage the whole process, from coordination, monitoring and reporting point of view, from the initial participation up to the end of the SP implementation.

The FSSP process had five main stages; in each one of those stages the participation offered to external practitioners was different. (Bear in mind that we call “external practitioners” those managers that don’t belong to the leader’s team. In this case to the SD’s and SPD’s team).

First phase: Analysis and background.

The FS SP is the strategic recurrent plan of the Services Division. Before to design a new plan the previous one is analyzed and all the relevant information is incorporated to the new plan.

Contribution from support areas.

Second phase: Initial Design, based on previous SPs.

First draft, proposal made up by top management included Strategy Director and Strategic Planning Director.

Third phase: SP data completion.

Completion of the main required data from Business and Support Areas. At this stage participation is offered. It is a limited participation in the sense of time and area of contribution but unlimited within the established boundaries.

Fourth phase: Communication and Discussion.

An interactive process over which the SP is *maturing*.

Fifth phase: Implementation.

Execution of the devised strategy.

At the first phase the participation offered was limited to certain group of executives, mainly from the support areas.

The second stage is an internal work carried out by the leaders of the project.

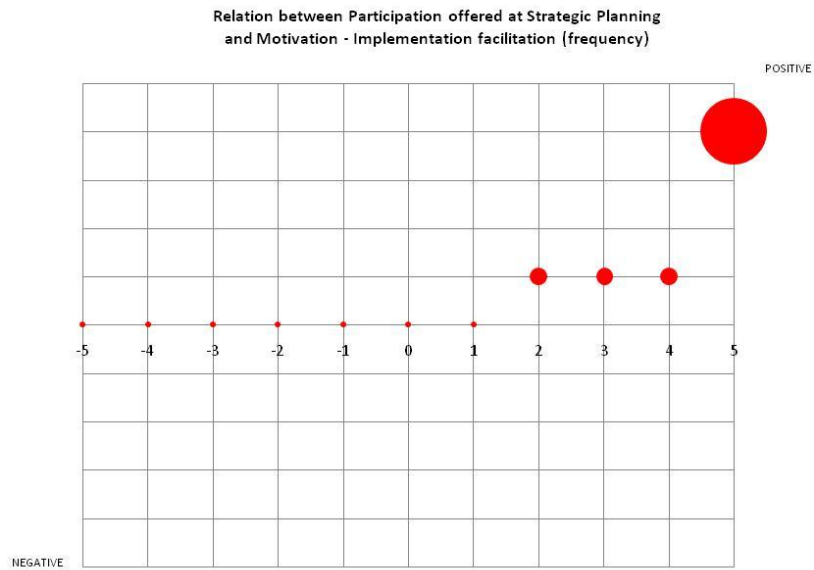
Once that internal work is completed, the SD and SPD give participation to those executives that are going to be responsible for the implementation, the management of the different business areas and some support and back-office areas as well. This is the key participation on which the research is based. Although significant, the participation offered was not unlimited but delimited by a set of particular streams, lines of knowledge and goals, specific for each area.

After the initial data completion and main strategic streams definition, the initial plan is ready to be shared, communicated to the main “implementers”, executives than have been participating, as explained each one in his competences area, in the previous SP design and definition. Finally, the implementation phase is carried out over the rest of the year being monitored by the SP leaders and modified if necessary.

The interviews were drawn up using the version 4 of the standard questionnaire, except the interview to the CEO and President of Ferrovial Servicios (FS), which was a specific questionnaire elaborated ad-hoc seeking to get the maximum level of detail and useful information from the most important executive of the company. Both questionnaires are included in the Case C specific section (Appendices, Annex 3).

### 6.1.3.1. Quantitative Analysis Approach

In this third case (FSSP) analysis, again a very positive effect is shown. The difference is the score of this third case “limited participation” assessment, which is higher than that obtained by ERM case:



**Fig 14. Participation’s effect upon motivation. Case C, FSSP**

In this third case the average score was 4.3 being 5 the maximum offered, as explained. All the answers were gathered and represented in the table below.



FSSP, wide but limited participation			
value	freq	accum	%
-5	0	0	0
-4	0	0	0
-3	0	0	0
-2	0	0	0
-1	0	0	0
0	0	0	0
1	0	0	0
2	1	2	5,88
3	1	3	8,82
4	1	4	11,76
5	5	25	73,53
	8	34	100
AVERAGE		4,3	

**Fig 15. Participation's effect upon Implementation Quantitative assessment. Case FSSP**

And finally, the Quantitative Assessment Summary of the third case FSSP:

Quantitative	interview	a) participation	a) participation	b) implem.	b) implem.	c) positive effect	
		self-assessment	offered	assessment,	assessment,	upon	
		(1-10)	assessment	"team" (1-10)	"leader" (1-10)	implementation	
			(1-10)			assessment	
						(-5, 5)	
case C, FSSP	1	10	10	7	10	4	
	2	7,5	8,7	5,1	9,0	5	
	3	9	8,6	6,3	9,5	3	
	4a	6	8	8	8,5	5	CC
	4b	10	10	-	-	2	SD
	4c	10	10	-	-	5	CD
	5	8	9,4	6,5	10	5	
	6	10	6	5,5	10	5	
7	-	-	-	-	-		
avg		8,8	8,8	6,4	9,5	4,3	

**Fig 16. Case C -FSSP- Quantitative Assessments Summary**

In this more complex case the perceptions of participation and positive effect are similar as well as in the ERM case. The scores, nevertheless, are higher.

It is interesting to realize the difference between the manager's perception about his own participation in implementation and his perception about team's participation. The resistance is seen at the levels below.

### 6.1.3.2. Qualitative Analysis Approach

The qualitative analysis of the third case, FSSP, is the richest in terms of quotations as well as code's relationship (nodes). The FSSP case is the largest in number of interviews and participants, the questionnaire is the most evolved version and, overall, is the case that received all the benefits from being the last in the research.

In this third case, FSSP, the codes quoted in the text are, in order of importance, the following:

(In second column the total amount of citations linked with each code)

FSSP case text analysis	
Variable	quotations
Participation	46
communication	37
implementation barriers	31
Incentive	30
project relevance	9
hierarchical dependence	7
responsibility - duty	4
Reward	4
organizational alignment	3

**Fig 17. Qualitative analysis (Atlas Ti). FSSP case quotations in relation with codes**

From this third set of interviews, FSSP case, four variables appear with significant importance: *Participation, communication, implementation barriers and incentive.*

*Participation*, as found before in the previous cases analysis, is in direct relation with *implementation barriers* and *incentive* following the same pattern, the higher participation, the higher incentive and the lower difficulties, barriers, when implementing the formulated strategy.

Again, the appearance of *communication* as a very important variable in the process contributes to establish a relation, positive effect between *participation* and *communication*. Even in projects in which the participation was null, communication helped to implementation reducing barriers, facilitating the process, improving the results.

Representing all the relationships between codes in a matrix it is easier to realize the different linkages:

	<i>Particip.</i>	<i>Implem. barriers</i>	<i>Comm..</i>	<i>Hierarch. Dep.</i>	<i>incentive</i>	<i>project relev.</i>	<i>Resp. - duty</i>	<i>reward</i>	<i>Organiz. Alignm.</i>
<i>participation</i>		√	√		√				
<i>implementation barriers</i>	√		√	√	√		√	√	√
<i>communication</i>	√	√			√				√
<i>hierarchical dependence</i>		√			√				√
<i>incentive</i>	√	√	√	√		√		√	
<i>project relevance</i>					√				
<i>responsibility - duty</i>		√							√
<i>reward</i>		√			√				
<i>organizational alignment</i>		√	√	√			√		
<b>density</b>	<b>3</b>	<b>7</b>	<b>4</b>	<b>3</b>	<b>6</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>4</b>

**Fig 18. Qualitative analysis (Atlas Ti). Case FSSP. Relationship between codes**

## 6.3. Cross-Case Analysis

### 6.3.1. Quantitative Approach

When analyzing average data from each case assessment, the results show an interesting relation between *participation* at the Strategic Planning stage and *incentive* (or *motivation* understood as *incentive*), positive effect upon Strategy Implementation, particularly in cases A and C (ERM, FSSP). Although both have a positive effect from the initial participation offered to the executives, the perception of positive effect is not really sensitive to the level of participation offered but to the fact that being offered participation.

Even the average perception in the case C, FSSP, a case in which the participation was wide but limited to determined areas, is better than the positive effect (average) perceived at the first case, ERM, in which the participation offered was unrestricted.

In fact, there is a set of comments from the interviewees complaining about the “too unlimited participation” offered, stretching on the duration of the process.

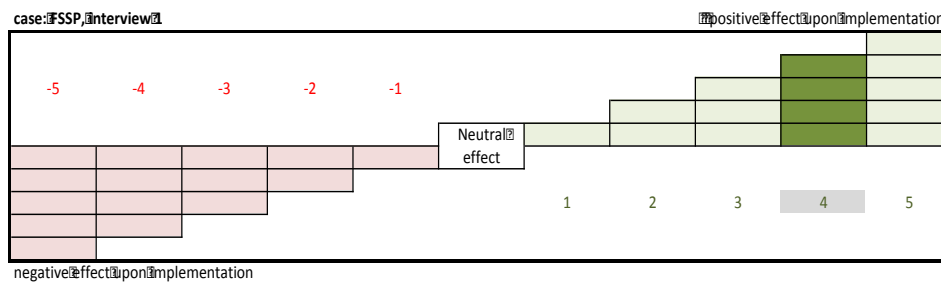
Clarifying the previous comment, the positive effect upon resistance, incrementing incentive and reducing implementation barriers at the implementation stage, is not directly related to the level of participation offered but to the possibility to participate.

Obviously there is a minimum level of participation from which participation produces the desired positive effect.

Nevertheless, that positive effect does not follow a direct relation in quantitative terms increasing or decreasing the benefits on implementation in a proportional way to the amount of participation offered.

As showed at the particular question lines above, the interviewees were required to assess from [-5 ] to [+5] the effect from participation upon implementation being [-5 ] a very negative effect and [+5] a very positive effect and [0] indifferent.

For each interview a graphical representation was made (i.e. figure 5 )



**Fig 19. Participation's effect upon Implementation Quantitative assessment. (Example).**

And all the answers were gathered and represented in the tables already shown...

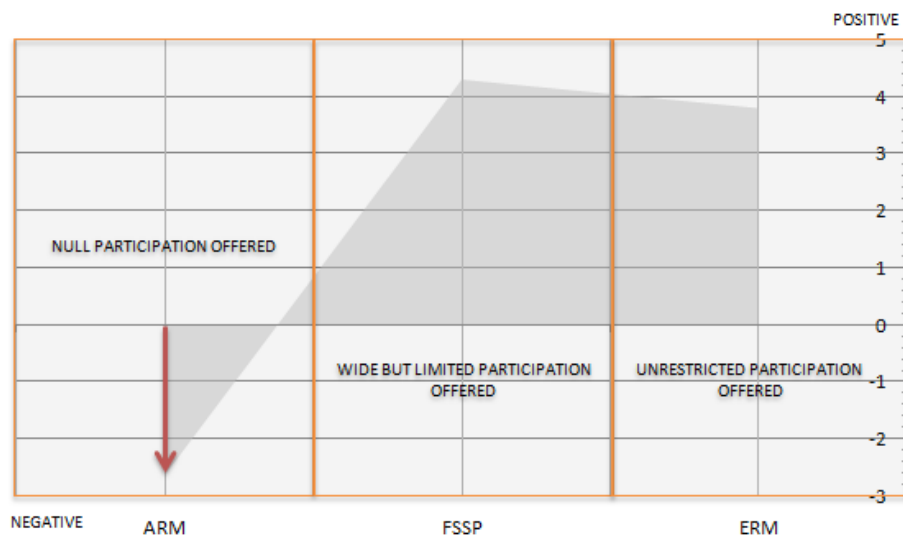
Comparing the three cases, the third case, FSSP, reveals an interesting fact: although the level of participation offered at FSSP process was lower than that offered at the ERM case, the effect upon implementation in FSSP was assessed as a more positive as in ERM.

That could be explained by the fact that unlimited participation introduces some uncertainty perceived by the manager as a difficulty in terms of delay, unclear goals, undefined agenda....etc.

On the other hand, if participation is limited, well structured, defined and with a clear agenda the perceived level of uncertainty is lower increasing incentive and facilitating participation.

It is important to clarify that there are other variables affecting the result of implementation but not the perception of positive effect from participation. (i.e. we will see later the effect of the variable *project importance* or *communication* in the process).

Representing the aforementioned relationship between participation and effect upon implementation we can see, graphically, the explained effect of establishing boundaries to participation.



**Fig 20. Participation's effect upon Implementation (average).**

As shown in previous section, each participant was asked about three aspects in a quantitative way:

- Question "a": self-assessment of personal implication in the Strategic Planning and assessment of the level of participation offered.
- Question "c": assessment of the positive effect of participation upon implementation.

- And also a *semi-quantitative* assessment, question “b” in case A and B about the implementation process based on the selection of one option amongst a set of two or three opposite options (*easy vs complex, perfectly understood, partly understood or not understood...etc.*). That assessment became completely quantitative in case C, scoring from 1 to 10 each characteristic of the implementation process.

The collected data were treated in order to objectify the opinions about participation

- Practitioner’s (interviewee’s) participation self assessment
- Participation offered assessment
- Participation’s effect upon implementation assessment

All the results are shown in each case quantitative analysis section.

Each one is different in terms of participation offered and the findings are clear, in case A the unlimited participation provoked a positive effect upon resistance and therefore upon implementation barriers. In case B where participation offered was null the effect was clearly negative.

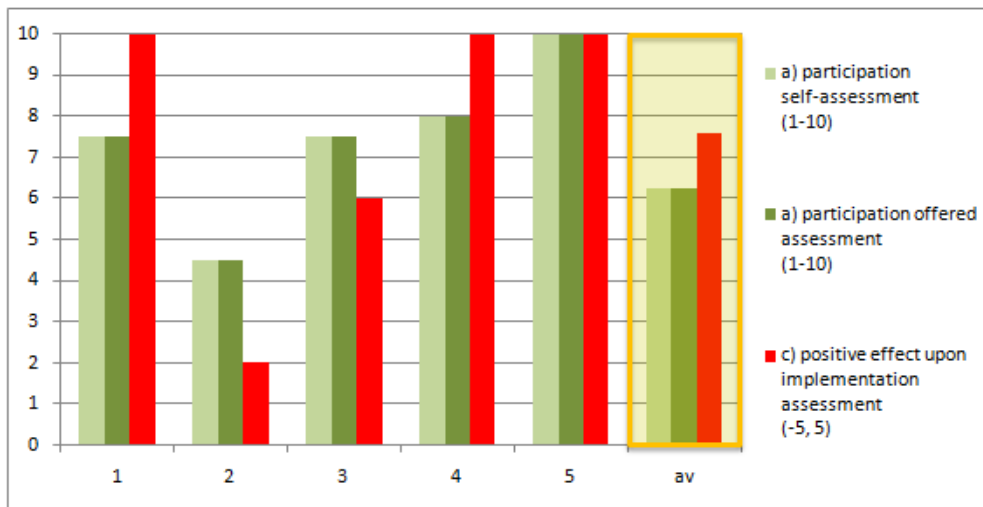
The focus is now on the third case; again a significant level of participation is offered but is not unlimited. In this case the assessment, more evolved than the previous cases -since this study presents an evolution of the method from first to last case- presents five assessments (see Fig 16, Case C -FSSP- Quantitative Assessments Summary

For more clarity we can represent the assessments in the same range, (“0-10 range”).

	a) participation self-assessment (1-10)	a) participation offered assessment (1-10)	b) implem. assessment, "team" (1-10)	b) implem. assessment, "leader" (1-10)	c) positive effect upon implementation assessment (-10,10)
1	10	10	7	10	8
2	7,5	8,7	5,1	9,0	10
3	9	8,6	6,3	9,5	6
4	6	8	8	8,5	10
5	8	9,4	6,5	10	10
6	10	6	5,5	10	10
av	8,8	8,8	6,4	9,5	8,6

**Fig 21. Case C -FSSP- Homogeneous Quantitative Assessments**

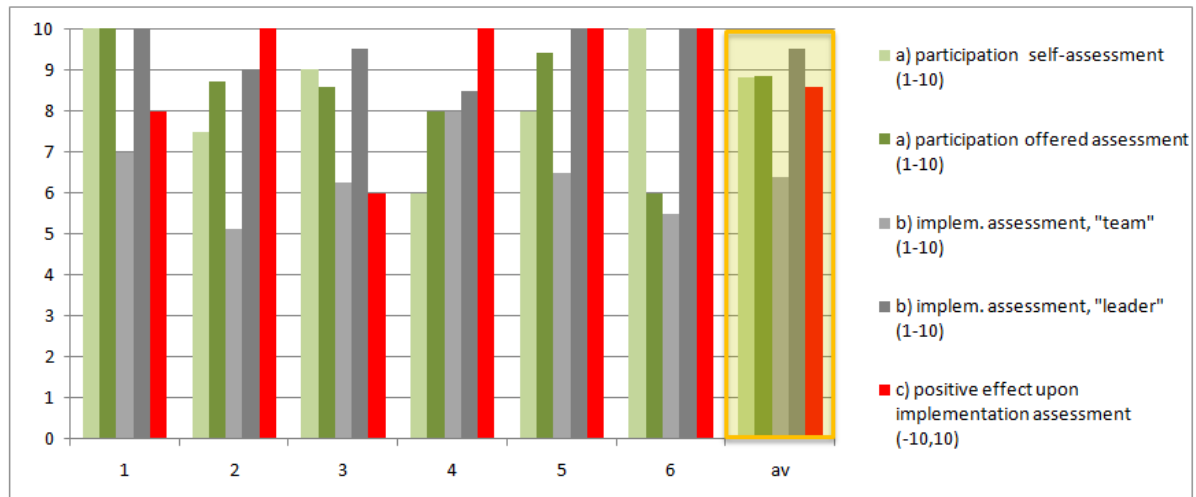
Doing the same scale conversion in the other case with participation offered, case A, ERM, the graphical representation shows the positive effect.



**Fig 22. Case A -ERM- Homogeneous Quantitative Assessments**

The FSSP case results follow the same pattern but with higher score, as seen before. In this case more aspects were assessed being therefore richer information available:





**Fig 23. Case C -FSSP-- Homogeneous Quantitative Assessments**

The graphics above show different assessments. Only case C, the most evolved in terms of data collection and field work, had the option to assess the process itself and the performance of the team and the leader separately.

Comparing the graphical representation of cases A (ERM) and C (FSSP), both positive cases in terms of participation offered, it is easy to realize that not only the perception of the positive effect from participation is better in FSSP, but also the perception of participation offered and participation self-assessment (the personal correspondence of each manager to the participation offered)

The A and B cases had a different quantitative assessment options, less evolved that the case C: the *semi-quantitative* assessment.

The interviewee had the opportunity to assess some characteristics of the process. All the results can be consulted on the appendices section.

By a way of example, it is shown show below the table related to the first interview, case A.

SEMI QUANTIT. ASSESSMENT, case A, interv. 1	Risk of Implementation Barriers		
	HIGH	MEDIUM	LOW
self perception	difficult	neutral	easy
	slow	neutral	fluent
team perception	not understood	partly understood	completely understood
	rejected	partly accepted	completely accepted
importance	standard	neutral	key project

**Fig 24. Semi-quantitative assessment, case A, example**

All the characteristics about the implementation process that were evaluated by the executives participants in the research were thought, designed to help the interviewee in the assessment avoiding biases or subjectivities as much as possible. Therefore from the four first sets of words, *difficult to easy*, *slow to fluent*, *not understood to completely understood*, *rejected to accepted*, the researcher may identify a clear perception about how the process was in the implementation process.

Additionally, the two first sets of words allow the researcher to identify some the self perception about the process meanwhile the second pair of sets show the manager's perception about the team behaviour when implementing the devised strategy.

As a complementary aspect the fifth set of words adds the manager's personal perception about the process, from *standard* (one more amongst the projects in the company) to *key project* (absolutely necessary, important).

This last set of words contributes to the global assessment clarifying the qualitative assessment and the relations between the key variables.

Project importance appears in the research, indeed, and depending on the case becomes significant or not significant variable independently from the offered participation.

Since this fifth set of words gathers the perceptions from the manager interviewed, communication of this perception of *project importance* to the team of implementers, to the levels below the manager's level, becomes very important for the result of the implementation process.

It seems clear, therefore, that *project importance* and *communication* are intimately linked and the effect upon implementation will be positive or negative (or even neutral) depending on the perception from the manager firstly and secondly its communication to the team.

A third variable emerges as a logical consequence of this relation between *project importance* and *communication* from the manager to the team: *hierarchical dependence*.

This variable may have, consequently, either positive or negative effect depending on the manager's decision, willing, predisposition, motivation, etc...

Case A data:

SEMI QUANTIT. ASSESSMENT, case A	Risk of Implementation Barriers					
	HIGH		MEDIUM		LOW	
self perception	difficult	60%	neutral*	10%	easy	30%
	slow	40%	neutral	0%	fluent	60%
team perception	not understood	20%	partly understood	0%	completely understood	80%
	rejected	0%	partly accepted	20%	completely accepted	80%
importance	standard	80%	neutral	0%	key project	20%

Fig 25. Semi-quantitative assessment, case A, average result

Case B data:

SEMI QUANTIT. ASSESSMENT, case B	Risk of Implementation Barriers					
	HIGH		MEDIUM		LOW	
self perception	difficult	80%	neutral*	20%	easy	0%
	slow	40%	neutral	10%	fluent	40%
team perception	not understood	20%	partly understood	70%	completely understood	10%
	rejected	80%	partly accepted	20%	completely accepted	0%
importance	standard	10%	neutral	0%	key project**	90%

\*from text interpretation. \*\* For Project Leader Only

Fig 26. Semi-quantitative assessment, case B, average result

Applying the same concept to the quantitative assessment drawn upon case C in order to compare results:

SEMI QUANTIT. ASSESSMENT, case C	Risk of Implementation Barriers					
	HIGH		MEDIUM		LOW	
self perception	difficult	33%	neutral*	34%	easy	33%
	slow	17%	neutral	33%	fluent	50%
team perception	not understood	0%	partly understood	17%	completely understood	83%
	rejected	0%	partly accepted	0%	completely accepted	100%
importance	standard	0%	neutral	0%	key project	100%

Fig 27. Semi-quantitative assessment, case C, average result

Interpreting the quantitative and semi-quantitative results it seems clear than the risk of barriers at the implementation phase is clearly lower when the participation is previously offered. As commented before, it is less clear if there is a direct relation between participation and lower level of resistance or barriers. Apparently there is a relation of proportionality but not strictly direct.

As commented as well, another variable that has shown influence in the process is the consideration of the *project importance* from the project's leader. It foster's the smoothness of the implementation process, acting as a kind of catalyst, influenced indeed by *communication*.

Therefore, in case C -wide but limited participation offered- the risk of implementation barriers is lower than in case A, -unrestricted participation offered- .

Taking into account both assessments, quantitative and semi-quantitative, the conclusion is clear. Participation in Strategic Planning matters and has a significant influence in managers, as key practitioners, implementers of the strategy, increasing their motivation and reducing the risk of barriers and consequently the risk of unexpected delays and extra-costs in the project. A limited participation is better, in terms of positive effect upon implementation and the perception about the importance of the project by the project's leader fosters this positive effect. Limited participation is better than unlimited participation, amongst other reasons, due to the lower perception of uncertainty about the project by the implementers. A limited participation but clearly defined from the early beginning has a positive effect for the managers involved in

the project providing them with more visibility facilitating their participation over the whole process, increasing their confidence and incentive.

### 6.3.2. Qualitative Approach

Making a joint analysis of the three cases it is easier to realize which variables are the most important:

ERM case text analysis			ARM case text analysis			FSSP case text analysis		
variable	quotations (62)	%	variable	quotations (57)	%	Variable	quotations (171)	%
participation	36	58	implementation barriers	19	33	Participation	46	27
implementation barriers	11	18	participation	9	16	communication	37	22
communication	5	8	communication	9	16	implementation barriers	31	18
hierarchical dependence	4	6	incentive	5	9	Incentive	30	18
incentive	2	3	project relevance	4	7	project relevance	9	5
project relevance	2	3	reward	4	7	hierarchical dependence	7	4
responsibility - duty	2	3	hierarchical dependence	3	5	responsibility - duty	4	2
reward	0	-	organizational alignment	3	5	Reward	4	2
organizational alignment	0	-	responsibility - duty	1	2	organizational alignment	3	2

Fig 28. Variables' importance comparison

And gathering the 290 quotations in a joint analysis in percentage over the total times that each variable was quoted, the set of four variables that the analysis reveals as the most significant are, in order of importance, *participation*, *implementation barriers*, *communication* and *incentive*.

Taking into account that implementation barriers and incentive are *two sides of the same coin*, the study points out *communication* as a really significant variable to be taken into account.

Complete Research text analysis		
Variable	quotations (290)	%
Participation	91	31
implementation barriers	61	21
communication	51	18
Incentive	37	13
project relevance	15	5
hierarchical dependence	14	5
Reward	8	3
responsibility - duty	7	2
organizational alignment	6	2

Fig 29. Joint Variable Analysis. Classification according to total amount of quotations

In the same way, interpreting results according to the total sum up of each variable’s weight (percentage) in each one of the three cases, the classification is exactly the same:

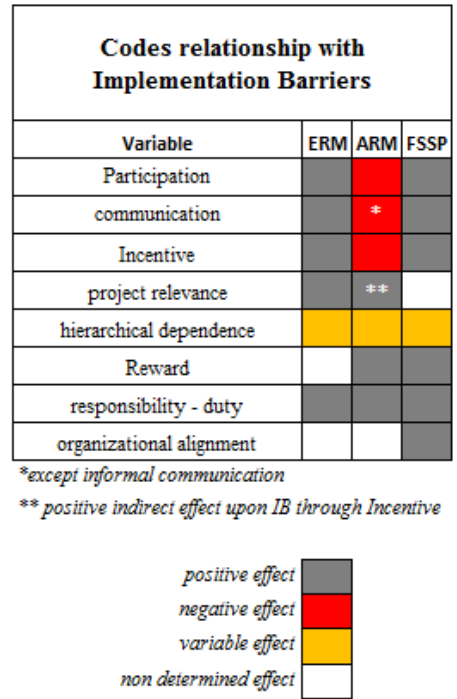
Complete Research text analysis		
Variable	relative importance	
Participation	1	34
implementation barriers	2	23
communication	3	15
Incentive	4	10
project relevance	5	5
hierarchical dependence	6	5
Reward	7	3
responsibility - duty	8	2
organizational alignment	9	2

Fig 30. Joint Variable Analysis. Classification according to percentage sum up.

In this research the two main variables analyzed from the early beginning were *participation* and *implementation barriers*. All the researching process was built upon this relation expressed in the research question: “How does practitioners’ participation in strategy formulation affect to strategy implementation?”....or, in other words, “How does participation of the implementers in Strategy Formulation affect Strategy Implementation?”

The other variables had been appearing over the interviewing and analysis process. In this sense, *incentive* adds a complementary point of view about participation’s consequences, the positive effect of participation. Although in the text analysis the quotations about implementation barriers are both, negative and positive effect from participation ,

communication, etc., upon the implementation process, it is necessary to analyze in depth each quotation in each case to realize the real effect than participation has.



**Fig 31. Variable's effect upon Implementation Barriers**

Linking this effect with the quantitative assessment carried out by 12 of the 21 executives interviewed -as part of the 23 interviews in this research- there is a clear and evident relation cause-effect between participation in Strategy Formulation and implementation barriers.

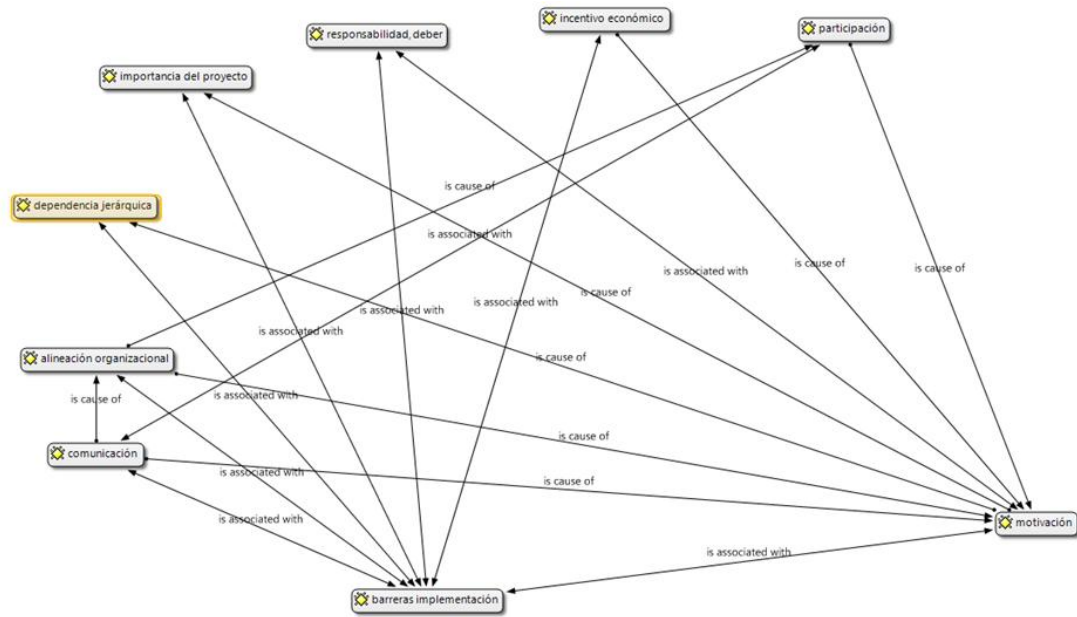


Fig 32. Variable's relationship with Implementation Barriers. (Case ERM)

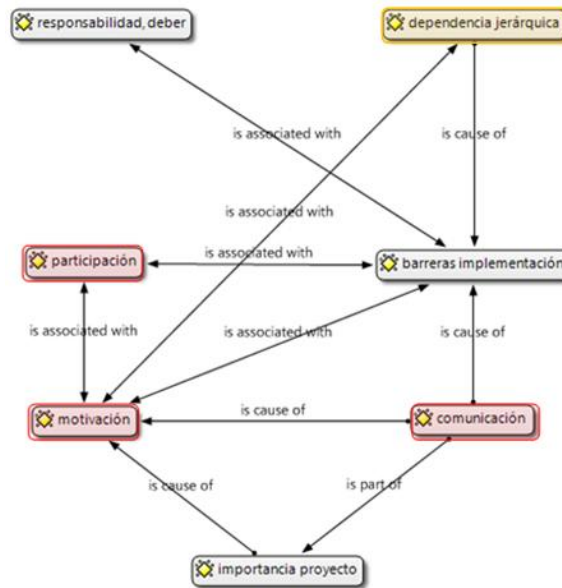
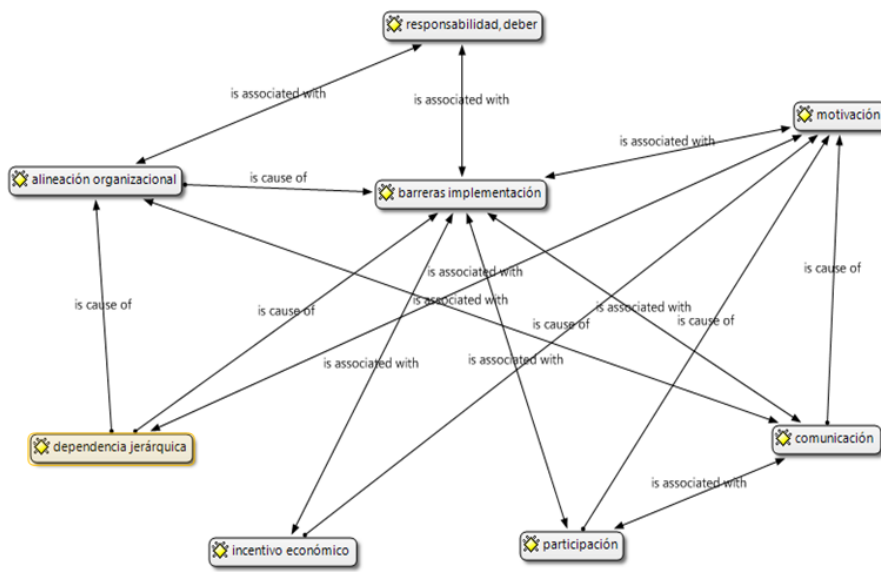


Fig 33. Variable's relationship with Implementation Barriers. (Case ARM)





**Fig 34. Variable's relationship with Implementation Barriers. (Case FSPP)**

## Chapter 7. Discussion

The research focuses attention on middle and top management as implementers although most of the participants interviewed are middle managers. Middle managers play a key role in organizational strategic activities and outcomes (Rouleau and Balogun, 2011; Teulier and Rouleau, 2013) and in strategy implementation in particular (Huy, 2011).

Following previous research focused on micro-social level activities and Strategy as Practice approach this study analyze practitioners' strategizing in strategic planning and particularly their participation in strategy formulation and strategy implementation trying to unveil a relationship cause-effect between both.

It is accepted and already discussed that formulating and executing are parts of an integrated strategic management approach. (L.G. Hrebiniak, 2006) .

With a focus on micro-level strategic phenomena SAP research have explored individual strategy practitioners and their perspectives on organizational issues (Hodgkinson & Clark, 2007; Bourque & Johnson, 2008; Mantere, 2008), being later more focused on aggregate practitioners, particularly middle managers (Rouleau & Balogun, 2011; Teulier & Rouleau, 2013).

The practical nature of this research is as well present in the aim of not only add to knowledge but also to managerial world some orientation to facilitate managerial activity. Particularly, from this study management can get some light about how to prepare strategy formulation in terms of participation to be offered to implementers and how to manage risk in the whole project. The risk of forecasted implementation barriers can be incorporated to the forecasted budget and taken into account in the strategic plan agenda for a more realistic schedule.

Implementation is the process of causing the firm to behave in accordance with the purposes, guidelines and strategies (Ansoff & McDonnell, 1990) and if that process fails the strategy becomes something useless.

Although not deeply developed in the literature there are previous research about this linkage

between participation offered and resistance. Texts in the corpus were found to examine the way that middle managers can contribute to the change process, particularly focusing on their resistance to, or participation in, the change process (Ole 2010; Teulier & Rouleau 2013). (Julien Pollack, 2015) My research follows in some extent that path, focused in practitioners and particularly in managers as implementers

Previous research draws also upon the idea of middle managers as strategy practitioners who are key players in the strategy implementation process. (Salih & Doll, 2013). Managers are in a position to use different types of political powers in order to influence strategic sensemaking of others in their organizations. (Hope 2010) . By using this political power managers –particularly middle management positions- can influence meaning construction to promote or suppress the implementation of new strategies (Guth & MacMillan, 1986).

Following these venues and the aforementioned general idea of middle managers as a positive or negative contributors to the strategy implementation process, this paper goes beyond and, extending the concept to all the management, analyzes how could be forecasted, in some extent, the managers resistance or collaboration in implementing strategy.

As it was pointed out in the Cambridge Handbook of Strategy as Practice, (Golsorkhi, Rouleau, Seidl, Vaara 2010). there is a rich research agenda in this field indicating some research avenues. Amongst the challenges for future research there was one especially interesting for me, according to my experience and knowledge: Coping and resistance.

I decided to follow this research avenue in order to clarify the relation between participation and resistance. Resistance belongs to the Praxis and, particularly, to the implementation process within the Strategic Planning.

As a clear finding from this research, it is evident that practitioners participation in strategic planning facilitates the strategy implementation reducing resistance, the barriers, the opposition that those practitioners may offer endangering the strategy success, the

forecasted budget (delays, extra costs...), etc. As presented at the results section, the analysis of data from cases in which participation in formulation was offered to implementers reveals a positive relation between both parts of the Research Question: participation and resistance.

This research goes beyond the idea cause-effect already exposed between participation and resistance and unveils an important fact: the level of participation offered can determine the level of positive effect on resistance, not being proportional. This is, the higher participation offered is not necessarily linked with an ulterior lower resistance. There is a limit from which the positive effect stays still or decreases slightly. (see Fig 20. Participation's effect upon Implementation).

Further research is necessary in the field seeking to determine the boundaries of this positive effect of participation in formulation upon implementation. There is an opportunity to create a model, a framework to allow organization some regulation of the participation offered as a lever to control implementation risk, improving the strategy execution process.

Additionally, new variables, new factors have raised, unfolded by this research process, adding some light to the aforementioned idea, to the linkage between participation offered and risk of implementation barriers:

The motivation or incentive, positive effect than participation has upon managers and thus over the Strategy implementation process is not directly proportional. There is higher motivation when the participation is offered in a wide but limited scenario. This situation avoids waste of time and possible biases, increases focus on the field and liabilities, provides managers (practitioners-implementers) with a clearer message of what to do, how and when keeping in any case a good level of implication derived from the fact that without their participation the Strategy Planning is not possible. Incentive is linked with commitment. Particularly special in implementation middle management commitment. "Strategies that lack middle management commitment suffer serious implementation problems" (Floyd and Wooldridge,1994).

Amongst the important variables that may affect the implementation process there is one that has shown significant influence: the hierarchical influence, hierarchical dependence. In some situations even offering an optimal participation to the implementer in order to produce the maximum motivation, an order given by the hierarchical superior, the manager to whom the implementer reports, contrary to the strategy, to the project or even to the project leader's will have a tremendous negative effect. In this case, the alignment of the whole organization is key to facilitate implementation, strategy and at the end of the day the success of the company. Recent research findings suggest that there is a strong relationship between consensus and performance, particularly for lower levels of strategic alignment (Walter, Kellermanns, Floyd, Veiga, & Matherne, 2013). "Effective strategic alignment empowers and motivates executives. A combination of effective strategic alignment and a BSC-based compensation plan has a positive effect on the extrinsic motivation of manufacturing executives". (Decoene and Bruggeman, 2006)

Communication is another variable also related to success in strategy execution. "Internal communication is a critical factor influencing strategy implementation...effective communication leads to positive outcomes". (Salih & Doll, 2013). Strategic planning is perceived as important for communicating an organization's strategy internally and externally (Bartkus, Glassman, & McAfee, 2000; Beer & Eisenstat, 2000; Kotter, 1995; Mintzberg, 1994). "While most of these authors have assumed that communication occurs after the formation of the plan, others indicate that communication is important during the formation of the plan (e.g. Grant, 2003; Ketokivi & Castañer, 2004; Lines, 2004). However, the communicative purpose of planning, the activities that are involved in communication, and its impact on either organizational members or on the plan itself are still under-researched." (Paul Spee). There is another venue for future research in communication as part of strategic planning.

Another important variable is the effect of linking the strategy implementation success to the manager's (implementer's) bonus. I called it reward. By so doing the manager is strongly committed with the success of the project...not necessarily with neither the strategy nor the goals or means, but committed with the consecution of the established goals.

The analysis of participation as a key factor in this research is justified by previous research.

It is accepted that participation creates the sense of ownership in the manager implementer and therefore incentive. “The truth is that implementation demands ownership at all levels of management. From C-level managers on down, people must commit to and own the processes and actions central to effective execution. The implementation of strategy is not a trivial part of managerial work; it defines the essence of that work.” (Obstacles to Effective Strategy Implementation, Lawrence G. Hrebiniak, *Organizational Dynamics*, Vol. 35, No. 1, pp. 12–31, 2006). “In order for middle managers to become proactively involved in strategies, it is essential for them to believe they are owners of the outcome of strategic initiatives” (Mair & Thurner, 2008). In some extent, to be owners of the outcome is clearly related to be engaged with the strategy and, as this research unveils, it is of paramount importance to participate in an appropriate measure, in strategy formulation.

Strategy formulation and Strategy implementation are interdependent parts of a process and it is crystal clear that both have influence on each other. Planning affects execution and execution of strategy feeds back updates to strategy and planning over time. This relationship between planning and executing suggests two critical points (L.G. Hrebiniak, 2006)

“First, successful strategic outcomes are best achieved when those responsible for implementation are also part of the planning or formulation process. The greater the interaction between “doers” and “planners,” or the greater the overlap of the two processes” or tasks, the higher the probability of execution success.”

“Second, strategic success demands a “simultaneous” view of planning and doing. Managers must be thinking about execution, implementation, even as they are formulating plans. “

Participation, thus, is inherently present in previous research as an important factor linked to execution.

Another key aspects are identified in previous research. Communication, Incentive, Hierarchical Dependence appear also in the aforementioned paper *Obstacles to Effective Strategy Implementation* (Lawrence G. Hrebiniak, 2006). In this research more than 400 managers involved in strategy formulation and execution were interviewed. As a result of that significant work six key issues were identified as a key difficulties for strategy implementation:

Inability to manage change effectively and overcome resistance to change:

Poor or vague strategy. (linked with Communication).

Not having guidelines or a model to guide strategy implementation efforts.

Poor or inadequate information sharing among individuals/units responsible for strategy execution. (linked with Communication).

Trying to execute a strategy that conflicts with the existing power structure. (linked with Hierarchical dependence).

Unclear responsibility or accountability for implementation decisions or actions. (linked with Reward).

Two of them are related to communication.

“Communication down the organization or across different functions becomes a challenge. Making sure that incentives throughout the organization support strategy execution efforts becomes a necessity and, potentially, a problem.” (L.G. Hrebiniak, 2006)

And other are related to hierarchical dependence or reward.

Also discussed in that research were “the contributions of other conditions to ineffective execution, including (a) the time required for implementation,(b) the separation of planning and doing,...” (L.G. Hrebiniak, 2006). The identification of the separation of planning and doing as a cause of difficulties in strategy execution, it is, in implementation, fits completely with my research and reinforces the idea that formulation and implementation are interdependent and must be treated from a wider point of view, managing key aspects like participation and communication in order to increase incentive, motivation, sense of ownership, organizational alignment....for a better, more effective and efficient strategy execution, reducing the risk of resistance , improving results and performance.

There are several references to the struggle of organizations to implement intended strategies (Hrebiniak, 2006; Neilson, Martin, & Powers, 2008; Schaap, 2012). A better understanding of the mechanisms of influence in strategy implementation could assist business leaders to overcome potential barriers to strategy implementation by embedding the analysis of possible problems during the strategy development and planning. (Salih & Doll,2013).

This research reinforces the findings from the previous research of Salih and Doll: “key organizational factors influencing strategy implementation are participative management style, strategic alignment, and internal communication. By adopting a participative management style, ensuring strategic alignment of various organizational elements, and enhancing internal communication, organizations are more likely to succeed in implementing their planned and emergent strategies”. (Salih & Doll,2013).

All these key organizational factors have being found as key aspects in my research as well. As a matter of fact, all three aspects are intimately related: Participative management style implies a good internal communication and both foster strategic alignment.

The findings of Salih & Doll show that middle managers contribute to strategy implementation playing a key role in managing resources, providing information to decision makers, giving emotional support to their subordinates, and communicating the strategic intent of senior management throughout the organization. (Salih & Doll, 2013). As they indicate in their paper, underpinned by these facts, I try to develop mechanisms to engage middle managers in the strategy implementation efforts and ensure their commitment. In particular, being aware about the relation between participation and motivation and therefore commitment the top management could improve the Strategic Planning process and particularly the Strategy Implementation.



## Chapter 8. Conclusions

Managers' participation in Strategy Formulation matters and has a significant influence in their attitude, as practitioners, implementers of the strategy, incrementing –or reducing- their motivation and reducing –or incrementing- the risk of strategy implementation barriers. As a clear finding from this research, it is evident that *practitioners participation in strategic planning facilitates the strategy implementation reducing resistance*, the barriers, the opposition that those practitioners may offer endangering the strategy execution success.

*A limited, clearly defined participation is better*, in terms of positive effect upon implementation and the perception about the importance of the project by the project's leader boosts, reinforces this positive effect. Limited participation is better than unlimited participation, amongst other reasons due to the reduction of uncertainty about the project. Limited participation is clearly defined from the early beginning for the managers involved in the project...and has boundaries; therefore allows managers to have more visibility and better planning facilitating their participation over the whole process.

The motivation, positive effect than participation has upon managers -and therefore upon Strategy implementation process- is not directly proportional to the level of participation offered. There is higher motivation when the participation is offered in a wide but limited scenario. This situation avoids waste of time and possible biases, increases focus on the field and liabilities, provides managers (practitioners-implementers) with a clearer message of what to do, how and when keeping in any case a good level of implication derived from the fact that without their participation the Strategy Planning is not possible.

New factors have been unfolded by this research process, adding some light to the linkage between participation offered and risk of implementation barriers:

Amongst the important variables than may affect the implementation process there is one that have shown significant importance: the hierarchical influence, *hierarchical dependence*. In some situations even offering an optimal participation to the implementer in order to produce the maximum motivation, an order given by the hierarchical superior, the manager to whom the implementer reports, contrary to the strategy, to the project or even to the project leader's will

have a tremendous negative effect. In this case, the alignment of the whole organization is key to facilitate implementation, strategy and at the end of the day the success of the company.

Another important variable is *reward*, the effect of linking the strategy implementation success to the manager's (implementer's) bonus. By so doing the manager is strongly committed with the success of the project...not necessarily with neither the strategy nor the goals or means, but committed with the consecution of the established goals.

And largely analyzed by science, communication appears as influential key factor in the process. It is necessary to research more about the mechanism that enhances the positive effect on resistance through communication.

Therefore, before starting a strategy formulation process it is important to assess the feasibility of implementer's involvement in it, through limited and well defined participation, communicating effectively the key aspects of the project, creating a motivational environment and an ownership feeling amongst the management that will facilitate the execution of the devised strategy. And if participation is not feasible at all for any reason, then assess the risk of a future sure resistance and its associated cost and, in any case, try to communicate that reason to make it understood and forecast and set up mechanisms to minimize resistance impact in the project.

From this qualitative research as a contribution to the extant knowledge a clear and evident causal relationship between participation in strategy formulation and implementation barriers emerges identifying a limitation in the relationship that reveals it as not proportional.

The research unveiled as well other significant variables that may become influential depending on the environment of each organization: *hierarchical dependence, reward and communication*. Further research is needed in that venue to determine the influence of each of the aforementioned variables..

Further research is necessary in the field seeking to determine the boundaries of this positive effect of participation in formulation upon implementation. There is an opportunity to create a model, a framework to allow organization some regulation of the participation offered as a lever to control implementation risk, improving the strategy execution process.

Research limitations: longitudinal data would be necessary to reinforce the idea of the described causal relationship in the same environment and the effect of hypothetical adaptation to established patterns. Larger sample for quantitative analysis would bring to the analysis stronger results.

## Appendices

### Annex 1. CASE A: Enterprise Risk Management [ERM]

This first case, ERM, is a positive sign case in which the participation offered to the practitioners was significantly high since that particular strategic tool was being defined and implemented for first time in the Ferrovial group's history.

The leader of the project, the Chief Risk Officer (CRO), decided to widely open the participation for all parties involved and particularly for the practitioners that later would be responsible for the ERM implementation.

The process had three main stages. In which one of those stages the participation offered to external practitioners was different. We call "external practitioners" those that don't belong to the leader's team. It is, to the CRO's team.

First phase: Internal design

Second phase: Revision and improvement of the initial design.

Third phase: Completion of the main required data from Business and Support Areas.

At the first phase the participation offered was null. A team made up by internal and external experts made the initial design.

At the second stage a bridge between initial design and existing reality of the company was built, giving some participation quota to some practitioners, future implementers.

At the third phase the participation was widely offered to those in charge of future implementation but also to third parties, back-office and support areas.

The interviews were drawn up using the version 1 and 2 of the standard questionnaire. Those versions are included at the end of this document.

case ERM		INTERVIEWS SCHEDULE and DETAILS		
	name		feedback	questionnaire + interview
1	CONFIDENTIAL	Chief Risk Officer (CRO) Ferrovial Corporacion	OK	OK (in person)
2		HR General Manager Ferrovial Corporacion	OK	OK (in person)
3		Organization & HR General Manager FS	OK	OK (in person)
4		Chief Financial Officer (CFO) Ferrovial Servicios	OK	OK (in person)
5		Legal Advisory Ferrovial Servicios	OK	OK (in person)
6		Chief Information Security Officer (CISO) F.Corp	OK	OK (in person)
7		Tax Consultancy Director Ferrovial Corporacion	OK	OK (tf)

#### Interview 1: (JAL)

Chief Risk Officer (CRO) Ferrovial Corporación

Open Interview (without questionnaire)

*En primer lugar se llevó a cabo un diseño interno de lo que queríamos, de la herramienta a conseguir. Esta primera fase de diagnóstico y diseño la realicé (JAL) en primera persona. Por tanto la participación fue total. A partir de aquí se confeccionó un diseño evolucionado, más perfeccionado entrando más en los diferentes detalles de la herramienta estratégica a implantar. Esta segunda fase la lideró el gerente de área (Andrés González Touriño).*

*Finalmente se acometió una tercera fase, la fase final, en la que se implicó a negocio dándole participación para contribuir con ciertas partes de la confección e implantación de la herramienta de gestión de riesgos Enterprise Risk Management (ERM).*

*En el proceso participaron consultores externos, Price Waterhouse & Coopers (PWC) a fin de dar soporte al equipo interno basado en la experiencia en proyectos similares que la consultora PWC tiene.*

*En opinión de los consultores, la resistencia a la implantación no fue mayor de la esperada.*

*El ERM es una herramienta que se fundamenta en la valoración del riesgo. Dicha valoración consta de dos partes o conceptos fundamentales: impacto y probabilidad.*

*La necesidad de desarrollar esta herramienta estratégica surge del propio Consejero Delegado del grupo Ferrovial y de la detección de la necesidad de valorar el riesgo en cada proyecto de una forma profunda y ordenada, eficiente y efectiva, como requisito previo a su lanzamiento.*

*En el sector financiero, por ejemplo, el CRO autoriza o paraliza proyectos en función del riesgo. En nuestro caso no es exactamente así. Hay otras componentes, pero es igualmente de suma importancia.*

*Un primer aspecto importante es la comunicación para conseguir transmitir las ideas fundamentales que faciliten el entendimiento del proyecto y así mejorar la posterior aceptación del mismo. En el caso del ERM la primera acción de comunicación fue compartir la Política de Gestión de Riesgos del grupo en Ferronet, la red interna de Ferrovial.*

*En Ferrovial la herramienta se centra en las necesidades del gestor, esto es, riesgos a evitar, riesgos a transferir, etc..*

*Una parte importante del trabajo de seguimiento para completar la herramienta con la participación e implicación de los directivos de negocio fue “empujar” para que las evaluaciones y análisis de riesgos se realizasen.*

*En la primera fase se elabora un catálogo con el universo de riesgos posibles con la colaboración y aceptación de los directivos de negocio, que son los que posteriormente tendrán que implantar el ERM. En este universo de riesgos se incluyen los Estratégicos, los Operativos, los Financieros y los relacionados con el cumplimiento de condiciones específicas.*

*A continuación se procede a identificar los riesgos específicos aportándola descripción del riesgo, el porqué de su control y el control actual, todo ello por parte de los implementadores, directivos de negocio. Se les ofreció la posibilidad, por tanto, de acotar y definir tanto como considerasen necesario. No se les impuso este aspecto aunque lógicamente todo se hizo en el marco del plan diseñado por nosotros, como comento al principio.*

*Por último se realiza una Escala de Riesgos; se ponderan en base a los conceptos impacto y probabilidad y su impacto probable en los objetivos estratégicos definidos. Se asocia un coste. Se busca posible solución y se definen plazos.*

*Como resultado de todo este proceso el CEO de Ferrovial obtiene un mapa de riesgos de todo el grupo. Cada unidad de negocio tiene un “peso” diferente en el dimensionamiento y los grandes riesgos son los que más importancia tienen (Influencia de las decisiones del Regulador en UK, por ejemplo, etc.,).*

*¿Cómo participan los implementadores, los ejecutivos de negocio que tienen que implantar el ERM en sus áreas? Con los implementadores se negocian los contenidos del catálogo de riesgos pero no el proceso. El proceso, el marco para todo ello, lo damos definido.*

*A nivel de barreras o dificultades, ningún implementador vio una amenaza en el proyecto; sin embargo al final, con la implantación de la herramienta algunos perciben el proyecto como una estrategia para incrementar el control sobre sus unidades de negocio en lugar de una estrategia de mejora de la gestión.*

*La participación de los directivos implementadores -tanto de negocio como de otras áreas de soporte- a nivel práctico consistió en ofrecerles una base de riesgos ya realizada y trabajada por nosotros para su depuración, complementación, mejora...en función de lo que considerasen oportuno. De este modo podemos afirmar que se evitaron muchas resistencias, barreras en la implantación de la herramienta. De todos modos, esta herramienta tiene una aplicación continuada, en el día a día, y si bien no fue muy difícil implantarla inicialmente si se observan resistencias en su aplicación continuada por lo comentado anteriormente, se interpreta como una restricción a la gestión, como más control. Para superar esta barrera es necesario comunicar mucho y de forma didáctica, yendo al fondo de la necesidad del ERM.*

*El período de aplicación en pruebas ha sido de tres años. En el cuarto año ya se aplica de forma real y con consecuencias en el día a día y las decisiones de negocio.*

*También es importante destacar que la acción del DG es clave. Su actitud e impulso pesan mucho en el éxito, en la facilidad de implantar la herramienta y de llevar a cabo cualquier proyecto en general.*

*Aún así la actitud –resistencia-de los directivos de negocio fue distinta por cada negocio con la única diferencia entre ellos, a nivel general, de la persona al frente. La actitud del directivo que está al frente de negocio es a su vez clave. La influencia de DG impulsa pero pueden surgir barreras si la actitud del directivo implementador es contraria al uso de la herramienta.*

*Un caso concreto es el de BAA (British Airports); la compañía tenía su propio sistema de valoración y gestión de riesgos. En el medio-largo plazo el ERM ha provocado cambios en el sistema de medición de riesgos de BAA adoptando algunos aspectos de la nueva herramienta.*

*Se dio participación a todos los implicados con dos objetivos a conseguir:*

- *En primer lugar para evitar errores posteriores y las críticas derivadas. Se preguntó su opinión y su valoración; qué está bien y debe mantenerse, que está mal y debe retirarse, que puede mejorar para mantenerse....*
- *En segundo lugar el objetivo dando participación era legitimar el proceso.*

*La participación ofrecida, por tanto, fue elevada. Sin embargo no se recogieron muchas propuestas de mejora, posiblemente derivado de no tener experiencia previa en la materia en la mayoría de los casos.*

*Además se les dio el proyecto “en blanco” para que pudieran definir las áreas de la organización para cada mapa de riesgos y se les pidió también asignar un responsable del proceso para cada área.*

*Al ser un proceso tan abierto a la participación provocó que el proceso fuese más largo y complicado de lo previsto.*

*Finalmente tenemos una herramienta básicamente cualitativa, estratégica, que permite valorar situaciones de negocio y tomar decisiones pensando en el largo plazo.*

## Interview 2: (GA)

HRRR General Manager, Ferrovial Corporación

a) Participation at the ERM Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*En primer lugar tuve acceso a toda la información previa de forma completa, ordenada, etc. A continuación me ofrecieron participar a través de reuniones para definir criterios. Esta fase constó de tres reuniones que, en mi opinión, fueron suficientes. En ese entorno todos los participantes pudimos opinar de todo. En general se hizo una definición a nivel cualitativo, de “grandes ideas”.*

•¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Suficiente para conseguir el objetivo perseguido. Valoraría la participación con un 7 o un 8, bastante alta.*

•¿Tuvo la visión a futuro de lo que se estaba haciendo?

*Sí, desde el principio supe de qué se trataba y en qué consistía.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)

7,5 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

• ¿Cuál fue / es su función?

*Dentro del área de RRHH de Ferrovial y en relación con este caso concreto soy el responsable de Riesgos Globales de RRHH. Mi misión es la de informar y gestionar los riesgos.*

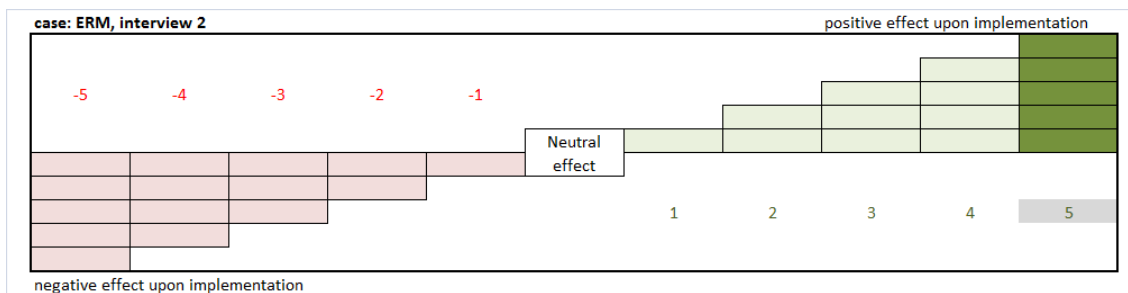
• En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso....(escoger entre las opciones siguientes:)

- ...sencillo
- ...complicado
  
- ...fluido
- ...lento
  
- ...perfectamente entendido
- ...parcialmente entendido
- ...no entendido

- ...perfectamente aceptado
  - ...parcialmente aceptado
  - ...rechazado
  
  - ...fomentado/impulsado desde su posición
  - ...Uno más dentro de los muchos a implantar en la organización.
- *Sencillo, pero con matices. Aspectos como definir riesgo versus contingencia, por ejemplo, no fueron fáciles...*
  - *Fluido, a pesar de que no ha sido corto. Ha requerido tiempo pero el desarrollo durante esa etapa ha sido fluido.*
  - *Perfectamente entendido.*
  - *Perfectamente Aceptado.*
  - *Uno más de los muchos procesos a implantar en la organización.*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*En mi área en concreto no ha existido influencia significativa del superior jerárquico, en relación a posibles efectos sobre la motivación. En todo caso ha tenido una influencia positiva pero no determinante.*

*Para cada caso existe un nivel de participación idóneo. No hay una regla fija. Dependerá del tipo de proyecto, de si se puede comunicar libremente o es confidencial, de si se permite un amplio abanico de opciones para definirlo o bien se está obligado a unas acciones restringidas concretas....*

Interview 3: (JABG)  
Organization and HHRR General Manager, Ferrovial Servicios

a) Participation at the ERM Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Como responsable de Prensa del Grupo Ferrovial, en mi etapa anterior, pude participar aportando mi experiencia en situaciones polémicas, delicadas, ...valorándolo como un riesgo e incorporándolo al ERM.*

*También participé en el área de Marca aportando al diseño visual de la herramienta ERM.*

•¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Muy positivamente. En forma cuantitativa le daría una nota de 8 sobre 10.*

•¿Tuvo la visión a futuro de lo que se estaba haciendo?

*Sí, se explicó bien.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)

8 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

• ¿Cuál fue / es su función?

*No participé directamente en la implementación. Este apartado lo acabó implantando el Director de Comunicación.*

• En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso...(escoger entre las opciones siguientes:)

...sencillo

...complicado

...fluido

...lento

...perfectamente entendido

...parcialmente entendido

...no entendido

...perfectamente aceptado

...parcialmente aceptado

...rechazado

...fomentado/impulsado desde su posición

...Uno más dentro de los muchos a implantar en la organización.



- *No procede*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.

- *No procede*

d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*Lo que he podido comprobar es que una vez definido y puesto en marcha el software, la herramienta ERM, no se aprecian grandes barreras en su utilización.*

#### Interview 4: (FGC)

Chief Financial Officer (CFO) Ferrovial Servicios

a) Participation at the ERM Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Es el CEO de FS, mi superior jerárquico, quien me encarga participar y quien controla la evolución del proceso. El Consejo de Grupo quiere evitar decisiones estratégicas erróneas y al estar en tantos mercados y con tanto riesgo es necesario disponer de una metodología, un sistema de valoración del mismo previo a realizar grandes inversiones.*

*Cada gestor participa en la definición de su área y es responsable de su cartera de riesgos. Por agregación de todos los riesgos detectados por área se valora el riesgo global, etc.*

*Pude participar pero mi área de participación estaba muy restringida.*

•¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Como digo, la aportación que pude hacer y por tanto mi participación estaba muy "encorsetada". De forma cuantitativa la valoraría con un 4,5 sobre 10.*

•¿Tuvo la visión a futuro de lo que se estaba haciendo?

*No. En mi caso, la división de Servicios, no tuvo visibilidad de todo el proceso. De hecho solo la tuvo de modo completo la división de Construcción pues Aeropuertos, al estar integrado en BAA tampoco tuvo una idea clara de todo el proceso hasta el final.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)

4,5 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

• ¿Cuál fue / es su función?

*Al ser responsable del área financiera, área de gran implicación en valoración de riesgos, mi función fue de “embudo”. Recibía toda la información para tratarla y pasársela al CEO de FS, SO, para su valoración.*

• En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso....(escoger entre las opciones siguientes:)

○ ...sencillo

○ ...complicado

○ ...fluido

○ ...lento

○ ...perfectamente entendido

○ ...parcialmente entendido

○ ...no entendido

○ ...perfectamente aceptado

○ ...parcialmente aceptado

○ ...rechazado

○ ...fomentado/impulsado desde su posición

○ ...Uno más dentro de los muchos a implantar en la organización.

- *Complicado, o mejor dicho “complejo”. Se designaron 10 personas de distintas áreas, 10 directivos para que canalizasen todo el trabajo en ambos sentidos, bottom up y top bottom. Por eso no fue algo sencillo. Muchos participantes, mucha interlocución,...*

- *Fluido. A pesar de la complejidad el proceso tuvo bastante fluidez.*

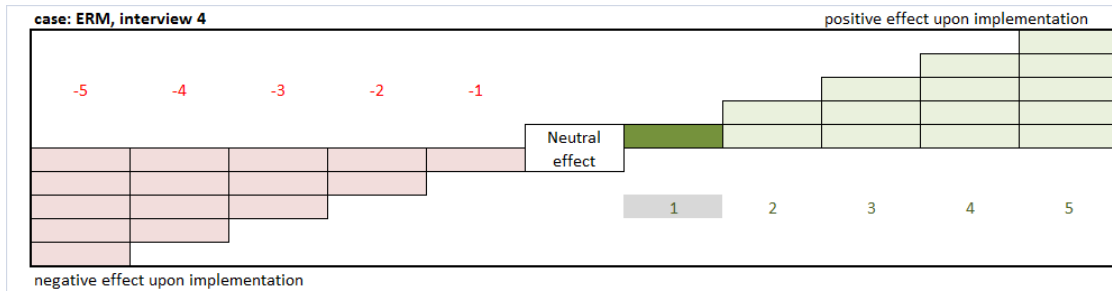
- *No entendido. A efectos prácticos no se detectó ningún riesgo adicional a los planteados y no se usa de forma estricta en el día a día. Sí se usa, sin embargo, el de Contingencias.*

- *Parcialmente Aceptado. En algunos casos la postura frente al cambio planteado fue decir “no lo necesitamos”.*

- *Uno más de los muchos procesos a implantar en la organización.*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*Un aspecto posible es la influencia del superior jerárquico, bien directamente, real, pero también empleada como excusa por el directivo para no acometer su responsabilidad. En general la participación es una reunión abierta en la que te presentan una lista ya confeccionada de riesgos. Hice aportaciones en el scoring de los riesgos, en su valoración, pero no fue tomada en consideración al 100%. El método tiene un efecto “compliance”; puede que no se entienda o acepte pero el directivo se limitará a cumplirlo.*

Interview 5: (AGL)  
Legal Advisor (Internal)

a) Participation at the ERM Strategic Planning .  
a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Se ofreció participación voluntaria en el proceso. Fue una participación a través de reuniones abiertas.*

*El marco de participación era a nivel macro, no a nivel de detalle de la herramienta pues este aspecto ya venía definido. Participación en el diseño, por tanto, pero de aspectos de “alto nivel”, no de base.*

*En mi caso concreto participé en el análisis y definición del área de grandes riesgos para la organización en general.*

• ¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Valoro la participación (lo aportado y la posibilidad de hacerlo) como algo positivo. De todos modos se podría hacer con más profundidad y mayor detalle pero requiere más tiempo. De forma cuantitativa lo valoro con un 7 o un 8 sobre 10.*

- ¿Tuvo la visión a futuro de lo que se estaba haciendo?

*Sí, desde el principio.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)

On average, 7,5 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

- ¿Cuál fue / es su función?

*Como responsable de riesgos de FS España coordiné la implementación y aplicación de la herramienta en las unidades de negocio de la división, Cespa y Ferrosfer. Aspectos como asegurar que las respuestas –en el proceso participativo- se dieran en plazo, solventar dudas, etc.*

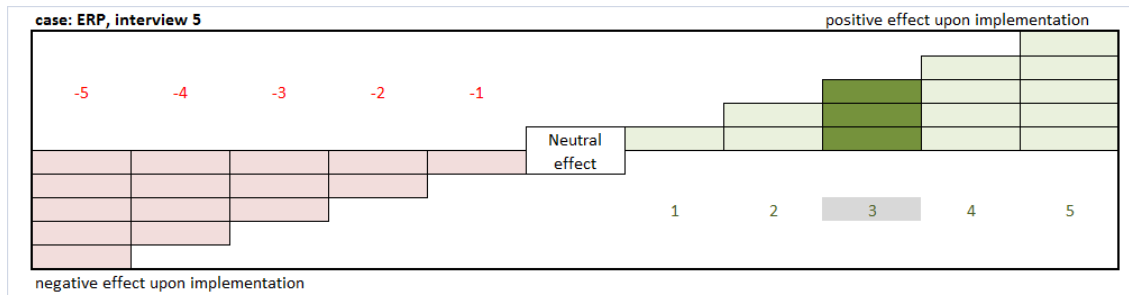
*Además me ocupé de completar el ERM en aspectos legales y finalmente reportaba toda la información referente al área que representaba al CEO de FS, SO.*

- En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso....(escoger entre las opciones siguientes:)
  - ...sencillo
  - ...complejo \*  
*\*(from interview 4 onwards “complicado” was swapped by “complejo” as a result of the comments from the previous interview.)*
  - ...fluido
  - ...lento
  
  - ...perfectamente entendido
  - ...parcialmente entendido
  - ...no entendido
  
  - ...perfectamente aceptado
  - ...parcialmente aceptado
  - ...rechazado
  
  - ...fomentado/impulsado desde su posición
  - ...Uno más dentro de los muchos a implantar en la organización.

- *Complejo.*
- *Lento. La complejidad del proceso provocó que se alargase en el tiempo.*
- *Perfectamente entendido.*
- *Perfectamente Aceptado.*
- *Uno más de los muchos procesos a implantar en la organización.*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*En mi caso ha habido influencia del superior jerárquico en sentido positivo; instrucciones de colaborar con el proyecto.*

*En mi opinión la participación ofrecida ha facilitado la implantación disminuyendo las posibles barreras que hubiesen aparecido de no haber sido un proceso tan participativo.*

*Como barreras aparecidas destacar la resistencia a aumentar el nivel de “reporting” al ser interpretado como una mayor carga de trabajo para el directivo.*

#### Interview 6: (JCP)

Chief Information Security Officer (CISO)

a) Participation at the ERM Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Como Jefe del Departamento de Seguridad en la Información participé en la definición de riesgos de mi área.*

*En particular aporté riesgos asociados a seguridad den la información y participé en la definición de índices de referencia para medirlos.*

*No participé en la definición del modelo del ERM como tal puesto que esto ya nos vino dado como resultado del trabajo interno de base previo a la participación ofrecida.*

• ¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Valoro la participación positivamente; alta.*

*Cuantitativamente un 8 sobre 10.*

- ¿Tuvo la visión a futuro de lo que se estaba haciendo?

*Sí, totalmente. Tuve suficiente información desde el principio y en todo momento.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)

8 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

- ¿Cuál fue / es su función?

*He sido el encargado de la puesta en común de todos los riesgos contenidos en el modelo, de informar y comunicar, de compartir la información del ERM con otras áreas en aspectos relacionados con la mía, riesgos de los Sistemas de Información y Comunicación, así como de algunos temas generales.*

- En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso...(escoger entre las opciones siguientes:)

- ...sencillo

- ...complejo \*

*\*(from interview 4 onwards “complicado” was swapped by “complejo” as a result of the comments from the previous interview.)*

- ...fluido

- ...lento

- ...perfectamente entendido

- ...parcialmente entendido

- ...no entendido

- ...perfectamente aceptado

- ...parcialmente aceptado

- ...rechazado

- ...fomentado/impulsado desde su posición

- ...Uno más dentro de los muchos a implantar en la organización.

- *Sencillo. Desde un punto de vista operativo.*

- *Fluido.*

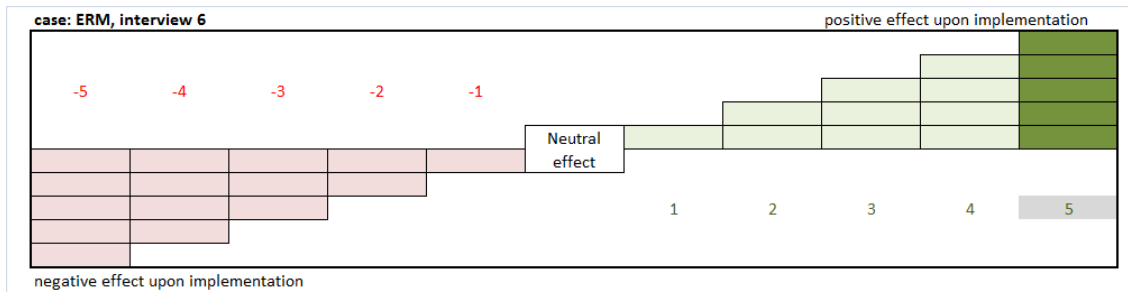
- *Perfectamente entendido.*

- *Perfectamente Aceptado.*

- *Uno más de los muchos procesos a implantar en la organización.*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*Como digo, ha sido un proceso sencillo desde un punto de vista operativo, pero complicado en la aplicación pues la herramienta es compleja. Es difícil saber aplicar el criterio adecuado para determinar si se analiza o no un riesgo.  
También comento que es uno más de los muchos procesos a implantar en la organización pero aclarar que con mayor implicación.  
En general ha sido muy positivo pues gracias a habernos permitido la participación en él ahora se recoge nuestra realidad, tal y como queremos que esté representada.  
En mi caso la influencia de mi superior jerárquico ha sido alta. Al estar él muy implicado y convencido nos ha transmitido esa misma actitud.*

Interview 7: (IF)  
Tax Consultancy Director, Ferrovial Corporación.

a) Participation at the ERM Strategic Planning .  
a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*La participación en el proceso nos permitió establecer de primera mano qué tipologías de riesgos y qué riesgos concretos son susceptibles de “reporting”, es decir, qué riesgos deben ser valorados y reportados.*

*Muy concretamente participé en la definición y valoración del riesgo fiscal vinculado a los proyectos.(Negocio, Cabecera y Central)*

*También pude participar en la definición de la escala de valoración para cuantificarlos.*

*Esto nos facilitó conseguir el compromiso de los implementadores, pues pudieron opinar al respecto y, por coherencia, después aplicar sin temor aquello sobre lo que han opinado.*

- ¿Cómo valora su participación en el diseño de la herramienta estratégica?

*Muy positivamente. Con un 10 sobre 10.*

- ¿Tuvo la visión a futuro de lo que se estaba haciendo?

*Sí. Ello permitió ver la utilidad a futuro de lo que hacíamos.*

a.1) Qualitative assessment.

(Not explicitly included at the questionnaire, but added here for further information)  
10 out of 10.

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del ERM de Ferrovial

- ¿Cuál fue / es su función?

*En la implementación, la puesta en marcha y aplicación diaria, participo como usuario del ERM.*

- En su opinión, la implantación y uso posterior del ERM ha sido (o es) un proceso...(escoger entre las opciones siguientes:)

- ...sencillo

- ...complejo \*

*\*(from interview 4 onwards "complicado" was swapped by "complejo" as a result of the comments from the previous interview.)*

- ...fluido

- ...lento

- ...perfectamente entendido

- ...parcialmente entendido

- ...no entendido

- ...perfectamente aceptado

- ...parcialmente aceptado

- ...rechazado

- ...fomentado/impulsado desde su posición

- ...Uno más dentro de los muchos a implantar en la organización.

- *Complejo. Por la materia que trata.*

- *Lento.*

- *Perfectamente entendido. Muchas reuniones y esfuerzo para conseguirlo.*

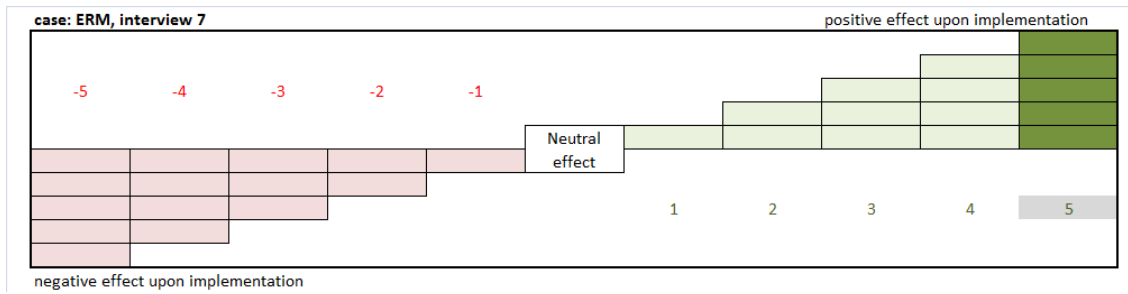
- *Perfectamente Aceptado.*

- *Fomentado/impulsado desde mi posición.*

c) Overall Assessment : Was your participation at the Strategic Planning stage positive in order to facilitate the ulterior implementation?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.





d) Open Question. Space for comments and clarifications or any other contribution to the previous answers.

*El ERM suple una necesidad que como directivo tenía. Por esta razón y por la importancia de la herramienta he impulsado desde el principio todo el proceso.. El nivel de motivación, en mi caso ha sido derivado sobretodo por ser consciente de la utilidad de la herramienta, no tanto por la participación.*

*Si hubiese sido una herramienta estratégica impuesta desde arriba simplemente se le hubiese dado cumplimiento y ya está. Al haber sido un proceso tan abierto, participativo y trabajado entre los que después somos usuarios, al haber podido participar en su diseño, se ha conseguido una mayor implicación. Una total implicación.*

*En mi caso el superior jerárquico no ha influido al tener una posición neutral.*

Practitioner's Questionnaire v1 (and v2)

Cuestionario *practitioners*

VERSIÓN 1

a) En la fase de diseño del ERM de Ferrovial

- ¿Cuál fue su participación en dicha fase? (Comentar)

- Valore (de 1 a 10)
  - su implicación.
  - el grado de participación que se le ofreció.
- ¿Tuvo la visión a futuro de lo que estaba haciendo?

b) En la fase de implantación del ERM

- ¿Cuál fue / es su función?
- En su opinión, la implantación y uso posterior ha sido / es un proceso (marque tantas como quiera):
  - ...sencillo
  - ...complicado ( “complejo” in v2)
  
  - ...fluido
  - ...lento
  
  - ...perfectamente entendido
  - ...parcialmente entendido
  - ...no entendido
  
  - ...perfectamente aceptado
  - ...parcialmente aceptado
  - ...rechazado
  
  - ...fomentado/impulsado desde su posición
  - ...más dentro de los muchos a implantar en la organización.

c) Valoración general

- Su participación en la fase de creación, ¿ha sido positiva para su participación en la fase de implantación? (Valore puntuando en escala de 10 notas pero de -5 a 5, donde un -5 significa que ha sido contraproducente, 0 que el impacto ha sido neutro, 5 si ha resultado muy positivo facilitando la implantación)

d) Comentarios (abierto)

## **Annex 2. CASE B: Accounts Receivable Management [ARM] in Cespa.**

This second case, ARM, is a negative sign case in which the participation offered to the practitioners was null. The strategy was defined by the CEO and therefore imposed to the rest of the management.

The leader of the project, the Urban Services Division Director (USDD), was in charge of the strategy communication to the management and also responsible for the implementation process management, monitoring and reporting.

The ARM strategy was entrusted directly to the CEO of Cespa by the CEO of FS. The ARM strategy derives directly from the FS Strategic Plan. In order to facilitate and contribute to the implementation, the CFO of FS was significantly involved in the process. The CFO was, in some extent, the leader of a bigger project within which Cespa was included. Two main practitioners can add some insight into this case, the USDD of Cespa and the CFO of FS.

The case was conducted through interviews but in this case only the main practitioners were interviewed in deep detail since the rest of managers answered in a negative way to the first question, participation at the Strategic Planning stage, making the rest of the questions about participation useless. This really make sense since I am seeking a relationship between participation and motivation and, being this second case a negative approach (in terms of participation) the logical answers have to point out this situation. Thus, there is a common pattern that gathers all the other interviews' answers.

This information is represented in a summary following the two aforementioned main interviews.

It is important to bold that the CFO interview provides, in fact, external information in a strict sense since FS is strictly an external area in relation with Cespa, a company within FS division but with its own structure and management.

First phase: Internal design, imposed by CEO

Second phase: Communication and implementation.

The interviews were drawn up using the specific version of the questionnaire for this ARM case. This ARM version is included at the end of this document as an annex

Interview 1: (GRS)

a) Background Information

a.1) Original idea from....

*El proyecto deriva del Plan Estratégico (PE) de FS. Desde allí se decide, por las circunstancias del mercado, absolutamente críticas (clientes que no pagan, carteras que se incrementan con el consiguiente riesgo de impagos, inicio de una crisis que afecta muy significativamente a nuestros clientes y especialmente a la Administración Pública...). Es en este entorno cuando se decide, desde FS, cambiar la forma de gestionar de nuestros directivos y no ir a buscar más negocio incrementando la cifra sino más bien al contrario, gestionar muy bien los cobros de manera que si hay que reducir la cifra de negocio para sanear la cartera se haga. Cobrar las cuentas pendientes y asegurar pagos futuros para hacer el negocio sostenible, aunque en tamaño disminuya. Se trataba pues de una necesidad, una decisión estratégica para garantizar la viabilidad del negocio, la supervivencia del mismo.*

## a.2) Key Issues

### a.2.1) Main Goals

*Los objetivos principales eran mejorar caja, sanear la cartera de clientes, (eliminar algún cliente, captar otro con mejor clasificación, compensar la cartera), disminuir la deuda, ...en definitiva garantizar la viabilidad del negocio.*

### a.2.1) Main Practitioners

*Básicamente dos son los principales actores en la estrategia de implantación del ARM.*

*Como Director de los Negocios relacionados con Clientes Públicos (DP) soy el impulsor del proyecto dentro de Cespa. La otra persona implicada es el Director Financiero.*

*Dentro de la gestión del día a día, de la implementación propiamente dicha, participan los directores del negocio de las distintas áreas geográficas (Delegados o DT), sus Gerentes (G) y el responsable de clientes(RC). A continuación los responsables de Administración (RA), etc.*

*Se transmite de arriba abajo, top-bottom, ajustado a un calendario y objetivos.*

### a.2.3) Progressive implementation: phases (detail) (milestones)

*En primer lugar definición del PE de Cespa, derivado del PE de FS.*

*En esta fase no participamos ninguno de los que he mencionado antes. Se confeccionó sin participación alguna por nuestra parte al ser, como digo, una necesidad evidente y clave para la supervivencia de la empresa, se indicó que había que implantarlo y ya está.*

*En segundo lugar se organizó el proceso de implementación, responsables y responsabilidades, y se definieron los procedimientos básicos para llevar a cabo la estrategia definida. A continuación se comunicó a las personas implicadas y finalmente se llevó a cabo el proceso, el cambio de mentalidad y de forma de operar a lo largo de los años siguientes.*

### a.2.4) Communication and tools

*La comunicación fue unidireccional, de arriba a abajo, de CEO a DP, de DP a DT, de DT a G, de G a RC, etc...*

*Toda comunicación fundamental se realizó presencialmente, en persona, mediante reuniones generales o particulares pero siempre de forma presencial.*

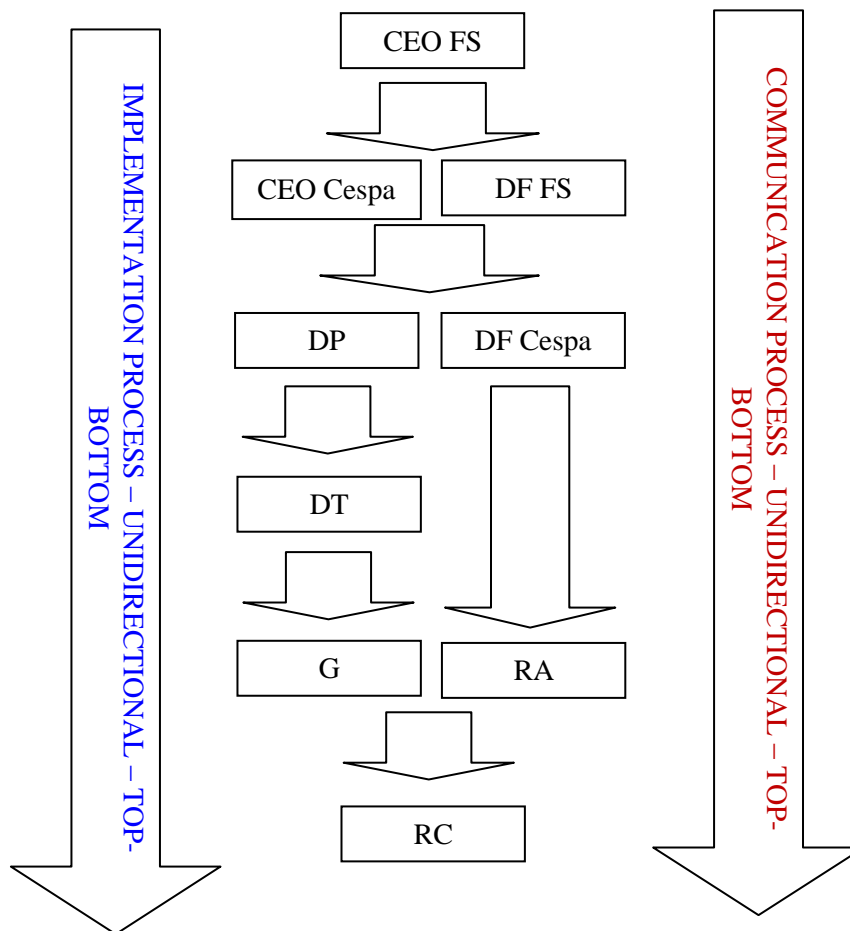
*Las reuniones se llevaban a cabo de forma regular, con objetivos definidos.*

*Para la implementación tuvimos que adaptar los Sistemas de Información, herramienta contable, etc.*

## a.3) Criteria for implementers' selection: organizational chart

*En este caso no hubo ninguna duda; todos aquellos implicados en el proceso de gestión de cobro están bien definidos en el organigrama. La cuestión difícil fue lograr el cambio de mentalidad. Los DT y los G estaban acostumbrados a busca negocio, a conseguir aumentar la cartera de clientes mientras que ahora se les pedía que fuesen a ver clientes no para aumentar el negocio sino para cobrar lo que nos debían e incluso informarles de que abandonamos el servicio por impago. Un cambio radical de mentalidad. Hubo muchísima resistencia.*

*Orgánicamente el proceso fue así:*



a.4) Practitioners' involvement:

*Los principales participantes, Directores Territoriales y Gerentes, ofrecieron mucha resistencia al principio. No entendían porqué, en su opinión, no se tenía en cuenta un aspecto tan importante como la reacción que tendría el cliente al reclamarle la deuda en forma de ultimátum, al cambiar el discurso de crecimiento y ofrecimiento de nuevos proyectos e ideas por el de “lo más importante es que pagues”.*

*En realidad sí se había valorado este aspecto pero lógicamente la estrategia era sanear la cartera, cobrar, reducir la deuda, dejar de financiar al cliente....Los ajustados márgenes de los negocios de Clientes Públicos se evaporaban con el coste financiero que supone el retraso en el cobro y en ocasiones la pérdida del mismo.*

*A medida que se fue implantando la estrategia de gestión del cobro, ARM, la resistencia fue disminuyendo. En este caso la comunicación y el esfuerzo para hacer entender la situación no fueron suficientes. Fue el día a día, el poner en marcha el proyecto y llevarlo a cabo con casos reales de clientes que lejos de oponer resistencia entendieron la situación. En algún caso sí se perdió el cliente pero también se dieron cuenta de que un cliente en esas condiciones no es algo que interesa a la compañía.*

a) Observed resistance:

*Contestado en la pregunta anterior. Añadiría respuestas del tipo “Se nos hunde el negocio” o “Nos quedaremos sin clientes”. Al final, como digo, costó más pero se entendió y finalmente aceptó.*

*No fue una resistencia homogénea. En algunos casos fue peor que en otros.*

*Lo que sí fue homogéneo es la reacción por zonas. En algunas áreas geográficas la resistencia fue mucho mayor y de todos en general que en otras. El motivo es que igual percepción de las instrucciones del PE por todos los directivos. El impulso jerárquico de algunos directivos a su equipo hizo que la resistencia fuese controlada antes. En otros casos la influencia jerárquica fue una dificultad añadida a la propia implementación.*

b) Implementers Questionnaire

- How was your implication in the strategy definition/creation?  
*En la fase inicial fue nula*
- What was your perception of the project?  
*Entendido y aceptado.*
- Did it facilitate the subsequent step, the implementation ?  
*No*
- Main problems envisaged by you as an implementer.  
*La falta de motivación y la Resistencia derivada también de instrucciones del superior jerárquico de algunos implementadores.*

c) Practices

*Procedimientos y BSC (Balanced Score Card)*

d) Praxis

*Cambiamos nuestra praxis en el modo de tratar a los clientes. Surgieron barreras en ese cambio. Cada cliente necesitó de un enfoque distinto.*

\*link/relation between Account Receivable Management and Business Strategy/goals

*Cobros en lugar de Incremento Neto Cifra Negocio en la variable (bonus) con el consecuente efecto “motivador”.*

\*Incorporation of ARM (resulting budget) to the general budgeting process

*Incorporación del objetivo en los presupuestos.*

\*New variables introduced

*Clientes a Cobrar como objetivo.*

Interview 2: (FGC)  
CFO FS

General comments and point of view about the ARM strategy project.

*La compañía tenía, como tantas otras de las que trabajamos con el sector público, un gran riesgo derivado de la falta de pago de muchos de nuestros clientes. El riesgo cuantitativamente era muy elevado y de hecho estábamos financiando a nuestros clientes excediendo en mucho el coste financiero derivado del retraso en el cobro o incluso de los impagos el margen de dichos clientes o negocios.*

*Llegó a convertirse en la cifra más importante del activo total de la empresa.*

*Este gran riesgo no había sido detectado por Negocio pues el enfoque de Negocio era incrementar la cifra de negocio.*

*Los directivos que llevan la relación con el cliente se resistían pues ir a cobrar no está “bien visto” por el cliente en general.*

*La realidad es que el valor del negocio, si no se cobra, es nulo. Nuestro negocio ha de generar caja, no consumirla financiando clientes.*

*El objetivo de la compañía, por tanto, es un objetivo primordialmente financiero mientras que la visión, el objetivo de Negocio es incrementar cartera, aumentar las INCN.*

*Existe una barrera que podríamos calificar como conceptual o ideológica. El caso es que no se podía dar participación a Negocio en la definición de esta estrategia pues era una necesidad urgente y objetiva llevarla a cabo, no algo que se pudiese discutir. Era algo absolutamente necesario. No hubo debate.*

*Se llegó a realizar un control específico de este aspecto, el ARM, y se vinculó con el bonus. Este fue el aspecto motivacional, digamos. Vincularlo con el bonus garantiza la participación en la implementación aunque no exime de barreras, sobretudo previas a la puesta en marcha. De hecho Negocio no veía esta estrategia como algo crítico sino más bien lo enfocó como “una carga”. La barreras, pues, fueron muchas pero con el tiempo se tomó ventaja.*

*En esta primera fase, la fase inicial del ARM, se trabajó la comunicación para entender y aplicar el proyecto a nivel del Comité de Dirección. Al resto de niveles en realidad se les comunicó lo que debían hacer.*

*La comunicación no formal, sin embargo, se facilitaba o era más frecuente en Ferroser, la otra empresa de FSE, al estar ubicados en las mismas oficinas centrales. Esto produjo un efecto positivo disminuyendo las barreras en la fase de implementación respecto a lo acontecido en Cespa, donde parte del equipo estaba en Madrid y parte en Barcelona dificultando la comunicación no formal.*

*En una segunda fase del proyecto se decidió trabajar solo con clientes que tuviesen Rating, solo aquellos que pagan. Aquí sí se dio participación para que los directivos en relación con el cliente pudiesen aportar. Efectivamente disminuyó el nivel de resistencia, las barreras aparecidas fueron menores.*

Interviews 3 to 9: middle managers, directors (DT)

Consolidated result:

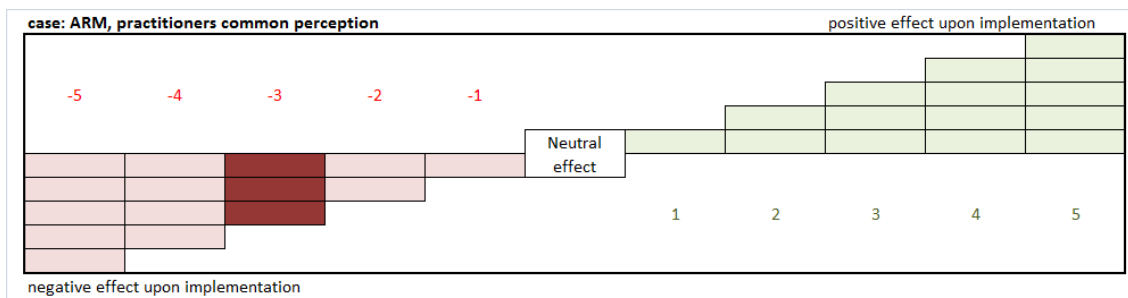
Participation at Strategic Planning stage:

*Null*

Main problems cause of implementation resistance

- *Lack of communication*
- *Different points of view*
- *Imposed*

Motivation derived from participation offered: *-2,63*



Motivational issues

*Linkage between Bonus and Strategy Implementation result*



a) Background information

a.1) Original Idea from....

a.2) Key issues

a.2.1) Main Goals

a.2.2) Main Practitioners

a.2.3) Progressive implementation: phases (detail) (milestones)

a.2.4) Communication and tools

a.3) Criteria for implementers' selection: organizational chart

a.4) Practitioners' involvement:

b) Observed resistance:

c) Implementers Questionnaire

- How was your implication in the strategy definition/creation?
- What was your perception of the project?
- Did it facilitate the subsequent step, the implementation ?
- Main problems envisaged by you as an implementer.
- ...

d) Practices

e) Praxis

\*link/relation between Account Receivable Management and Business Strategy/goals

\*Incorporation of ARM (resulting budget) to the general budgeting process

\*New variables introduced

### **Annex 3. CASE C: Ferrovial Servicios Strategic Plan [FSSP]**

This third case, FSSP, is the most complete in this group of cases that are being analysed. The participation offered to the practitioners was very significant although well defined in terms of *possible* contributions to the Strategic Plan (SP) at the design phase, Strategy Formulation. The process was widely open but not unlimited.

The leaders of the project, the Strategy Director (SD) and the Strategy Planning Director (SPD) are responsible for the design and completion of the SP and consequently they manage the whole process, from a coordination, monitoring and reporting point of view, from the initial participation up to the end of the SP implementation.

The FSSP process had five main stages; in each one of those stages the participation offered to external practitioners was different. We call “external practitioners”, again, those that don’t belong to the leader’s team. In this case to the SD’s and SPD’s team.

- First phase: Analysis and background
- Second phase: Initial Design, based on previous SPs.
- Third phase: SP data completion. Completion of the main required data from Business and Support Areas
- Fourth phase: Communication and Discussion.
- Fifth phase: Implementation

At the first phase the participation offered was limited to certain group of executives, mainly from the support areas.

The second stage is an internal work carried out by the leaders of the project.

Once that internal work is completed, the SD and SPD give full participation to those executives that are going to be responsible for the implementation, the management of the different business areas and some support and back-office areas as well. This is the key participation on which the research is based. Although significant, the participation offered was not unlimited but delimited by a set of particular streams, lines of knowledge and goals, specific for each area. After the initial data completion and main strategic streams definition, the initial plan is ready to be shared, communicated to the main “implementers”, executives than have been participating, each one in his competences area, in the previous SP design and definition. Finally, the implementation phase is carried out over the rest of the year being monitored by the SP leaders and modified if necessary.

Below is shown the schedule for the FSSP’s main interviews:

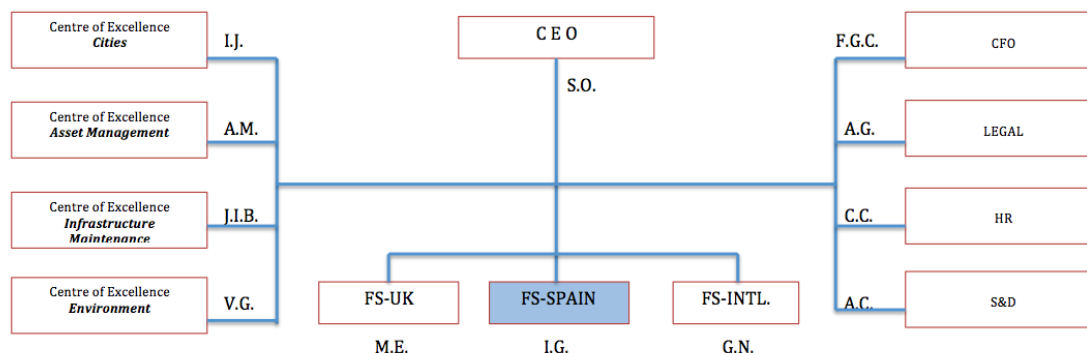
case#FSSP		INTERVIEWS SCHEDULE and DETAILS	
	name	feedback	questionnaire@interview
1	CEO Ferrovial Servicios España	OK	OK(tf)
2	BBD. and D.C. of Excellence Infrastructures	OK	OK(in person)
3	FS C.F.O	OK	OK(tf)
4	Centre of Excellence Director, former Strategy Director	OK	OK(in person)
5	D.C. of Excellence Environment	OK	OK(in person)
6	D.Strategy Planning FS	OK	OK(in person)
7	FS President and CEO	OK	OK(tf)
8	Strategy & Development Director FS	OK	OK(tf)

The interviews were drawn up using the version 4 of the standard questionnaire, except the interview to the CEO and President of Ferrovial Servicios, which was a specific questionnaire elaborated ad-hoc seeking to get the maximum level of detail and useful information from the most important executive of the company. Both questionnaires are included in this document.

## Interviews

### Interview 1: CEO FE Spain

Organizational Chart  
**Ferrovial Servicios (Services)**



a) Participation at the Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Hay dos tipos de planes, el Plan Estratégico (P.E.) a tres años y el Plan Estratégico Annual.*

*Como miembro del Comité Ejecutivo (C.E.) de la Dirección General de Servicios (D.G.S.) he participado activamente en el intercambio de ideas entre los miembros de dicho comité.*

*El P.E. de la división de Servicios es la suma de los P.E. de los tres negocios más el P.E. de la estructura conjunta de apoyo a negocio.*

*En mi caso me encargo íntegramente del P.E. de FS España, definiendo las líneas principales y los números, datos cuantitativos del P.E.*

*El P.E. se aprueba tras la evaluación posterior del CEO Santiago Olivares.*

a.2) Quantitative assessment.

Interview 1.	Strategic Planning. Quantitative assessment.	Questions	0-10
		What was your overall level of engagement?	10
		What was the allowability offered to you to participate in the Strategy definition process?	10
		What was the level of visibility (overview) you had over the whole process?	10
		To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	10
		If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	10
		Total Average	10

b) Strategy Implementation

b.1) Qualitative assessment.

En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / es su función? (indique si participó activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

*Como CEO de FE España soy responsable de la implantación del PE, cosa que realizo a través del Comité de Dirección (CODI).*

*Realizo un seguimiento periódico de la evolución de dicha implantación basado en indicadores, reporting, etc.*

*Las barreras que me he encontrado son, básicamente, la actitud de alguna persona, miembro del CODI, que no cree en la utilidad de los planes estratégicos. Este hecho crea una situación en la que se presenta cierto escepticismo por parte de la persona que tiene que implementar una parte del PE; sin embargo la implementación la desarrolla según lo previsto ajustándose, básicamente a los objetivos establecidos. También he observado total participación en el diseño del PE por parte de los implementadores, a pesar de su escepticismo.*

*Comentario no literal: Influencia de las variables dependencia jerárquica y bonus , que pesan más en este caso que la motivación derivada de la participación y de la comunicación.*

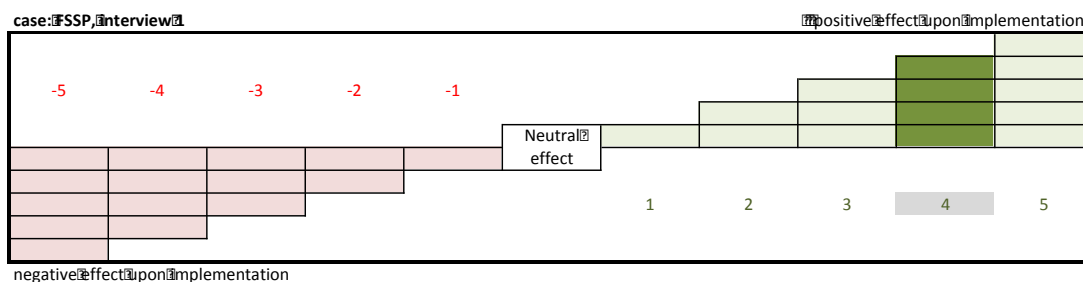
*Considero el PE como una herramienta clave para la organización.*

b.2) Quantitative assessment.

Interview 1., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree)	
Easy, simple process.....	6
Smooth, flowing process...	7
Perfectly understood....	8
Fully accepted	7
Sub total "team"	7
Fostered/pushed from your executive /managerial position	10
Just one more within the amount of projects to be implemented in the organization	(0)10
Sub total "leader"	10

c) Overall Assessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

*El PE es una herramienta clave. Se trata de un proceso muy relevante para la compañía.*

*Requiere, para su correcto desarrollo e implantación dedicarle tiempo.*

*Es clave la comunicación. Muy importante pues comunicando bien se entiende mejor y ello produce una mayor motivación.*

*En nuestro caso dedicamos cuatro jornadas completas para comunicar en momentos determinados la estrategia al equipo.*

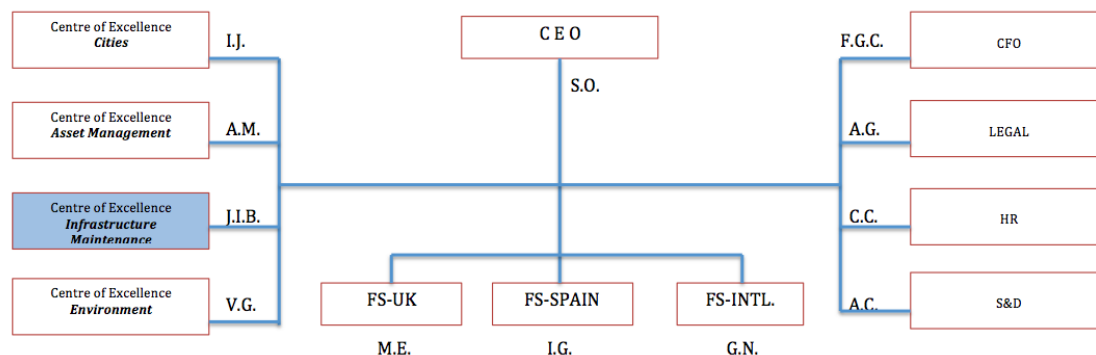
Interview 2:

Position 1: Centre of Excellence *Infrastructure* Director (Current position) [CCI]

Position 2: CEO Ferrosfer (former organization within FSE)[DGF]

Position 3: Member of the FSE steering committee [CFSE]

Organizational Chart  
**Ferrovial Servicios (Services)**



- a) Participation at the Strategic Planning .  
a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial  
•¿Cuál fue su participación en dicha fase? (Comentar)

*Cuanta más participación en el diseño y en general más motivación y por tanto menos problemas posteriores, estoy de acuerdo.*

*En base a mi experiencia, haré las aportaciones que pueda sobre los varios PE en los que he participado. En el Comité de FS estoy como DCCI. Previamente estuve en el CODI de FE España como CEO de Ferroser. También estoy en el Comité actual de FS España con esta nueva estructura.*

*Mi participación como DCCI es de soporte, de acompañamiento a negocio para que puedan cumplir su estrategia. Es una visión de soporte más que de opinión sobre la estrategia de negocio. Sí contribuyo, diseño, la estrategia del CCI. He podido aportar lo que los negocios necesitan para alcanzar sus objetivos. Desde el CCI tienes que entender qué necesitan los negocios de los distintos países para poder apoyarles.*

*En cada área antes la estrategia era top-bottom y ahora es bottom-up. Esto es bastante reciente; antes se decía a dónde hay que ir desde la alta dirección y ahora se pregunta a los directivos de cada unidad, de cada equipo para que contribuyan con sus aportaciones en la definición del camino a seguir, de la estrategia en definitiva. Ahora se involucra mucho más a la dirección; desde las direcciones regionales se dice a dónde podemos llegar pero los directivos intermedios hacen sus aportaciones y se hacen más dueños del PE; no perciben que sea algo impuesto. Es muy importante. Esto debe ir acompañado con una involucración también vía KPIs , bonus, retribución variable unida al PE. Que parte de los objetivos de los directivos esté unida a la retribución de los directivos. El directivo piensa que el Presupuesto debe cumplirse sin duda pues de lo contrario peligra su retribución pero el PE se percibe como algo orientativo, interesante cumplirlo pero que si no lo cumplo no pasa nada...esto debe cambiarse y vinculando el resultado de la implantación del PE con la retribución se garantiza un mayor cumplimiento, sin duda. Tengo experiencia en vincular el resultado del PE y del cumplimiento de objetivos con un bonus a tres años; este tipo de relación hace que la rotación de directivos sea mucho menor pues consolida una visión a largo plazo.*

*La forma en que la compañía indica a los directivos lo que es importante es vinculando con la retribución. Es por eso un mensaje muy claro y necesario también para el PE.*

### DG Ferroser

*Cada DG amparado y guiado, ayudado por el Director de Estrategia, construía su PE. Esta estrategia se presentaba en un work-shop y de ahí salía el PE definitivo. Desde noviembre – inicio trabajo del PE- hasta marzo –presentación en el work-shop- tenías bastante libertad para definir tu estrategia.*

Interview 2., Strategic Planning., Quantitative Assessment. Questions [Answers-score according to position CCI/DGF/CFSE]	0-10
What was your overall level of engagement?	5/8,5/9
What was the allowability offered to you to participate in the Strategy definition process?	10/7/8
What was the level of visibility (overview) you had over the whole process?	9,5/9,5/9,5
To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	7/8/6
If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	10/10/10
Total Average	8,3/8,6/8,5

### En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / es su función? (indique si participa activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

*Como DCCI no soy responsable de la implantación del PE en las áreas de negocio sino de dar soporte para que puedan cumplir su PE. Sin Embargo la estrategia, el PE del CCI es 100% responsabilidad mía.*

*Desde que comunicamos la estrategia al equipo el PE se entiende mucho mejor pero anteriormente la dificultad era mucho mayor. Ha pasado de un entendimiento del PE de 4/10 a un 7/10.*

*El PE nunca se ha aceptado. Siempre hay directivos que discrepan. Incluso he tenido que sacar directivos del equipo pues no fueron capaces de adaptarse.*

*Desde mi posición he pasado de ver la estrategia, el PE como un proceso más a verlo como algo vital.*

*La participación en la fase de diseño de los directivos y que ellos piensen de verdad, no de forma teórica sino que de verdad lo que han aportado sea tenido en cuenta, es importantísimo. Pasa en el PE y en todo tipo de proyectos.*

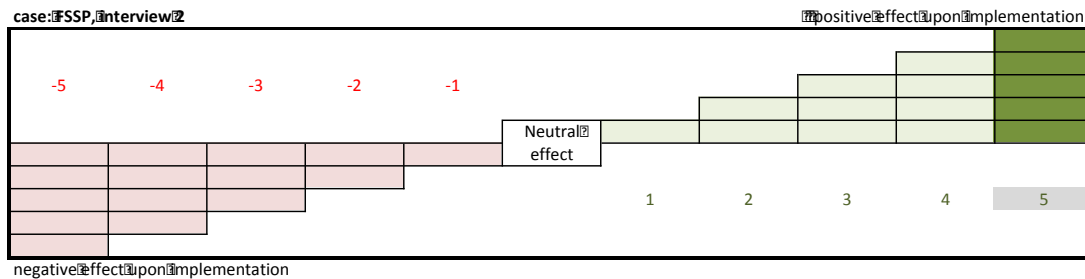
*Como DG de Ferroser y como miembro del CFE España soy responsable de la implantación del PE al 100%*

Interview 2., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree)	
Easy, simple process.....	3
Smooth, flowing process...	4

Perfectly understood....	7
Fully accepted	6,5
Sub total "team"	5,13
Fostered/pushed from your executive /managerial position	9
Just one more within the amount of projects to be implemented in the organization	(1)9
Sub total "leader"	9

c) Overall Assessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

*En primer lugar hay que comunicar. La estrategia es muy importante pero no es fácil que los directivos lo entiendan. El EBIT es necesario pero sin estrategia no se consigue. Hay que conseguir que se entienda.*

*En segundo lugar es importante dar cancha, participación al equipo, permitir y facilitar que hagan aportaciones. Hasta dónde se pueda, no totalmente abierto ni asambleario, hasta dónde se pueda llegar dependiendo de cada caso pero que de alguna forma se sientan partícipes en mayor o menor medida.*

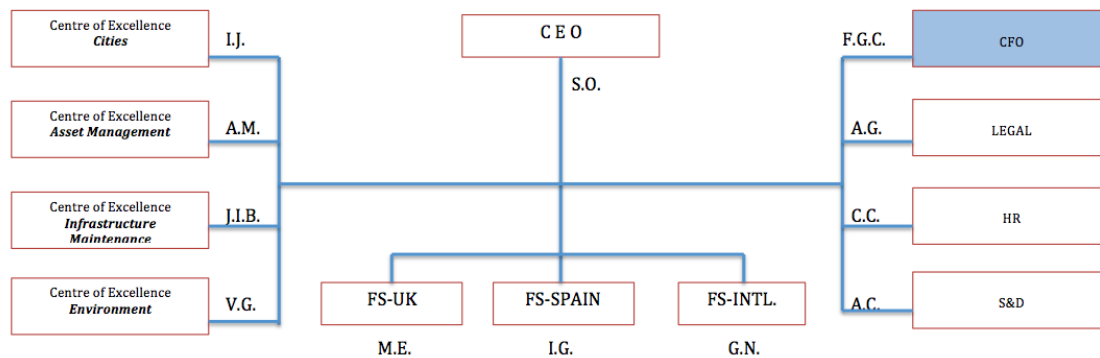
*En tercer lugar creo necesario ligar la implantación, el éxito del PE a la retribución. A través de indicadores como el crecimiento, EBIT, KPIs....medir la implantación y vincularla a la retribución variable.*

Interview 3:

Chief Financial Officer (CFO) FerrovialServicios



Organizational Chart  
**Ferrovial Servicios (Services)**



a) Participation at the Strategic Planning .

a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*En mi caso la participación es como director de división (CFO) de soporte o estructura. La función de mi división abarca desde la fase previa al diseño del PE, la fase de diagnóstico en la que se analizan posibilidades y aspectos como qué ventaja aportamos al cliente, que situación-entorno tenemos, etc., hasta la fase de elaboración del propio PE. Se trata de tener una visión clara de futuro para cualquier inversión o proyecto. Así pues una participación elevada.*

*Tradicionalmente se tiene un exceso de previsión financiera pero se requiere también una gran visión a largo plazo de los negocios. El riesgo es que no haya un entendimiento común, un alineamiento organizacional respecto a la situación real de los mercados en los que se compete, respecto a los recursos de los que se dispone, etc.*

*En general aportamos una base sólida partiendo de un diagnóstico previo e incorporando los recursos disponibles y relacionándolos con los recursos necesarios para acometer el PE.*

*La propuesta que elaboramos se comunica al CEO de Ferrovial Servicios (S.O.) y al Director de Estrategia y Desarrollo (A.C.) para su aprobación definitiva, aunque esa comunicación hacia arriba la realizan los directores de negocio, a los que damos soporte.*

*Un aspecto muy importante es la comunicación. Es necesario compartir el PE a niveles adecuados. Ser más transversal. La gente de línea (managers de negocio) y los de staff (managers de soporte) se consideran diferentes entre sí. Existe un gap entre ambos grupos que dificulta la transversalidad y la comunicación.*

*Es necesaria una cultura de meritocracia que premie a los que están dispuestos a enfrentarse al reto del cambio, a adaptarse. Es por ello importante comunicar, pero comunicar buscando el cambio en el receptor. Un cambio de actitud que facilite el cambio que supone un nuevo PE. A muchos directivos no les “cala” el mensaje, no lo interiorizan ni lo hacen suyo. Para lograr una mayor implicación todos deben asumir como propios los retos de la compañía. Resulta clave lograr un desarrollo en RRHH para facilitar la comunicación y la participación. Es un tema importante a trabajar....*

*Mi implicación es máxima, contando con las limitaciones del proceso. En cierto modo esto entraña una dificultad y es el planteamiento cortoplacista de los directores de negocio que intentan acotar sus propuestas a lo exigido para conseguir el bonus de modo que surge una limitante indirecta.*

*La libertad para participar en el proceso de Planning Estratégico fue y es máxima en todo. La visibilidad sobre el proceso global fue también máxima puesto que participo en el propio diseño del PE.*

*En la parte de operativa y detalles sobre la implementación mi aportación se limita a la parte financiera pero sin restricciones para ello.*

*En cuanto a la cuantificación de los objetivos he de decir que es una parte del proceso con excesiva focalización en el Presupuesto y en el Business Plan, lo cual limita lógicamente.*

Interview 3. , Strategic Planning., Quantitative Assessment. Questions	0-10
What was your overall level of engagement?	9
What was the allowability offered to you to participate in the Strategy definition process?	10
What was the level of visibility (overview) you had over the whole process?	10
To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	7
If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	7
Total Average	8,6

En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / es su función? (indique si participa activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

*Como CFO soy responsable de la implementación de objetivos relacionados con la gestión del circulante y riesgos, de inversiones y de M&A (Fusiones y Adquisiciones). Para ello realizo seguimiento de las respectivas implementaciones –en esos aspectos concretos mencionados- de las áreas de negocio.*

*En la implementación es clave la figura del Gerente, directivo intermedio que ejerce de pivote entre los mandos intermedios y la dirección de negocio. En algunos negocios -como UK- este aspecto no está aún desarrollado y se producen dificultades en la implementación derivadas de falta de comunicación, de conexión facilitada por el middlemanagement.*

*Desde un punto de vista externo a las áreas de negocio, puesto que represento a un área de soporte, la función que realizo es la definición de las acciones a implantar (cuantificación) por las áreas de negocio. Existe demasiada dependencia de las áreas de soporte y creo que sería bueno dar mayor implicación a las áreas de negocio en esta definición. Otro aspecto importante que desde fuera se aprecia es la medición de resultados. Hay miedo a medir porque hay miedo a fallar, aspecto cultural a superar.*

*La implantación del PE en los aspectos que me incumben es difícil. Esto se debe a la tipología (aspectos económico financieros) ya que son vistos desde negocio como una cortapisa.*

*Es necesaria mucha comunicación para evitar barreras.*

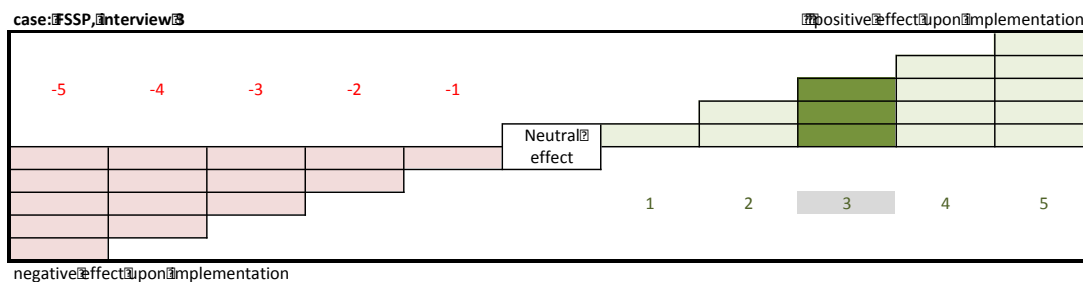
*Sin embargo el PE en estos aspectos se entiende perfectamente al ser aspectos clave.*

*La aceptación del PE es difícil a niveles medios de la organización. Sin embargo cada vez es mejor aceptada a niveles de alta dirección.*

Interview 3., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree)	
Easy, simple process.....	4
Smooth, flowing process...	7
Perfectly understood....	8
Fully accepted <b>Top Management / Middle Management</b>	8/4
Sub total "team"	6,75/5,75
Fostered/pushed from your executive /managerial position	10
Just one more within the amount of projects to be implemented in the organization	(1)9
Sub total "leader"	9,5

c) Overall Assessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

*El éxito del proceso radica en que se comparta la visión de futuro de la compañía (alineación organizacional). Ello requiere mucha comunicación.*

*Es muy importante compartir el diagnóstico previo.*

*En ocasiones será necesario "tirar de jerarquía" para conseguirlo.*

*Básicamente es un tema de cultura de empresa.*

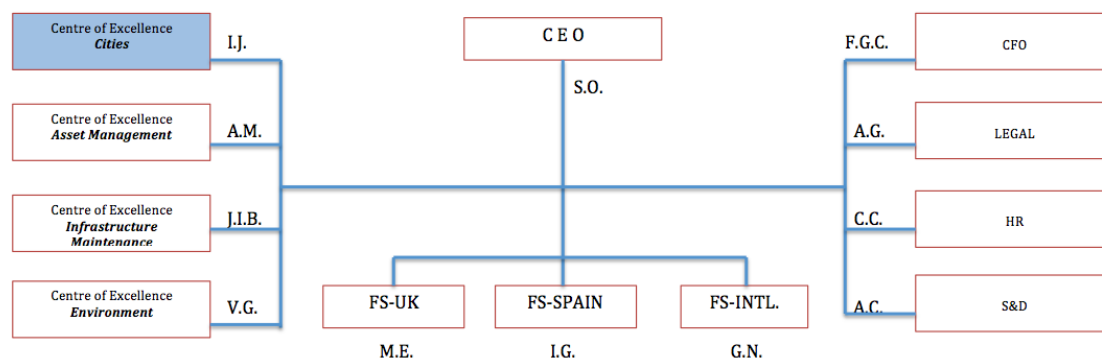
*Importante también alinear incentivos: ser generosos con los que cumple objetivos pero también premiar el esfuerzo y la alineación con el proyecto, con la cultura...*

*Los continuos cambios en el organigrama provoca una cierta desvinculación.*

Interview 4:

Position 1: Centre of Excellence *Cities* Director. (CCC). Current Position  
Position 2: Strategy and Development Director. (SDD). Previous position.  
Position 3: Corporate Development Director (CDD)

Organizational Chart  
**Ferrovial Servicios (Services)**



- a) Participation at the Strategic Planning .  
 a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Como Director del Centro de Competencias Ciudades (CCC) participo en la definición de las líneas estratégicas principales así como los objetivos cuantitativos y cualitativos.*

*En Desarrollo Corporativo participo básicamente en la implementación, no en la fase de diseño o definición previa.*

*Como Director de Estrategia y Desarrollo tenía la función de dirigir el Planning Estratégico, la gestión del proceso de elaboración, implantación y seguimiento del PE puesto que era el espónsor o líder del mismo dentro de la organización. Este PE y en general aspectos relacionados con el ámbito estratégico son impulsados desde la alta dirección, CEO de FS, y supervisado y aprobado por este máximo ejecutivo.*

*La participación ofrecida, en general, ha sido alta.*

*Si no he participado más, aportado más, ha sido por mis propias limitaciones.*

Interview 4. , Strategic Planning., Quantitative Assessment. Questions	0-10
[Answers-score according to position CCC/SDD/CDD]	
What was your overall level of engagement?	6/10/10
What was the allowability offered to you to participate in the Strategy definition process?	8/10/10
What was the level of visibility (overview) you had over the whole process?	8/10/10
To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	8/10/10
If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	10/10/10
Total Average	8/10/10

En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / es su función? (indique si participa activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

*En la implantación mi función es de impulsión del proyecto y control, tareas que realizo desde el Comité de Dirección. En el apartado de implicación como Director del CCC he valorado el hecho de que se parte de un proyecto sesgado, con ciertos límites que acotan dicha participación.*

*El modelo o marco estratégico fue algo que inicialmente se desarrolló en mi etapa como EDD, así es que la participación fue absoluta.*

*En el CCC somos 12 personas. He comunicado el PE en una sesión de un día adhoc y he dado una copia del PE a cada persona de mi equipo.*

*La implantación del PE del CCC ha sido un proceso fluido, entendido y aceptado en gran medida.*

*Es un proceso muy relevante; fundamental.*

*En el caso del CCC el PE es algo fundamental pues cuando llego como director no teníamos nada, no existía el mismo CCC y no teníamos referencias anteriores. El PE ha sido hoja de ruta, guía....ha servido para organizarnos y el PE ha sido y es doblemente importante como referencia de dirección. Así, el PE es referencia crítica para saber que vamos en la dirección correcta. La definición del modelo organizativo y los detalles del PE han sido pues algo fundamental en lo que he participado activamente.*

*En el equipo y a tal efecto comunicamos mucho, discutimos –en el sentido anglosajón de la palabra- y coordinamos acciones; hay varias actuaciones que necesitan integrar más de una perspectiva- aportación para ser efectivamente implementadas.*

*Una vez al mes reúno a todo el equipo y compartimos todo lo que estamos haciendo. Así conocemos el contexto en el que estamos y detectamos necesidad de ayudas, apoyos, etc...La estrategia no se construye en un momento concreto sino que se va construyendo a lo largo del tiempo, mientras se va implementando la del periodo en curso ya estás construyendo la del período siguiente.*

*La participación en la fase de diseño ha sido muy positiva para facilitar la implantación en el CCC e incluso en el DC. De todos modos en el seguimiento del proceso de implantación del PE como EDD sí que existieron barreras, resistencia a la implantación.*

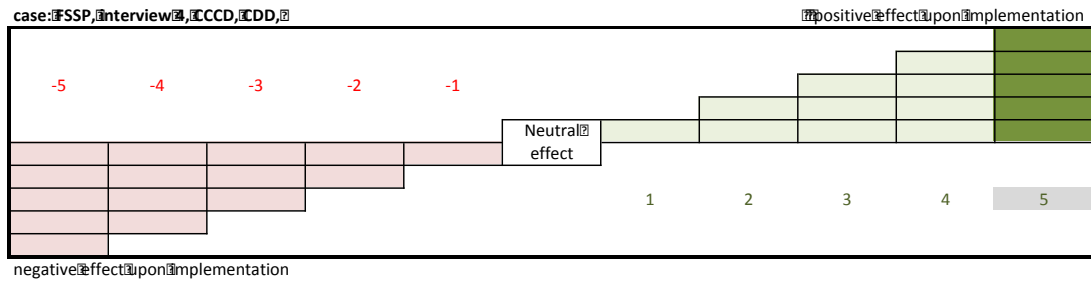
*La ascendencia jerárquica ha influido en la predisposición.*

Interview 4., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree) [Assessment as CCCD]	
Easy, simple process.....	7
Smooth, flowing process...	8
Perfectly understood....	8
Fully accepted	9
Sub total “team”	8
Fostered/pushed from your executive /managerial position	10
Just one more within the amount of projects to be implemented in the organization	(3)7
Sub total “leader”	8,5

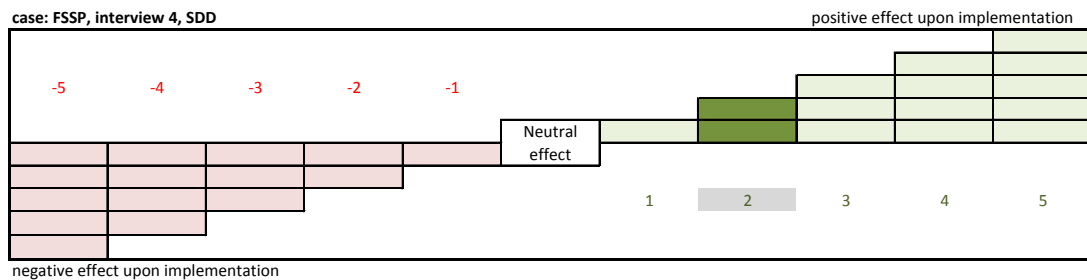
c) OverallAssessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.

*As a CCC Director and CD Director:*



*As a Strategy and Development Director:*



d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

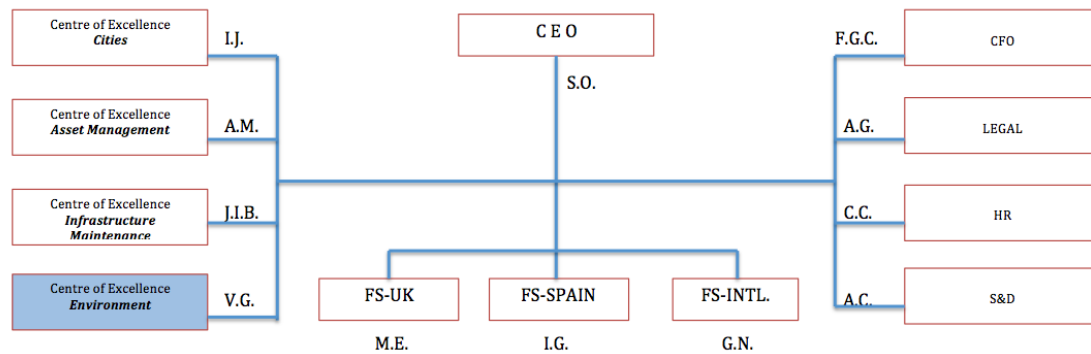
*El reto en el caso del PE es ir construyendo criterio e inteligencia a lo largo del año. La calidad del PE es crítica y así, construyendo a lo largo del año se incrementa la calidad, se pueden adelantar tendencias...evitar el riesgo de hacer un PE “incremental” respecto al año anterior en lugar de anticipar cambios significativos en el modelo de negocio, tendencias, etc...*

*Esa es la calidad necesaria del PE, no tanto un PE muy bien armado financieramente con números que encajan perfectamente. Para aspirar a tener un buen PE para anticiparse hay que beber de fuentes internas y externas para no caer en la endogamia, conseguir aportaciones externas, de otras áreas por ejemplo, y realizar un análisis de la competencia pero abierto, incluyendo no solo los competidores tradicionales de referencia sino también tener en cuenta los modelos de negocio que van apareciendo y que nos pueden interesar y ser receptivo a ellos.*

*De este modo puedes tener un PE que permite avanzar en los próximos años, ser guía para seguir una dirección de trabajo que garantice la buena marcha de la compañía detectando y asegurando movimientos estratégicos necesarios.*

Interview 5:  
 Centre of Excellence Environment Director

Organizational Chart  
**Ferrovial Servicios (Services)**



- a) Participation at the Strategic Planning .  
a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

- ¿Cuál fue su participación en dicha fase? (Comentar)

*El PE parte de unas directrices genéricas de la compañía, cuatro grandes objetivos. Cada uno de los directores miembro del Comité aterriza esos objetivos en una serie de acciones que forman parte del PE global de FS y constituyen un mini PE, en este caso del CCE. Todo ello bajo la coordinación y dirección de la dirección de Estrategia y Desarrollo.*

*Mi participación ha sido doble y con distinta intensidad Primero entender bien y participar en los debates que fijan el marco genérico para el PE y posteriormente participar en la definición y desarrollo del PE general engarzando en él nuestro PE del CCE, parte integrada en el PE general de FS.*

*Para participar e influir en la fase de diseño nunca me han puesto trabas. La facilidad para participar es total. Posteriormente se revisa el grado de cumplimiento de las acciones estratégicas definidas, lógicamente. Requiere responsabilidad pero el margen de maniobra para definir es total.*

*La visibilidad del PE de mi CC ha sido total; de las otras partes del proceso no tanto aunque damos soporte a otras unidades. Aspectos como Marca, etc., no se hacen tan visibles.*

*A nivel cuantitativo, de definición de objetivos, el margen para aportar es total. Se proponen objetivos con total libertad para ello. Si que es necesario explicar o justificar porqué propongo esos objetivos.*

*En mi caso siempre me han dado directrices a seguir, grandes objetivos generales y para llegar a ello no hay restricciones o límites explícitos; simplemente hay que conseguir alcanzar los objetivos proponiendo acciones y explicando el porqué.*



What was your overall level of engagement?	8
What was the allowability offered to you to participate in the Strategy definition process?	10
What was the level of visibility (overview) you had over the whole process?	10
To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	9
If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	10
Total Average	9,4

### En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / es su función? (indique si participa activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

*Participo directamente en todas las acciones pero en concreto en aquellas que suponen un cambio de mentalidad. Como ejemplo te expongo el caso de las plantas de tratamiento. Deben ser tratadas profesionalmente como plantas industriales. Esto requiere una motivación, explicación, convencimiento ...proceso de cambio de mentalidad. En esos casos es en los que más me implicó de forma directa.*

*A la hora de implantar acciones del PE existen barreras culturales. No culturales por ubicación física pues tenemos gente en UK, en Madrid y en Barcelona, sino culturales en cuanto a forma de hacer las cosas. Lo que más cuesta es hacer las cosas distintas. Sacar a la gente de su nicho de confort.*

*Algunas barreras se crean porque no se ha entendido el PE. A pesar de haber participado en su elaboración no siempre se entiende completamente. El proceso de comunicación ha sido intenso, muchas horas. Primero hablamos con negocio para conocer detalles, necesidades, dificultades técnicas etc., para cumplir los objetivos genéricos...análisis y diagnóstico.*

*Posteriormente nos reunimos mis reportes directos y yo para ver como podemos dar solución a los aspectos planteados por negocio y una vez planteado el posible PE reúno al equipo para comunicarlo. En total dos jornadas de comunicación para explicarlo y para recibir feedback.*

*Veo que la participación suele ser baja, pocas preguntas, etc.*

*Otro aspecto en la comunicación y seguimiento es reunirme con tres o cuatro miembros del equipo en cada zona de forma regular para explicar el PE, ver como va, recibir propuestas y preguntas, etc., ...al final he hablado con todos o casi todos.*

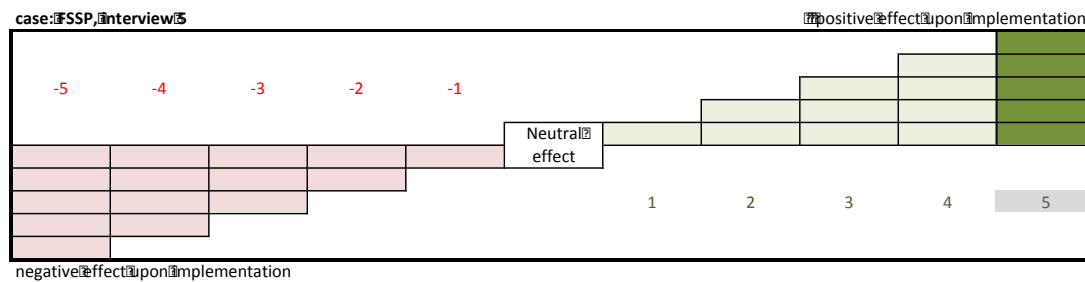
*Es muy complicado implicar al equipo, culturalmente y en general porque se genera rechazo a lo que no conocen. Ha sido muy difícil pero a base de comunicación se ha conseguido que sea un proceso bien entendido. En el proceso tuve que prescindir de algunas personas porque no se quisieron adaptar. No estaban de acuerdo con lo que planteaba el PE. Este rechazo frontal no responde a oportunidades de participación –que se las di- sino a la falta de voluntad para aceptar los cambios. Algunos intentan atrincherarse pero al final se consigue.*

*He dedicado mucho tiempo a comunicar. De todos modos algunos aceptan el PE y sus acciones no porque estén de acuerdo sino porque no les queda más remedio que hacerlo. EN el equipo del CCE hay 42 personas. En mi caso fomento e impulso el PE pero también la crítica y la participación para enriquecer el proceso.*

Interview 5., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree)	
Easy, simple process.....	5
Smooth, flowing process...	5
Perfectly understood....	8
Fully accepted	8
Sub total "team"	6,5
Fostered/pushed from your executive /managerial position	10
Just one more within the amount of projects to be implemented in the organization	(0)10
Sub total "leader"	10

c) Overall Assessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.



d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

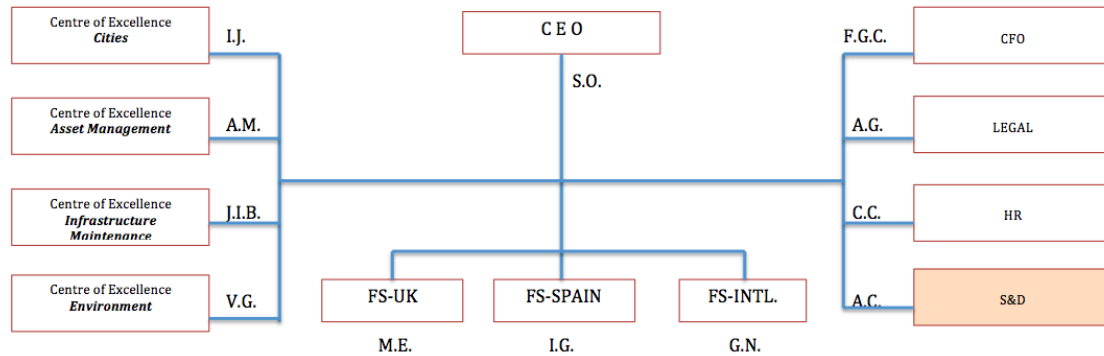
*En definitiva el PE es un proceso fundamental y cada vez lo es más. En un mundo en transformación y en una organización tan dinámica lo lógico y necesario es un PE acorde que permita esa adaptación y evolución.*

*La implantación ha sido facilitada, sin duda, por la posibilidad de participación en el diseño del PE. Las dificultades no han venido por falta de participación; han venido por los cambios organizativos, nuevo modelo de relación interna, etc.. En ese caso se ha aplicado un PE para fusionar varias compañías, etc., que lógicamente no ha podido hacerse participativamente por muchos motivos, entre otros por la inquietud que hubiese generado, etc.. Sin embargo hubiese facilitado la implantación un proceso de comunicación mejor.*

*En el caso del PE del CCE una parte de la motivación, comunicación e impulso lo realizo mediante un proceso de preguntas conducidas de modo que el equipo reflexione y acabe viendo la necesidad de las acciones a implantar. Nunca impongo de salida las acciones.*

**Interview 6: (CSF)**  
**Strategic Planning Director**

**Organizational Chart**  
**Ferrovial Servicios (Services)**



- a) Participation at the Strategic Planning .
- a.1) Qualitative assessment.

En la fase de diseño del Plan Estratégico de Ferrovial

•¿Cuál fue su participación en dicha fase? (Comentar)

*Como espónsor del PE e impulsor del mismo. Participé en la elaboración de la estructura general del PE a las órdenes del director de Estrategia y Desarrollo. Se confeccionó un modelo que sirvió de base para los PE posteriores. La participación por lo tanto fue absoluta.*

*Desde un punto de vista de externo al PE de los negocios –pues en realidad es lo que era, puesto que los dueños y responsables de los distintos PPEE son los negocios de cada país así como las áreas de soporte- se participó instrumentando y facilitando el proceso, realizando un seguimiento, aportando la estructura, la base para llevarlo a cabo.*

Interview 6. , Strategic Planning., Quantitative Assessment. Questions	0-10
What was your overall level of engagement?	10
What was the allowability offered to you to participate in the Strategy definition process?	10
What was the level of visibility (overview) you had over the whole process?	10
To what extend were you allowed to participate in the definition of the details and operations-procedures of the posterior implementation process?	0
If you had the possibility to participate-contribute to specific goals' set up (definition and quantification), please indicate to what extend (0 if you had not that possibility, 10 participation without restrictions)	0
<b>Total Average</b>	<b>6</b>

En la fase de implantación del Plan Estratégico (P.E.) de Ferrovial

•¿Cuál fue / essufunción? (indiquesiparticipaactivamente o no comoresponsabledirecto de la implantación de alguna de laspartes del P.E.)

*Monitorizando, dando soporte, comunicando....pero no directamente en la implementación de los PE de cada negocio.*

*Desde el punto de vista de nuestro PE interno las barreras fueron inexistentes pero desde los PE de cada negocio si hubo oposición, cierta resistencia.*

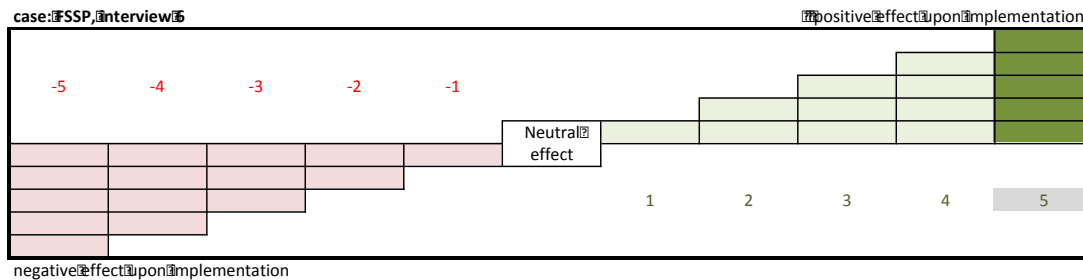
*No fue fácil desarrollarlo ni fue aceptado sin más. Pero conscientes en general de la importancia del mismo se implantó según el proceso de comunicación interna y trabajo previo explicado*

*La participación a las unidades de negocio se ofrece durante el período de elaboración del PE durante octubre y noviembre. Posteriormente el Comité de Dirección y en última instancia el CEO aprueban el contenido final del PE.*

Interview 6., Implementation. Quantitative Assessment.	0-10
Assess from 0 to 10 each statement about Strategic Plan Implementation process (0 fully disagree, 10 fully agree)	
Easy, simple process.....	5
Smooth, flowing process...	5
Perfectly understood....	5
Fully accepted	6
Sub total "team"	5,5
Fostered/pushed from your executive /managerial position	10
Just one more within the amount of projects to be implemented in the organization	(0)10
Sub total "leader"	10

c) Overall Assessment : Did your participation at the Strategic Planning stage facilitate the Strategic Plan?

Assessment from -5 (very negative effect) to 5 (very positive effect); indifferent 0.

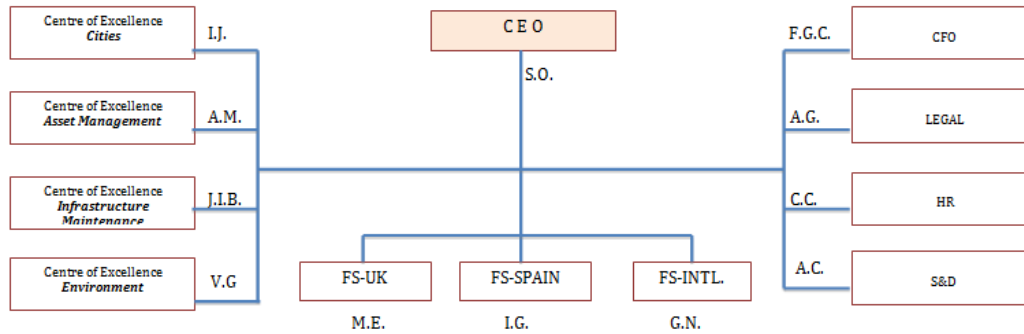


d) Open question. Space for comments and clarifications or any other contribution to the previous answers.

*En definitiva es indudable que la participación ofrecida contribuye a mejorar la implantación. Otros aspectos como la comunicación facilitan que se entienda mejor y que la implantación también mejore.*

## Interview 7: (S.O.) CEO FS

Organizational Chart  
**Ferrovial Servicios (Services)**



1) Cual ha sido su papel dentro del proceso (avalador/impulsor del P.E.). Como lo definiría y qué mecanismos de control y *feedback* tiene del mismo

*Siempre he preferido tener un rol de avalador del proceso, recayendo la responsabilidad de impulsar el mismo en el Director de Estrategia y Desarrollo.*

*El Plan para mi es una herramienta no solo estratégica sino también de gestión, pues me permite lanzar una serie de acciones a nivel corporativo que de otro modo quedarían fuera de contexto.*

*Se trata de un proceso bottom up donde tengo bastante visibilidad de la construcción del mismo. En general empiezan las unidades a montar sus planes en diciembre, y tienen una primera revisión conmigo en enero (todo ello facilitado por el director de EyD). Luego posteriormente tenemos el workshop estratégico en febrero, en el que se termina de definir la estrategia que finalmente se presenta a Grupo Ferrovial en mayo. Luego en septiembre nos volvemos a reunir a nivel de FS para analizar el estado de avance. Es decir, es un proceso en general largo que permite bastante control.*

2) La participación que Vd cree (percibe) que ha sido ofrecida a los directivos para elaborar el P.E.

*La participación que se les ofrece a los directivos es total. Como he dicho, es un plan bottom up y para mi es crítico que sean los directivos quienes monten el plan. Obviamente tiene que haber unas directrices y esa las marca EyD conjuntamente conmigo.*

3) El nivel de satisfacción con esta participación que ha percibido de los directivos (especificar si hay casos concretos...”en general..., pero en un caso...”, etc.)

4) La participación real que él ha detectado (nivel de implicación en el diseño) por parte de los directivos

*Contesto a ambas conjuntamente:*

*El nivel de satisfacción con esta participación que he percibido es alto, si bien la participación en si varia. Hay un caso del CEO de un negocio que se involucra menos que el resto de miembros del Comité, y eso acaba notándose en la calidad del plan presentado. Pero salvo este*

*caso sobre el que estamos trabajando el nivel de implicación en el diseño yo lo calificaría de muy alto. Además, hay que tener en cuenta que del PE surge posteriormente el Plan de Acción, sobre el que hacemos seguimiento a nivel de Exec y que permite mantener siempre vivo el Plan en la gestión del día a día.*

5) Barreras o dificultades en la implantación del P.E. (en general o en particular. Todo aquello que identifique como “incidencias o problemas” en la implantación/implementación)

*Barreras/dificultad. Quizás la principal dificultad sea la gestión del día a día en paralelo a la implementación del Plan. Los recursos son limitados y el presupuesto anual hay que cumplirlo (el variable esta asociado a el), por lo que cuando escasean los recursos los proyectos que se suelen caer o retrasar son los del PE que no generan PyG. Quizás una mejor planificación de los recursos necesarios desde el principio ayudaría, pues eliminaría puntos de fricción entre las dos realidades.*

5) Percepción sobre el proceso en global.

6) Cualquier aportación que desee hacer sobre el tema investigado, bien sea acerca de caso concreto del P.E. de FS, bien sea de cualquier otro proyecto/proceso vivido. (Relación entre participación ofrecida a los directivos en el diseño del P.E. y barreras en la implantación del mismo.)

*Contesto 5 y 5 conjuntamente:*

*Como acabo de comentar, para mi el balance entre el PE y el día a día (presupuesto), es lo mas complejo de manejar. Además, el hecho de que vivamos en entornos cada vez mas cambiantes hace que el horizonte temporal que manejamos en nuestros PE (5 años) se antoje en muchas ocasiones demasiado largo. Esto lo hemos comprobado mirando planes de hace 4 o 5 años y comparando la realidad con lo que dijimos en su momento. En general la dirección es la correcta pero el resultado final no era en ocasiones lo que esperábamos.*

**Standard questionnaire v4**

## Cuestionario *practitioners*

### Comentarios generales:

- El objetivo es medir el vínculo entre la participación en la fase de diseño con las barreras generadas en la posterior fase de implantación y no valorar la herramienta o el proceso como tal.
- Se intenta definir la participación **percibida** y cuan efectiva esta participación resulta para favorecer la implementación de la estrategia. Comparándola con la participación **real** se establecerán parámetros de correlación.
- Es importante determinar el nivel de participación idóneo para alcanzar un equilibrio óptimo entre barreras creadas y participación ofrecida. En ocasiones no será interesante dar participación – nivel cero- en otras cuanto mayor sea ésta mejor...Este es un aspecto a determinar por el directivo al frente de cada proyecto y pretendo ofrecer una herramienta para predecir en cierta medida el nivel de resistencia e incluso, por ejemplo, poder cuantificarlo como un riesgo o sobrecoste del proyecto...

### a) En la fase de **diseño** del Plan Estratégico de Ferrovial

- ¿Cuál fue su participación en dicha fase? (Comentar)

- Valore (de 1 a 10)

- 1- ¿Cuál fue su nivel de implicación en global?
- 2- ¿Qué nivel de libertad le fue conferido para poder influir en el diseño de la estrategia?
- 3- ¿Qué nivel de visibilidad tuvo sobre el proceso completo?
- 4- ¿En qué medida pudo participar en la definición de la operativa y/o detalles acerca de la posterior fase de implementación de la estrategia?
- 5- Si pudo participar en el establecimiento –definición y cuantificación- de objetivos concretos indique en que nivel (0 en caso de no haber existido esta posibilidad)

b) En la fase de **implantación** del Plan Estratégico (P.E.) de Ferrovial

- ¿Cuál fue / es su función? (indique si participa activamente o no como responsable directo de la implantación de alguna de las partes del P.E.)

- En su opinión, la implantación de la Estrategia en su ámbito de actividad fue un proceso: (valore de 0 a 10 donde 10 es totalmente de acuerdo y 0 totalmente disconforme con la afirmación)

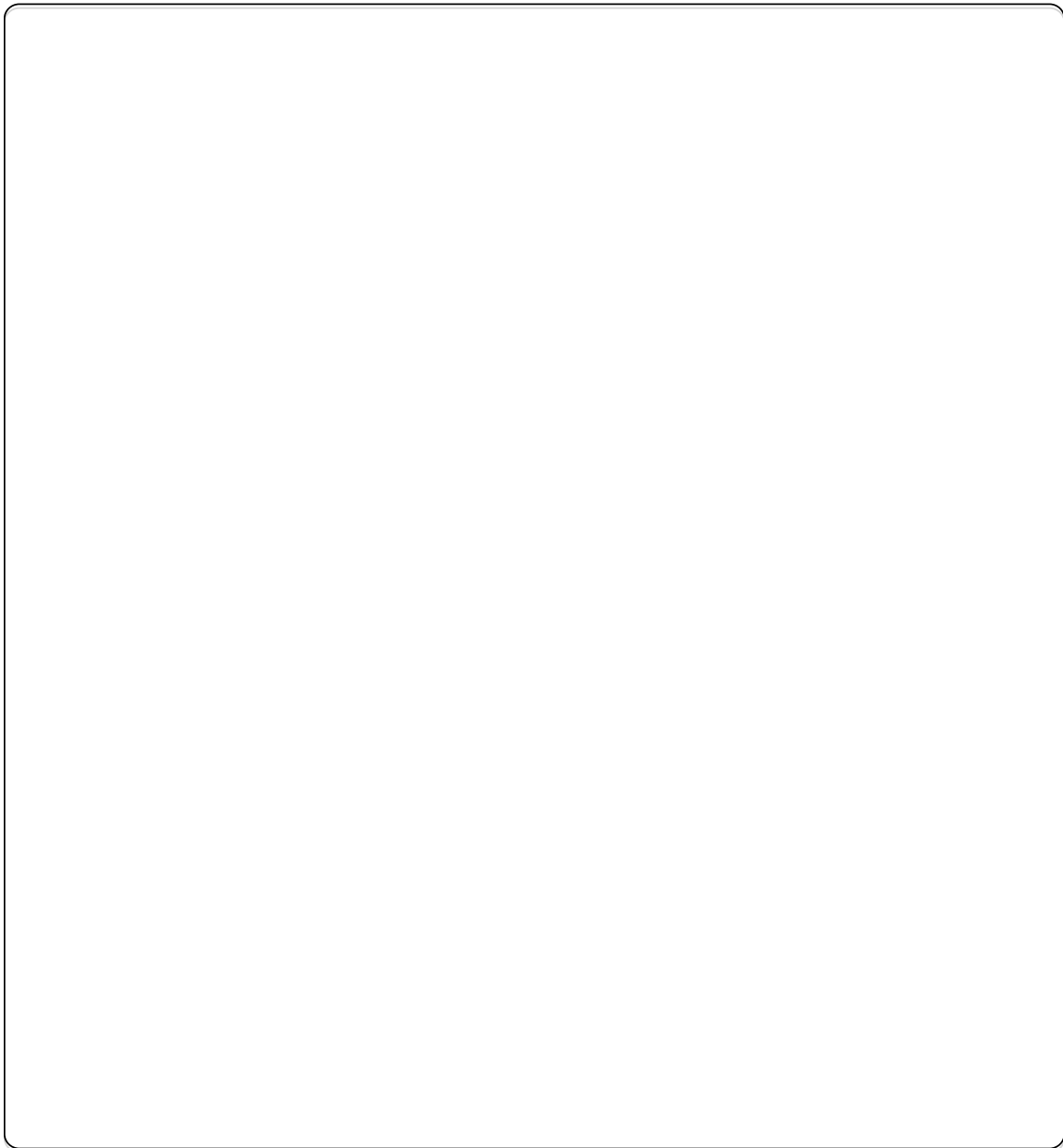
- 1- ...sencillo
- 2- ...fluido
- 3- ...perfectamente entendido
- 4- ...perfectamente aceptado
- 5- ...fomentado/impulsado desde su posición directiva (impulso a la implantación)
- 6- ...uno más dentro de los muchos a implantar en la organización.

c) Valoración general

- Su participación en la fase de diseño del P.E., ¿ha facilitado la implantación efectiva de dicho Plan Estratégico? (Valore puntuando en escala de 10 notas pero de -5 a 5, donde un -5 significa que ha sido contraproducente, 0 que el impacto ha sido neutro, 5 si ha resultado muy positivo facilitando la implantación)



- d) Comentarios (abierto. Puede hacer cuantas aportaciones desee, comentar o argumentar sus valoraciones cuantitativas a las preguntas anteriores o cualquier otra consideración.



Muchas gracias por su colaboración.

*PD: Ante cualquier duda o aclaración puede contactar con el doctorando Jesús Rico, 607890594, [jesus.rico@iese.edu](mailto:jesus.rico@iese.edu) , [jesus.rico@upc.edu](mailto:jesus.rico@upc.edu)*

## Entrevista tesis doctoral

## IMPLEMENTACIÓN ESTRATÉGICA.

- El objetivo es medir el vínculo entre la participación en la fase de diseño con las barreras generadas en la posterior fase de implantación y no valorar la herramienta o el proceso como tal.
- Se intenta definir la participación percibida y cuan efectiva esta participación resulta para favorecer la implementación de la estrategia. Comparándola con la participación real se establecerán parámetros de correlación.
- Es importante determinar el nivel de participación idóneo para alcanzar un equilibrio óptimo entre barreras creadas y participación ofrecida. En ocasiones no será interesante dar participación – nivel cero- en otras cuanto mayor sea ésta mejor...Este es un aspecto a determinar por el directivo al frente de cada proyecto y pretendo ofrecer una herramienta para predecir en cierta medida el nivel de resistencia e incluso, por ejemplo, poder cuantificarlo como un riesgo o sobrecoste del proyecto

La *ResearchQuestion* en concreto es:

*“How does practitioners’ participation in strategy formulation affect to strategy implementation?”*

Entendiendo por *practitioner* todo el que contribuye a poner en práctica las fases del proyecto -en este caso el Plan Estratégico de FS.-

Al tratarse de una investigación Cualitativa es muy importante aportar rigor en todo el proceso, especialmente en las fuentes. Por este motivo se requiere realizar “triangulación” de fuentes de información. Por este motivo, además de entrevistar a los responsables del diseño y gestión del Plan Estratégico (fuente A) y a los directivos que participan con sus aportaciones en su elaboración y son responsables de llevarlo a cabo (fuente B), es necesario tener una visión desde la alta dirección, impulsora y avaladora de este Plan Estratégico (fuente C). Es aquí donde entra en juego la contribución de Santiago Olivares.

Se busca, como digo, recoger su visión sobre

- 1) Cual ha sido su papel dentro del proceso (avalador/impulsor del P.E.). Como lo definiría y qué mecanismos de control y *feedback* tiene del mismo
- 2) La participación que él cree (percibe) que ha sido ofrecida a los directivos para elaborar el P.E.
- 3) El nivel de satisfacción con esta participación que él ha percibido de los directivos (especificar si hay casos concretos...”en general..., pero en un caso...”, etc.)

4) La participación real que él ha detectado (nivel de implicación en el diseño) por parte de los directivos

4) Barreras o dificultades en la implantación del P.E. (en general o en particular. Todo aquello que identifique como “incidencias o problemas” en la implantación/implementación)

5) Percepción sobre el proceso en global.

6) Cualquier aportación que desee hacer sobre el tema investigado, bien sea acerca de caso concreto del P.E. de FS, bien sea de cualquier otro proyecto/proceso vivido. (Relación entre participación ofrecida a los directivos en el diseño del P.E. y barreras en la implantación del mismo.)

Muchas gracias

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## Annex 4. Qualitative Analysis Atlas Ti. Quotations case A. ERM

Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		1:14	En opinión de los consultores,...	PD1 CASE A ERM.txt	barreras implementación	1	43	1
alineación organizacional (0-4)		>1...	A nivel de barreras o dificult..	PD1 CASE A ERM.txt	barreras implementación	1	82	3
barreras implementación (11-7)		1:43	De este modo podemos afirmar q..	PD1 CASE A ERM.txt	barreras implementación	2	89	1
comunicación (5-4)		1:44	se observan resistencias en su..	PD1 CASE A ERM.txt	barreras implementación	4	91	1
dependencia jerárquica (4-2)		>1...	La influencia de DG impulsa pe..	PD1 CASE A ERM.txt	barreras implementación	2	102	2
importancia del proyecto (2-2)		1:48	pueden surgir barreras si la a..	PD1 CASE A ERM.txt	barreras implementación	2	102	1
incentivo económico (0-2)		1:49	Lo que he podido comprobar es ..	PD1 CASE A ERM.txt	barreras implementación	2	292	1
motivación (2-8)		1:50	En mi opinión la participación..	PD1 CASE A ERM.txt	barreras implementación	2	500	1
participación (36-3)		1:51	Como barreras aparecidas desta..	PD1 CASE A ERM.txt	barreras implementación	2	502	1
responsabilidad, deber (1-2)		>1...	De este modo podemos afirmar q..	PD1 CASE A ERM.txt	barreras implementación	1	89	2
		1:58	El nivel de motivación,	PD1 CASE A ERM.txt	barreras implementación, comunicación	1	699	2
Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		<1...	Un primer aspecto importante e..	PD1 CASE A ERM.txt	comunicación	3	53	4
alineación organizacional (0-4)		1:54	En el caso del ERM la primera ..	PD1 CASE A ERM.txt	comunicación	2	55	1
barreras implementación (11-7)		>1...	se interpreta como una restric..	PD1 CASE A ERM.txt	comunicación	3	92	2
comunicación (5-4)		1:56	informar y comunicar, de compa..	PD1 CASE A ERM.txt	comunicación	1	548	1
dependencia jerárquica (4-2)		1:58	El nivel de motivación,	PD1 CASE A ERM.txt	barreras implementación, comunicación	1	699	2
importancia del proyecto (2-2)								
incentivo económico (0-2)								
motivación (2-8)								
participación (36-3)								
responsabilidad, deber (1-2)								
Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		<1...	Un primer aspecto importante e..	PD1 CASE A ERM.txt	comunicación	3	53	4
alineación organizacional (0-4)		1:54	En el caso del ERM la primera ..	PD1 CASE A ERM.txt	comunicación	2	55	1
barreras implementación (11-7)		>1...	se interpreta como una restric..	PD1 CASE A ERM.txt	comunicación	3	92	2
comunicación (5-4)		1:56	informar y comunicar, de compa..	PD1 CASE A ERM.txt	comunicación	1	548	1
dependencia jerárquica (4-2)		1:58	El nivel de motivación,	PD1 CASE A ERM.txt	barreras implementación, comunicación	1	699	2
importancia del proyecto (2-2)								
incentivo económico (0-2)								
motivación (2-8)								
participación (36-3)								
responsabilidad, deber (1-2)								
Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		1:36	por la importancia de la herra..	PD1 CASE A ERM.txt	importancia del proyecto	2	698	1
alineación organizacional (0-4)		>1...	El nivel de motivación, en mi ..	PD1 CASE A ERM.txt	importancia del proyecto	2	699	2
barreras implementación (11-7)								
comunicación (5-4)								
dependencia jerárquica (4-2)								
importancia del proyecto (2-2)								
incentivo económico (0-2)								
motivación (2-8)								
participación (36-3)								
responsabilidad, deber (1-2)								
Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		1:38	El nivel de motivación, en mi ..	PD1 CASE A ERM.txt	motivación, participación	3	699	2
alineación organizacional (0-4)		1:57	superior jerárquico, en relac..	PD1 CASE A ERM.txt	motivación	3	209	1
barreras implementación (11-7)								
comunicación (5-4)								
dependencia jerárquica (4-2)								
importancia del proyecto (2-2)								
incentivo económico (0-2)								
motivación (2-8)								
participación (36-3)								
responsabilidad, deber (1-2)								

Códigos								
Mostrar todas Citas		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
		1:1	This first case, ERM, is a pos..	PD1 CASE A ERM.bt	participación	2	4	1
		1:2	fase de diagnóstico y diseño l..	PD1 CASE A ERM.bt	participación	2	33	1
		1:3	a fase final, en la que se imp..	PD1 CASE A ERM.bt	participación	3	37	1
		1:5	¿Cómo participan los implement..	PD1 CASE A ERM.bt	participación	3	79	1
		1:6	La participación de los direct..	PD1 CASE A ERM.bt	participación	4	86	1
		>1:7	Se dio participación a todos l..	PD1 CASE A ERM.bt	participación	5	108	2
		1:8	La participación ofrecida, por..	PD1 CASE A ERM.bt	participación	1	113	1
		1:9	Al ser un proceso tan abierto ..	PD1 CASE A ERM.bt	participación	2	119	1
		1:10	En primer lugar tuve acceso a ..	PD1 CASE A ERM.bt	participación	5	134	1
		1:11	Suficiente para conseguir el o..	PD1 CASE A ERM.bt	participación	2	144	1
		1:12	AS YOUR PARTICIPATION AT THE S..	PD1 CASE A ERM.bt	participación	5	197	1
		1:13	Para cada caso existe un nivel..	PD1 CASE A ERM.bt	participación	4	212	1
		1:14	pude participar aportando mi e..	PD1 CASE A ERM.bt	participación	2	227	1
		1:15	También participé en el área d..	PD1 CASE A ERM.bt	participación	1	230	1
		1:16	¿CÓMO VALORA SU PARTICIPACIÓN ..	PD1 CASE A ERM.bt	participación	5	234	1
		1:17	mi superior jerárquico, quien ..	PD1 CASE A ERM.bt	participación	2	306	1
		1:18	Cada gestor participa en la de..	PD1 CASE A ERM.bt	participación	1	310	1
		1:19	Pude participar pero mi área d..	PD1 CASE A ERM.bt	participación	1	312	1
		1:20	Como digo, la aportación que p..	PD1 CASE A ERM.bt	participación	2	318	1
		1:21	"complejo". Se designaron 10 p..	PD1 CASE A ERM.bt	participación	4	366	1
		1:22	En general la participación es..	PD1 CASE A ERM.bt	participación	3	395	1
		1:24	Se ofreció participación volun..	PD1 CASE A ERM.bt	participación	5	413	1
		1:25	Valoro la participación (lo ap..	PD1 CASE A ERM.bt	participación	1	425	1
		1:26	WAS YOUR PARTICIPATION AT THE ..	PD1 CASE A ERM.bt	participación	6	485	1
		>1...	En mi opinión la participación..	PD1 CASE A ERM.bt	participación	2	500	2
		1:28	participé en la definición de ..	PD1 CASE A ERM.bt	participación	6	515	1
		1:29	Valoro la participación positi..	PD1 CASE A ERM.bt	participación	2	526	1
		1:30	WAS YOUR PARTICIPATION AT THE ..	PD1 CASE A ERM.bt	participación	7	581	1
		1:31	En general ha sido muy positiv..	PD1 CASE A ERM.bt	participación	2	601	1
		1:32	La participación en el proceso..	PD1 CASE A ERM.bt	participación	3	619	1
		1:33	pude participar en la defini..	PD1 CASE A ERM.bt	participación	3	624	1
		1:34	¿CÓMO VALORA SU PARTICIPACIÓN ..	PD1 CASE A ERM.bt	participación	4	629	1
		1:35	WAS YOUR PARTICIPATION AT THE ..	PD1 CASE A ERM.bt	participación	7	683	1
		1:38	El nivel de motivación, en mi ..	PD1 CASE A ERM.bt	motivación, participación	3	699	2
		>1...	Al haber sido un proceso tan a..	PD1 CASE A ERM.bt	participación	3	703	2
		<1	widely upon the participation	PD1 CASE A ERM.bt	participación	3	7	6

## Annex 5. Qualitative Analysis Atlas Ti. Quotations case B. ARM

Códigos		Códigos		Códigos		Códigos	
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	<1...	Negocio no veía esta strategi..	PD2 CASE B ARM.txt	alineación organizacional	2	248	2
	<1...	El objetivo de la compañía, po..	PD2 CASE B ARM.txt	alineación organizacional	3	239	2
	>1...	Different points of view	PD2 CASE B ARM.txt	alineación organizacional	1	279	2
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	1:1	Cambiamos nuestra praxis en el..	PD2 CASE B ARM.txt	barreras implementación	2	192	1
	1:2	El objetivo de la compañía, po..	PD2 CASE B ARM.txt	barreras implementación	6	239	1
	>1:4	La barreras, pues, fueron much..	PD2 CASE B ARM.txt	barreras implementación	1	249	2
	1:5	La comunicación no formal, sin..	PD2 CASE B ARM.txt	barreras implementación	3	253	1
	>1:8	Aquí sí se dio participación p..	PD2 CASE B ARM.txt	barreras implementación	3	260	2
	1:9	Se llegó a realizar un control..	PD2 CASE B ARM.txt	barreras implementación, ...	3	245	4
	1:10	Negocio no veía esta strategi..	PD2 CASE B ARM.txt	barreras implementación	2	248	1
	>1...	Existe una barrera que podríam..	PD2 CASE B ARM.txt	barreras implementación	1	241	2
	1:15	En otros casos la influencia J..	PD2 CASE B ARM.txt	barreras implementación	2	153	1
	1:16	Se nos hunde el negocio "o "No..	PD2 CASE B ARM.txt	barreras implementación	3	146	1
	1:29	MAIN PROBLEMS ENVISAGED BY YOU..	PD2 CASE B ARM.txt	barreras implementación, ...	5	178	2
	>1...	DID IT FACILITATE THE SUBSEQUE..	PD2 CASE B ARM.txt	barreras implementación	4	172	2
	>1...	La falta de motivación y la Re..	PD2 CASE B ARM.txt	barreras implementación, ...	1	181	3
	<1...	MAIN PROBLEMS CAUSE OF IMPLEM..	PD2 CASE B ARM.txt	barreras implementación	1	275	5
	1:41	Los principales participantes,..	PD2 CASE B ARM.txt	barreras implementación	2	126	1
	1:45	La cuestión difícil fue lograr..	PD2 CASE B ARM.txt	barreras implementación	2	107	1
	1:46	Un cambio radical de mentalida..	PD2 CASE B ARM.txt	barreras implementación	2	111	1
	1:48	A medida que se fue implanta..	PD2 CASE B ARM.txt	barreras implementación	2	135	1
	1:51	Los directivos que llevan la r..	PD2 CASE B ARM.txt	barreras implementación	2	235	1
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	1:6	La comunicación no formal, sin..	PD2 CASE B ARM.txt	comunicación	5	253	1
	1:21	se comunicó a las personas imp..	PD2 CASE B ARM.txt	comunicación	2	87	1
	1:23	La comunicación fue unidirecci..	PD2 CASE B ARM.txt	comunicación	2	94	1
	1:24	Toda comunicación fundamental ..	PD2 CASE B ARM.txt	comunicación	2	96	1
	1:25	En este caso la comunicación y..	PD2 CASE B ARM.txt	comunicación	3	136	1
	1:26	En esta primera fase, la fase ..	PD2 CASE B ARM.txt	comunicación	3	250	1
	>1...	Lack of communication	PD2 CASE B ARM.txt	comunicación	1	278	2
	1:44	Se transmite de arriba abajo, ..	PD2 CASE B ARM.txt	comunicación	1	75	1
	1:47	communication process - unidir..	PD2 CASE B ARM.txt	comunicación	1	117	1
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	<1...	El impulso jerárquico de algun..	PD2 CASE B ARM.txt	dependencia jerárquica	3	152	2
	>1...	No fue una resistencia homogé..	PD2 CASE B ARM.txt	dependencia jerárquica	4	149	2
	<1...	La falta de motivación y la Re..	PD2 CASE B ARM.txt	dependencia jerárquica	2	181	2
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	1:3	El caso es que no se podía dar..	PD2 CASE B ARM.txt	importancia proyecto, par...	4	241	2
	<1...	El riesgo cuantitativamente er..	PD2 CASE B ARM.txt	importancia proyecto	5	228	2
	>1...	En esta fase no participamos n..	PD2 CASE B ARM.txt	importancia proyecto	3	82	2
	1:43	Se trataba pues de una necesid..	PD2 CASE B ARM.txt	importancia proyecto	2	53	1
Mostrar todos Citas	Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
<ul style="list-style-type: none"> <li>alineación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>	1:9	Se llegó a realizar un control..	PD2 CASE B ARM.txt	barreras implementación, ...	3	245	4
	1:37	Linkage between Bonus and Stra..	PD2 CASE B ARM.txt	incentivo económico	1	292	1
	1:38	Cobros en lugar de Incremento ..	PD2 CASE B ARM.txt	incentivo económico	2	201	1
	1:50	Incorporación del objetivo en ..	PD2 CASE B ARM.txt	incentivo económico	1	209	1

Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		1:9	Se llegó a realizar un control..	PD2 CASE B ARM.txt	barreras implementación, ...	3	245	4
<ul style="list-style-type: none"> <li>alineaación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li><b>motivación (5-6)</b></li> <li>participación (9-2)</li> <li>responsabilidad, deber (1-2)</li> </ul>		1:29	MAIN PROBLEMS ENVISAGED BY YOU..	PD2 CASE B ARM.txt	barreras implementación, ...	5	178	2
		>1...	La falta de motivación y la Re..	PD2 CASE B ARM.txt	barreras implementación, ...	1	181	3
		>1...	efecto "motivador".	PD2 CASE B ARM.txt	motivación	1	202	2
		1:40	(ENT) MOTIVATION DERIVED FROM ..	PD2 CASE B ARM.txt	motivación	4	283	1
Códigos		Id	Nombre	Documento primario	Códigos	Tamaño	Inicio	Densidad
Mostrar todos Citas		1:3	El caso es que no se podía dar..	PD2 CASE B ARM.txt	importancia proyecto, par...	4	241	2
<ul style="list-style-type: none"> <li>alineaación organizacional (3-2)</li> <li>barreras implementación (19-5)</li> <li>comunicación (9-3)</li> <li>dependencia jerárquica (3-1)</li> <li>importancia proyecto (4-2)</li> <li>incentivo económico (4-1)</li> <li>motivación (5-6)</li> <li><b>participación (9-2)</b></li> <li>responsabilidad, deber (1-2)</li> </ul>		<1:7	En una segunda fase del proyec..	PD2 CASE B ARM.txt	participación	3	259	2
		1:9	Se llegó a realizar un control..	PD2 CASE B ARM.txt	barreras implementación, ...	3	245	4
		<...	the participation offered to t..	PD2 CASE B ARM.txt	participación	2	4	3
		<1...	En esta fase no participamos n..	PD2 CASE B ARM.txt	participación	2	82	2
		1:27	The strategy was defined by th..	PD2 CASE B ARM.txt	participación	2	5	1
		1:28	implementation process - unidi..	PD2 CASE B ARM.txt	participación	1	116	1
		>1...	Imposed	PD2 CASE B ARM.txt	participación	1	280	2
		1:42	PARTICIPATION AT STRATEGIC PLA..	PD2 CASE B ARM.txt	participación	4	268	1

## Annex 6. Qualitative Analysis Atlas Ti. Quotations case C. FSSP

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	<5...	El éxito del proceso radica en..	PD3 CASE C FSSP.txt	alineación organizacional, comunicación	3	383	4
alineación organizacional (3-4)	5:39	Los continuos cambios en el or..	PD3 CASE C FSSP.txt	alineación organizacional, barreras implementación, motivación	1	390	3
barreras implementación (31-7)	5:95	El riesgo es que no haya un en..	PD3 CASE C FSSP.txt	alineación organizacional	2	280	1

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	5:1	Las barreras que me he encontr..	PD3 CASE C FSSP.txt	barreras implementación	4	88	1
alineación organizacional (3-4)	5:2	Es necesaria mucha comunicaci...	PD3 CASE C FSSP.txt	barreras implementación, comunicación	1	350	2
barreras implementación (31-7)	5:5	De todos modos en el seguimie...	PD3 CASE C FSSP.txt	barreras implementación	2	467	1
comunicación (37-4)	5:6	A la hora de implantar accione...	PD3 CASE C FSSP.txt	barreras implementación	4	579	1
dependencia jerárquica (7-3)	>5:8	Algunas barreras se crean porq...	PD3 CASE C FSSP.txt	barreras implementación	2	583	2
importancia proyecto (9-1)	5:9	Desde el punto de vista de nue...	PD3 CASE C FSSP.txt	barreras implementación	2	690	1
incentivo económico (8-2)	5:11	Barreras/dificultad. Quizás la..	PD3 CASE C FSSP.txt	barreras implementación	6	785	1
motivación (30-6)	5:12	para mi el balance entre el PE...	PD3 CASE C FSSP.txt	barreras implementación	2	801	1
participación (46-3)	>5...	Desde que comunicamos la estr...	PD3 CASE C FSSP.txt	barreras implementación	2	211	2
responsabilidad, deber (4-2)	5:15	La gente de línea (managers de...	PD3 CASE C FSSP.txt	barreras implementación	3	289	1
	>5...	En cierto modo esto entraña un...	PD3 CASE C FSSP.txt	barreras implementación, incentivo económico	4	299	3
	5:18	En la implementación es clave ..	PD3 CASE C FSSP.txt	barreras implementación, comunicación	4	338	2
	5:19	Primero hablamos con negocio...	PD3 CASE C FSSP.txt	barreras implementación	2	585	1
	5:22	Las dificultades no han venido...	PD3 CASE C FSSP.txt	barreras implementación	2	638	1
	>5...	Es necesario compartir el PE a...	PD3 CASE C FSSP.txt	barreras implementación, comunicación	4	288	3
	5:39	Los continuos cambios en el or...	PD3 CASE C FSSP.txt	alineación organizacional, barreras implementación, motivación	1	390	3
	5:40	La implantación del PE del CCC...	PD3 CASE C FSSP.txt	barreras implementación	2	449	1
	5:48	Es muy complicado implicar al ..	PD3 CASE C FSSP.txt	barreras implementación, comunicación	3	594	2
	5:49	Algunos intentan atrincherarse...	PD3 CASE C FSSP.txt	barreras implementación	1	599	1
	>5...	Este rechazo frontal no respon...	PD3 CASE C FSSP.txt	barreras implementación	3	597	2
	>5...	por tanto menos problemas po...	PD3 CASE C FSSP.txt	barreras implementación	2	149	2
	5:68	El PE nunca se ha aceptado. Si...	PD3 CASE C FSSP.txt	barreras implementación	2	214	1
	>5...	sin embargo la implementación ..	PD3 CASE C FSSP.txt	barreras implementación, participación	4	91	4
	5:77	Smooth, flowing proces...7	PD3 CASE C FSSP.txt	barreras implementación	1	104	1
	5:88	Smooth, flowing proces...4	PD3 CASE C FSSP.txt	barreras implementación	1	227	1
	5:1...	La implantación del PE en los ..	PD3 CASE C FSSP.txt	barreras implementación	2	348	1
	5:1...	La aceptación del PE es difíci...	PD3 CASE C FSSP.txt	barreras implementación	2	352	1
	5:1...	Fully acceptedTop Managemen...	PD3 CASE C FSSP.txt	barreras implementación	1	362	1
	>5...	Barreras/dificultad. Quizás la...	PD3 CASE C FSSP.txt	barreras implementación	2	785	2
	5:1...	una mejor planificación de los...	PD3 CASE C FSSP.txt	barreras implementación	3	788	1
	>5...	Es muy complicado implicar al ..	PD3 CASE C FSSP.txt	barreras implementación	2	594	2

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	5:2	Es necesaria mucha comunicaci...	PD3 CASE C FSSP.txt	barreras implementación, comunicación	1	350	2
alineación organizacional (3-4)	5:7	Algunas barreras se crean porq...	PD3 CASE C FSSP.txt	comunicación	7	583	1
barreras implementación (31-7)	5:13	Desde que comunicamos la estr...	PD3 CASE C FSSP.txt	comunicación	3	211	1
comunicación (37-4)	5:18	En la implementación es clave ..	PD3 CASE C FSSP.txt	barreras implementación, comunicación	4	338	2
dependencia jerárquica (7-3)	5:23	Influencia de las variables de...	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica, incentivo económico,...	2	95	5
importancia proyecto (9-1)	5:27	En nuestro caso dedicamos cuat...	PD3 CASE C FSSP.txt	comunicación	2	131	1
incentivo económico (8-2)	<5:28	Desde que comunicamos la estr...	PD3 CASE C FSSP.txt	comunicación	1	211	2
motivación (30-6)	5:29	En primer lugar hay que comuni...	PD3 CASE C FSSP.txt	comunicación	1	248	1
participación (46-3)	5:30	La propuesta que elaboramos se...	PD3 CASE C FSSP.txt	comunicación	3	285	1
responsabilidad, deber (4-2)	5:31	Un aspecto muy importante es l...	PD3 CASE C FSSP.txt	comunicación	1	288	1
	>5:32	Es necesario compartir el PE a...	PD3 CASE C FSSP.txt	barreras implementación, comunicación	4	288	3
	<5:33	Es por ello importante comunic...	PD3 CASE C FSSP.txt	comunicación	2	293	2
	5:34	Resulta clave lograr un desarr...	PD3 CASE C FSSP.txt	comunicación, participación	3	296	3
	5:35	se producen dificultades en la...	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica	2	340	2
	<5:36	El éxito del proceso radica en...	PD3 CASE C FSSP.txt	alineación organizacional, comunicación	3	383	4
	5:42	He comunicado el PE en una ses...	PD3 CASE C FSSP.txt	comunicación	2	447	1
	5:43	En el equipo y a tal efecto co...	PD3 CASE C FSSP.txt	comunicación	3	458	1
	5:44	El proceso de comunicación ha ...	PD3 CASE C FSSP.txt	comunicación	2	584	1
	5:45	una vez planteado el posible P...	PD3 CASE C FSSP.txt	comunicación	2	588	1
	5:46	En total dos jornadas de comun...	PD3 CASE C FSSP.txt	comunicación	1	589	1
	5:47	al final he hablado con todos ..	PD3 CASE C FSSP.txt	comunicación	1	593	1
	5:48	Es muy complicado implicar al ..	PD3 CASE C FSSP.txt	barreras implementación, comunicación	3	594	2
	5:51	He dedicado mucho tiempo a co...	PD3 CASE C FSSP.txt	comunicación	1	600	1
	5:53	hubiese facilitado la implanta...	PD3 CASE C FSSP.txt	comunicación	1	642	1
	5:54	una parte de la motivación, co...	PD3 CASE C FSSP.txt	comunicación, motivación	3	643	2
	5:55	(INDIQUESIPARTICIPAACTIVAMEN...	PD3 CASE C FSSP.txt	comunicación, participación	6	684	2
	5:56	Pero conscientes en general de...	PD3 CASE C FSSP.txt	comunicación, importancia proyecto	3	692	2
	<5:58	Otros aspectos como la comunic...	PD3 CASE C FSSP.txt	comunicación	2	728	2
	5:62	Es muy importante compartir el...	PD3 CASE C FSSP.txt	comunicación	1	385	1
	<5:81	Requiere, para su correcto des...	PD3 CASE C FSSP.txt	comunicación	2	128	2
	5:86	estrategia se presentaba en un...	PD3 CASE C FSSP.txt	comunicación, participación	3	180	2
	5:91	En primer lugar hay que comuni...	PD3 CASE C FSSP.txt	comunicación	3	248	1
	5:96	La propuesta que elaboramos se...	PD3 CASE C FSSP.txt	comunicación	3	285	1
	5:97	Es necesario compartir el PE a...	PD3 CASE C FSSP.txt	comunicación	2	288	1
	5:125	Otro aspecto en la comunicaci...	PD3 CASE C FSSP.txt	comunicación	3	591	1
	<5:148	a base de comunicación se ha c...	PD3 CASE C FSSP.txt	comunicación, motivación	2	595	3



Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	5:4	La ascendencia jerárquica ha i...	PD3 CASE C FSSP.txt	dependencia jerárquica	1	469	1
alineación organizacional (3-4)	5:17	En la implementación es clave ..	PD3 CASE C FSSP.txt	dependencia jerárquica	2	338	1
barreras implementación (31-7)	5:23	Influencia de las variables de..	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica, incentivo económico,...	2	95	5
comunicación (37-4)	5:35	se producen dificultades en la..	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica	2	340	2
dependencia jerárquica (7-3)	5:52	De todos modos algunos acepta...	PD3 CASE C FSSP.txt	dependencia jerárquica	2	600	1
importancia proyecto (9-1)	< 5:75	Como CEO de FE España soy resp...	PD3 CASE C FSSP.txt	dependencia jerárquica	2	84	2
incentivo económico (8-2)	> 5:109	En ocasiones será necesario "t...	PD3 CASE C FSSP.txt	dependencia jerárquica	2	386	2
motivación (30-6)							
participación (46-3)							
responsabilidad, deber (4-2)							

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	5:10	Quizás la principal dificultad..	PD3 CASE C FSSP.txt	importancia proyecto, incentivo económico	6	785	2
alineación organizacional (3-4)	5:24	Considero el PE como una herra..	PD3 CASE C FSSP.txt	importancia proyecto	1	97	1
barreras implementación (31-7)	5:25	El PE es una herramienta clave..	PD3 CASE C FSSP.txt	importancia proyecto	1	127	1
comunicación (37-4)	5:41	Es un proceso muy relevante; f...	PD3 CASE C FSSP.txt	importancia proyecto	1	451	1
dependencia jerárquica (7-3)	5:56	Pero conscientes en general de..	PD3 CASE C FSSP.txt	comunicación, importancia proyecto	3	692	2
importancia proyecto (9-1)	5:69	Desde mi posición he pasado de..	PD3 CASE C FSSP.txt	importancia proyecto	2	216	1
incentivo económico (8-2)	5:113	el PE ha sido y es doblemente ..	PD3 CASE C FSSP.txt	importancia proyecto	4	454	1
motivación (30-6)	>-5:118	La calidad del PE es crítica y...	PD3 CASE C FSSP.txt	importancia proyecto	4	506	1
participación (46-3)	5:149	En definitiva el PE es un proc...	PD3 CASE C FSSP.txt	importancia proyecto	1	634	1
responsabilidad, deber (4-2)							

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	5:10	Quizás la principal dificultad..	PD3 CASE C FSSP.txt	importancia proyecto, incentivo económico	6	785	2
alineación organizacional (3-4)	> 5:16	En cierto modo esto entraña un..	PD3 CASE C FSSP.txt	barreras implementación, incentivo económico	4	299	3
barreras implementación (31-7)	5:23	Influencia de las variables de..	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica, incentivo económico,...	2	95	5
comunicación (37-4)	> 5:38	Importante también alinear inc...	PD3 CASE C FSSP.txt	incentivo económico	2	388	2
dependencia jerárquica (7-3)	5:66	La forma en que la compañía in...	PD3 CASE C FSSP.txt	incentivo económico	2	175	1
importancia proyecto (9-1)	< 5:84	Esto debe ir acompañado con un...	PD3 CASE C FSSP.txt	incentivo económico	7	166	2
incentivo económico (8-2)	5:93	En tercer lugar creo necesario...	PD3 CASE C FSSP.txt	incentivo económico	3	255	1
motivación (30-6)	< 5:153	el balance entre el PE y el dí...	PD3 CASE C FSSP.txt	incentivo económico	2	801	2
participación (46-3)							
responsabilidad, deber (4-2)							

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	> 5:20	La implantación ha sido facili...	PD3 CASE C FSSP.txt	motivación, participación	2	637	3
alineación organizacional (3-4)	5:23	Influencia de las variables de..	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica, incentivo económico,...	2	95	5
barreras implementación (31-7)	5:39	Los continuos cambios en el or...	PD3 CASE C FSSP.txt	alineación organizacional, barreras implementación, motivaci...	1	390	3
comunicación (37-4)	5:54	una parte de la motivación, co...	PD3 CASE C FSSP.txt	comunicación, motivación	3	643	2
dependencia jerárquica (7-3)	> 5:60	en general más motivación	PD3 CASE C FSSP.txt	motivación	1	149	2
importancia proyecto (9-1)	> 5:65	se hacen más dueños del PE; no...	PD3 CASE C FSSP.txt	motivación	2	165	2
incentivo económico (8-2)	5:67	La participación en la fase de...	PD3 CASE C FSSP.txt	motivación, participación	3	218	2
motivación (30-6)	> 5:72	level of engagement? 10	PD3 CASE C FSSP.txt	motivación	1	66	3
participación (46-3)	< 5:76	Influencia de las variables de..	PD3 CASE C FSSP.txt	motivación	2	95	2
responsabilidad, deber (4-2)	> 5:79	Muy bueno 4	PD3 CASE C FSSP.txt	motivación	1	120	2
	> 5:80	ello produce una mayor motivac...	PD3 CASE C FSSP.txt	motivación	2	129	2
	> 5:83	tienes que entender qué necesi...	PD3 CASE C FSSP.txt	motivación	2	158	2
	> 5:85	vinculando el resultado de la ..	PD3 CASE C FSSP.txt	motivación	2	171	2
	> 5:90	5 (VERY POSITIVE EFFECT); INDI...	PD3 CASE C FSSP.txt	motivación	4	238	2
	5:101	level of engagement? 9	PD3 CASE C FSSP.txt	motivación	1	316	1
	> 5:108	5 (VERY POSITIVE EFFECT); INDI...	PD3 CASE C FSSP.txt	motivación	5	372	2
	> 5:115	Smooth, flowing process... 8	PD3 CASE C FSSP.txt	motivación	1	477	2
	> 5:117	As a CCC Director and CD Direc...	PD3 CASE C FSSP.txt	motivación	5	494	2
	5:126	Smooth, flowing process... 5	PD3 CASE C FSSP.txt	motivación	1	611	1
	> 5:129	Excelente 5	PD3 CASE C FSSP.txt	motivación	1	627	2
	> 5:133	Smooth, flowing process... 5	PD3 CASE C FSSP.txt	motivación	1	705	2
	< 5:134	IMPLEMENTATION. QUANTITATIV...	PD3 CASE C FSSP.txt	motivación	1	701	2
	> 5:136	Assessment from -5 (very negat...	PD3 CASE C FSSP.txt	motivación	4	716	2
	> 5:137	mejorar la implantación.	PD3 CASE C FSSP.txt	motivación	1	727	2
	> 5:138	facilitan que se entienda mejo...	PD3 CASE C FSSP.txt	motivación	2	728	2
	5:141	El nivel de satisfacción con e...	PD3 CASE C FSSP.txt	motivación	1	771	1
	5:142	el nivel de implicación en el ...	PD3 CASE C FSSP.txt	motivación	2	774	1
	< 5:143	La participación en la fase de...	PD3 CASE C FSSP.txt	motivación	1	466	3
	< 5:148	a base de comunicación se ha c...	PD3 CASE C FSSP.txt	comunicación, motivación	2	595	3
	> 5:151	hubiese facilitado la implanta...	PD3 CASE C FSSP.txt	motivación	1	642	2

Códigos	Id	Nombre	Documento primario	Códigos	Tamaño	Ini...	Densidad
Mostrar todos Citas	< 5:3	La participación en la fase de..	PD3 CASE C FSSP.txt	participación	2	466	2
alineación organizacional (3-4)	> 5:20	La implantación ha sido fácil..	PD3 CASE C FSSP.txt	motivación, participación	2	637	3
barreras implementación (31-7)	5:21	Las dificultades no han venido..	PD3 CASE C FSSP.txt	participación	1	638	1
comunicación (37-4)	5:23	Influencia de las variables de..	PD3 CASE C FSSP.txt	comunicación, dependencia jerárquica, incentivo económico,...	2	95	5
dependencia jerárquica (7-3)	> 5:34	Resulta clave lograr un desarr..	PD3 CASE C FSSP.txt	comunicación, participación	3	296	3
importancia proyecto (9-1)	5:55	(INDIQUESIPARTICIPAActivamen..	PD3 CASE C FSSP.txt	comunicación, participación	6	684	2
incentivo económico (8-2)	< 5:57	En definitiva es indudable que..	PD3 CASE C FSSP.txt	participación	1	727	2
motivación (30-6)	< 5:59	Cuanta más participación en el..	PD3 CASE C FSSP.txt	participación	1	149	3
<b>participación (46-3)</b>	> 5:63	Ahora se involucra mucho más a..	PD3 CASE C FSSP.txt	participación	4	163	2
responsabilidad, deber (4-2)	< 5:64	ahora se pregunta a os directi..	PD3 CASE C FSSP.txt	participación	3	161	3
	5:67	La participación en la fase de..	PD3 CASE C FSSP.txt	motivación, participación	3	218	2
	5:70	participation offered to the p..	PD3 CASE C FSSP.txt	participación	3	6	1
	< 5:71	he participado activamente en ..	PD3 CASE C FSSP.txt	participación	2	55	2
	< 5:73	allowability offered to you to..	PD3 CASE C FSSP.txt	participación	1	67	2
	> 5:74	sin embargo la implementación ..	PD3 CASE C FSSP.txt	barreras implementación, participación	4	91	4
	< 5:78	DID YOUR PARTICIPATION AT THE ..	PD3 CASE C FSSP.txt	participación	7	114	2
	< 5:82	He podido aportar lo que los n..	PD3 CASE C FSSP.txt	participación	2	157	2
	5:86	estrategia se presentaba en un..	PD3 CASE C FSSP.txt	comunicación, participación	3	180	2
	5:87	If you had the possibility to ..	PD3 CASE C FSSP.txt	participación	3	196	1
	< 5:89	DID YOUR PARTICIPATION AT THE ..	PD3 CASE C FSSP.txt	participación	2	236	2
	5:92	En segundo lugar es importante..	PD3 CASE C FSSP.txt	participación	4	251	1
	5:94	Se trata de tener una visión c..	PD3 CASE C FSSP.txt	participación	3	276	1
	5:99	La libertad para participar en..	PD3 CASE C FSSP.txt	participación	1	303	1
	5:100	mi aportación se limita a la p..	PD3 CASE C FSSP.txt	participación	2	306	1
	5:102	definición de las acciones a l..	PD3 CASE C FSSP.txt	participación	3	343	1
	< 5:107	DID YOUR PARTICIPATION AT THE ..	PD3 CASE C FSSP.txt	participación	2	370	2
	5:110	La participación ofrecida, en ..	PD3 CASE C FSSP.txt	participación	2	416	1
	5:111	What was the allowability offe..	PD3 CASE C FSSP.txt	participación	2	425	1
	5:112	se parte de un proyecto sesgad..	PD3 CASE C FSSP.txt	participación	2	443	1
	< 5:114	La estrategia no se construye ..	PD3 CASE C FSSP.txt	participación	4	462	1
	< 5:116	DID YOUR PARTICIPATION AT THE ..	PD3 CASE C FSSP.txt	participación	2	488	2
	< 5:119	Para aspirar a tener un buen P..	PD3 CASE C FSSP.txt	participación	5	511	1
	5:120	Mi participación ha sido doble..	PD3 CASE C FSSP.txt	participación	4	535	1
	5:121	Para participar e influir en l..	PD3 CASE C FSSP.txt	participación	2	539	1
	5:122	equiere responsabilidad pero e..	PD3 CASE C FSSP.txt	participación, responsabilidad, deber	2	541	2
	5:123	el margen para aportar es tota..	PD3 CASE C FSSP.txt	participación	1	545	1
	5:124	What was the allowability offe..	PD3 CASE C FSSP.txt	participación	2	557	1
	< 5:128	DID YOUR PARTICIPATION AT THE ..	PD3 CASE C FSSP.txt	participación	2	620	2
	< 5:130	Las dificultades no han venido..	PD3 CASE C FSSP.txt	participación	5	638	1
	5:131	La participación por lo tanto ..	PD3 CASE C FSSP.txt	participación	5	661	1
	5:132	a participación a las unidades..	PD3 CASE C FSSP.txt	participación	3	695	1
	< 5:135	participation at the Strategic..	PD3 CASE C FSSP.txt	participación	2	714	2
	5:139	Se trata de un proceso bottom ..	PD3 CASE C FSSP.txt	participación	7	745	1
	5:140	La participación que se les of..	PD3 CASE C FSSP.txt	participación	3	758	1
	< 5:146	A pesar de haber participado e..	PD3 CASE C FSSP.txt	participación	2	583	2
	< 5:150	participación en el diseño del..	PD3 CASE C FSSP.txt	participación	2	637	2

## Annex 7. Qualitative Analysis Atlas Ti. Networks case A. ERM

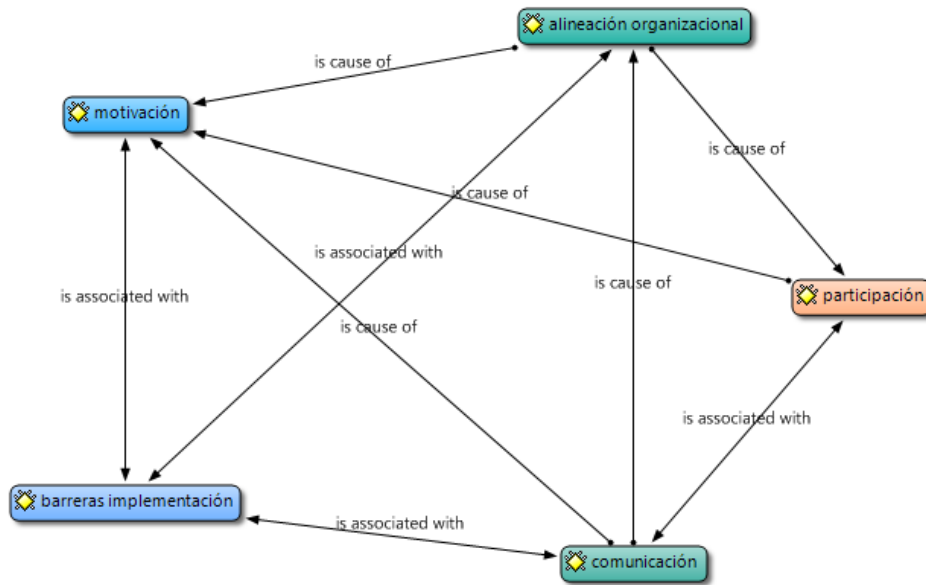


Fig 26. Communication Network

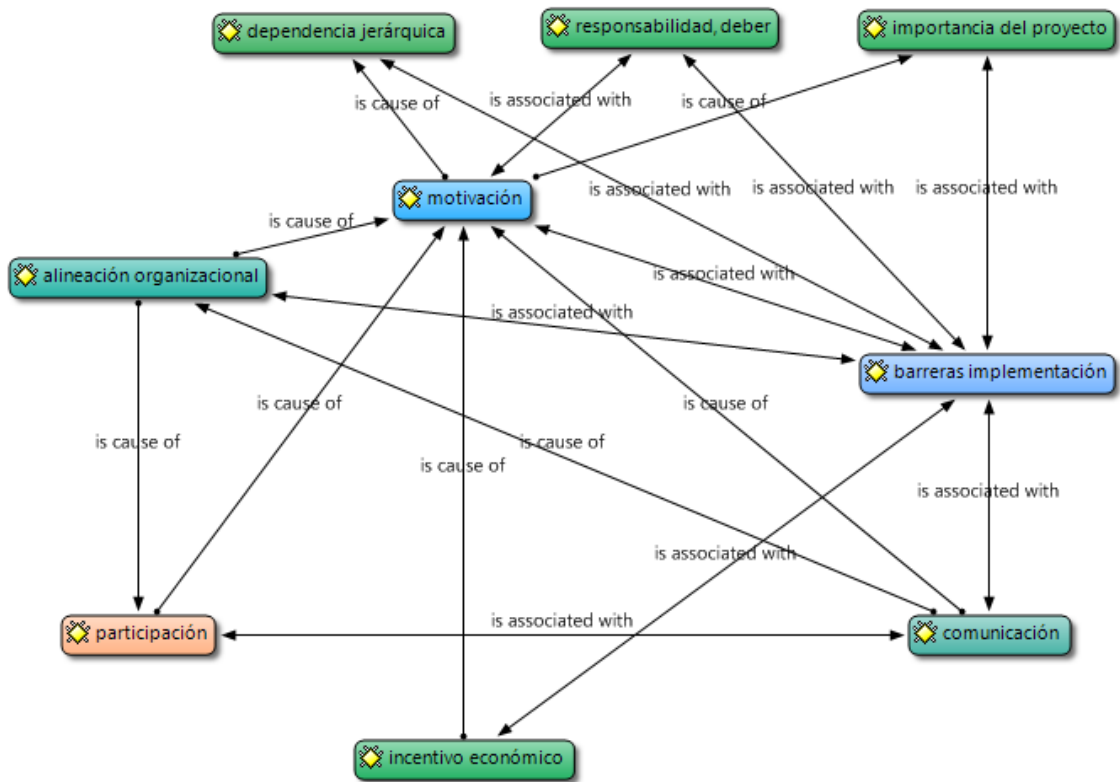


Fig 27. Incentive Network

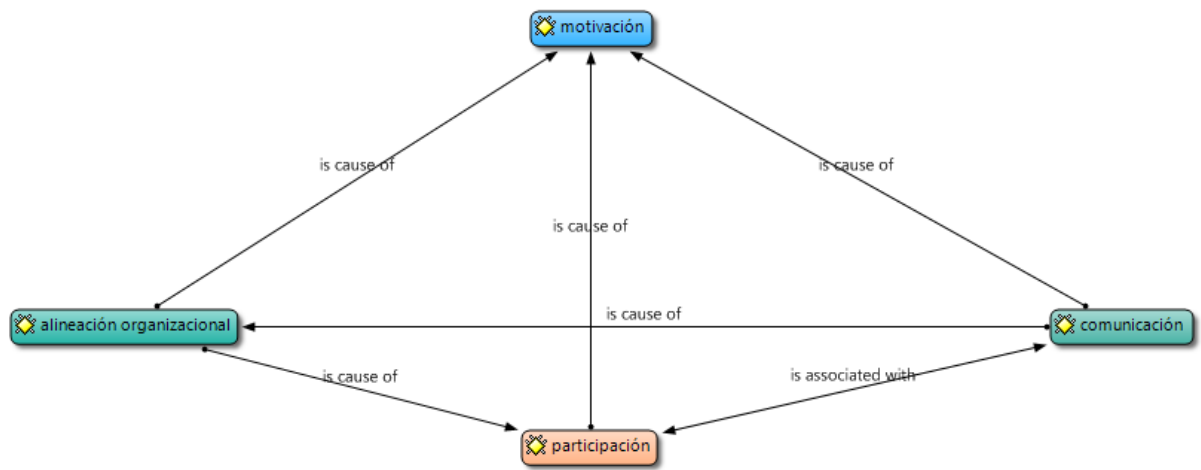


Fig 28. Participation Network

## Annex 8. Qualitative Analysis Atlas Ti. Networks case B. ARM

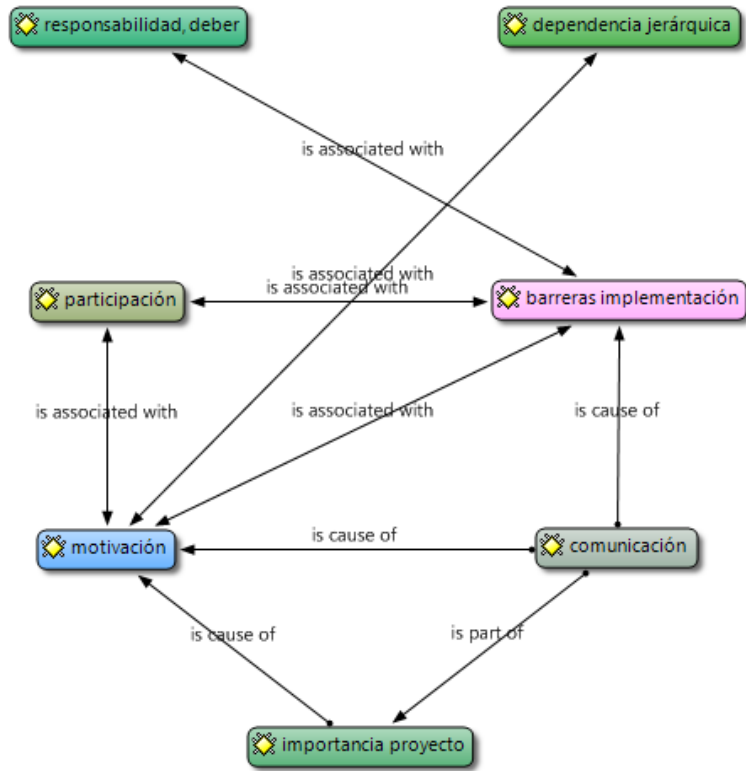


Fig 31. Implementation Barriers Network (Case B, ARM).

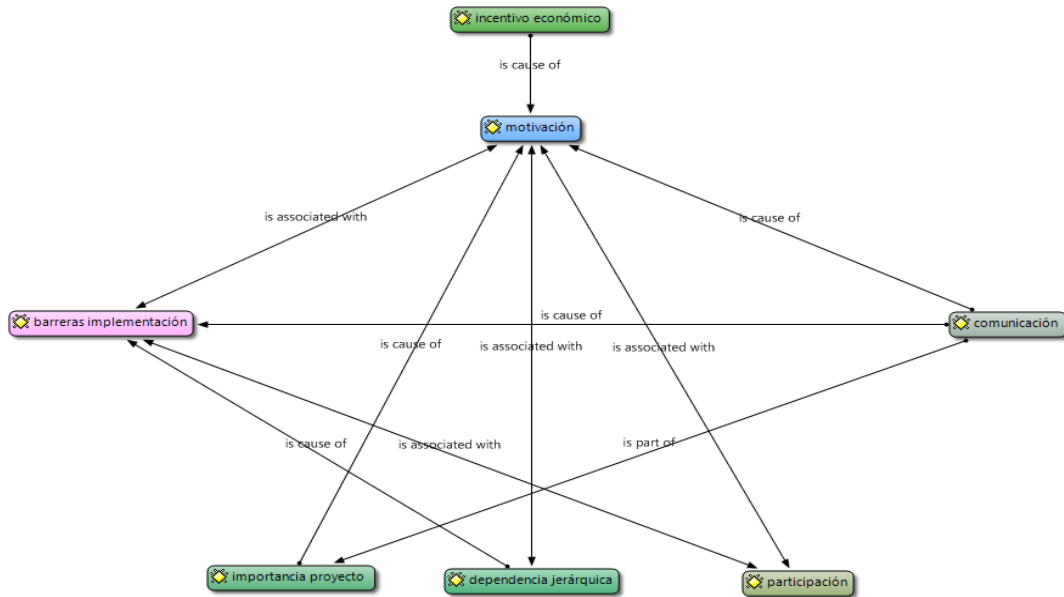


Fig 30. Incentive Network (Case B, ARM).

## Annex 9. Qualitative Analysis Atlas Ti. Networks case C. FSSP

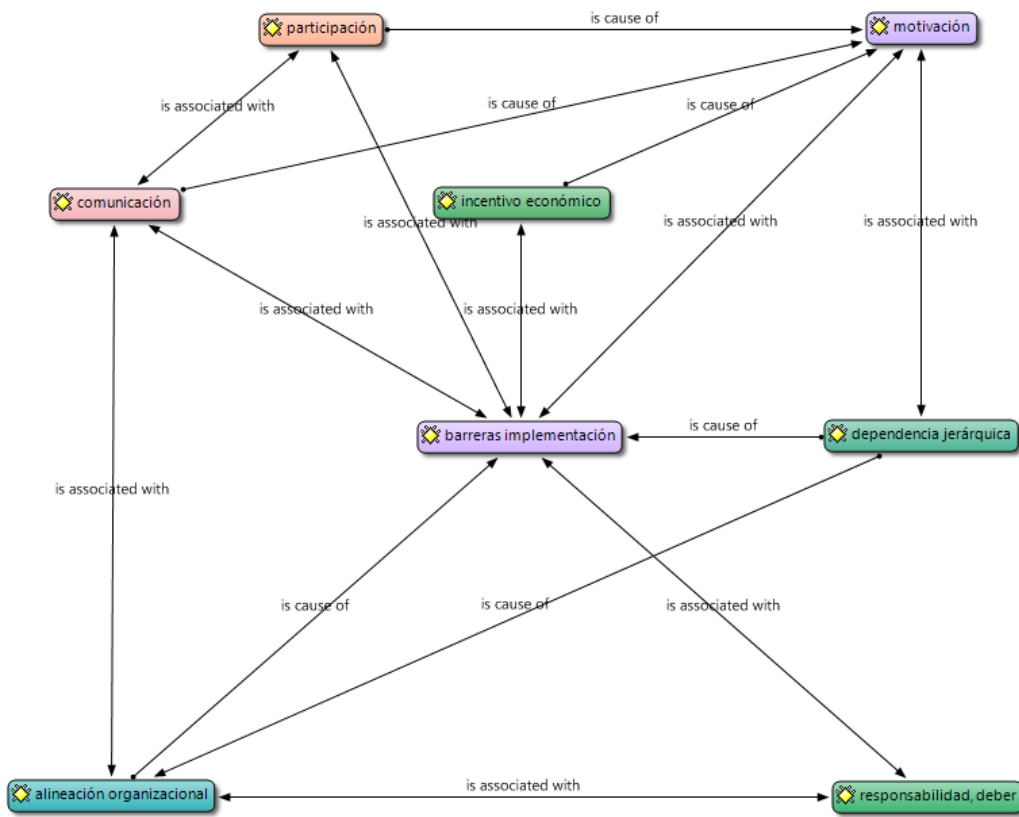


Fig 35. Implementation barriers Network. Case C, FSSP.

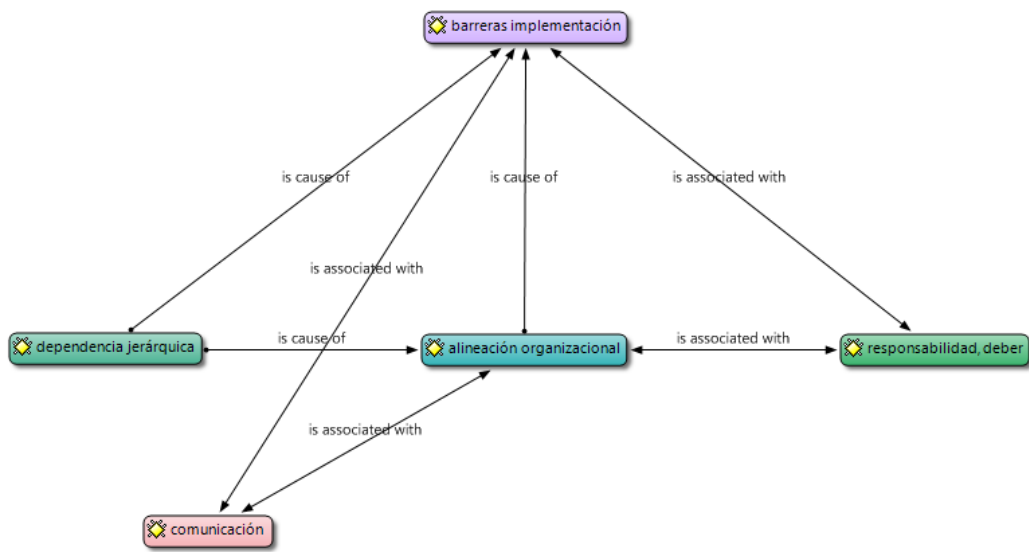


Fig 36. Organizational alignment Network. Case C, FSSP.

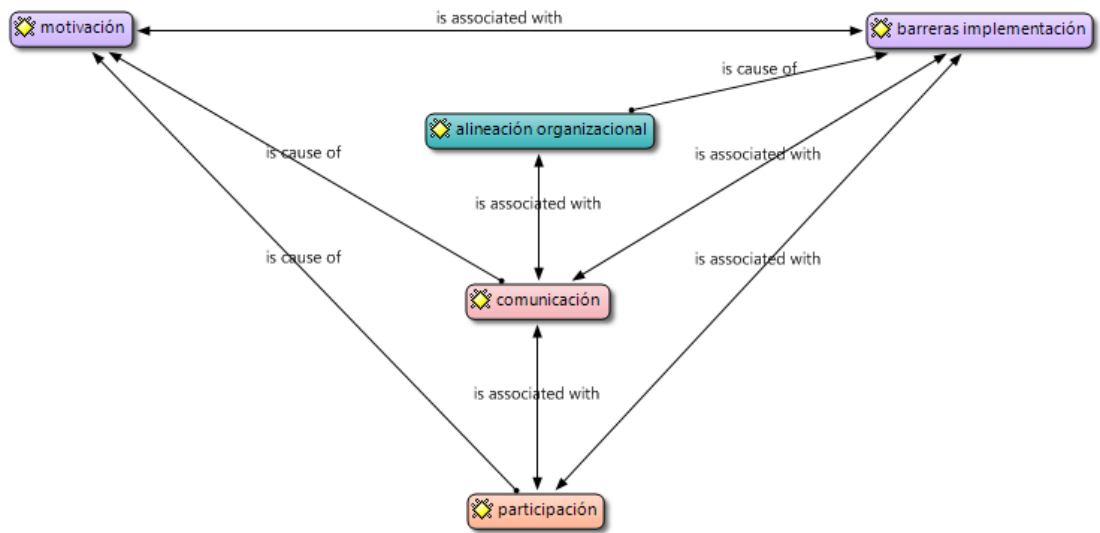


Fig 37. Communication Network. (Case C, FSSP).



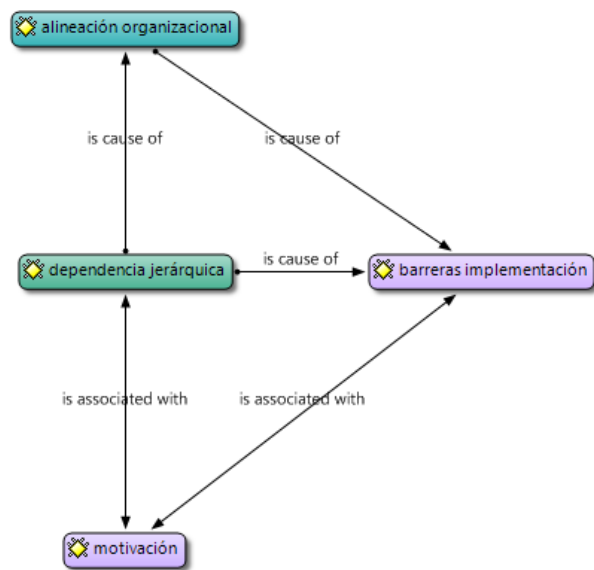


Fig 38. Hierarchical dependence. (Case C, FSSP).

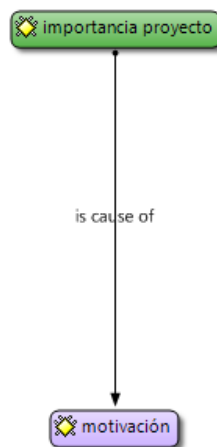


Fig 39. Project relevance. (Case C, FSSP).

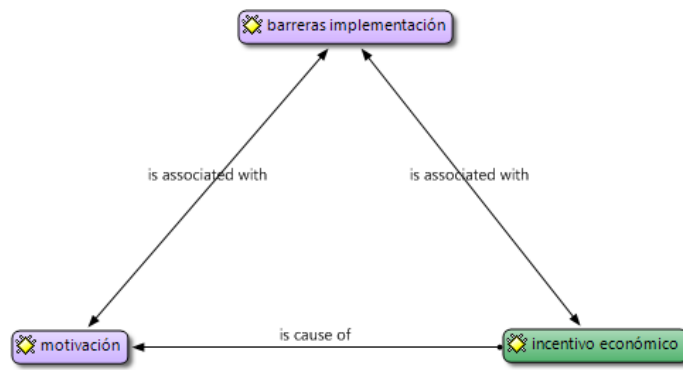


Fig 40. Reward. (Case C, FSSP).

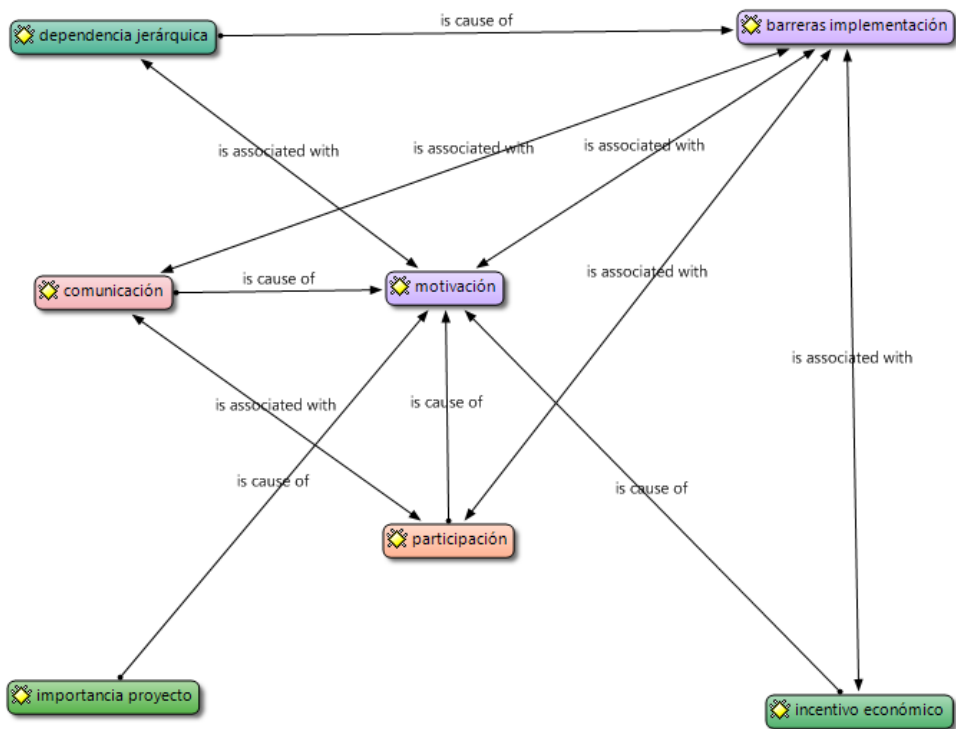


Fig 41. Incentive. (Case C, FSSP).

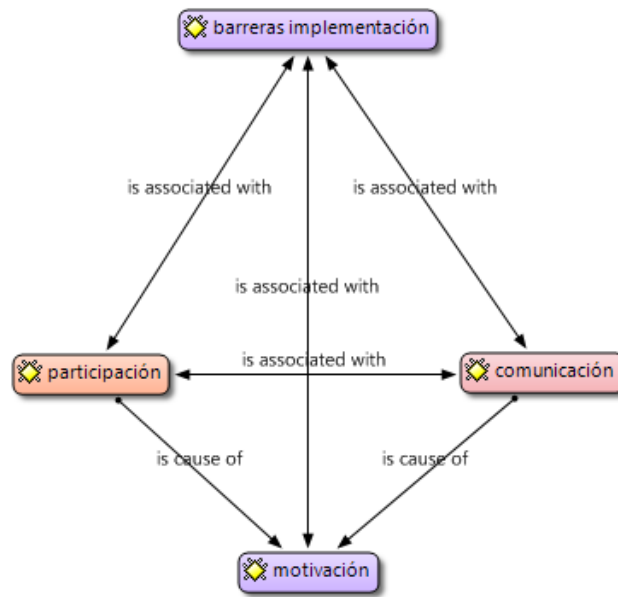


Fig 42. Participation. (Case C, FSSP).

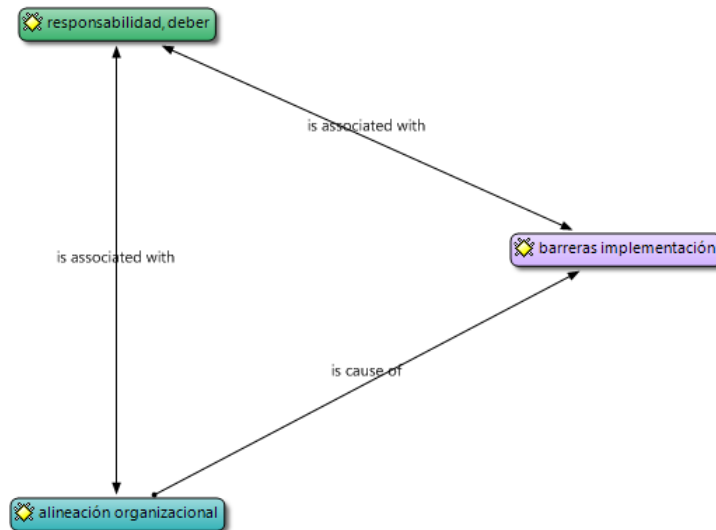


Fig 43. Responsibility, duty. (Case C, FSSP).

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