

QUALITATIVE PHENOMENOLOGICAL STUDY OF DATA MANAGEMENT  
INFORMATION SYSTEM DEPLOYMENTS: FINANCIAL SERVICES INDUSTRY

by

Dannie J. Kerns

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A Dissertation Presented in Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Management in Organizational Leadership and Information System  
Technology

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INFORMATION SYSTEM DEPLOYMENTS: FINANCIAL SERVICES INDUSTRY

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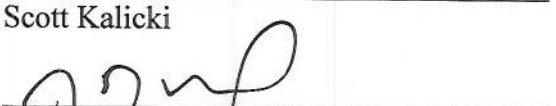
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## ABSTRACT

The qualitative phenomenological study explored the lived experiences of financial services industry change managers to understand the genesis of low data management information system project adoption rates. The goal of the study was to find methods to improve data management information system adoption rates. The participant pool consisted of 19 financial services change managers in the eastern United States. Data was collected, coded, and analyzed from 13 open-ended interview questions to determine themes. The results of the analysis led to the identification of seven themes: (1) level of importance given to change management role, (2) change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates, (3) understanding the change management process improves project adoption rates, (4) change management skills and involvement influenced successful project adoption rates, (5) change manager leadership behaviors influenced successful project adoption, (6) change management and organizational cultures were conducive to project adoption success, (7) strong leadership enhances organizational values and improves project adoption success. Implications to this study included suggestions to help leaders balance the humanistic factor of change management, particularly when external consultants are used to managing data management information systems projects. Recommendations for future research included the expansion of the sample population to include business and technology representatives.

## DEDICATION

I dedicate this dissertation to my loving wife and perennial friend Victoria V. Kerns. There were many times when I missed out on thoughtful and private conversations that could have strengthened our bond. I understand that I can never regain the long periods of waiting and social isolation. I could not have achieved this doctoral degree without your patience and silent love; I thank you.

I would also like to dedicate this dissertation to the Twins, E’Kira and E’Shara Kerns for allowing me to finish undergrad and grad school as a single parent. As young vibrant children growing up, they never stopped me from creating a baseline for this doctoral degree. I could not have achieved this dream without your support, educational focus, and good grades. I also want to dedicate this dissertation for Deanna Vasquez and Dana Boardley. Let this serve as reminder that focus and motivation will allow you to achieve all of your goals and life. Xavier Gilchrist may our manly accomplishment serve as a notice that you are not done yet – make it happen. Education is the new currency.

I want to dedicate my dissertation to my Mother for taking the time to ensure that I had the necessary reading and writing skills to be productive in kindergarten. Whereas we are much older and wiser today, I distinctly remember those days as well as the kitchen table and chairs that we sat in as if it were yesterday. I continue to learn the meaning of dedication and commitment from you. Last, to my Father, I dedicate these writings to you because the findings were important to analyze, understand, and write so that improvements may be made (wrongs made right) in the financial service industry. The road was long and hard, but through persistence and commitment to my profession, here I am, as you are, and have been.

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I want to acknowledge the financial services change managers who took the time to share with me their lived experiences and perceptions of low project adoption rates and the perceived role of change managers as they work to manage and execute critical regulatory and compliance data management projects involving information systems. I have found each of you to be passionate and committed to improving your current company, whether you lead from the front or back. You are all quintessential leaders.

I also want to express my deepest appreciation for the outstanding contributions to this study by the members of my dissertation committee. During my first year residency Dr. Kalicki allowed me to understand my situatedness and provided a spark to complete this journey. I want to thank Dr. Castaneda, for supporting me on this journey as well. I certainly appreciated your candidness and questions prior to joining my committee. I realized from the questions that you asked that you would be the right fit and that I would perform as you expected. Last, but not least I want to thank Dr. Kangas, my chairperson for taking me on, after my first chair walked away after 10 months. Thank you for working with me and helping me to close the gap and reach the point that I am at now. My job and goal was to make your experience with me as easy as possible, thank you so much. Additionally, I have had a superior group of professors; however, Dr. Clodi and Dr. Schuttler motivated and assisted me throughout this journey as well and I thank them.

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## CHAPTER 1: INTRODUCTION

Financial services industries are heavily laden with data. Organizations that employ more than, “1,000 employees accumulated an excess of 235 terabytes of data; exceeding the amount of data at the U. S. Library of Congress” (Brown, Chui, & Manyika, 2011, p. 25). Financial and customer transactions exponentially increased the amount of data that traverses financial data management value-chains (Brown, Chui, & Manyika, 2011). According to Lucas (2010), corporate leaders take data quality very seriously because bad corporate data accentuates discrepant information that could damage the organization’s brand image, markedly in the area of external regulatory compliance. Internally, there are financial implications relating to poor data quality that corporations must deal with such as redundant data, which increases the cost of data storage on data management information systems (DMIS). Financial service organizations that choose to decrease poor data quality and redundant data must persuade financial service end-users to adopt new DMIS solutions to mitigate risks and reduce costs to their organizations (O’Connell, 2010; Tallon, 2010). Increased adoption rates will assist with managing the ever-increasing volume of financial transaction data (LaValle, Lesser, Shockley, Hopkins & Kruschwitz, 2011). The after effect of poor corporate data quality has its greatest influence on critical organizational components. An international financial services survey conducted by KPMG highlighted that, “81% of respondents attributed poor data quality to ineffective reporting and another 64% attributed poor data quality to incorrect business decisions” (Rickards & Ritsert, 2012, p. 27).

Chapter 1 includes the background of the problem and the purpose of the study. The chapter contains a description of the significance and nature of the study, central research question, conceptual framework, definition of terms, assumptions, scope, limitations, and delimitations inherent to the study. Chapter 1 concludes with a summary of the main points and topics covered in Chapter 1 and an introduction to the Chapter 2 Literature Review.

### **Background of the Problem**

Sarbanes-Oxley and Basel II laws created a necessity to improve internal DMIS, so that Chief Executive Officers (CEOs) could sign legally binding earning documents with confidence (Augustinos, 2005; Singer & You, 2011; Lobo & Jian, 2010). Sarbanes-Oxley was enacted to protect consumers and investors from financial services scandals. Congress enacted federal mandates, which directed CEOs' to certify their organization's financial standing with a signature. Basel was enacted to dictate how much capital a financial service organization must retain to mitigate future bankruptcy risks (Augustinos, 2005; Singer, & You, 2011). Both laws have data management implications and mandate that corporations improve data management capabilities, or suffer financial penalties and audit reviews (Augustinos, 2005; Singer, & You, 2011).

Because of these new laws, financial services organizations have invested in DMIS to improve data quality and decrease compliance risks. Data management pertains to the strategic positioning of information systems (IS), governance, standards, computer architectures, policies, and procedures to collect, store, manipulate, and distribute data to end-users who need it (McNurlin, Sprague, & Bui, 2009). After the 2008 Wall Street crash, Congress mandated that financial services industries adhere to federal mandates

such as Sarbanes-Oxley and Basel II (Augustinos, 2005; Singer, & You, 2011). The new mandates stipulated that Chief Executive Officers (CEO's) sign legally binding financial statements that illustrated the organization's financial well-being (Lobo & Jian, 2010). The North Carolina City financial services organization invested in DMIS to decrease compliance risks. However, the caveat was that North Carolina City financial service end-users adopt new DMIS solutions, and business processes prior to improved data quality, to increase CEO confidence when signing legally binding financial statements.

Financial service industries have responded by the initiation of enterprise wide DMIS projects. The change management role is an important component when executing projects that will deploy new information systems (Levasseur, 2010). However, many change managers who led DMIS projects were novices who lacked the knowledge and skills needed to deploy successful solutions for the enterprise or internal organizations to adopt (Oreg & Berson, 2011). The use of knowledgeable change managers could foster increased data management project adoption rates for financial services organizations as well as other corporations across America (Stare, 2011). It is paramount for organizational leadership to understand the importance of change managers' involved in enterprise data management implementations to ensure that skilled individuals are assigned to those projects. Change management is a critical factor that allows the successful deployment of enterprise systems (Stare, 2011). It is the responsibility of change managers to ensure that end-users are trained to use the data management information systems to accomplish work more efficiently (Levasseur, 2010).

The importance of people as end-users must not go without notice because end-users must understand and accept the change prior to organizations experiencing positive

increases in project adoption rates. Project acceptance and adoption strengthens organizational needs and helps the organization to out-perform the competition because of decreased risks (Stare, 2011). Change managers face a complex task post implementation of DMIS solutions, which end-users will use to complete daily work activities. The reason for this is because of the dramatic changes in how data is used and managed. Change managers need to be clever to adapt to new challenges throughout the implementation of DMIS projects. Financial services change managers could be knowledgeable and use different leadership approaches to improve DMIS project implementation and adoption rates.

A Gartner study conducted on organizational change by Johnson-Cramer, Parise, and Cross (2007) concluded that, “90% of companies surveyed had undertaken significant organizational change within the previous two years, only 5% had avoided substantial disruptions and finished projects on time. Such delays can prove costly for firms engaged in strategic data management initiatives” (p. 85). The challenge for change managers in financial services organizations is to improve their skill-sets and approach while leading DMIS projects to increase project adoption rates. Assignment of change managers to DMIS projects based on mere availability and previous projects that did not leverage information systems must not continue, if organizations want to respond to federal mandates and remain competitive in the marketplace.

### **Statement of the Problem**

The general problem that prompted the research study was that across major corporations, “Two-thirds of DMIS projects were considered unsuccessful” (Levasseur, 2010, p. 159). Financial services organizations that failed to comply with federal



mandates such as Sarbanes Oxley and Basel II incurred increased audits and fines (Orin, 2008). The Data Warehouse Institute found that data management problems were rampant across the United States (U.S.) and these problems were costing corporations about 600 billion dollars a year (Lucas, 2010). Enterprise data management projects within the financial service industries are often complex, expensive, and difficult to achieve adoption (Carter & Green, 2009). The consequences of failures were extremely high (McAfee, 2006), “Approximately 40% to 70% of change initiatives failed to meet expectations” (Peus, Frey, Gerhardt, Fischer, & Traut-Mattausch, 2009, p. 159).

The specific problem was that within a city in North Carolina financial services organization, change managers experienced low project adoption rates post implementation of new DMIS intended to improve data management capabilities. In the fourth quarter of 2010, quality assurance members audited 30 projects. The data management project adoption rate across 30 projects amounted to 38.6%, well below the 70% organizational requirement for project adoption (Financial Services, 2011). Low DMIS project adoption rates might expose the financial services organization to risks and fines (Orin, 2008). According to Levasseur (2010) a, “Study of 42 DMIS projects, technology causal failures accounted for 35% of the project failure rate. The remaining 65% were because of management causal factors—in other words, people issues” (p. 159).

The qualitative phenomenological study explored the lived experiences of change managers to understand project adoption rates and the role change managers played with regard to project adoption rates. The qualitative phenomenological study included

change management professionals, who led DMIS projects within the financial services organization.

### **Purpose of the Study**

The purpose of this qualitative phenomenological study was to explore the lived experiences of financial services change managers to understand project adoption rates and the role change managers played with regard to project adoption rates. The focus was on change managers who had led DMIS projects, which resulted in low project adoption rates. The intent of the study was to reveal emergent themes that would provide direction and help change managers to improve DMIS project adoption rates. The sample research population used in this study consisted of 19 financial services change managers located in a city in North Carolina. One financial services change manager left the company. Financial services participants who served in the change management role had participated in at least one data management project within a six year timeframe and managed at least one subordinate. The study included one-on-one, face-to-face, audio-recorded open-ended interviews using Moustakas's (1994) modified van Kaam interpretive phenomenological method to explore change participants' lived experiences.

The qualitative phenomenological study revealed themes that uncovered patterns that could be used to provide direction to financial services change managers as well as change managers who work in other industries on tactics that improve DMIS project adoption rates. The critical analysis of change managers' perceptions, enhanced data management knowledge, which can be used to motivate and enable average employees to accomplish tasks thought to be impossible in a time of regulatory and compliance chaos (Durrani, Ullah & Ullah, 2011).

### **Significance of the Problem**

A majority of financial services leaders used information systems solutions to close data management gaps and improve their organizations' competitive advantage in the marketplace. The caveat is that financial services end-users must accept new DMIS solutions and business processes prior to experiencing improvements in project adoption rates. According to O'Connell (2010) the greatest challenge of financial service change managers is whether or not the end-users will accept and use the new DMIS solution. Acceptance and use of new DMIS solution will allow CEOs' to sign legally binding financial statements with confidence (Lobo & Jian, 2010).

**Significance of the Study.** The qualitative phenomenological study could be valuable to the financial services industry because federal mandates have spawned the need for new DMIS solutions to manage data used for internal business processes. Federal regulators have written laws that have forced financial services leaders to change business processes. Weller (2008) attested that the ability of financial services companies to, "Maintain complete, accurate, and available data is crucial to the success of these companies. It has been estimated that in 2008, the volume of data will precede that produced throughout the last 40,000 years" (p. 250). Therefore, the only way to keep up with large volumes of financial data is to implement DMIS solutions to automate business processes and improve data management. DMIS project adoption rates were low prior to the financial meltdown and remain low post financial meltdown (Augustinos, 2005).

The qualitative phenomenological study could allow change managers to increase data management project adoption rates and simultaneously decrease compliance risks

associated with federal mandates such as Sarbanes Oxley and Basel II. This is because organizations that effectively implement and adopt DMIS solutions to improve data quality have a greater chance of becoming market leaders (LaValle, Lesser, Shockley, Hopkins, & Kruschwitz, 2011). Improved project adoption rates could help to mitigate the organization's financial risks, improve organizational change, and allow financial services CEOs' to sign legally binding financial statements with confidence (Lobo & Jian, 2010). Successful DMIS projects have proved to be cost-effective when properly implemented across financial services industries (LaValle, Lesser, Shockley, Hopkins, & Kruschwitz, 2011).

**Significance of the Study to Leadership.** This qualitative phenomenological study could enhance the knowledge and awareness of change management leaders who must implement DMIS solutions within their respective organizations. It is paramount that business and change management executives do not look at DMIS projects as technology deployments, but begin to look at them as periods of organizational change, which they are responsible for leading (McAfee, 2006).

Discoveries from this qualitative phenomenological study revealed emergent themes that might provide direction and help change managers to improve DMIS project adoption rates. Change leaders must also be cognizant of the difference between the role of a manager and the role of a leader, which is not clearly distinguishable in all situations. Most management tactics are to resolve immediate challenges by leveraging the basic approaches of planning, organizing, and controlling. Generally speaking, managers are more concerned with management decisions that relate to processes and tasks that enhance operational efficiency and effectiveness in the workplace as oppose to the

challenge to lead long term change (Anantatmula, 2010). Leadership is the art of persuading employees to accomplish tasks, which they believe cannot be accomplished; to achieve long term organizational goals (Anantatmula, 2010). Improvements to data management project rates may occur when leaders focus on the long term plan.

This study highlighted gaps in change management and leadership behaviors that could drive future studies in the data management discipline. Most important, this study could add to data management project adoption literature as few studies currently exist. Last, leaders of different industries could glean information from this study to assist in the improvement of project adoption rates within their respective organizations.

### **Nature of the Study**

The qualitative study incorporated a phenomenological design. A qualitative phenomenological study is a tool that can help scientists, policymakers, and educators learn more about the world that humankind occupies by viewing the results of perceptions and beliefs (Shank, 2006). Academicians use qualitative phenomenological studies to understand phenomena and to develop general inferences about larger groups. The goal of social science research is to interface with humankind's subjective tendencies. Fundamental qualitative phenomenological studies strengthen social science research by creating a simple view of complex situations, processes, systems, or people (Leedy & Ormrod, 2010).

Quantitative research requires the use of statistical data captured over time. The current environment was not conducive for a quantitative research study (Leedy & Ormrod, 2010). The objective of this study was not to collect, measure, and analyze existing objective data (Leedy & Ormrod, 2010).

The approach of the qualitative phenomenological study was to interview several change managers from diverse backgrounds within a financial services organization located within a city in North Carolina (Moustakas, 1994). The qualitative phenomenological study revealed emergent themes that might provide direction and help change managers to improve DMIS project adoption rates. This study could help to understand change management phenomena and develop general inferences about the financial services organization, via interpretation of common beliefs through detailed accounts of data management project-related lived experiences. The best approach to explore the lived experiences of change managers involved in DMIS projects was to use a phenomenological design to complement the qualitative study. A phenomenological design was appropriate because change managers were afforded the liberty explain their perceptions of change management roles and project adoption rates (Moustakas, 1994).

### **Overview of the Research Method**

The qualitative research method enabled the qualitative explorer to listen and comprehend phenomena from the change management participant's point of view in regard to DMIS lived experiences. Quantitative research methods are used to highlight the relationship between variables (Toloie-Eshlaghy, Chitsaz, Karimian, & Charkhchi, 2011). The intent of this study was not to examine relationships between variables. The intent was to understand the lived experiences and perceptions of the change management role and low project adoption rates. A rigorous data collection approach was used to thoroughly review data applicable to personal lived experiences. Qualitative research methods were appropriate to study a social phenomenon comprised of a small number of participants (Creswell, 2002).

### **Overview of the Design Appropriateness**

A phenomenological research design was appropriate for the study because the research question involved social implications and personal connotations (Moustakas, 1994). The phenomenological research design treated human experiences as critical data, which was used to understand human behavior. The phenomenological research design provided the wherewithal to comprehend tacit knowledge of research participants, which was used to formulate inferences on specific social phenomena. The absence of descriptive data in regard to the research question necessitated the use of a phenomenological research design. This phenomenological research study provided a deeper insight into lived project experiences, perceptions, and “described what was happening in a particular setting, event, or set of circumstances” (Garza, 2010, p. 320).

### **Research Question**

The intent of the qualitative phenomenological study was to understand the causes of low data management project adoption rates and the role change managers’ played with regard to project adoption rates. The qualitative phenomenological study used a specific central research question: *What are change managers lived experiences with regard to DMIS projects that resulted in low project adoption rates?* The central research question drove the focus of the study. Also the interview questions to helped to provide insight into the low data management project adoption rate phenomena and helped to discover the role that change managers played with regard to low project adoption rates (Appendix A).

## Conceptual Framework

Low project adoption rates and DMIS implications on change management leadership were relevant to this study. The qualitative phenomenological study aligned to the theory of planned behavior and value-based leadership as it related to change managers who led DMIS projects, which resulted in low project adoption rates. The conceptual framework for the study aligned to Icek Ajzen's theory of planned behavior and served as a continuation of the theory of reasoned action. The purpose of Icek Ajzen's conceptual framework was to decrease negative behaviors and increase positive behaviors toward new innovations (Ajzen, 1991). The premise of the theory of planned behavior stated that, "Intentions to perform behaviors of different kinds can be predicted with accuracy from attitudes toward the behavior, subjective norms, and perceived behavioral control; and these intentions, together with perceptions of behavioral control, account for considerable variance in actual behavior" (Ajzen, 1991, p. 179).

A value-based leadership approach could provide a platform which leaders can use to synchronize value-meaning across organizations as well as provide a familiar language for coordinating a single-threaded vision (Giblin & Amuso). Viinamäki, (2012) characterized values as intrinsic mental outlooks and ideas that help determine individual behavior. Further, mental outlooks and ideas could influence the behaviors of others passively and not require formal policies, strategies, or other control mechanisms to force others into compliance (Viinamäki, 2012).

Harton (2009) stated that social psychology is used to interpret an individual's thought process as well as the actions of others. Individual thought processes are influenced by external factors, whether imagined, or implied (Harton, 2009). Kurt



Lewin's (1951) force field theory of change, dealt with two psychological forces of change: opposing and driving. When opposing forces dominate innovation; change is impossible. Lewin's concepts on organizational change theory served as the genesis for the three-step change model, which expanded organizational change theory. The focus of the three-step change process was to eliminate opposing forces by unfreezing, changing, and refreezing to solidify the new change (Schein, 1995).

Organizational change theory approaches served as a common tactic to address enterprise change initiatives. Organizational change theory approaches include Lewin's Three-Step Model, Kotter's Eight Steps of Change, Prosci's ADKAR Model of Change, McKinsey's 7S Model of Change, and Ajzens Theory of Planned Behavior (Nakhoda, Alidousti, & Fadaie, 2011). These change methods are value-based management methods that render a priority focus to move organizations from one end of the change spectrum, to the other by defined customer needs, requirements assessments, and planned change.

The intent of these aforementioned methods is to simplify complex change and increase project adoption rates. DMIS project risks, which influence project adoption rates fall into three categories: 1) social subsystem risks, 2) project management risks, and 3) technical subsystem risks; respectively, people, process, and technology risks (Kappelman, McKeeman, & Zhang, 2006; Wallace, Keil, & Rai, 2004; Stare, 2011).

## Definition of Terms

In the case of a thorough review of DMIS project adoption rates. It is germane to understand associated definitions to comprehend terms and to denote the study environment. Defined language used in this study mitigated the risk of data and fact misrepresentation. This section provided a uniform comprehension of the content within this study.

**Adoption.** The degree in which a specific IS technology is voluntarily used by an organization (Holden & Rada, 2011).

**Business Process Management.** Comprehensive management practice used to improve business processes (Dyer, 2011).

**Challenged Project.** A completed and over-budget operational project with less functions and features than originally specified (Dominguez, 2009).

**Change Manager.** Responsible for the end-to-end management of large data management information system projects tasks within the project plan for projects, costing more than \$250,000 dollars relating to corporate change initiatives that influence major businesses or functions (Mentzer, Myers, & Stank, 2009; Financial Services, 2011).

**Change Management.** A structured approach to assist an organization or business through a change process to improve performance, processes, or functions (Nakhoda, Alidousti, & Fadaie, 2011).

**Complexity.** The extent to which an IS solution is perceived as hard to use (Moore & Benbasat, 1991; Holden & Rada, 2011).

**Data Management Information System Project.** For the purposes of this study a data management information system (IS) project refers to any project involved in the enhancement of organizational business or customer data via the deployment of information system technological solutions (Financial Services, 2011).

**Data Mining.** Process that allows discovery of advantageous and formally hidden information that has affiliations to other data sets via the use IS created algorithms for the purpose of decision support (Jafar, 2010; Akkaya & Uzar, 2011).

**End-Users.** Employees within the North Carolina financial services organizations that use the deployed DMIS solution to complete their daily work tasks and validate whether, or not the system meets the requested requirements (Financial Services, 2011; Stefanovic, Mirkovic, Anderla, Drapsin, Drid, & Radjo, 2012).

**Line of Business.** An internal business within the North Carolina Bank such as Retail or Consumer (Financial Services, 2011).

**Low Project Adoption Rate.** Data management project adoption rate across 30 projects resulting in a 38.6% or less adoption rate (Financial Services, 2011).

**Minicomputer.** A machine positioned between the smallest mainframe computer and microcomputers in the 1970s (Galliers & Leidner, 2003).

**Project.** An ad-hoc initiative executed to construct a new product or service within a particular timeframe (Project, 2008).

**Project Adoption Rate.** The technology adoption model is a specific theory to evaluate an individual's acceptance of technology and information systems. The main elements of the technology adoption model are the behavioral intention, attitude toward use of the

technology, perceived ease of use, and perceived usefulness of adoptable technology attributes (Al-Hajri & Tatnall, 2008; Holden & Rada, 2011).

**Program Management Office.** Responsible for the management of a group of like or similar projects (Project, 2008)

**Relative Advantage.** The extent to which the IS solution is considered as less complex than the former IS solution (Moore & Benbasat, 1991; Holden & Rada, 2011).

**Technology Causal Failure.** A failure that occurs because of a technical problem (Levasseur, 2010).

**Unstructured Data.** Data not parsed or processed by an application and comes in the form of graphic files, videos, free form text, or sound files (Roberts, 2010).

**Value-Based Leadership.** Leadership beliefs founded upon an individual's value system (Viinamäki, 2012).

### **Assumptions**

Qualitative research methods are susceptible to factors beyond the qualitative researcher's control. The first assumption was that unwritten knowledge or data gathered from change management participants was codifiable. Codifiable data was a critical component to continue with the research.

The second assumption was that the qualitative researcher would remain impartial throughout the data analysis process so the study would not be influenced by bias. Impartiality was critical throughout the qualitative phenomenological study and helped to understand the lived experiences of others as the study was conducted (Leedy & Ormrod, 2010).

The third assumption was that the qualitative researcher would identify a sufficient amount of interviewees to achieve saturation for the qualitative phenomenological study (Walker, 2012). The fourth assumption was that interviewees would participate voluntarily as well as provide honest and candid input with regard to the management of DMIS projects within the organization. The fifth assumption was that important insights would be used to help to improve data management project adoption rates.

Levasseur (2010) posited that, “Change management methods directly addressed two-thirds of the causes of IT project failure, which are, people issues, such as their intractable resistance to change. Successful application of change management leadership tactics could dramatically improve project success” (p. 160). It was critical to gain insight of how increased project adoption rates could be achieved.

### **Scope**

The scope of the qualitative phenomenological study was 20 financial services change management professionals who had led DMIS projects. The selected change managers who participated in the study were over the age of 18. Respondents to the interview questions consisted of financial services change management professionals. The selection of change managers who had led DMIS projects was paramount because change managers were critical partners throughout the lifecycle of data management projects within the financial services organization (Levasseur, 2010). The scope included respective change management practices conducted within the financial services organization.

### **Limitations**

In a qualitative phenomenological research study it was important to highlight possible limitations. Qualitative phenomenological limitations are not controlled by qualitative researchers. Limitations can be implied as a weakness in the study and must be identified (Creswell, 2002).

The study was limited because of the inability to study the broader population of financial services change managers. As a result, the focus on financial services change managers in a specific geographical location imposed limitations on the ability to transfer the results to the larger population of change managers. The study was also limited by the truthfulness of the participants' responses throughout the interview process. Change managers were expected to provide firsthand knowledge in regard to organizational leadership and execution of data management projects. Eligible participants were expected to have an interest in exploring IS project adoption phenomena and would share responses related to project adoption.

The adoption of DMIS projects within large organizations has been studied since the early entrance of computers in the workplace. However, a primary limitation was that some research studies concluded with mixed or incomplete conclusions (Moore & Benbasat, 1991). Often there is an absence of a strong academic base for such research. Insufficient definitions and construct measurements were the primary causes of such outcomes (Moore & Benbasat, 1991) and could be a limitation in this study.

Qualitative interviewers must treat preconceived ideas of the social world with contempt. This is because the qualitative interviewer must carry the burden of applying

precogitated formats of the social world as he or she works to decipher concepts through the eyes of the change management participants:

Strebert and Carpenter (1995:10) contend that the fundamental belief of qualitative research is to create meaning from the individuals studied, as multiple realities exist. Instead of searching for one reality, the interviewer in qualitative research believes that informants of the study actively participate in social actions and thus understand the phenomena under study in different ways (Mofokeng, 2009, p. 39).

Perceived life experiences of the interviewer as well as the interviewees influenced their attitudes toward DMIS project adoption rates as each must remain bias free.

### **Delimitations**

The purpose of delimitation in the qualitative phenomenological study was to enhance the scope of the study to distinct characteristics that would contain, clarify, and exclude non-relevant data (Creswell, 2007). A primary ethical responsibility of the qualitative interviewer was to be aware of substantial warnings of inconsistencies in the research design (Neuman, 2011). The study was restricted to 20 change management participants who had exposure to DMIS projects. Qualitative data collected in a city in North Carolina limited the generalizability of the study to the specific North Carolina City only and removed the need to entertain discoveries from other states. Interviews were scheduled with the full consideration of the availability of each participant. The location of each interview occurred at the preferred location of each participant. The aforementioned delimiting factors and adherence to the research process rigor yielded

confidence in the transferability of the research study results as well as facilitated the clarification of the change managers' perceptions.

### **Summary**

Chapter 1 provided background information on the increased use of data and data quality concerns across financial services organizations (Brown, Chui, & Manyika, 2011; Lucas, 2010). DMIS projects were initiated to address organizational concerns and leaders assumed that successful project adoption rates would occur. As a result, it was important to understand project adoption rates and the role change managers played to achieve positive adoption rates when they implemented DMIS projects within their respective organizations. Regardless of established change management principles, project adoption rates continue to be an issue. Change managers within the financial services industry continue to experience challenges when they must manage technical and managerial causal factors to achieve increased data management project adoption rates (Levasseur, 2010). Successful adoption rates would help to mitigate much of the data management risks associated with Sarbanes Oxley and Basel II. Long-term adoption of data management principles using IS might transform data into a strategic asset and create a competitive advantage for financial services organizations. Change management leaders should take every precaution to ensure positive results in regard to project adoption rates. Research highlighted that when change managers understand how to create expected behaviors and correctly apply leadership styles, project adoption rates might increase (Venkatesh & Goyal, 2010; Nakhoda, Alidousti, & Fadaie, 2011).

As a result of low project adoption rates, this qualitative phenomenological study explored the lived experiences of change managers to understand project adoption rates



and the role change managers played with regard to project adoption rates. Specifically change managers who led DMIS projects that resulted in low project adoption rates. The intent of the study was to reveal emergent themes that would provide direction and help change managers to improve DMIS project adoption rates. Chapter 2 contains a review of the literature pertaining to data management. The literature review highlighted significant aspects and theories related to historical data management concepts, contemporary change, and leadership theories. The focus of the literature review was to understand the relationship between project adoption rates and the role change managers played to influence end-users to adopt DMIS.

## CHAPTER 2: REVIEW OF THE LITERATURE

Chapter 1 described the importance of data management and the need to implement data management solutions, which end-users would adopt. The importance of increased adoption rates upon completion of data management projects is paramount because of federal mandates (Augustinos, 2005; Singer, & You, 2011) involved if organizations do not comply. Regardless of various change management approaches, low project adoption rates continue to be an issue in many organizations. Because of the recent increase of data management information systems (DMIS) solutions, there was little empirical evidence that addressed change management implementations in relation to financial services project adoption. The intent of the qualitative exploration was to understand change manager perspectives through lived experiences, specifically change managers who led DMIS projects, resulting in low project adoption rates. The literature review focused on significant aspects and theories related to historical data management concepts, contemporary change, and leadership theories as they related to DMIS project adoption rates. A thorough review of the literature helped to gather relevant material with divergent conceptual frameworks to support the relationship between project adoption rates and the role change managers play to influence end-users to adopt data management solutions.

A thorough review of the available literature with respect to change management, change leadership, project management, project adoption, data management, information systems, information technologies, and a summary of phenomenological research are addressed in Chapter 2. Most important, any gaps in the literature will require further analysis.

### **Title Searches, Articles, Research Documents, Journals**

In this study 139 references were used, of which 119 (85.6%) were published within the last five years. Among the older works, four were seminal, to include those by Lewin (1951), Ajzen, (1991), Bass (1985), and Moustakas (1994). Nineteen books were used in this study. The literature review for the study leveraged scholarly electronic resources and concentrated on targeted Boolean keyword searches of abstracts and keywords within ProQuest, Dissertation and Thesis, EBSCOhost, Thomson Gale Power Search, Sage, and Business Source Complete databases, via the search terms project ‘adoption’, ‘failure’, ‘data management’, ‘change management’, and ‘leadership’. The Dissertation and Thesis database search returned four dissertations with dates ranging from 2007 to 2010. Upon review of the four dissertations, three were qualitative, and one was quantitative. Subsequent review of each dissertation contributed value to the study by the identification of important concepts contained in scholarly literature as well as areas that required further research. Google Scholar search engine contributed to the establishment of innovative ideas to navigate heavy compliant laden obstacles that burden many financial services organizations.

Table 1 describes the relative quantity of literature available from Google Scholar, University of Phoenix, and Internet web pages. The search results indicated that general information system (IS) project adoption literature was more prevalent on the Internet as oppose to specific data management project adoption literature (Ghobakhloo, Sabouri, Hong, & Zulkifli, 2011). A review of Google Scholar literature brought to light that project adoption has the least amount of scholarly literature available. Comprehensive search results indicated that there was minimal scholarly literature [Google

Scholar/UPOX] available on project adoption. The absence of data management project adoption literature, upon a key search phrase of data management project adoption, accentuated the need for further research on project adoption rates. Data management and change management key words and phrases resulted in the most scholarly literature available for review and analysis. Last, the multitude of data management and change management literature available helped to understand the various approaches required to improve DMIS project adoption rates.

Table 1

*Key Word or Phrase Search Results*

Keyword or Phrase	Google Scholar	UOPX Articles	Internet Web Pages
'Project adoption'	6,445	9,888	162,000,000
'Project failure'	24,009	39,152	15,000,000
'Project leadership'	20,258	40,844	23,200,000
'Data management'	196,011	413,085	153,000,000
'Change management'	181,183	444,400	112,000,000

Table 2 summarizes the age of literature collected for this study. The age of the majority of the literature gathered fell within the range of 13 years. The study focused on project adoption, leadership, and change management literature. Both methods have been used for more than 10 years. Available literature on project management and change management spanned many years. As a result, the focus of the study was to collect contemporary literature that would accentuate trends and practices.

Table 2

*Age (in years) of the Collected Literature and percentage of Literature*

Age in years	Percentage of literature in range
0-1	22.0
0-5	51.0
0-7	70.0
0-9	79.0
0-11	81.0
0-13	86.0
0-15	86.0

### **Historical Data Management Concepts**

The concept of data management established its roots in the early 1950s when computers initially became available for scientific use. Data increases in the fields of operational research and management science across the United States and Europe resulted in a need to document and manage research data throughout the 1960s (Galliers & Leidner, 2003). As data increased, data processing professionals begin to develop conceptual frameworks to improve the management of data.

In the late 1960s more organizations began to acquire large mainframes to help process large volumes of internal transactional information. These transactional mainframes functioned as remote processing stations and produced large volumes of fragmented data that did not reflect a clear view of real-life business endeavors. In the early 1970s the emergence of the minicomputer began to gain prominence because of its

flexibility and low cost. As a result of minicomputers, organizations began to transition to online processing as a means to have better access to fragmented data. By the end of the 1970s the importance of organizational data clearly emerged as an organizational asset. Organizational leaders began to view databases and database management systems (DBMS) as the primary source of knowledge, which required treatment equivalent to other major business assets (Galliers & Leidner, 2003).

The creation of DBMS was pivotal and helped to simplify and provide structure to large volumes of data. DBMS spurred a need for other data roles, such as data analysts, database designers, and data administrators. These newly created roles were known as the data processing profession during the 1970s. As DBMS methods began to expand across organizations, Management Information Systems (MIS) were built to integrate disparate databases and enhance sharing of data across the organization. The arrival of MIS created the need for new data management techniques to improve the management of information (Galliers & Leidner, 2003). In the 1980s new DBMS innovations spurred the creation of database gateways, which allowed organizations to produce ad-hoc reports from data housed on disparate heterogeneous databases. In the 1990s software vendors experimented with virtual data warehouses to normalize DBMS for national and international use (Stock, 2011). The primary data challenge throughout the 1990s was to resolve DBMS inconsistencies across legacy hardware and infrastructure (Stock, 2011). In the 2000s, database federation concepts simplified DBMS architecture to reduce data collection complexities (Petschulat, 2010). DBMS federation concepts allowed organizations to improve their competitive advantage by

improved use of business intelligence tools to integrate disparate data (Bologa, & Bologa, 2011).

It is imperative that organizations leverage data management as a means to gain a competitive advantage in the marketplace.

Data management is a corporate service that assists with the provision of information services by controlling or coordinating the definitions and use of reliable and relevant data. Additionally, data management includes the management of data in active information systems to ensure that data is reliable and available to those who need it (Gordon, 2007, para. 1).

The degree of data management rigor in the financial services industry was induced by the need to adhere to federal mandates as well as achieve a competitive advantage. Nevertheless, data management project adoption continues to be a problem in many organizations (Rickards & Ritsert, 2012). The importance of data management solutions across large corporations has become more complex because of the heightened demand to use networked management information system (MIS) technologies (Carter & Green, 2009). Networked MIS technologies permits substantial collaborations across local, national, and international boundaries (Carter & Green, 2009). To facilitate large-scale data management collaborations, Carter and Green (2009) developed the Model of Global IT Issues to focus on enhanced end-user use, and improved management of information system technologies. Three targeted areas of the Model of Global IT such as global region, organization, and management issues were key factors that reduced the complexity of data management challenges (Carter & Green, 2009).

Data has become an organizational asset that could be used to foster effective business decisions and knowledge. DMIS solutions were implemented to help drive competitive results. DMIS systems help manage huge amounts of organizational data stored across large-scale data repositories (Parsing the benefits, 2011). A common question throughout the literature review was whether or not the contribution of DMIS justified the associated implementation and maintenance costs. In regard to data management needs, Even and Shankaranarayanan (2009) argued that new data management solutions were required because of functionality and technical efficiency and rarely because of cost. Functionality and technical efficiency might play a role in project adoption.

### **Change Management Theory**

Kurt Lewin's change theory philosophy focused on social conflict and provided a democratized method to affect change when applied to organizations and businesses. Lewin's (1951) three-stage change process involved, "Unfreezing, moving, and refreezing." Lewin's change model was not created to match the speed of external markets and IS. Speed of change was not critical in Lewin's change theory model because his change theory focused on a change culture and the way that humans thought (Rothwell, Stavros, Sullivan & Sullivan, 2010; Bertsch, 2012). Lewin understood that a humanistic change approach was critical to the advancement of society and would not occur over-night. Lewin also understood that the same change theory would not work with every situation; therefore different options may result in positive outcomes. Lewin believed that if he successfully confirmed stakeholder buy-in of organizational change efforts and minimized social conflicts, he could eliminate negative behaviors (Lewin,



1951). Ajzen's Theory of Planned Behavior (Ajzen, 1991) argued that, "Behavioral intention to perform a behavior is predicted by an attitude towards the behavior and the presence of perceived usefulness, ease of use, and the relationship between attitude and behavioral intention is significant" (Venkatesh & Goyal, 2010, p. 281).

Herold, Fedor, and Caldwell (2007) analyzed the extent to which organizational attitudes are affected by contextual (external factors) and personal (self-efficacy) with regard to change within organizations. Herold et al (2007) posited that there is a positive relationship between self-efficacy and commitment. A review of the literature revealed that there were many literature works available that dealt with how to execute and manage change. Despite the high-rate of change within organizations, many attempts at organizational change resulted in unsuccessful outcomes (Herold et al., 2007). Oreg et al. (2011) stated that there were two major reasons that change was not successful. First, managers who had change responsibilities did not understand how to apply basic change knowledge. For example: communicate a vision of change, celebrate small wins, or highlight procedural requirements. Second, managers who had change responsibilities did not take into consideration external factors that affect peoples' perception to change such as intra-organizational changes that were already in flight. This study might provide more clues on the direct and personal implications of change on affected individuals.

Oreg et al. (2011) believed that numerous studies were conducted with the intention to shed light on the characteristics and conditions associated with successful organizational change, however they were unsuccessful. Oreg et al. (2011) claimed that most studies on organizational change tended to adopt a macro perspective focused on factors such as organizational structure, environment, strategy, and a framework aligned

to leadership behaviors based on the aforementioned items. Little time was spent on the employees' perspective of the change. In contrast, the micro perspective tended to overlook the role of leaders involved in change initiatives (Oreg & Berson, 2011).

Change managers are tasked to manage of extreme variation with the hopes of improved project adoption rates post change. Change managers used contemporary change management methodologies to deliver data management solutions across the organization. Change managers who successfully enticed their organizations to commit to organizational change initiatives such as innovative goals, regulatory policies, and improved business functions might experience positive results post change implementation (Jaros, 2010). A review of the literature stressed the importance of organizational behavior literature to assess and determine the employees' commitment to change initiatives. A increase in global, competitive, and strategic markets has created the need for strong organizational leadership that could be used to create an organizational change adoption culture. The literature revealed that academicians have focused on the conceptual basis for commitment to change (C2C) and the motivational processes that influenced individuals' behavior toward change initiatives. In contrast they failed to focus on analysis, integration, and the determination of intelligent conclusions from the pragmatic commitment to change literature (Jaros, 2010). Jaros (2010) discussed change as a three-stage process; awareness of, acceptance of, and the need for the change initiative. Armenakis and others created a model of components that persuaded employees to commit to change (Jaros, 2010). "The model included: (a) discrepancy between the status quo and a desired state of affairs; (b) perceived change appropriateness; (c) organizational change capability; (d) leadership buy-in; and (e)

perceived valence of the change for the employee” (Jaros, 2010, p. 81). Armenakis’s model was based upon the fundamental belief of the role that leader’s actions might influence employees to sense a need for change (Jaros, 2010).

An important goal of an organizational change leader is his or her ability to provide an acceptable vision to employees and stakeholders. Employees’ acceptance of the vision fosters widespread organizational project adoption (Whelan-Berry, & Somerville, 2010). The communication of a vision of change is insufficient. The organization’s employees and stakeholders should adopt the vision as well as conclude that the vision is best for the organization’s future (Whelan-Berry, & Somerville, 2010). Prior research concluded that change visions had a greater chance of acceptance at the early stages of the change process, particularly as the vision was communicated at the group and individual levels (Whelan-Berry & Somerville, 2010).

Change communication is paramount in regard to successful change initiatives and is a primary enabler of change. As a result, change communication could be delivered to assist employees and stakeholders to understand the need and urgency for change. Leaders could clearly communicate that the current state is not sustainable and will not sustain the organization. The literature validated the assumption that communication is paramount throughout the entire change management process. Therefore, a vision could be articulated to persuade employees and organizational leaders of the importance of change (Whelan-Berry & Somerville, 2010). The literature warns that at times well-communicated change visions were not sufficient to stop a change initiative from stalling. Change managers’ should continue to communicate why the stall occurred and leverage empirical evidence to underline why the change was still necessary

(Holt, Dorey, Bailey, & Low, 2009). Bourne (2009) echoed similar tactics to mitigate organizational change failures that included: (a) Communication, (b) employee involvement, (c) understand how change influence employees; (d) manage perceptions of change, (e) and generational perceptions in regard to specific age ranges of employees.

### **Contemporary Change Theories**

A multitude of change management theories existed in the literature to influence and execute change at both the organizational and enterprise levels. The purpose of change management is to manage second-order morphogenetic changes, such as a change to a core component of a system, process, or task, when end-users believed that they had lost control of the system, process, or task (Padar, Pataki, & Sebestyen, 2011). By definition, change management is a, “Structured approach for assisting a typical organization with the execution of its change process and provides facilitating factors for an organization” (Nakhoda et al., 2011, p. 191) as it executes change. Change management theories applied context to the execution of change within organizations, to increase project adoption rates. These theories included Lewin’s Three-Step Model, Kotter’s Eight Steps of Change, Prosci’s ADKAR Model of Change, McKinsey’s 7S Model of Change, and Ajzens Theory of Planned Behavior (Nakhoda et al., 2011). The aforementioned change methods were process-oriented methods that rendered a priority focus to move organizations from one end of the change spectrum, to the other by ascertainment of customer needs, assessment of the requirements, and a planned outline of the change.

Kurt Lewin’s Three-Step Change Model has three definite degrees:

- 1) Unfreeze, focused on finding an approach to unlearn a process or counterproductive task;
- 2) Moving, involved a change in individual thoughts, feelings, and behaviors to a more productive future state;
- 3) Refreezing, entailed solidifying the change as a new habit, so that it could be adopted as the organizational standardized operating procedure (Schein, 1995).

Kotter's, Eight-Step Change Model, introduced guiding principles to lead change within an organization:

- 1) Create a sense of urgency within the organization for the need to change;
- 2) Form a coalition of leaders to support the end-to-end lifecycle of change;
- 3) Develop a clear articulate vision;
- 4) Communicate the vision;
- 5) Empower others to execute the vision;
- 6) Create tactical wins to foster a sense of success;
- 7) Consolidate improvements and build on change;
- 8) Institutionalize new approaches into the organizational culture (Nakhoda et al., 2011).

The creation of Prosci's, business, government, and community ADKAR model occurred in 2006. Prosci's purpose was to foster an openness and awareness of required organizational change. The ADKAR model consisted of five key steps:

- 1) Awareness of the need to change;
- 2) A desire to participate and support the change;
- 3) Knowledge of the change process;
- 4) An ability to implement the change on a day-to-day basis;
- 5) Reinforcement to keep change in place (Nakhoda et al., 2011).

The McKinsey 7S Model of change focused on organizational shared values. The 7S framework highlighted seven elements that helped to ascertain how an organization behaved and operated prior to the effect of change. The goal of the McKinsey 7S Model was to create approaches to help organizations to maintain a competitive advantage. The McKinsey model consisted of seven elements:

- 1) Address shared values, such as vision or mission;
  - 2) Understand staffing numbers and type of staff employed;
  - 3) Analyze applicable skill-set of staff;
  - 4) Style, determine how the work will be accomplished;
  - 5) Strategize plans on resource use;
  - 6) Structure how internal business units collaborated;
  - 7) Systems, tasks, and processes are used to achieve organizational goals
- (Sacheva, 2010, p. 765).

### **North Carolina Financial Services Change Concepts**

Change managers within the North Carolina city, financial services organization were responsible for the management of large data management projects that cost more than \$250,000 dollars and were aligned to corporate change initiatives that influenced major businesses or functions. Change managers were aligned to projects that: 1)

influenced quality and timeliness of products or services, or influenced the financial performance of the business unit and 2) required cross-departmental collaboration, communication, influence, and negotiation. Change managers were held accountable to analyze current-state environments, develop alternative future-state environments and facilitate implementations as well as ensure that the future-state changes were adopted across the organization. Change managers were also responsible for project financials, staff, performance management, and compensation for the project team (Financial Services, 2011).

### **Leadership Theories**

According to Pryor, Humphreys, Oyler, Taneja, and Toombs, “Theories are plausible or scientifically acceptable principles” (p. 210). Implicit leadership theories originated from Schneider’s (1973) implicit personality theories. Implicit leadership theories were visual images that humankind related to the traits and behaviors that leaders could garner (Schyns, Kiefer, Kerschreiter, & Tymon, 2011; Hoyt, Burnette, & Innella, 2012). Implicit leadership theories accounted for a person’s behavior as well as the follower’s response to said behavior. Similarly, when individuals met a leader, specific leader images were activated in the employees mind (Schyns et al., 2011; Carton, & Rosette, 2011; Hoyt, Burnette, & Innella, 2012). Schyns et al. (2011) stated that implicit leadership theories could form within children at an early age. Empirical research highlighted that implicit leadership theories behaved similar to stereotypes (Schyns et al., 2011; Carton, & Rosette, 2011; Hoyt, Burnette, & Innella, 2012). Nonetheless, intellectuals continue to research and teach leadership to develop additional frameworks

because intellectuals believe that the behavior of leaders can be altered to improve organizational performance (Schyns et al., 2011; Mortimer, 2011).

**Authentic Model of Leadership.** The argument of leadership has been researched from many viewpoints, as discovered within the literature; very little research considered the ethical aspects of leadership (Hassan, & Ahmed, 2011). The paramountcy of leadership credibility was notated in the authentic model of leadership. Hassan and Ahmed (2011) believed that authentic leaders portrayed a heightened sense of integrity, were goal-oriented, and committed to core values. Authentic leaders promoted trusted relationships to achieve positive outcomes. Authentic leaders were cognizant of their thought processes as well as their behaviors. According to the literature - authentic leadership theory is a viable option to leadership because it consisted of transparent actions and behaviors (Hassan & Ahmed, 2011). The affiliation between leaders who were authentic and the employees' behavior toward the work were predicated by the trust that the employees had toward the leader (Peus, Wesche, Streicher, Braun, & Frey, 2011). In fact, the "National Leadership Index of 2009 shows that 63% of Americans do not trust what business leaders say and 83% believe that business leaders work to benefit themselves or a small group with special interests" (Peus et al., 2011, p. 332). Collins (2012) believed that the best way to ensure authentic leadership was to hire employees who were ethical. Collins stated that the best way to build an ethical leadership environment was to create a high-integrity organizational culture through recruitment. The literature warned that inappropriate recruitment of non-authentic leaders could result in non-authentic leaders who recruit like-minded employees (Collins, 2012).



Leaders should understand that cultural influences could shape the way that they lead as well as the outcome of data management project adoption rates. Belief systems and values can influence a leader's behavior as well as those who might follow the leader. Change management leadership attributes have the propensity to change across different cultures. Change managers might need to adjust leadership attributes in accordance with the specific culture, region, or society. Because of the expected leadership attributes as well as leadership style (Munley, 2011).

**Trait Theory of Leadership.** The literature contended that there were at least 120 definitions of leadership. Clawson (2009), defined, "Leadership has the ability and willingness to influence others, so that they respond voluntarily" (p. 44). This type of leadership, traced its roots to the trait theory of leadership, which initially started in the 19<sup>th</sup> century (Clawson, 1995). The trait theory of leadership focused on the belief that successful leaders retained key leadership attributes, such as "Drive, honesty, integrity, cognitive ability, height, weight, and physique, which were heavily dependent upon heredity" (Clawson, 1995, p. 379). This particular theory spawned the great man leadership model, a model that proclaimed leadership attributes were inherited at birth and could not be taught" (Clawson, 1995, p. 379).

Critics of the trait theory of leadership asked intellectuals to think beyond leadership traits and contemplate how leaders' behavior influenced effectiveness. Intellectuals soon established the behavior paradigm of leadership research. The works created from the behavior paradigm research traversed leadership theories such as "Fiedler's (1967) contingency model, Blake and Mouton's (1964) managerial grid, and transformational leadership" (Avolio et al., 2003; Bass, 1985; Podsakoff, MacKenzie,

Moorman, & Fetter, 1990; Derue, Nahrgang, Wellman, & Humphrey, 2011, p. 8; Groves & LaRocca, 2011). In regard to leadership, both trait and behavior models resulted in several studies. Intellectuals have encountered difficulty because the studies were not integrated. Lack of integration concluded with the creation of new leadership theories minus a thorough analysis against current leadership theories (Derue et al., 2011).

**Transformational.** In the late 1980s, attitudes and beliefs changed as a result of Burns's (1978) work on transformational leadership approaches (Avolio and Yammarino, 2008). Avolio and Yammarino (2008) strengthened Burns results as they noted an increased amount of empirical data that highlighted that, "Transformational leadership was an influential form of leadership that was associated with high levels of individual and organizational performance" (p. 67). Effective leaders understand that leadership traits were not inherited and that leadership styles must be adapted to address various situations. Effective leaders could draw upon a variety of leadership styles. Often style selection occurred in accordance to the disposition and development of the people who leaders managed (Blanchard, 2008).

Bass provided a capacious history of leadership models that included: personal, situational, interactive, perceptual, cognitive, and hybrid explanations. Moreover, Bass received notoriety from his transformational leadership teachings, which were considered important to the execution of data management initiatives (Bass, 1985). Bass (1985) classified transformational leadership as a higher order improvement that raised the level of subordinates' mental awareness with regard to the value and importance of an expected outcome. Transformational leadership motivated subordinates to rise above

self-interests to achieve organizational goals (Walumbwa, 2011; Waldman, 2011; Grant, 2012).

In contrast to the trait theory, Avolio and Yammarino (2007) postulated that to become a transformational leader, three additional leadership attributes must be developed. First, transformational leaders must care for others and become empathic. Second, the leader must be optimistic, able to articulate a vision, and demonstrate positive expectations for self and others. Third, the transformational leader must be open-minded and allow others to express his or her creativity and originality.

The literature review revealed that two approaches are used to understand the role leadership played in influencing followers' behavior to change. The first approach labeled change as a situational event that diminished the positive aspects of some leadership styles. This approach argued that charismatic or transformational leadership are critical enablers in the execution of change events (Herold, Fedor, Caldwell, & Liu, 2008). The second approach was procedural fairness on reactions to change within the organization. Procedural fairness allows leaders to select specific leadership behaviors when managing change.

Herold et al. (2008) posited that transformational leadership was founded on the essence of organizational change issues and the events of transformational change. Herold et al. believed that a transformational leadership style was better suited to the commitment of employees when the change included personal implications. Similarly, leaders who did not fit the transformational persona benefited from increased levels of commitment to organizational change (Herold et al., 2008). Emotional commitment is theoretically and empirically attached to transformational leadership. Further review of

the literature, revealed that change leaders can optimize employee performance and commitment through the use of leadership skill-sets that enhanced end-users sense of group participation and encouragement of group values (Herold et al., 2008).

**Charismatic.** The Charismatic leadership model appeared in leadership studies during the early 1980s. The Greek definition of charisma means, “Divinely inspired gift” (Clawson, 2009, p. 388). The foundation of charismatic leadership was trust within the leader. Belief synergies between follower and leader such as affection and obedience caused followers to raise the productivity bar. This occurred because charismatic leadership embeds a sense confidence so followers have the wherewithal to achieve the stated goal.

A key leadership attribute of confidence does exist in the charismatic leadership model. Additionally, if one took a closer view of the charismatic leadership model, one would also see similarities to transformational leadership. Envisioning, a charismatic trait was also a key leadership attribute of the transformational leader, who takes advantage of the articulation skill-set to paint a vision of the future to motivate followers. In contrast, a key charismatic leadership attribute gap is enabling. Enabling, is unlike the transformational leadership attribute of empowerment in that there is a risk that followers will not fully take ownership of their responsible functions and begin to look to the charismatic leader to provide next steps (Funnel & Rogers, 2011).

Contrary to traditional leadership theories that accented deliberate processes, charismatic leadership converged on emotions and values. Charismatic leadership also condoned the significance of emblematic behavior and the role of the leader charged with the creation of tactics to make organizational change occurrences relevant for end-users

(Michaelis, Stegmaier, & Sonntag, 2009). Regardless of the conceptual importance of charismatic leadership and its inherent positive influence on organizational change events, there were few studies dedicated to the comprehension of the important components that associated charismatic leadership and change event outcomes (Michaelis et al., 2009). Charismatic leaders induced end-users to become more amenable and focus on the positive aspects of an organizational change event, even when the change event experienced a setback (Michaelis et al., 2009). This was because end-users accepted the change vision and believed that organizational leadership was committed to the change event. Further, “According to Ajzen’s Theory of Planned Behavior, an increase of affective commitment to change (behavioral intention) contributes to the prediction of change relevant-behavior” (Michaelis et al., 2009).

Leadership literature concluded that change managers can learn and decipher the correct application of leadership to complement the culture as well as the technology environment. Munley (2011) Bass (Bass, 1990) stated that there were many definitions of leadership and that scholars have not reached a consensus that is accepted universally. Bass (1990) viewed leadership as a universal paradox. Because there was no culture where the word was not used or where humankind has created a substitution for it.

### **People, Process, and Technology Theory**

Further review of the literature unveiled that a majority of the challenges encountered during IS projects were people and process types of issues (Conceição, 2011; Fickenscher & Bakerman, 2011). IS projects conducted to improve the state of data management within an organization required increased people and process interaction, as opposed to none data related projects. Moreover, organizational

opposition was possible externally as well as internally because of the potential elimination of manual job roles and incremental costs to deploy hardware, software, and funds to train (Conceição, 2011) end-users and operational support teams.

Engle (2010) thought that the creations of new processes were not difficult when the employees who would use the new processes were involved in the initial conversations and plans. The literature also highlighted that many organizations tended to blame people when newly created processes or implementations did not function as planned. The benefits of a primary project focus on people, process, and technology might result with less negative responses from the employees who will use the new solution. The literature uncovered that the people component of change should be addressed prior to process and technology aspects of the change initiative (Engle, 2010).

Fickenscher et al. (2011) agreed with the importance of people, process, and technology. When the three elements of people, process, and technology converge, organizational value is actualized if competent change management is present (Fickenscher et al., 2011). Leaders who effectively leveraged people, process, and technology understood the importance of project plans, process design, and team collaboration. Capabilities delivered by skilled change managers (Fickenscher et al., 2011).

### **Antecedents of Information System Adoption**

The literature on DMIS adoption converged upon different acceptance models. There are various acceptance models that gave credence to attitudes, beliefs, manager's perceptions, and managers; of technology (Varol & Tarcan, 2009). The literature review also highlighted that the origin of technology adoption models began in information

systems, psychology, and sociology (Venkatesh, Morris, Davis, & Davis, 2003). Furthermore, 40% of the variances in project adoption rates (Venkatesh et al., 2003) stemmed from end-users unwillingness to use the new technology. Literature reiterated that the, delta between average and great change managers' was attributed to the data management expertise and leadership ability of those [Change Managers] who lead frontline employees (Tizard, 2002). Change managers played a valuable role in the facilitation of data management project adoption. Another common theme within the literature was that organizations do more than simply meet scheduled go-live dates. Organizations periodically check to ensure that end-users proactively choose to use the new DMIS solution to complete daily work efforts. Most important, the use of new DMIS solutions as a primary work process constituted organizational adoption (Fickenscher & Bakerman, 2011).

The two elements determined the success of project adoption were relative advantage and heightened complexity (Moore & Benbasat, 1991). Successful adoption rates for DMIS projects meet the requirement of relative advantage, which was the extent to which adoption of the DMIS solutions is perceived as better than the former (Moore & Benbasat, 1991). Unsuccessful adoption rates for DMIS projects were stated to be of heightened complexity. In contrast, heightened complexity occurred when the DMIS solution was considered as difficult to use (Moore & Benbasat, 1991). Change managers who could deliver projects that created relative advantage had a better chance of increased project adoption rates. Academicians appeared to agree on the obstacles that prevented organizations from attainment of positive adoption rates, post new information system deployments. Based upon the literature, Academicians believed if organizations

believed and understood that information system adoption existed across organizations and corporations, an innovative application of tactics could increase project adoption rates. Managers who knew what the obstacles were would be in a better position to eliminate them. This achievement would allow organizations and corporations the ability to minimize resistance and maximize effective utilization of information systems (Varol & Tarcan, 2009).

Many technology innovators leveraged the technology acceptance model (TAM). This particular model aligned with the theory of reasoned action (TRA). The purpose of the TRA was to help leaders understand end-user acceptance of new information technology innovations. Because of the human factors involved in information system adoption, such as attitudes, perceptions, and beliefs; the foundational basis of the TRA originated from social psychology and could be used to strengthen acceptance models. The TRA argued that three determinants of behavioral intention existed, 1) the attitude toward a specific change that rendered a positive or negative response, 2) a subjective norm that pressured an individual to either conform or not conform to a new change, and 3) the level of ease required to complete the change (Varol & Tarcan, 2009). A review of the research literature brought to light that positive attitudes toward new change, coupled with confirmative subjective norms, and a high level of ease to complete the change enhanced an individual's intention to adopt the change (Varol & Tarcan, 2009). "Intentions are assumed to capture the motivational factors that influence behavior, indicating the extent of effort to perform the behavior" (Varol & Tarcan, 2009, p. 117).

Venkatesh, Morris, Davis, and Davis introduced eight salient models of technology acceptance, which fostered additional technology acceptance literature



(Venkatesh, Morris, Davis, & Davis, 2003; Venkatesh, Thong, & Xu, 2012). The TRA applied personal perception indicators to individual acceptance of new technology; the core construct was attitude toward the behavior. Moreover, individual perceptions would either motivate or de-motivate individuals to accept new technology. The TAM is aligned to IS conditions and is used to interpret the ease of use of new technology [construct] in the workplace. TAM functioned in a similar fashion as the TRA (Venkatesh et al., 2003).

The motivational model (MM) determined the extrinsic/intrinsic motivational constructs, which drove individuals to adopt a new activity voluntarily. Additionally, the MM originated from psychology. The theory of planned behavior (TPB) was an extension of TRA; as such perceived individual behavior constructs were a determinant of an end-user's intentions (Venkatesh et al., 2003). In most cases the ease or difficulty of use, of the new technology created a positive or negative behavior. A dual combination of TAM and TPB combined to leverage TAM and TPB predictors with regard to an end-user's attitude toward the new technology behavior and the end-user's perceived use of the new technology. The model of PC utilization (MPCU) was a derivative of Triandis's (1977) theory of human behavior (Venkatesh et al., 2003). The MPCU analyzed job-fit constructs and was similar to the TRA and the TPB. The MPCU had the capability to determine PC utilization across various information technologies as well as validation of TRA and TPB outcomes. The innovation diffusion theory (IDT) also had a sociology base and was used to determine whether or not a new innovation was better or more difficult to use than its precursor. A key construct of IDT was the ability of others to see other end-users using the innovation. The social cognitive theory

(SCT) was applied to computer utilization performance indicators. Self-efficacy determinants had the capability to ascertain end-users ability to use a new technology to complete a specific task. The unified theory of acceptance and use of technology, “Can account for more than 70% of variance in intention; as a result, the ability to explain user acceptance within organizations could be reached soon” (Venkatesh et al., 2003, p. 471). Further analysis of constructs to improve the prediction of intentions might be required to determine a potential adoption rate (Venkatesh et al., 2003).

Organizations have experienced challenges with the implementation of effective DMIS solutions. Additionally, the cost to implement DMIS solutions within a short timeframe rarely allowed an exhaustive review of other DMIS solutions that might be candidates for integration (Gordon, 2007). Subsequently, organizations experienced difficulty attaining adoption from end-users because the end-users failed to receive the appropriate data in a timely manner (Gordon, 2007). The literature highlighted that successful organizations are organizations that used mature business approaches to define an organizational data management business case (Gordon, 2007). Organizations that had a need for improved data management capabilities focused on approaches such as architectural components, data security, privacy, compliance, and governance (Gordon, 2007). The aforementioned focus areas provided information that could be shared with organizational leaders. Recent studies identified areas that might hinder project adoption such as an insufficient business case, executive support, costs, and intra-organizational cooperation (Gordon, 2007).

Dyer (2011) believed that Business Process Management (BPM) sustained project adoption in organizations; specifically organizations that implemented enterprise

initiatives intended to improve organizational performance. BPM's benefit of enhanced collaboration between business, technology, and its ability to integrate core business functions made it a valuable process. Dyer goes on to state that organizations that wish to improve adoption rates, establish BPM governance to align with future projects and simplify the transition from stand-alone BPM projects to a transformational BPM program (Dyer, 2011; Richardson & Hoffman-Kim, 2010).

Organizations that implemented BPM were in a better position to neutralize three primary sources of challenges:

- 1) Many authors – promote reuse and achieve synergies between design and development teams;
- 2) Many processes – rationalization of various processes across the enterprise into a few processes;
- 3) Many assets – rationalization of interdependencies because of high numbers of hardware to reduce platform complexity (Dyer, 2011).

Sutanto, Kankanhalli, Tay, Raman, and Tan (2008) created an inter-organizational framework to manage change between multiple organizations. An investigation of the feasibility of change allowed leaders to form communication points that provided clear insight of how the vision would enhance the organization's competitive advantage. Creation of change management teams could assist the organization with training, communication, and execution of the change initiative. The literature also emphasized the central theme of deployed leaders who had a charismatic or transformational leadership style throughout the organization to improve project adoption possibilities. The aforementioned leadership styles spurred excitement and empowered employees in

the workplace (Suntanto et al., 2008). The change leaders were also charged with the removal of obstacles and generation of influence power. To drive project adoption rates deployments are controlled by the ability to institutionalize the new change across the organization (Suntanto et al., 2008).

Another central theme in the literature was that projects often exceeded timelines and costs (Stare, 2011). As stated throughout the literature, Stare protested that elongated timelines and increased costs resulted in project costs increases of over 50% (Stare, 2011). Stare (2011) also proclaimed that out of, “1000 change managers in the Hussain and Wearne Research, 64% agreed that changes such as hidden changes, scope changes, and formal changes were their greatest challenge” (Stare, 2011, p. 72). Stare believed that change managers should be prepared for unexpected changes. Change managers should understand and document potential project risks throughout the plan phase. Ultimately, change managers should be held responsible for the identification of project risks and the creation of mitigation plans to control project costs (Stare, 2011).

### **Overview of Qualitative Phenomenology Study**

Phenomenology served as a canopy, which consisted of both philosophy and multi-faceted approaches to research (Finaly, 2009). The qualitative phenomenology study literature review provided a bounty of conceptual possibilities. There were no forced set of rules or guidelines that had to be followed when the research was conducted. Some qualitative researchers believed that interviewers should not be concerned with relevant literature prior to beginning a qualitative study. In contrast, other academicians suggested a more conservative reliance on the literature; only to provide context for the study (Chenail, Cooper, & Desir, 2010). The goal of qualitative phenomenology study

was to understand the lived experience of the event under study (Moustakas, 1994). A qualitative phenomenological study might reduce the conflict between idealism versus realism. The central theme of qualitative phenomenological study was to use focused process steps to rationalize and derive meaning from phenomena as opposed to the creation of assumptions (Moustakas, 1994).

### **Gaps Found in the Literature**

There was a minimal amount of scholarly literature available that focused solely on the issue of improved data management project adoption rates in the financial services industry. For this reason, additional literature was reviewed across other industries. This approach was necessary because data management project adoption was an important business component within the financial services industry sector. The broadened search produced additional research studies related to change management and project adoption.

A review of the literature led to a critical discovery with regard to broader adoption of projects. Research of technology project adoption rates, “Are not well suited to estimate rates of technology diffusion, because macroeconomic models of technology adoption are difficult to align with data. Microeconomic technology diffusion literature leveraged statistical nomenclatures, which is not a part of an aggregate model” (Comin & Hobijn, 2010, p. 1). To mitigate the aforementioned challenge – change manager’s experiences and role perceptions were analyzed with a qualitative approach.

Berson and Dubov (2011) highlighted the importance of data management role clarity in medium to large organizations. Many leaders failed to understand that challenges can arise from shared data and metrics (Kropsu-Vehkapera & Haapasalo, 2011). Specifically, information system leaders, who do not believe in shared data across

other internal businesses or organizations. Additional research is required in other areas such as data management responsibilities, benefits of data management, roles within data management, and the relationship between data management and enterprise architecture (Berson & Dubov, 2011; Bradham, Hoffman, & Houston, 2011; Kokaz, & Murphy, 2011). In contrast, Lewis (2011) believed that some information system leaders would see an opportunity to share data and metrics with other organizations. Lewis also warned that the involvement of additional organizations in any data management project increases the complexity of the project (Lewis, 2011). The literature also revealed additional challenges with technology adoption, and diffusion, as adoption is a precursor to diffusion (Carr, n. d.). Adoption is the degree in which a specific IS technology is voluntarily used by an organization. Diffusion refers to the phase in which the IS technology solution was spread across an organization for general use (Carr, n. d.). Found within the literature were two germinal components of the adoption/diffusion process. First, the probable nature of its slowness to gain organizational acceptance was because of lack of knowledge transfer throughout organizations. Second, the likelihood to manage wide variations in regard to rates of acceptance across organizations that had experienced knowledge transfers (Weigelt & Sarkar, 2009). The aforementioned challenges were a primary focal point for the literature review and research.

Herold et al., (2008) reviewed the influences of adoption/adaption and proclaimed that change adoption embodied a psychological alignment with the change, rather than casting an amicable temperament brought on by a transformational leader. Herscovitch and Meyer (2002) identified, “Three types of commitment: affective, normative, and continuance (Herold et al., 2008, p. 943). Commitment was paramount in regard to

change events because it signified a positive behavior toward the change event and was influenced by transformational leadership styles (Herold et al., 2008). The literature did not touch on commitment as a leadership attribute that could help to influence end-users' adoption/adaption of change. Continuance was also a primary component of adoption and was not fully covered in the literature (Herold et al., 2008). A final review of the literature highlighted that change management leaderships' responsibility to transformation, charismatic, and authentic leadership were not sufficiently discussed in the literature (Pless & Maak, 2011).

The literature revealed that there are three factors that might influence project adoption (Weigelt & Sarkar, 2009). First, organizational leaders were more likely to adopt new technology as the cost of technology declined so that additional costs could be avoided. Second, organizations had become more aware of new technologies as customer demand improved product offerings; the best form of communication to influence adoption rates. Third, some viewed new technology as a return on investment (ROI) by the mitigation of organizational risks that could increase monetary fines (Weigelt & Sarkar, 2009). In contrast, a slow return ROI might stall or cancel IS implementations; however, customer satisfaction was a high adoption priority. The three factors of: cost, communication, and ROI implications were factors, which financial services change managers would have to address. In an effort to minimize literature gaps, the study analyzed lived experiences and role perceptions of change management participants.

### **Conclusion**

The purpose of the qualitative phenomenology study was to understand change

manager perspectives through lived experiences, specifically change managers who had led DMIS projects that resulted in low project adoption rates. It is paramount that financial services leaders establish an organizational culture of employees who will leverage data management as an organizational resource to enable efficient business processes and reduce compliance risks (Even & Shankaranarayanan, 2009) such as Sarbanes-Oxley and Basel II. Financial service organizations should establish an organizational culture of change. The literature revealed that organizational change was important because of constantly changing markets, competitors, and opportunities (Conceição & Altman, 2011). Engineered change requires the involvement of leadership, people, process, and technology. When executed correctly with the involvement of employees and stakeholders, organizations might have a better chance to experience success (Conceição & Altman, 2011).

Leadership is likely a key variable in high or low project adoption rates. Effective leaders might have an innate ability to generate innovative ideas and the wherewithal to motivate their employees to use new solutions to remedy problems that have plagued the organization for years. The qualitative phenomenological research study gathered and analyzed lived experiences that shed light on this possibility.

Chapter 2 provided a comprehensive review of the existing body of literature in relation to data management project adoption rates. The literature review included scholarly sources on historical database management concepts and explained the need to improve historical database management into integrated data management solutions to improve data quality and adhere to new laws. Contemporary change theories and a review of leadership models were discussed as change methods and leadership styles



provided a foundation to help influence the deployment of new IS across organizations. People, process, and technology literature was reviewed to highlight the people-challenges that occur on data management projects. The literature review notated Kurt Lewin's change management theory as a method to reduce social conflict resolution and could be used to help lead data management projects. The study revealed that transformational leadership created an air of morality in the workplace. Moral relationships could motivate employees to accomplish more than envisioned (Wren, 1995).

The literature indicated that transformational leadership and change managers' common beliefs of morality could induce higher data management project adoption rates (Walumbwa, 2011; Waldman, 2011; Grant, 2012). Olsen, Eid, and Johnsen (2008) stated that leadership based upon a moral foundation created an opportunity to foster trust, optimism, and commitment among followers within the organization. Transformational leadership could influence morality amongst leaders. Morality, according to Olsen, Eid, and Johnsen (2008) might solidify a leaders' commitment to serve the organization (Olsen, Eid, & Johnsen, 2008). Similarly, charismatic leadership helped to gain employee trust, as organizational change initiatives began. The literature highlighted the importance of IS project adoption as well as the relationship between project adoption and psychology. Last the literature review disclosed areas of additional research to improve the knowledge base of project adoption rates.

### **Summary**

Chapter 2 presented a thorough review of the literature on data management project adoption rate challenges. The literature review highlighted relevant material in

the area of data management, project adoption, and change management leadership as they relate to increased DMIS project adoption rates. The literature review emphasized the importance of morality as a factor to build trust, optimism, and commitment throughout the execution of data management implementations (Olsen, Eid, & Johnsen). Last, the literature review proposed that transformational leadership could foster data management morality in the workplace and empowered employees to become more active in the workplace (Wren, 1995).

Further study is necessary to uncover new empirical evidence on the relationship between data management, project adoption rates. Additional studies are necessary to understand the value that common beliefs played in regard to data management project outcomes. Further research on leadership factors such as trait, charismatic, and transformational constructs as presented in the literature is also needed. The aforementioned factors, coupled with change management methods may positively influence data management project rates.

Chapter 3 details the methodology for the qualitative phenomenology study. Chapter 3 presents the proposed interview instrument that will be used in the qualitative phenomenology study. Last, Chapter 3 contains rationale in regard to why the proposed design will accomplish the study.

### CHAPTER 3: METHOD

The purpose of this qualitative phenomenological study was to explore the lived experiences of financial services change managers to understand project adoption rates and the role change managers played with regard to project adoption rates. Specifically change managers who led data management information system (DMIS) projects that resulted in low project adoption rates. In quantitative research, attributes of an observed phenomenon are either highlighted, or a critical examination into possible correlations among two or more phenomena could occur (Leedy & Ormrod, 2010). The absence of prior descriptive research attributes in regard to the study question eliminated consideration of a quantitative study design. A phenomenological research design approach was appropriate for this qualitative study because of the purposive sampling method used to identify and select the target population of change managers with data management project execution experience (Groenewald, 2004).

The research design of the study and the appropriateness of the design to the research question are presented in Chapter 3. Chapter 3 contains a description of the population, sampling frame, informed consent, confidentiality procedures, geographic location, instrumentation, data collection, and data analysis. Last, issues of validity and reliability follows a restatement of the central research question.

#### **Research Method and Design Appropriateness**

A qualitative phenomenological approach was appropriate for the study. The qualitative phenomenological study was exploratory and relied on lived experiences and perceptions of change managers to understand project adoption rates and the role change managers played with regard to project adoption rates. Specifically change managers

who led DMIS projects that resulted in low project adoption rates. Those who conduct phenomenological research, “Can assist academicians with managing traditional research problems as well as improve his or her understanding of perceptions, beliefs, and assumptions” (Sanders, 1982, p. 353). The qualitative phenomenological study used a purposive sampling method to identify and select the target population of change managers who had data management project execution experience (Groenewald, 2004).

In quantitative research, attributes of an observed phenomenon are either highlighted, or a critical examination into possible correlations among two or more phenomena occur (Leedy & Ormrod, 2010). The research question sought to comprehend a complex, social phenomenon. The absence of prior descriptive research characteristics in regard to the study question eliminated consideration of a quantitative study design.

Researchers often execute qualitative research to explore meaning and gain knowledge about a particular phenomenon and the feedback of individuals who have experienced the phenomenon (Moustakas, 1994). A critical step in the research process was the selection of the appropriate research design to yield successful results. Qualitative research designs, such as case study, ethnography, and grounded theory approaches were insufficient for this research study and could not reveal the essence of change managers’ lived experiences as they relate to the execution of data management projects.

Case study research could be helpful when a researcher must document preparatory support for a hypothesis (Creswell, 2007). The case study research design is targeted toward a specific amount of cases, conditions and their associated

interrelationships (Creswell, 2007). However, the case study research method was not appropriate to provide the insight required to adequately explore the research problem. Additionally, the outcome of a case study research is suitable only for the case being researched. The intent of the current research study was to focus on multiple cases as opposed to one specific case. As a result, the case study method was not appropriate for this research study.

The ethnographic approach was insufficient for this study because ethnography research is used to observe and interpret similar patterns of a cultural group over an extended period of time (Creswell, 2007). In the ethnography research process the researcher must become absorbed in the day-to-day lives of the change management participants. Absorption is required to understand specific behaviors and languages to successfully interact and investigate ethnography group members (Creswell, 2007). Because change managers do not typically work in large change management groups and the extended period of time required, the ethnographic approach was not sufficient for this research study.

The grounded theory approach was insufficient for this study because initial key concepts of data were not available to create or identify a theory at the time of the research study (Toloie-Eshlaghy, Chitsaz, Karimian, & Charkhchi, 2011). Concepts also make up a critical component of the grounded theory approach and require the researcher to conceptualize data. Firm concepts were not available at the time of the research study. As a result, the phenomenological approach allowed data to be collected as the research study progressed (Toloie-Eshlaghy, et al., 2011).

The phenomenological design provided a means to analyze lived experiences and the perceived role of change managers. The qualitative phenomenological study provided a deeper insight into change managers lived experiences, perceptions, and characterized what transpired in a specific environment, occurrence, or a set of conditions (Garza, 2010). A qualitative phenomenological research study should allow the reader of the study to walk away with profound knowledge in regard to the specific context, event, or set of circumstances as a result of the experiences of a small group of change managers (Garza, 2010; Schram, 2005). The qualitative phenomenological study was germane to examine and identify lived experiences and the perception of the change management role throughout the execution of DMIS projects. The qualitative phenomenological study identified themes and provided a frame of reference to help change managers improve DMIS project adoption rates.

### **Research Question**

The intent of this qualitative phenomenological research study was to understand the causes of low data management project adoption rates and the role change managers' played with project adoption rates. The study also attempted to understand the perceived role of change managers who led DMIS projects. A central research question helped to align research with the purpose of the study (Creswell, 2007). The qualitative phenomenological study followed the central research question of: *What are change managers lived experiences with regard to DMIS projects that resulted in low project adoption rates?* The central research question drove the focus of the study to understand and gain insight into the low data management project adoption rate phenomena.

### Population

The intent of the qualitative phenomenological study was to explore the lived experiences of a group of 20 financial services change managers' experiences with DMIS project adoption rates and the role change managers play with regard to project adoption rates. The goal was to select a population that allowed a thorough review of the phenomenon. The sample population used in the study consisted of financial services change managers who served in the role of a change manager at a bank located in a city in North Carolina, and had participated in at least one DMIS project within a six year period. Additionally, each change manager was required to have managed at least one subordinate within the same timeframe. The phenomenological design provided a means to understand change manager perspectives through lived experiences, specifically change managers who had led DMIS projects, resulting in low project adoption rates. The phenomenology research design provided a deeper insight into the perceptions of change managers in regard to the change management role. The qualitative phenomenological study surveyed a purposive sample population of change managers. Although an adequate amount of change manager participants was important, mere numbers did not guarantee usable evidence (Morrow, 2005). Morrow (2005) believed that, "12 was a sufficient number of participants, but tended to lean toward 20 to 30 participants for a qualitative study to achieve data saturation" (p. 255). Nineteen change managers who had been involved in data DMIS projects participated in scheduled interviews and were sufficient to gather the required data for the qualitative phenomenological study. Data saturation was achieved at participant 16 and validated through participant 19.

## Sampling

The purposive sampling method entailed a search for participants who had experienced the central phenomena and had knowledge with the execution of DMIS projects. The study population consisted of financial services change managers who resided within a city in North Carolina. The purposive sampling method entrusted the qualitative interviewer's knowledge about characteristics of the population relevant for the research (Fawcett & Garity, 2009). The use of the purposive sampling method in qualitative research was a good sampling method to locate participants considered to be experts in the research study (Fawcett & Garity, 2009). Most important, the purposive sampling method facilitated the collection of firsthand data in regard to change managers lived experiences and the perception of the change management role.

Post approval of the permission to use premises letter (Appendix D) from the Program Management Office (PMO), the researcher purposively selected 30 financial change management participants for face-to-face interview sessions. Thirty study participants from a program management office (PMO) purposive sampling pool were selected for the qualitative phenomenological study. Each participant selected was required to have led a DMIS project within the last six years and managed at least one direct report to participate in the study. Only change management offices that managed the execution of DMIS projects were part of the purposive sample pool. The purposive sampling method revealed a substantial amount of diverse viewpoints for increased analysis.



### **Informed Consent**

The informed consent document, interview protocol, and detailed explanation of the qualitative research study were approved by the University of Phoenix Institutional Review Board prior to the selection of change participants. Thirty study participants from a program management office (PMO) purposive sampling pool were selected for the qualitative phenomenological study. The participants received an introductory e-mail invitation letter (Appendix B). The e-mail invitation letter included a brief overview of the study; highlighted the research topic, detailed the intention of the research, and requirements of the change managers' selected to participate in the study. Twenty of the 30 participants agreed to participate in the study and were immediately scheduled for face-to-face interviews. All participants of the study were over the age of 18. Each participant was required to sign an informed consent form to become eligible to participate in the study (Appendix C). The University of Phoenix standard informed consent format was used. All participants were afforded the opportunity to read and ask questions prior to signing the informed consent form. The permission to use premises letter (Appendix D) informed premise leaders of the planned study that would take place on the local premise. Thirty e-mail invitations were mailed to potential participants. Twenty potential participants responded and 19, participants were actually interviewed as saturation was achieved at participant 16. No participants volunteered to withdraw from the study. One participant accepted another job out of the area of study and was not interviewed.

### **Confidentiality**

The identities of the study participants are to be kept confidential. Moreover, the study did not disclose the identity of the participants' employer or specific projects. If study participants accidentally disclosed either employment or specific project information, the notation process removed the inappropriate information and used '[redaction]' in the place of the inappropriately disclosed information. Names and facility locations used to solicit or interview participants were not disclosed; however, a permission to use facilities agreement was completed before any facilities were used (Appendix D). Participant's names did not appear on data collection or analysis documents. A unique number identified each participant, and the data associated with their responses. Data file encryption and the use of removable media ensured limited access to the instrument results. Data was stored in a secure file and will be retained for a three-year period post the completion of the study. Upon completion of the three-year period, instrument records will be shredded and disposed of. Removable storage media will be deleted and erased. The informed consent form was given to each participant to be signed to certify acknowledgement of the data protection process (Appendix C).

### **Geographic Location**

This phenomenological study occurred within the geographic region of North Carolina. The area provided easy commutes and access to research sites as well as provided access to a sufficient number of local change managers who participated in the study. Participants were affiliated with a North Carolina financial services company located in a North Carolina City.

### **Data Collection**

Qualitative phenomenological researchers' who conduct studies understand that empirical evidence is a key component to complete a successful study. In qualitative phenomenological studies, it is important to know that data collection occurs in real-world settings. Therefore, data collection activities remained flexible as the collection process could change at any time throughout the research study lifecycle (Leedy & Ormrod, 2010). Flexibility throughout the data collection process was required to gain purposeful samples and to ensure that change managers', who had experienced the central phenomenon, were interviewed so that the problem statement was explored in-depth (Creswell, 2009).

At the beginning of each face-to-face interview the researcher reviewed the informed consent document with the change participant. The researcher discussed the confidentiality of information, guaranteed anonymity, and the change participants' willingness to volunteer in the research study before any questions were asked of the change participant. Once the researcher received a positive approval the participant signed the informed consent. The researcher provided an overview of the purpose and goal of the study and reminded the change participants that the face-to-face interview would take approximately 20 to 30 minutes.

The researcher asked each change participant for permission to audio-record the face-to-face interview. Field notes were taken to remind the researcher of key words and phrases for future reference. Upon completion of the face-to-face interview the researcher updated, coded the field notes, and provided a copy to the change participant for review and validation that the correct information was captured. The change

participants' were asked to identify and notate any errors within the document. No corrections were required throughout the interview process. The researcher entered the collected data into the data capture tool for review and validation of data integrity.

### **Pilot Study**

The data collection procedure included a pilot study process. The pilot study was a process that involved the use of identical data collection procedures used in the primary study. Because of the originality of the questions, a pilot study was necessary to identify unanticipated errors prior to execution of the primary data collection for the study. The pilot study consisted of a sample population of three financial service change managers, located in a city in North Carolina. The pilot interviews were scheduled, face-to-face interviews that consisted of open-ended questions. To protect the anonymity of each of the financial services change management participants, alphanumeric codes DMP01 through DMP03 were assigned to each participant. All three participants were scheduled and interviewed on the same day. The pilot study participants consisted of financial services change managers who had led at least one DMIS project within a six year timeframe and managed at least one subordinate over the same period. Data collection for the pilot study was completed on July 05, 2013.

### **Instrumentation**

The goal of the interview instrument in the qualitative phenomenological study was to provide an environment that would relax interviewees and make them feel safe so that in-depth complex experiences could be discussed and the appropriate data collected (Knox & Burkard, 2009). The qualitative interviewee questions were carefully considered prior to the interview sessions. The aforementioned approach fostered an

environment of comfort for the interviewees. It was necessary for the qualitative interviewer to remain cognizant that at the foundation of interviews there is an interest to comprehend the lived experiences of other people and the meaning that he or she associated with that particular experience (Mofokeng, 2009). It was equally important that the qualitative phenomenological interviewer did not focus on one reality of truth. The intent of the interviewer was to remain bias-free and attempt to understand the interviewee's specific phenomena through his or her lived experiences (Mofokeng, 2009). The medium used to collect the experiences of others occurred via a semi-structured approach. To the untrained ear interview sessions may seem more like a friendly conversation, rather than an interview (Mofokeng, 2009). The interview was the primary instrument used in the qualitative research, which allowed data to be collected so that empirical evidence could be used to strengthen the quality of the research study.

Although other data collection methods such as participant observation, participant journaling, and focus groups could have been used to assist with theory development, scheduled face-to-face interviews, consisting of open-ended questions was appropriate for this qualitative phenomenological study and provided rich qualitative data. Creswell (2008) believed that special attention was warranted in regard to the interview method because it could be used with any research approach. Scheduled face-to-face interviews profoundly explored the lived experiences and perceptions of the change management role as well as those change managers who worked to increase data management project adoption rates.

The interview protocol guide contained the open-ended questions and assisted the qualitative interviewer throughout the interview process. To ensure that the questions

were understood, interview questions were made available at the time of the interview session. Open-ended questions helped gather additional details on two major factors in the study: experiences, and the perceptions of the change management role.

Once the criteria for potential candidates were set, change participants' were contacted via an invitation e-mail letter and were presented the opportunity to participate in the study. The e-mail invitation letter included a brief overview of the study; highlighted the research topic, indicated the intention of the research, and the requirements of the change managers who participated in the study. Out of the 30 e-mail invitations sent, 20 change participants chose to partake in the study. Change participants were immediately scheduled for face-to-face interviews. Data collection for the study occurred from July 08, 2013 to July 30, 2013.

Once the face-to-face interviews were scheduled with the change participants, the researcher initiated a conversation and shared the interview instrument with the participant. Friendly greetings created a smooth transition into the demographic questions and subsequently into the research questions. The goal of the interview instrument in the qualitative phenomenological study was to provide an environment that would relax interviewees and make them feel safe, so that in-depth lived experiences could be discussed and the appropriate data collected (Knox & Burkard, 2009). The interviewee questions were created in an open-ended format (Appendix A) and often generated additional questions that expanded the conversation and enhanced the richness of the interview with vivid real life descriptions (Moustakas, 1994).

Audio-recorded interviews served as the secondary means of data capture.

Audio-recorded ensured an all-inclusive record of the interview, minus the distraction, or

necessity to take extensive field notes. Audio-recordings were secured with a password controlled computer file and assigned with the participant's identification code.

Afterwards the audio-recording was transcribed into a textual format suitable for further analysis. Each interview participant received a copy of the textual transcription for review and confirmation of accuracy and completeness. No interview participants provided negative feedback on their post interview comments. The interviews lasted approximately 20 to 30 minutes. The audio-recorded files of the interviews were copied onto an external hard drive, loaded into a hidden file and protected with a strong password, for security purposes. The hard drive was stored in a water and fire proof safe to preserve the files against unexpected events. Financial services change management participants were informed that after a three year period recorded files would be deleted and storage media would be erased and reformatted. Additionally, all hard copy documents would be shredded and disposed of.

Qualitative phenomenological interview instruments are not constrained to a specific environment or location. Qualitative interviewers have the wherewithal to collect data in the precise location where study participants reside to experience the concern or dilemma under study (Creswell, 2008). The interviewer used an interview protocol guide to collect data that was used to explore the lived experiences and perceptions of change managers without preconceptions. The interview questions were created in Microsoft Word© format so that participants could have a copy throughout the interview. The pre-constructed interview format allowed the qualitative interviewer to harness his thoughts, apprehensions, and guided the interviewee through the interview process (Shank, 2002). The study's instrumentation approach allowed the researcher to

remain mobile, flexible, and efficient as data was gathered for the study. The interview questions (Appendix A) established commonality of scheduled interviews, promoted researcher objectivity, and minimized researcher bias.

### **Validity and Reliability**

In qualitative research the, “Concept of validity is described by a wide range of terms. This concept is not a single, fixed or universal concept, but rather a contingent construct, inescapably grounded in the processes and intentions of research methodologies and projects” (Winter, 2000, p. 1). For example, validity equated to the quality, rigor, and trustworthiness of the data and participants interviewed. The qualitative phenomenological study managed two types of validity: internal validity and external validity. The triangulation method was used to corroborate evidence from various forms of data that was collected throughout the study (Creswell, 2005). In this study the, participants responses to interview questions, field notes, and audio-recordings served as the triangulation components.

**Internal validity.** The internal validity in the qualitative study refers to the possible internal problems arising from the procedures written into the study (Creswell, 2005). The goal of the qualitative phenomenological study was to create a data collection, approach that derived precise conclusions in regard to cause-and-effect as well as other associations within the data (Leedy & Ormrod, 2001). According to Schram (2005), the internal validity of an experiment ascribed to the ability to derive valid conclusions that emitted confidence in the research. Internal validity provided an authentic representation of the phenomenon under review and a measurement of the accuracy and credibility of the findings (Leedy & Ormrod, 2005). The use of practices



such as triangulation, member checking, and external audit trails helped to ensure internal validity of the study (Creswell, 2006; Rice & Trafimow, 2011). Triangulation focused on interview question responses, field notes, and audio-recordings. Each change participant was asked to review and validate his or her interview responses to align with the guidelines of member checking. NVivo 10 served as an external audit trail by capturing historical transitions of decisions made as key themes were analyzed.

**External validity.** External validity in a qualitative phenomenological study refers to the possibility of generalizing the conclusions to situations that initially prompted the research. The purpose of the qualitative phenomenological study was not to generalize but to explore lived experiences and perceptions of change management participants who had led data management projects. The challenge experienced with external validity is the ability of the qualitative researcher to simulate a natural environment and yield the same result each time. Experiments that failed to duplicate the natural environment could suffer loss of external validity. The goal of external validity in phenomenological qualitative research was not to accomplish repeatable conclusions. The goal of external validity in phenomenological qualitative research was to derive explicit coherent results that linked data, methods, and results of the research study (Garza, 2007; Prohaska & Etkin, 2010).

**Reliability.** Researchers must ensure reliability during a qualitative phenomenological study to gain scholarly acceptance. A primary threat to reliability in the qualitative phenomenological studies is researcher bias. The manifestation of researcher bias occurs, when the researcher who performs the study influences the outcome so that a false outcome is achieved. Negative reliability implications can also

occur when the researcher creates a false outcome. Researcher miscues such as the creation of mistakes when measuring systems are altered because of negative biases from participants involved in the research study (Shank, 2006) may influence reliability as well. Reliability of data was achieved by the use of a consistent and dependable data collection process. Moreover, to retain reliability in qualitative phenomenological studies; the interviewer created an environment of trustworthiness (Golafshani, 2003; Md. Ali & Yusuf, 2011). The qualitative phenomenological study included the use of observations, scheduled interviews, and the use of Richie and Lewis Framework (Smith & Firth, 2011) as a reliability checker to ensure reliability.

### **Data Analysis**

Once data collection was completed Shank's (2006) qualitative data analysis method was used. Shank's approach consisted of "Four phases to analyze qualitative data:

- 1) defining the type of analysis that will be used for the study;
- 2) classifying the data that will be used;
- 3) making connections among different classes of data, and;
- 4) presenting the results of the analysis" (p. 112).

Throughout the qualitative phenomenological study, the interviewer was responsible for making the decision about the data analysis approach as well as data organization, interpretation, and deciding how the data would be analyzed for the study (Shank, 2006).

The Ritchie and Lewis framework for the phenomenological qualitative data analysis was appropriate for this study because of the thematic analysis method made available (Smith et al., 2011). Thematic analysis allowed the data collector the

opportunity to methodically and categorically apply qualitative analysis steps to a series of linked phases to guide the process and assist with theme creation from data (Smith et al., 2011). The thematic analysis was an interpretive process that applied systematic pattern searches to bring forward a description of the phenomena (Smith et al., 2011). The output of thematic analysis provided the advancement of concise themes without the creation of theory (Smith et al., 2011).

The study included the use of Ritchie and Lewis' (2003) framework for qualitative data analysis. The three stages are as follows:

- 1) Data management – becoming familiar with the data (reading and rereading); identifying initial themes/categories; developing a coding matrix; assigning data to the themes and categories in the coding matrix.
- 2) Descriptive accounts – summarizing and synthesizing the range and diversity of coded data by refining initial themes and categories; identify association between the themes until the 'whole picture' emerges; developing more abstract concepts.
- 3) Explanatory accounts – developing associations/patterns within concepts and themes; reflecting on the original data and analytical stages to ensure participant accounts are accurately presented to reduce the possibility of misinterpretation; interpreting/finding meaning and explaining the concepts and themes; seeking wider application of concepts and themes (Smith et al., 2011, p. 55).

NVivo 10 software was also used to assist with the analysis of phenomenological data. NVivo 10 software was used to store and assign attributes to the phenomenological

data. The use of NVivo 10 allowed the qualitative researcher to highlight relative classifications gathered throughout the interview process. The classifications were used to query the phenomenological data to derive the relationships used to validate and produce the results of the study. In this study, NVivo 10 validated Shank's (2006) qualitative data analysis approach as well as the Ritchie and Lewis (2003) framework for qualitative data analysis (Smith et al., 2011).

### **Summary**

Chapter 3 included a description of the methodology and design of the research study to understand change manager perspectives through lived experiences, specifically change managers who had led DMIS projects, resulting in low project adoption rates. The intent of the research was to reveal emergent themes that would provide direction and help change managers to improve DMIS project adoption rates. The methodology, designed to address concerns was conveyed in the problem statement, purpose of the study, and central research question. The use of a qualitative method provides qualitative researchers the wherewithal to focus and embrace phenomena from the viewpoint of change management participants as well as in the specific environmental area where the problem resided (Toloie-Eshlaghy, Chitsaz, Karimian, & Charkhchi, 2011). Furthermore, a qualitative phenomenological research approach helped the researcher to manage conventional research dilemmas and enhanced the knowledge of humankind's lived experiences (Sanders, 1982).

Chapter 3 also included a description of the selection process for change management participants, a pilot study validated interview question accuracy, instrumentation, data collection procedures, and data analysis. The selection of change

managers occurred through the use of a purposive sample approach. The study addressed the collection of data through scheduled interviews. Audio-recordings were used to ensure internal and external data validity (Creswell, 2006).

The instrumentation tool to collect data from participants in the study included an interview protocol to collect data used to explore lived experiences and perceptions of change managers without preconceptions. The interview questions were created in Microsoft Word© so that preparatory information could be shared with the participants at the face-to-face interview session. The use of the qualitative research software tool (NVivo 10) helped the qualitative researcher to identify patterns, search for themes, and draw conclusions from analyzed data. Chapter 4 will provide findings from data collected through phenomenological scheduled interviews and the results of the data analysis.

#### Chapter 4: PRESENTATION AND ANALYSIS OF DATA

The purpose of this qualitative, phenomenological study was to explore the lived experiences of change managers to understand project adoption rates and the role change managers play with regard to project adoption rates. The intent of the study was to identify possible emerging themes that would provide a framework to help change managers improve project adoption rates. The general problem in the phenomenological study was that across major corporations, “Two-thirds of DMIS projects were considered unsuccessful” (Levasseur, 2010, p. 159). The specific problem was that within a city in North Carolina, financial services change managers experienced low project adoption rates post implementation of new DMIS intended to improve data management capabilities. During the fourth quarter of 2010, 30 projects were audited by quality assurance members. The average data management project adoption rate across 30 projects was 38.6% (Financial Services, 2011).

Chapter 4 includes the emergent themes directly related to the central research question based on the literature reviewed for the study. The following central research question guided the study: *What are change managers lived experiences with regard to DMIS projects that result in low project adoption rates?* Chapter 4 contains specifics about the approach used to obtain anecdotal data, as well as the analysis of data to elicit themes, which represented the essence of financial services change managers’ lived experiences with data management projects.

The study explored 19 financial services change managers’ lived experiences of data management information system (DMIS) implementations. The data was analyzed to develop emerging themes in terms of key influences of successful DMIS project

adoption rates as well as change management role perceptions in a North Carolina City Bank. The presentation and analysis in Chapter 4 includes an explanation of the data analysis used to identify common themes from the participants' interviews. The conclusions of the analyses was aligned to the research question and supported by literature similarities and differences.

### **Sample Demographics**

The focus of the sample demographics was to identify and locate change managers who had executed data management information system (DMIS) projects. The change managers needed to be at least 18 years old. Additionally, the change managers were required to have executed a DMIS project within the last six years and managed as least one subordinate within the same timeframe.

### **Demographics**

Demographic questions created a portrait of the change management participants and permitted a smooth transition into the first interview question. The demographic questions were essential to verify formal competence and change managers' level of experience as well as to build rapport at the onset of the interview session. The use of basic demographic questions also helped to transition into the primary interview questions (Moustakas, 1994). For a complete list of demographic information, see Appendix A. Twenty financial services change managers volunteered to participate in the study. One participant accepted a position with another company located out of the local area and was not interviewed. Nineteen interviews were conducted and saturation was achieved after change participant 16 was interviewed (see Appendix G for demographic information). A continuation of interviews occurred to validate saturation.

**Gender.** The gender ratio was not determined before the study began. Ten men made up 52.6% (DM001, DM004, DM005, DM006, DM008, DM009, DM010, DM012, DM015, DM018) of the male gender population and nine women made up 47.3% of the female gender population (DM002, DM003, DM007, DM011, DG013, DM014, DM016, DMSW017, DM019) (see Table 3).

**Leadership experience by gender.** Seven of the 10 male participants (DM001, DM006, DM008, DM009, DM010, DM012, DM015) and six of the nine (DM002, DM003, DM007, DM011, DM013, DM019) female participants experiences ranged from 10 to 19 years. The remaining six participants, two males (DM018, DM004), and one female (DM017) ranged from 5 to 9 years of experience, and two females (DM014, DM016) and one male (DM005) had 20 or more year's experience (see Table 3).

Leadership experience was defined as financial services change management participants who had led a DMIS project within the last six years and the supervision of at least one direct report over the same time frame. Financial services change management participants were required to have managed at least one direct report to participate in the study.

Table 3

*Leadership Experience by Gender*

	5 to 9	10 to 19	20 or more	Total
Female	1	6	2	9
Male	2	7	1	10
Total	3	13	3	19

**Overall leadership experience.** Each change participant was asked how much organizational leadership experience he or she had. The largest percentage of



participants ranged from 10 to 19 years of leadership experience making up 68.4% of the sample population, six females, and seven males (DM001, DM002, DM003, DM006, DM007, DM008, DM009, DM010, DM011, DM012, DM013, DM015, DM019) amounted to 13 participants. The second largest distribution of leadership experience included three change participants with a leadership experience range of 5 to 9 years, which included one female and two males (DM004, DM017, DM018). Three change participants had a leadership experience range of 20 or more years (DM005, DM014, DM016) and included two females, and one male. Both leadership ranges made up 15.7% of the population (see Table 4).

Table 4

*Crosstabulation: Leadership Experience by Gender*

	5 to 9	10 to 19	20 or more	Total
Female	1	6	2	9
Male	2	7	1	10
Total	3	13	3	19

**Project management certification.** Each change participant was asked whether or not he or she had attained a formal Project Management Institute (PMI) certification or Certified Associate in Project Management (CAPM) certification. The criteria for participants' involvement did not require a formal project management certification. Ten change participants (DM002, DM003, DM004, DM007, DM010, DM012, DM013, DM015, DM016, DM017) had received certifications and made up 47% of the sample population. Nine participants (DM001, DM005, DM006, DM008, DM009, DM011, DM014, DM018, DM019) had not received formal project management certifications (see Table 5).

Table 5

*Formal PMP Certification Detail*

PMP	Total
No	9
Yes	10
Total	19

**Data management project experience.** Each change participant was asked how much experience he or she had leading data management information system (DMIS) projects. The criteria for participation was a least one DMIS project in the last six years. Eleven was the largest percentage of participants (DM001, DM002, DM005, DM007, DM009, DM010, DM013, DM014, DM015, DM016, DM019). The participants DMIS project experience ranged from 7 to 10 years and made up 57.8% of the sample population. The second largest range included three change participants (DM004, DM006, DM012) in the 3 to 5 year range, and three participants (DM008, DM011, DM017) in the 5 to 7 year range, which made up 15.7% of the sample population. The third largest range included two change participants (DM003, DM019) within the 1 to 3 years range, which made up 10.5% of the DMIS experience distribution. Participants in the 7 to 10 year DMIS project experience range accounted for the largest number of formal project certifications at 31.5% (see Table 6).

Table 6

*DMIS Project Experience in Years with a Formal PMP Certification*

	1 to 3	3 to 5	5 to 7	7 to 10	Total
No	1	1	2	5	9
Yes	1	2	1	6	10

	1 to 3	3 to 5	5 to 7	7 to 10	Total
No	1	1	2	5	9
Yes	1	2	1	6	10
Total	2	3	3	11	19

**Participants' age.** Each change participant was asked his or her age, which ranged from 30 to 50 years. Thirteen was the largest percentage of participants (DM001, DM002, DM003, DM006, DM007, DM008, DM009, DM010, DM011, DM012, DM015, DM018, DM019) who ranged from 40 to 49 years of age and made up 68.4% of the sample population. The second largest distribution of age range included three change participants (DM004, DM013, DM017) within the age range of 30 to 39 and three change participants (DM016, DM014, DM005) within the age range of 50 or more, both groups made up 15.8% of the sample population (see Table 7).

Table 7

*Participant's Age*

	Frequency	Percent
30 to 39	3	15.8
40 to 49	13	68.4
50 or more	3	15.8
Total	19	100.0

**Data Analysis Procedures**

**Coding process.** The sample population for the study included change management participants familiar with DMIS projects and the execution of those projects. Twenty change management participants accepted the e-mail invitation. When participant DM020's scheduled interview was to take place, it was discovered that participant DM020 had left the organization. The study coded the 19 financial services

change managers as DM001 through DM019 to maintain obscurity and to protect participant confidentiality (see Appendix G for coding information).

The first step in the data analysis process was a review of the transcribed interview data to ensure answers were documented and that the content was sufficient to move forward with the data analysis. Second, field notations and audio recorded files were entered into NVivo 10 for a thorough data analysis. Reading and rereading collected data resulted in identification of key words, which were classified for use within NVivo 10 (Smith & Firth, 2011). Third, classifications allowed the initial creation of pre-defined abstract concepts (Smith & Firth, 2011). The fourth step included the use of NVivo 10 to cluster and apply meaning to classified abstract concepts. Fifth, abstract concepts were used to highlight patterns within the concepts. Sixth, the non-repetitive and non-overlapping classification of keywords and phrases created condensed meaning (see Appendix E). Step six allowed the researcher to generate stand-alone themes (see Appendix F). Seventh, the coding process consisted of the clustering of key words and phrases gathered from the interview data. Clustering provided insight into the lived experiences of the participants with regard to the targeted phenomenon via the comparison and application of themes. Eighth, the cross validation process resulted in the creation of broader and relevant themes (Smith & Firth, 2011). The purpose of this approach was to serve as an additional cross validation of the data collected from the change participants, to mitigate any misrepresentation. The study data were categorized and sorted according to themes, patterns, and sequences.

### **Findings: Emergent Themes**

A total of seven themes resulted from the data analysis. The seven themes included: (1) level of importance given to change management role, (2) change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates, (3) understanding the change management process improved project adoption rates, (4) change management skills and involvement influenced successful project adoption rates, (5) change manager leadership behaviors influenced successful project adoption, (6) change management and organizational cultures were conducive to project adoption success, (7) strong leadership enhances organizational values and improved project adoption success (see Table 8).

Table 8

*Emerging themes*

Number	Theme
1	Level of importance given to change management role.
2	Change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates.
3	Understanding the change management process improved project adoption rates.
4	Change management skills and involvement influenced successful project adoption rates.
5	Change manager leadership behaviors influenced successful project adoption.
6	Change management and organizational cultures were conducive to project adoption success.
7	Strong leadership enhances organizational values and improved project adoption success.

The following sections contain descriptions of each theme and their applicable invariant constituents. For each theme, one or more participant's comments provided detailed accounts of his or her lived experience. The use of detailed lived experiences enhanced the integrity of the study by administering specific documentation of each theme and invariant constituent. Subsequent to the detailed testimonies, summary descriptions of the lived experiences of the participants provided incremental support and insight into how the participants perceived the role of change management in creation of successful DMIS project adoption rates.

### **Theme One: Importance of Change Management Role**

Ranges of high, medium, and low formulated a foundation for the first thematic label. Fifteen out of 19 change management participations believed that the level of importance given to the change management role had a high importance. Table 8 indicates that 15 participants (78.9%) rated the importance of the change management role as medium to high. The participants who rated the level of change management importance as high did not experience a large amount of external consultants who led critical DMIS projects within their organization. Participant DM008, who ranked importance as high, noted, “Our organization requires someone to be accountable more so than to drive or lead the projects because of the regulatory implications.” Participant DM001, who also ranked importance as high, noted, “However, painful intrusion; but the role is recognized as being important to introduce change.” Fifteen of the participants also commented on the high level of importance and thought that the project teams did understand the value of change management and how it was used to make a project successful. The participants also believed that change management allowed project members to focus on what was important. A majority of the participants attributed the value and importance of change management to the many regulatory requirements that the organization faced. Participant DM003 responded, “The change management role is of very high importance; because of the level of change in the organization; regulatory changes must be completed quickly and correctly; the change management role provides governance.”

Fifteen participants believed that the organization could not experience success without the use of change management processes. For example, Participant DM016

indicated, “Many lines of business (LOB) leaders feel that change management is a necessary evil.” Fifteen participants commented on why the change management role was of high importance. The participants believed that strong change managers receive a higher level of acceptance because of their ability to navigate through issues and force decision to be made. For example strong change managers have the wherewithal to navigate through territorial boundaries, put protective individuals at ease, identify, and rank unclear goals, and retain a decision on the LOB’s priority (Participant DM005).

In contrast, four participants believed the change management role to be of less than high importance. The participants were allowed to choose one of three ranges, low, medium, and high to indicate their perceived level of importance for the change management role. Two participants believed that the level of importance to be rated at a medium. The participants were fairly new to the organization because of a recent organizational change and had experienced many of the external consultants’ departure. However, the two participants thought that more change managers would be needed to close gaps left by the external consultants. The other two participants believed the importance was low. The rationale was because of how change managers were viewed within the organization. Participant DM002 stated, “Low; not a high priority as the change management role is heavily executed by external consultants.” Participant DM006 concurred: “Very little importance was given to the change management role; people believe change managers get in the way of work and that external change consultants add more value.” After further conversation, the two participants believed that external consultants did not penetrate down to critical project issues, which resulted



in less challenges with the LOB. Most importantly some decisions remained undecided. (see Table 9).

Table 9

*Responses to Theme One: Importance of Change Management Role*

Importance Level	Number of Sources
Theme One: 11 High Importance of CM Role	15
Theme One: 11 Medium Importance of CM Role	2
Theme One: 11 Low Importance of CM Role	2
Total	19

**Theme Two: Knowledge, Perceptions, Values, and Beliefs**

Nineteen participants or 100% stated that four key factors were germane in the creation of the second thematic label. The four factors included, (a) data management process implementations contributed to organizational success, (b) data management values affected project outcomes, (c) change manager beliefs affected data management project rates and, (d) change managers' possessed commonly held beliefs about what constituted success when leading DMIS projects (see Table 10). All of the participants believed that it was important not only to leverage change management processes throughout the execution of the DMIS project, but also the value of data management processes were critical to ease the complexity of the project. Participant DM010 posited that change managers must, "Discover what the end users want; have a good understanding of the data; and ensure that the project has quantifiable data measurements for data quality early on so that the project team could experience successful project adoption rates." The participants believed that the only way to achieve the project data quality goal was to leverage a common data management process across the organization

to help to understand the data, the origin of the data, and who the data owner was. This particular belief was important to all change management participants.

Nineteen of the participants were adamant that values were an important factor that contributed to success DMIS project outcomes. The participants mentioned several key items with regard to data management values. Participant DM019 suggested that the value of data management was achieved when change managers drove home the need for, “Simplicity because data is complicated and change managers need intuitive repeatable rhythms to properly manage data.” Each participant believed that it was important to have a clear understanding of the purpose of the project as well as an understanding of what the data would be used for, how the data would be sourced, and the benefits of possessing the data. Participant DM006 confirmed that, “Change managers must understand the value of data and how it could be used to positively impact the organization.” Each participant believed that it was important to ensure that the organization was aggressively supportive and aggressively aligned to change, so that valued returns could be experienced. The participants had undergone several years of regulatory and compliance changes and understood that to be successful and adhere to external regulatory and compliance challenges, each person in the organization would have to contribute in his or her own way. The change management participants affirmed that common organizational beliefs such as team contribution could have a positive effect on DMIS project rates. Nineteen of the participants remarked on the importance of data as a valued means to garner organizational success and favorable outcomes. Participant DM014 stated, “Common data values allow the organization to have better insight as to what projects should be implemented as well as the values of the data that is to be

consolidated or enriched.” The participants believed that common beliefs of data management values have improved change management performance throughout the organization. The participants believed that change managers should look for data that is valid and relevant to continue to achieve a strong position in the marketplace and compete with competitors. A majority of the participants responded that data management values must be portrayed in story form and used to tell a story about the customer or the business. Otherwise, there was no value in data management because corporate data should be trusted to have value.

A majority of the participants shared the same beliefs of an optimistic attitude in regard to how change managers should go about the execution of data management projects. The participants stated that change managers should enjoy data management projects along with its complexities and politics because it allows change managers to excel. Participant DM003 commented, “Data integrity, data ownership, how the data is used, and data interdependencies should be understood by each change manager because we have developed data management processes to make things much easier.” Processes were developed over the last several years because the organization’s primary focus was on the reduction of redundant sources of data to minimize risks and reduce costs. The 19 participants believed that change managers must continue to determine end users needs and have a good understanding of the data in the customer’s specific space. All 19 participants spoke adamantly of common change management beliefs. Each participant believed in the value of data management principles and the success that data management could bring to the organization. The participants believed that data

management values could help to minimize risks, improve data quality, and allow the organization to improve data management project adoption rates.

A majority of the participants echoed the same sentiments with regard to change managers' knowledge, perceptions, data management values, and beliefs when they led DMIS projects. All 19 participants expounded upon the use of historical information such as lessons learned, and trends to highlight and mitigate risks. The participants agreed that across most of the DMIS projects that the information was similar. The participants believed that prior to project execution, a thorough review of the current state of data and knowledge of how the business would use the data was relevant to DMIS project success. Also the participants believed that change managers who had knowledge of the business would have a better opportunity of predict future business needs for their customers. The participants also believed that change management leaders should, "Insert themselves as a part of the business unit and present the solution as being completed for us" (Participant DM008). Other change tactics mentioned by a majority of the participants was the importance of building, "Successful relationships with stakeholder[s] and transparency as issues and risks are encountered and resolved" (Participant DM004). The participants provided additional advice such as the need to serve as a leader who leads the facilitation of business challenges in a non-bias fashion to achieve high project adoption rates. Change managers, "Must maintain good communication with project stakeholders: Tech, PMO, and LOB, etc." (DM004). Most of the participants believed that knowledgeable change managers who lead DMIS projects should consider it a priority to understand the business partner that they are working with as well as how to communicate and listen to understand what is important

and what is not important to gain buy-in. As leaders of DMIS projects change managers cannot make projects more cumbersome or complex than what is currently in place.

Leaders must ensure that LOB stakeholders are identified and in place early, to understand the project and provide agreement on the solution that will be put in place.

Leaders should validate the performance metrics to measure the success of the project.

Table 9 indicates that 19 participants (100%) experienced the four previously mentioned factors.

Table 10

*Responses to Theme Two: Knowledge, Perceptions, Values, and Beliefs*

Interview Question	Classifications	Number of Sources
Theme Two: 6	Data management processes contribute to success	19
Theme Two: 2	Data management values affect outcomes	19
Theme Two: 4	Change manager beliefs affect DMIS project rates	19
Theme Two: 5	Change manager common beliefs when leading DMIS projects	19

### **Theme Three: Importance of Change Management Process**

Six factors determined the basis for the third thematic label. The theme reflects participants' feelings and beliefs of how well the North Carolina City Bank's internal change management process was understood. Of the six factors shown in Table 8, 19 participants (100%) had experience with the internal change management process.

On a scale of 1 through 10, participants perceived their level of understanding from 5, meaning average understanding, through 10 meaning the highest level (expert) of understanding. Theme three indicates that many change managers were familiar with the change process. One participant chose the expert level of understanding because of how

effectively communicated the process was as well as the readily available training. The two largest groups which concluded with the same level of understanding were level eight (very well), and level nine (extremely well). The result complimented the change management experience level of the participants. Each group had a total of seven participants, representing 36.8% of the population. The second largest group was level seven (fairly well). This group had a total of two participants and made up 10.5% of the population. Levels six (above average) and level five (average) each had one participant, which represented 0.5% of the population. Additionally, six participants had formal project management certifications. Seventeen participants (89.4%) believed they knew the internal change management process fairly well (level 7) to expert (level 10) (see Table 11).

The change management process was well understood, however; there were uncontrollable factors that a majority of the participants experienced with regard to the change management process. The participants experienced DMIS project shortfalls and believed that, “Change managers have limited time to perform well; timelines were not sufficient enough to allow for success” (Participant DM002). This was because the participants believed that end-to-end integrations were very complex and there was not enough time to understand how to improve the LOB’s business processes.

Two of the participants thought that change managers who worked in the program management office failed to execute DMIS projects, did not fully understand what was required to manage DMIS projects. As a result they rated understanding as a level five and six (see Table 11). Both participants believed that program management, technology project management, and process project management were unlike a data management

project and suggested that data management project management should be a sub-specialty of project management as a different change management process approach was used. Both participants thought that change managers had very little knowledge of the business and how to apply a data centric change process to business needs. This resulted in many project team members' categorization of change managers as check the box or process only people. The participants believed that change managers who understood the change management process should continue to learn the business environments of project team members to make better decisions when applying the process.

Table 11

*Responses to Theme Three: Importance of Change Management*

Level of understanding	Number of Respondents
10	1
9	7
8	7
7	2
6	1
5	1
Total	19

**Theme Four: Skills and Involvement**

Two factors constituted the basis for determining the fourth thematic label. The theme reflects participants' feeling and beliefs, the participants' personal change management skill and how participants use those skills to influence project adoption rates as well as participants perception of the power that influence has on project adoption. The two factors were (a) influences of change manager involvement and, (b) examples of change manager skills. Of the two factors shown in Table 11, 19 participants (100%)

experienced change management influence to move the DMIS project forward and leveraged change management skills to achieve project adoption success. This section contains participants' explicit statements and paraphrased comments about the two key factors within this theme (see Table 12).

The entire sample pool of 19 participants believed that change manager involvement was critical to influence project team members as well as stakeholders. The participants believed that the influence factor of the change manager was critical to DMIS project success. Nineteen participants noted that change manager involvement could be used to engage key stakeholders up front in the design phase of data management projects. The participants believed the purpose of early engagement was to build an environment of teamwork and inclusion that could be used to influence the project to move in a positive direction later on. The majority of the 19 participants believed that knowledgeable change managers could gain the confidence of the project team, build relationships, and conduct truthful candid conversations about the current status of the organization and influence the organization to commit to future data management strategies. Participant DM019 encapsulated the sentiments of the team and stated that the significance of, "Basic change management skills such as listening, and agreeing upon terminology to build an intuitive interface" (Participant DM019) was paramount to influence the project team to move toward project adoption success.

Similarly, all 19 of the participants stated that the skills of change managers were a critical component to DMIS project adoption success. A majority of the participants believed that change managers could use soft skills such as the portrayal of an optimistic personality to diffuse negative situations. Further, Participant DM008 stated that, "I



“Demonstrate an optimistic personality and make sure that I am open and transparent so that I can influence others.” Participant DM005 listed tactics change managers could use such as, “Mastering scorecards and RACI (Responsible, Accountable, Contributor, Inform) to ensure that project members understand their roles, tollgates to gain consensus to move forward, leverage strong change management rigor, and most important, be the first face that the customers sees each day.” Participant DM004 replied that, “You have to be on the ground throughout the business requirement document process when working with the LOB and Technology teams via meetings, virtual calls, and business requirement draft reviews; change managers skills create smooth transitions.” A majority of the participants claimed that changers managers retain value, by constantly working to build relationships and skill sets to render value to the LOB as oppose to facilitating meetings only. The participants staunchly believed that they needed to be a part of the team. The participants summarized that skilled change managers have a better chance to achieve project adoption success by understanding when to use different types of leadership styles to overcome project obstacles. A majority of the participants believed that change managers who possessed training and communication skills could help to improve project adoption rates prior to deployment and post deployment. These skills could be applied by working closely with the LOB to train and communicate changes in regard to how the work should be accomplished in the new DMIS environment. Also the participants believed that skilled change managers should stay involved with the project to assist or deliver training and communication. One participate clearly stated that, “I have used those tactics to remain successful and influence project adoption” (Participant DM009).

Table 12

*Responses to Theme Four: Skills and Involvement*

Theme and Interview Question	Classifications	Number of Sources
Theme Four: 7	Influences of change manager involvement	19
Theme Four: 3	Examples of change managers' skills	19
Total		19

**Theme Five: Leadership Behaviors and Influence**

Two factors constituted the basis for the fifth thematic label. The theme reflects participants' feelings and beliefs of how change management leadership positively influences project adoption success and the type of leadership behavior that is necessary for project adoption success. The two factors included (a) positive influence of leadership and, (b) leadership behavior influences of change manager involvement. Of the two factors shown in Table 12, 19 participants (100%) experienced positive influence of leadership and associated leadership behavior. This section contains participants' explicit statements and paraphrased comments about the two factors in this theme.

Nineteen of the participants noted that change managers' leadership behaviors and styles could influence project adoption, by ensuring project goals and objectives are agreed upon by the stakeholders. All 19 of the participants claimed that effective change managers' help to create successful deployments project adoption rates. The participants mentioned the need for transformational leadership. All of the participants believed that change managers should remain in a transformational mindset to accomplish various DMIS project tasks. Each of the 19 participants believed that transformational leadership was critical to establish a data management vision and without that particular leadership

style the project would suffer in the long-term because of failure to create a vision and plan for the future. A majority of the participants recounted the value of transformational leadership and mentioned the importance of a transformational vision to inform the LOB of what the project was to achieve. The participants believed that transformational leadership tactics helped to recruit LOB leaders and assisted with organizational influence of DMIS projects.

The participants also thought that the use of a charismatic leadership style as a tool for change managers' to use to draw people in and subsequently influence them. Participant DM014 remarked, "I have leveraged a charismatic leadership style to help me motivate project team members through spouts of boredom" (Participant DM014). The participants revered the use of charisma to gain the attention of project team members and make mundane DMIS projects exciting. The participants also believed that charismatic leadership separated the average change managers from the successful change managers because of the empowerment and willingness to do what was needed to complete the DMIS project. All 19 of the participants believed in the requirement of stakeholder sponsorship and the ability of change management leaders' to empower change managers to manage a project. The participants affirmed that change management leadership must support engaged change managers and inform the business that the change manager is competent and can do the job. Additionally, the participants confirmed that change management leaders should have charisma and leverage that charisma to influence entire organizations toward belief in the necessity of the DMIS project. Each of the 19 participants believed that leaders could use predictive analysis to relate and influence others to agree to DMIS projects. The participants believed that

change managers must be concerned leaders, DM002 stated that concern can be accomplished, “By ensuring project goals and objectives are agreed upon by stakeholders as well as by the installment of good project success measures and the removal of project roadblocks.” Leaders who choose to be concerned or effective change management leaders might create effective deployments that could result in increased DMIS project adoption rates.

All 19 of the participants affirmed that change managers might experience success with influence by simply leading and setting the example as opposed to the use of the, “Carrot and stick method” (Participant DM004) and keeping the spotlight on the team and not on the change manager. The participants believed that effective leadership behaviors such as concern could influence project adoption by painting a vision of why the current state was not the desired state for the organization and that the target state is ideal for future organizational goals. The participants thought that the best way to achieve the aforementioned goals was for change managers to, “Lead from within the trenches with the project team and not on the sideline creating project deliverables and timelines” (Participant DM013). The participants thought that change managers should confront roadblocks, demonstrate leadership behaviors to articulate the problem, gain agreement, and remove the roadblock. The participants believed that the only way to accomplish the aforementioned goal was to work side by side with the project team members. Nineteen of the participants affirmed that effective change management leadership was projected by, change management leaders who made critical decisions in the absence of complete information. Participant DM011 stated that, “Change management leadership sets the tone. Change managers who talk about adoption on an

equal basis to project status, timelines, and project costs will have better adoption rates; as oppose to adoption conversations right before deployment.”

A majority of the participants believed that effective change management leadership could be supportive of the process used to execute the project and become aggressive when the need arose to resolve issues that could hinder project adoption. Participant DM018, stated that, “change management leadership could positively influence project adoption, “By allowing the change manager to be the captain of the ship and assertive at the right time to drive out decisions and expected outcomes.” Participant DM003 stated that assertiveness allows, “Change managers’ to create early buy-in and remove project obstacles as well as influence organizations to support the effort from a financial perspective. Change managers who established early buy-in experienced few problems retaining project funding. The participants believed that change management leadership’s use of playbooks, conferences, and publications created a flexible and objective approach to inform the LOB and help them to understand data management potential and how important it was to have active stakeholder involvement to deliver business needs.

Each of the 19 of the participants, sounded prideful as the discussion of change management influence and behaviors continued. Participant DM007 decried, “Change management leadership must stand firm and push through the obstacles; as oppose to letting issues remain unresolved. The participants believed that change managers must build rapport with the project team members to gain the respect of project team members who did not report directly to them early in the project lifecycle. The participants also thought that effective change management leadership allowed change managers to bring

together LOB's and people who do not talk and work together daily. Participant DM016 stated that, "We add value by bringing people together; we support LOB project teams to influence project outcomes; we involve other organizational members when needed; an effective change management leader leads by example and communicates change – we do that." Participant DM017 stated that change managers positively influence project adoption success, "By having the bigger picture of the overall project and keeping people moving in the right direction to increase adoption." Participant DM002 believed that change management leaders must have a trusting behavior, "The ability to trust the change manager to do his/her job, not by micromanagement; but via empowering, promoting, and showcasing projects to organizational leadership and celebrating small wins with a charismatic attitude." Change manager must also, "Listen to subject matter experts and speak the language of the business to have a chance to influence project members" (Participant DM014). Change managers should have, "Visionary and influencing behaviors and leverage transformational leadership skills to move the project in a favorable direction" (Participant DM010). Participant DM019 declared that to, "Achieve project adoption success change managers should gain the stakeholders' perspective; so that different points of view are understood." The participants noted leadership behaviors such as, "Relationship building and trusting behaviors" (Participant DM008) as well as, "Forceful empathy; the ability to relate to the change and understand how it will impact people and remain forceful on what needs to be done to reach the end state solution" (Participant DM001). The participants stressed the importance of consistent communication to influence behavior and manage expectations. "Change

management leadership should maintain a non-biased position and focus on what is best for the business” (Participant DM004).

The participants discussed the need to ascertain when to invoke alternative leadership styles through the use of, “Effective leadership and not letting the project or project team run you; but you run the project and having a clear understanding of the overall objectives” (Participant DM013). Because of the critical nature of compliance to regulatory mandates the participants’ thought that high risk projects required a stronger leadership behavior as well as the ability to use soft skills such as body language and intuition to determine the best leadership style to apply to a situation. Participant DM003 stated,

To influence projects change managers must react to difficult situations using finesse, which is the ability to make bad situations look good, the ability to connect with the team to get them to believe they can deliver the project. Most important, the ability to convince and gain the respect of teammates and manage project politics (Participant DM003).

The participants also mentioned the importance of gaining project adoption by walking the walk on a consistent basis; knowing when to push back and making sure that adoption was the key focus. The participants also believed that influence occurred based upon the change manager’s credibility and his or her ability to balance change management process rigor and at the same time maintain flexibility within the process to achieve project goals. The participants affirmed that change management leaders could use innovative methods to manage financial shortfalls and influence business partners to come together to talk and agree upon a plan to execute against overcome shortfalls.

The participants mentioned other critical behavior qualities such as assertive facilitation and leadership focus, so that distractions do not occur. The participants also mentioned professionalism, calmness, confidence, thirst for knowledge, excitement and optimism about what was possible for the project. Another key point that the change managers mentioned was that change managers should be collaborative and willing to lead with little knowledge and have an acute awareness of project risks and the ability to mitigate those risks. The participants believed that change managers should possess behaviors to encourage collaboration and integrity. Change management leaders should make sure that direct reports and team members understand the purpose of the project, so that change managers can cite the importance of change management process or documentation rigor throughout the project lifecycle (see Table 13).

Table 13

*Responses to Theme Five: Leadership Behaviors and Influence*

Theme and Interview Question	Classifications	Number of Sources
Theme Five: 8	Positive influence of leadership	19
Theme Five: 9	Necessary leadership behavior	19
Total		19

**Theme Six: Change Management and Organizational Culture**

Two key factors constituted the basis for determining the sixth thematic label. The theme reflects participants' feeling and beliefs of change management and organizational cultures that are conducive for project adoption success. The two factors include, (a) change management culture and, (b) organizational culture. Of the two factors shown in Table 14, 19 participants (100%) had experienced working in areas that



supported optimized change management and organizational cultures within the last six years, which would allow DMIS project adoption rates to thrive. This section contains participants' explicit statements and paraphrased comments about the two invariant constituents of this theme.

All 19 of the participants commented on the need for both change management and organizational culture to be strengthened. Further, each participant believed that additional time and work was required to allow LOBs time to adjust to the increased need to change how business processes functioned. This was because of compliance and regulatory challenges that called for rapid remediation and closure of gaps. The result of this need for rapid closure necessitated the use of external consultants'. Each of the 19 participants believed that change management executives should work to create a change management organizational culture that would hold senior leadership accountable for supporting the vision and ensuring that their teams also supported the change vision. The participants believed that there were times when the organization and internal change organizations were not properly aligned. The participants believed that as a result of misalignment, skilled change managers were not allowed to drive critical projects because external consultants were used. A majority of the participants believed that external consultants generated large amounts of paperwork and made DMIS projects and corresponding solutions more cumbersome and complex.

All 19 of the participants affirmed the need for a change management culture that balanced process rigor and allowed change managers' to have more control of matrixed workers on the project teams. A majority of the change managers thought they did not have ample control of key project resources and commented that it was hard to motivate

project members who did not report to them. The participants sighted the need for the organization to allow critical project team members or subject matter experts to report directly to change managers whether it was a formal or informal relationship. Participant DM018 stated that we need to, “Add more value to change managers’ and provide some type of ownership as change managers do not really own anything; this will allow others to embrace the fact that change managers’ are team players too.” Participant DM002 commented that there should be a, “Specialized/centralized change management group to execute and drive projects to improve job recognition and the empowerment of change managers.”

Similarly, all 19 participants confirmed that a, culture of flexibility with regard to mandatory standards and policies across the organization would improve performance. Participant DM012 stated that, “More emphasis on the change management role and less on change management rigor is an optimal route that all project members should strive to accomplish” (Participant DM012). The participants also thought that there was a need for a strengthened change management enterprise function that was aligned with the organizational strategy and operational environment to allow change management leaders to engage early and empower the subordinate change managers. All 19 of the participants emphasized the need for a change culture that was concerned about change and process improvement across the entire organization. The participants affirmed the challenge of fairness and believed that a change management culture should be consistent across policies and guidelines as oppose to adjusting to a change management leader's likes or comfort levels. Similarly, the participants thought that an independent leadership

chain of command could reduce high cycles of process rigor, improve project adoption and enhance change management practices and simultaneously provide fairness.

The majority of the participants believed in a culture that allowed change to function as an enabler to execute the project and allowed change managers' to leverage the LOB and technology teams to create an optimal change management environment was conducive. All of the participants believed that improved partnerships with technology, the LOB, and human resources would have a positive impact on the change culture and indirectly improve organizational culture. The focal point of this need was to drive improved understanding of new data management technologies, enhanced collaboration with the LOB to solve business problems, and to partner with human resources to improve the recruitment of change managers as well as balance full-time equivalent (FTE) versus external consultants. Similarly, DM004 stated that a, "A diverse culture will generate more knowledge amongst the project team; change managers' should have open lines of communication when articulating positive or negative information" (Participant DM004). All 10 participants believed that it was important to have a change management culture which encouraged change managers to become embedded within the business and technology areas, so that the change managers could be viewed as a part of the organization.

All of the participants repeatedly mentioned the need to integrate with their technology partners. The participants believed there was a need for a culture that did not create a project schedule around the technical execution timeframe; but created a schedule that allowed ample time for quality training, and communication as well as ample time between user acceptance testing and training to improve project adoption

rates. The participants thought that effective change managers should possess knowledge of the various environments in which they worked in such as mainframe, technology, and the LOB, so that they could gain the confidence of those who they supported.

The participants also talked about some of the shortfalls of the organizational culture. The central idea was the entire organization should promote the actual duties of change managers. All of the participants thought that key functions were overlooked such as the need for change managers to understand the business and its functions as well as technology and how technology might be used to support or automate business data processes. The participants also believed that change managers were charged with painting a vision of how technology and business processes can lead to DMIS project adoption success the future. The participants thought that several of the previously mentioned factors of the change management role were overlooked and believed change managers were not considered as organizational enablers as they should be.

Participant DM005 remarked that conduciveness may be sustainable by the organizational use of, “Simple metrics or dashboards such as red, yellow, and green statuses; the use of an organizational Hoshin plan to highlight measurable metrics and goals; finally execution of a control plan measurement one year after the project is deployed.” Several of the participants believed that change management culture needed a change culture that endorsed practical methods to provide the required time to allow change managers to be effective in the project execution phase. The participants believed that change managers should support a culture that documented only when there was a need to document. The participants also thought that standardized visual metrics such as dashboards created more interaction with project team members and may help improve

project adoption rates. Participant DM003 cited several items that appeared to be frustrating,

We need change and organizational leaders who understand the industry, understand the business in which they service, and allow only realistic deployment schedules to be approved for DMIS projects. This will allow my team to move away from the quick solutions that always have to be cleaned up on the back-end. An optimal change organization must have the courage to stop projects that are not beneficial, we cannot afford to adopt or produce garbage (Participant DM003).

Participant DM007 stated that, “Environments that are conducive to successful project adoption, start at the top levels of leadership and employs change managers who believe in a change management culture, and no matter what the formal role is called we must believe in change.” All participants agreed that there should be a certain level of rigor for change and project members. Also the participants believed that a favorable organizational culture was one that required the stakeholders’ involvement and support of the change management process. Participant DM009 added that the key to an optimal environment is, “Change management experience, a top to bottom structured approach to project planning and problem solving, and a culture that is not afraid to stop and plan.”

The participants thought that a prime enabler for project adoption success was a change management culture that was efficient, fast, worked to reduce the perception of change management overhead, and was a desired place to work. The participants believed in the importance of an organizational culture that reviewed and adhered to the organizational change process and recognized the LOB members who completed project

work as well as their daily work. Participant DM019 stated that there is a need for an, “Organizational culture that truly cares about the associate experience as much as they value the customer's experience; we spend 75% of our time getting it right for the customer and 25% on getting it right for the associate.”

Participant DM005 posited that we need an “Organizational culture that embraces change, and understands that refinement is a constant; this is a culture that is always evolving.” The participants also thought an organizational culture that was diverse and believed in change management to deliver change was positive and conducive to the organizational culture. Additionally a culture that experienced low levels of stress and retained a keen focus on business needs to help to minimize the risk of regulatory occurrences was affirmed by many of the participants. This challenge appeared to have most of the change managers’ attention as many regulatory timelines were on the horizon.

It is paramount to, “Control external disrupters and have consistent commitment by the leadership team; we need a culture that will reduce external noise so that the team can focus on work” (Participant DM011). Participant DM006 stated that,

Structure is good; we need not to be driven by the goals of the organization; when everything is done to make more money; we should work in harmony with all leaders and be committed to the change process and breaking down barriers.

The participants believed that a major focus was on the completion of externally mandated timelines. The participants believed that there was a need for an organizational culture that is not heavily impacted by external guidelines as well as a strong internal organization that could stand up to external forces and ask for more project time. The

participants thought that this need was attributed to many projects or small tasks being classified as throw away work or work that would have to be corrected at another time. Participant DM017 commented that the most important task for an optional change environment was the, “Building partnerships and collaboration across the organization; the sharing of ownership of organizational initiatives.” Participant DM009 stated that conduciveness involved a “Belief in disciplined and structured approach to reduce fire drills across the organization.”

Table 14

*Responses to Theme Six: Change Management and Organizational Culture*

Theme and Interview Question	Classifications	Number of Sources
Theme Six: 12	Change Management culture	19
Theme Six: 13	Organizational culture	19
Total		19

### **Theme Seven: Leadership and Organizational Values**

One factor composed the basis for determining the seventh thematic label. The theme reflects participants’ feeling and beliefs of the organizational values that were required to foster successful project adoption rates. The invariant constituent was identified as a required organizational value. In regard to the invariant constituent shown in Table 14, 19 participants (100%) had an understanding of the criticality of organizational values and the role that values play in creating successful project adoption rates. This section contains participants’ explicit statements and paraphrased comments about the two invariant constituents of this theme (see Table 15).

Nineteen (100%) of the participants believed that the best path to successful project adoption was to garner strong organizational values, “And the ability to say that mistakes were made, but this is what we are doing to fix them” (Participant DM006). All 19 of the participants believed that an organization that valued adherence to in-place enterprise standards might have a better chance of increased DMIS project adoption rates by following an agreed upon process. The participants thought that the value of change management was best achieved when top down management supported DMIS projects and gained buy-in across the organization for the change management role by working with key stakeholders to communicate the value of change management. The participants thought organizational values such as information sharing across the organization was a critical value that could improve DMIS projects success.

As further discussion of values continued, all of the participants affirmed that organizational values of trustworthy leadership helped to ease the governance process during project reviews. The participants believed that trust values allowed them to manage negative news such as when information systems should not be deployed. The participants believed that an output of trust allowed change managers to prove value when they worked with LOB leaders and stakeholders. Each of the participants believed in the value of engagement. The participants thought that change organizations should be engaged and supportive of the change managers’ who deliver messages of change in regard to DMIS projects. Participant DM006 stated that, “Leaders’ must remain focused on the human aspects of change” (Participant DM006) as an organizational value. Participant DM018 also believed that it was important to communicate and listen to the change message and not, “Not shoot the messenger; and to resolve challenges together, as



the project moves forward understanding that some decisions are made with limited data/knowledge” (Participant DM018). All of the participants’ attested that organizational values of frankness and candidness were required throughout the change organization as well as the courage to identify problems, seek solutions, hold individuals accountable, and the courage to ask the hard questions.

All 19 of the participants valued teamwork as key contributor to project adoption success. The participants believed that teamwork and the assignment of skilled change managers who were complimented with organizational change management tools to manage projects might improve project adoption success. The participants equally believed that teamwork was important to reach common organizational goals and to become successful in project execution. The participants touted the importance of stakeholder and relationship management as values that when used together could create awareness and align project team members and stakeholders to strategic goals. The participants believed the aforementioned method increased the chance of commitment to a process improvement culture across the organization.

All of the participants agreed that change managers’ added value by positioning the organization to become receptive to change. Participant DM010 stated that, “Being receptive to change and the need for constant improvement efforts is critical, change managers are responsible for making that happen.” Two of the change managers believed that they were not the right fit for their organizations. This was because some change managers reported directly to a LOB leader and were not aligned to a change management organization. One participant stated that, “As we position the organization for change, it would make more sense to me if, “Change managers had an independent

organizational structure so that they could push back when needed without fear” (Participant DM016). The participants thought pushing back on the LOB would be difficult as long as the change manager had a direct report line to the LOB manager. Participant DM012 responded that,

Organizational values have changed in regard to change management and Six Sigma. At one time, these were core tool-sets as well as the change management role. Currently, we are in a decentralized change management structure, or no structure at all is used. It appears that change managers in my organization are less important today. At the same time, the work that change managers do is more critical to the success of the organization internally as well as externally. We need an organizational culture of balanced change management values (Participant DM012).

The participants also believed that there were organizational values that change managers held dearly. Those organizational values were the value of listening to everyone, to include unpopular views, openness, partnership and the ability to work with people to build trust. Participant DM007 added, we are the people who, “Support LOB ideas as well as the project, even when they lose trust, we continue to rally behind them as well as the team.”

Table 15

*Response to Theme Seven: Leadership and Organizational Values*

Theme and Interview Question	Classifications	Number of Sources
Theme Seven: 10	Required organizational values	19
Total		19

## Summary

The purpose of the qualitative phenomenological study was to explore the lived experiences of financial services change managers to attempt to understand project adoption rates and the role change managers play with regard to project adoption rates. The following central research question guided the study: *What are change managers lived experiences with regard to DMIS projects that result in low project adoption rates?*

Chapter 4 included findings of scheduled face-to-face interviews with 19 financial services change managers' who shared the lived experience of DMIS project execution responsibilities. Additionally, Chapter 4 described the population demographic as well as a detailed breakdown of the key demographic questions. Chapter 4 contained a description of the interview process as well as the data collection process used to capture each participant's perspective of the research phenomenon. Chapter 4 included a description of the procedures used to familiarize, summarize, thematize, and analyze the collected data. The use of NVivo 10 software facilitated the organization, coding, analysis, and interpretation of collected data.

The analysis of coded data led to the identification of invariant constituents and initial themes. A deeper exploration and thoughtful contemplation of the studies invariant constitutes and themes affirmed and delineated seven relative themes germane to understanding the research phenomenon. The seven themes included (1) level of importance given to change management role, (2) change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates, (3) understanding the change management process improved project adoption rates, (4) change management skills and involvement influenced successful project adoption rates,

(5) change manager leadership behaviors influenced successful project adoption, (6) change management and organizational cultures were conducive to project adoption success, (7) strong leadership enhances organizational values and improved project adoption success. Chapter 4 included an overview of the data analysis and findings for the research study. The study results included actualized descriptions of findings by themes. The chapter concluded with a synopsis of the findings. Chapter 5 includes the conclusions and recommendations of the study.

## CHAPTER 5: CONCLUSION AND RECOMMENDATIONS

Financial services industries are heavily laden with data. Financial services leaders struggle to increase data management information systems (DMIS) as leaders seek to comply with Sarbanes-Oxley and Basel II (Augustinos, 2005; Singer & You, 2011; Lobo & Jian, 2010). Sarbanes-Oxley and Basel II created an urgency to improve internal DMIS, so that Chief Executive Officers (CEOs) could sign legally binding earning documents with confidence (Augustinos, 2005; Singer & You, 2011; Lobo & Jian, 2010). To achieve compliance with regulatory laws and sustain a competitive advantage, leaders sought to increase the use of DMIS to improve project adoption rates.

The purpose of this qualitative phenomenological study was to explore the lived experiences of financial services change managers to understand project adoption rates and the role change managers played with regard to project adoption rates. A qualitative research method was appropriate because it enabled the qualitative explorer to listen and comprehend phenomena from the change participant's point of view in regard to data management information system (DMIS) experiences (Toloie-Eshlaghy, Chitsaz, Karimian, & Charkhchi, 2011). The research method included, (a) collection of data via face-to-face scheduled interviews, (b) a review of transcribed and recorded data, (c) invariant constituent classification and category creation, (d) cluster of key words and phrases into concepts via NVivo 10, (e) identification of concepts and themes to highlight patterns from the data, (f) and cross validation of data to reduce misrepresentation and overlapping (Smith et al., 2011).

The focus of phenomenology is to treat human experiences as critical data, which can be used to understand human behavior (Moustakas, 1994). The research study

involved the lived experiences of financial services change managers to attempt to understand project adoption rates and the role change managers played with regard to project adoption rates. The participants in the research study were financial services change managers located in a city in North Carolina. The participants had lived experiences with the management and execution of DMIS projects. Textual information from 19 financial services change participants captured the participants' explained perceptions of change management roles and project adoption rates (Moustakas, 1994). Chapter 1 provided background information on the increased use of data as well as data quality concerns across financial services organizations (Brown, Chui, & Manyika, 2011; Lucas, 2010). Chapter 2 presented a thorough review of the literature on data management project adoption rate. The literature review highlighted relevant material in the area of data management, project adoption, and change management leadership as they were key components required to increase DMIS project adoption rates. Also chapter 2 revealed limited amounts of scholarly documentation in regard to data management. Chapter 3 contained a description of the research method process for change management participants to validate how financial services change managers perceived the change management role and the impact it had on project adoption rates.

Chapter 4 included findings of scheduled face-to-face interviews with 19 financial services change managers' who shared the lived experience of DMIS project execution responsibilities. Chapter 4 included a description of the collection and analysis of data for 19 financial services change managers. The analysis of data in Chapter 4 brought to light seven themes relevant to increase DMIS project adoption rates.



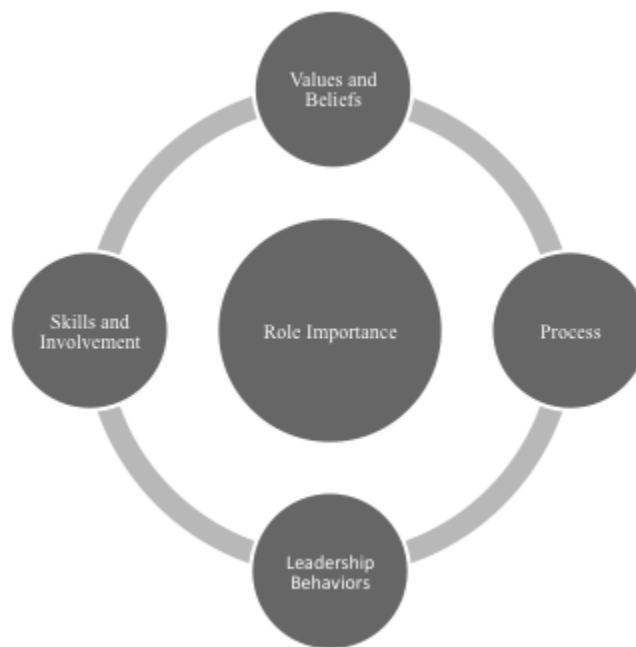
*Figure 1. Highlight of emergent themes.*

Figure 1 indicates emergent themes centered on the importance of the change management role and are grounded by change management culture and organizational culture.

The themes identified in Chapter 4 included: (1) level of importance given to change management role, (2) change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates, (3) understanding the change management process improved project adoption rates, (4) change management skills and involvement influenced successful project adoption rates, (5) change manager leadership behaviors influenced successful project adoption, (6) change management and organizational cultures were conducive to project adoption success, (7) strong leadership enhances organizational values and improved project adoption success.

Chapter 5 includes a reiteration of the research problem, the research question, and the research method applied in the study. Chapter 5 includes conclusion and recommendations, analysis of the lived experiences of the change participants. Chapter 5 also contains conclusions and implications derived from the literature review. Chapter 5 also encompasses a reflective and reflexive analysis of the phenomenon based upon knowledge previously known and knowledge attained throughout the research study. Chapter 5 concludes with limitations of the study, significance of the study to leadership, recommendations for leadership, and the summary and conclusion.

### Findings and Interpretations



*Figure 2. Primary study emergent themes.*

Figure 2 indicates emergent themes within the study. Emergent themes are centered on the importance of the change management role and are grounded by change management culture and organizational culture.



### **Theme One: Importance of Change Management Role**

Participants expressed several perceived aspects of the importance of the change management role. Theme one validated the need for a deeper exploration into the phenomena to understand other humanistic approaches to improve how the change role was perceived. Tactics such as enhanced stakeholder involvement to minimize negative perceptions (Lewin, 1951) might help to increase positive perceptions. Fifteen participants (78.9%) believed that the role had a high level of importance. Each participant had the opportunity to select one of three possible levels: low, medium, or high. The participants believed that organizations provided the support required for success. Change participants understood that the change management role was painful and intrusive, nevertheless; leadership provided support to the change managers. Those participants (10.5%) who believed the change management role to be of medium importance commented that it was because of the regulatory implications and the need to comply with external laws and regulations as well as the necessity for governance on those types of projects. External risks created the need for change managers to have some level of importance within the projects. As a result, the need for governance rigor seemed to help the change managers to be viewed as more than just administrative overhead.

In contrast, two participants (10.5%) believed change managers had low value within the organization. This number was attributed to the fact that external consultants executed the work of the full-time equivalent (FTE) employees. This phenomenon resulted in the FTEs belief that they were omitted from critical work within the organization. Additionally, participants expressed that individuals within the

organization believed that change managers do not technically own any part of the tasks or processes within the organization – they only fulfilled administrative tasks and created project status reports.

Theme one findings are significant for change leaders who choose to use external consultants to assist with critical work efforts. It was apparent that a balance as well as a humanistic approach should be reached when on-boarding external change managers. Additional research may be required in the area of change management because of the increased amounts of external change managers who might be brought into organizations to assist with change projects and at times, lead critical change efforts. Change management leaders might experience difficulty with the balance of external change managers versus FTEs because of unexpected compliance or regulatory challenges. Nonetheless, secondary factors should be taken into consideration, such as how the internal change managers' might respond to organizational tactics that would not allow them to take part in critical change efforts (Berson, 2011). The aforementioned action might be critical to the achievement of successful project adoption rates; given that internal change managers would be closer to the current work effort and could help the external change managers to understand how data is used and managed within the organization. Most important, internal change managers could provide a sense of continuity to the organization.

### **Theme Two: Knowledge, Perceptions, Values, and Beliefs**

Participants (100%) expressed a strong belief that change managers' knowledge, perception, values, and beliefs positively impacted data management information systems (DMIS) project adoption success. Theme two delved into the challenge of how to

improve perceptions, values, and beliefs across the organization as Tizard (2002) believed the aforementioned items were an organizational gap. Participants mentioned the value of celebrating small tactical wins to influence DMIS production adoption rates (Nakhoda et al., 2011). Another important point the participants made was that change managers' must work to figure out what the data requirements are. Many of the participants believed that data management projects were complex and the focus of change managers should be to simplify the process. Simplification was a primary approach, which change managers were concerned with.

Similarly, each of the participants believed in the value of communication, analytical, and facilitation skills to foster project adoption success. These humanistic traits aligned with Kurt Lewin's change theory. Lewin's change model was focused on the way that humans think (Rothwell, Stavros, Sullivan, & Sullivan, 2010; Bertsch, 2012). There were some instances when change managers were assigned to DMIS projects even though they lacked data management knowledge and experience. Theme two is significant to leadership as the question arises of whether or not organizations that manage critical data should work with human resources to improve the recruitment requirements for change managers who would manage the execution of critical DMIS projects. DM014 stated that, "Change managers' have little knowledge of the lay of the land and many are check the box people." Tizard (2002) agreed with this perceived change management gap as a common distinguisher between change managers who experienced success leading DMIS projects and those who did not. DMIS change managers must have the experience and leadership ability to lead data management projects. Increased organizational focus should be geared toward collaboration with

human resources to identify and effectively use change managers' who understand change capabilities (Fickenscher & Bakerman, 2011).

### **Theme Three: Importance of Change Management Process**

Change managers identified with a high level of knowledge of the internal change management process. Seventeen participants (89.4%) stressed a level seven knowledge of the process or higher. The change management process was documented well within the organization. Additionally, the participants believed that change managers only needed to follow the step-by-step process to align with the end-to-end change management process. However, the participants were aware that other skills such as leadership and engagement were important as well. There were two additional reasons for the high knowledge rate: (a) each participant used the process for a minimum of four years, (b) six participants (31.5%) had formal project certifications, which increased their level of knowledge and experience in regard to change and project management.

In contrast, knowledge of the change management process did not signify that a change manager understood how to gain successful project adoption rates for DMIS projects. Emotional intelligence skills were not a topic of training within the organization, nor a part of the formal project certification. For example, Armenakis's change model was based upon the fundamental belief that change managers should devise methods to influence employees to sense a need for change (Jaros, 2010). The previously mentioned challenge might conclude positively if change managers leverage or improve leadership skills to engage with business partners' sense of need for the proposed change. Improved project adoption rates could be achieved by an intuitive knowledge of the end-users and what it would take to change their behavior. Articulation

of a vision alone is not sufficient to garner successful project adoption rates (Jaros, 2010). The technology acceptance model (TAM) aligns with the theory of reason action (TRA). TAM could be used to help change managers to interpret how easy or intuitive the new technology or business process would be for the end-users to become more productive in the workplace (Venkatesh et al., 2003). The TRA could help change managers to understand end-user acceptance of new information technology innovations before DMIS projects are completed. The change management process does not delve into the psychological factors that could help a change manager to attain successful project adoption rates. Psychological factors such as attitudes, perceptions, and beliefs should also be analyzed within the internal change management process (Varol & Tarcan, 2009). TAM served a similar function as the TRA (Venkatesh et al., 2003). The motivational model determined the extrinsic/intrinsic motivational constructs, which drove individuals to adopt a new activity voluntarily and could be used for DMIS projects. The theory of planned behavior (TPB) was an extension of TRA; as such perceived individual behavior constructs were believed to be a determinant of an end-user's intentions (Venkatesh et al., 2003). Change managers might experience increased DMIS project adoption rates if more attention was focused on psychological factors as opposed to routine metrics such as on-time delivery and financial indicators. A new change management framework to assist change managers with an improved understanding of psychological aspects might lessen end-user burden of change and could help to improve project adoption rates.

#### **Theme Four: Skills and Involvement**

All 19 participants believed it was essential that change managers possess well rounded skills, not only of the change management process but also soft skills that might

strengthen intuitiveness and allow change managers to move to the center of the change event as opposed to the outside. Each change manager provided an in-depth moment of when he or she leveraged a particular skill-set to influence change and remove project obstacles. An example of skill-sets most often mentioned: (a) understanding of the process was mentioned 31 times (0.88%), (b) process was mentioned 29 times (0.83%), (c) and influence was mentioned 14 times (0.40%). A review of the literature highlighted the very same points. Involved change managers knew what the obstacles were, and used their skills identify challenges and eliminate them. The outcome of this action allowed change managers to decrease resistance and increase effective utilization of information systems (Varol & Tarcan, 2009).

The participants stated that some change managers tend to manage from a distance or were concerned only with articulation of project statuses. The change participants were frustrated that many change managers failed to understand that a distant relationship with the LOB stakeholders' coupled with a focus solely on status would not provide a sense of teamwork or camaraderie amongst the project team and would damage the relationship with stakeholders. The participants highlighted the urgent need to understand critical project roles and the responsibilities of end-users to devise an approach to move to the center of influence within the project team.

A review of responsible, accountable, contributor, and informed (RACI) individuals might help the change manager to create an approach for each factor. Many change managers failed to understand how critical it was to manage role clarity during the execution of DMIS projects and to understand who the actual decision makers were. Several issues could arise when project stakeholders do not see eye-to-eye on how data

should be measured, used, stored, or presented (Berson & Dubov, 2011; Kropsu-Vehkaperä & Haapasalo, 2011). To alleviate this challenge change managers should leverage document management centric RACI's throughout the execution of data management projects. Most change approaches leveraged a generic model that was not intended for DMIS success. Change managers could use enhanced RACI models to gain more influence throughout the DMIS project lifecycle. The focus of the RACI should be more data management centric than a generic project centric RACI. A data management centric RACI could align data to systems and those systems to LOB process owners as well as identify the formal owners of the data, to include data governance contacts. Each respective data owner could undergo an interview to ensure project members understand who to bring into the DMIS project as concerned parties. This will allow the change manager an opportunity to use his or her involvement skills to build relationships and begin to influence earlier in the DMIS project lifecycle. Theme four highlighted the need to understand why DMIS projects continue to fail in organizations that have a high-rate of change as well as determine if a relationship between the ability to achieve the required result and commitment to the actual change itself (Herold et al., 2007).

#### **Theme Five: Leadership Behaviors and Influence**

The theme of leadership and influence behaviors was evident in several areas of the study. Nineteen participants (100%) believed that the leadership behaviors of change managers' positively influenced DMIS project adoption rates. The participants provided candid examples of when specific leadership behaviors to manage DMIS projects were used. Given that most of the DMIS projects were created to fulfill regulatory or compliance mandates, the participants expressed the need to demonstrate stronger

leadership skills for the applicable high-risk projects. Theme five generated an approach to discover each change participants' perceptions on authentic, charismatic, and transformational leadership behaviors. The purpose was to determine the best approach to influence LOB stakeholders, technology, and project members. Particularly the leadership style that complemented influencers such as integrity, commitment, and goal orientation (Ahmed, 2011).

In regard to the question of how does change management leadership behavior positively influence project adoption success and what leadership behavior is necessary for project adoption success. A significant finding was that the participants staunchly believed that transformational and charismatic leadership behaviors were critical to assist with painting a vision of the future and to draw in key project stakeholders and empower them to participate in the project. The participants commented on the need to use a charismatic leadership behavior at the beginning of the project to excite and motivate project team members and stakeholders. To achieve sustainment over the long-term, the participants cited the use of a transformational leadership behavior as a primary requirement to empower the project teams (Yammarino, 2008).

The term transformational was mentioned 14 times (0.40%) throughout the data collection process. Transformational leadership behavior is an influential form of leadership that could produce increased levels of individual performance and heightened organizational performance (Yammarino, 2008). Experienced change managers who use a transformational leadership style to execute data management projects must care about others. It is germane that change managers who are assigned to DMIS projects, enjoy, and care about the data management projects, remain optimistic, and open-minded to



allow project team members and stakeholders to become innovative to solve data management challenges (Avolio & Yammarino, 2007).

The participants also agreed that change management leaders should manifest a behavior of trust and allow the change managers who are assigned to them to do their job through empowerment. Change management leaders should also behave charismatically and celebrate small project wins with the entire organization. The word charismatic was mentioned 13 (0.37%) times throughout the data collection process. Charisma is founded upon the behavior of trust. Belief synergies between the project team and change leader such as devotion and manageability could entice project team members to raise his or her productivity level via additional confidence to achieve project goals (Clawson, 2009). Change managers, who leveraged a charismatic leadership behavior, induced project team members and stakeholders to become more amenable and focus on the positive aspects of complex DMIS projects (Michaelis et al., 2009). This could occur even after the DMIS project experienced a minor set-back, as some DMIS projects often encounter (Michaelis et al., 2009).

### **Theme Six: Change and Organizational Culture**

The participants routinely mentioned the importance of an optimized change and organizational culture as a primary factor that increased the possibility of successful project adoption rates. The term culture was mentioned 34 times (0.97%) during the data collection process. The participants believed that optimal change and organizational cultures created an environment that allowed flexibility. Further, the participants believed that optimal change and organization cultures encouraged open communication

and improved the line of businesses' integration with the technology teams that were responsible for creation of the DMIS environments.

Several studies focused on an analysis of the prime characteristics and conditions successful for organizational change. Unfortunately, many of the studies viewed the phenomena from a macro point of view and were more concerned with organizational structure, environment, strategy, and a framework that complimented the aforementioned items (Oreg & Berson, 2011). According to the literature, very little time was spent on understanding the project team, and employee's perspective of change. In contrast, the micro perspective overlooked the role of change management leaders involved in change initiatives (Oreg & Berson, 2011). This finding was significant to leadership and further defended the need for this current study. Additional knowledge could be gained from an improved understanding of the change manager's perspective as well as the perceived role of change managers when other external change management consultants are hired to manage major DMIS efforts whereas internal change managers were not involved.

The participants agreed that process rigor should be used smartly and balanced accordingly. In other words, more emphasis should be placed on the change management role, and less emphasis on rigor. This was a salient point for this study along with the challenge for change managers to identify a balanced process rigor approach that worked for the project team. For example, many of the change management participants believed that timelines should not be based on the length of the technology project, but by the time required to deliver quality communication, training, and adoption. An ideal change organization should view change as an enabler that the line of business could maximize. Another important goal of an organizational change leader is his or her ability to provide

an acceptable vision to employees and stakeholders. The literature reiterated that the employees' acceptance of the vision fostered widespread organizational project adoption (Whelan-Berry, & Somerville, 2010). Theme six highlighted the importance of an organizational culture that embraced change and validated the need to understand how change managers might influence organizational culture (Fickenscher & Bakerman, 2011).

### **Theme Seven: Leadership and Organizational Values**

The participants believed that organizational values served as a foundation for the generation of successful project adoption rates. Values such as a commitment to process improvement, inclusiveness, teamwork, trust, quality, honesty, and integrity were constantly mentioned throughout the entire data collection process. Theme seven highlighted the importance of strong leadership values as well as those senior leaders who chose to be committed, engaged, and receptive to change. Ahmed (2011) proclaimed that authentic leaders portrayed a heightened sense of integrity, were goal-oriented, and committed to core values. Authentic leaders promote trusted relationships to achieve positive outcomes. Authentic leadership belief and values systems could positively alter the change manager's behavior as well as move the project team and end-users toward adoption of new DMIS solutions. Authentic leadership was a central theme gained from listening to the participants responds to the value question.

Many of the change methods mentioned in the literature review were based upon value as well. Such as Lewin's Three-Step Model, Kotter's Eight Steps of Change, Prosci's ADKAR Model of Change, and McKinsey's 7S Model of Change (Nakhoda et al., 2011). These value-based change management formulas impart a priority to

maneuver organizations from one end of the change spectrum, to the other by defining customer needs, assessing requirements, and planning the change. Theme seven aligned to the study's conceptual framework with regard to value-based leadership approach (Giblin & Amuso, 1997).

### **Reflective and Reflexive Analysis**

Information from this phenomenological study could enhance the knowledge and awareness of change management leaders when they implement DMIS solutions and may result in improved DMIS project adoption rates. The result of the phenomenological study provided deeper insight into the lived experiences and perceptions of financial services change managers. The reflective and reflexive analysis section includes an analysis of knowledge derived from the literature review and from the analysis documented in Chapter 4.

Reflective and reflexive analysis of the themes and factors provided a conscious awareness of the low data management project adoption rate phenomenon as well as the financial services change managers' lived experience of the perception of the change management role. The research results were based on the 13 interview questions that guided the study. The analysis was sufficient to answer the central research question of: *What are change managers lived experiences with regard to DMIS projects that result in low project adoption rates?* The central research question drove the focus of the study to understand and gain insight into the low data management project rate phenomena.

Participants identified several aspects of the lived experience of low DMIS project adoption rates and the perceived interpretation of the change management role. The perceived aspects consisted primarily of the, (a) importance of the change

management role, and (b) change and organizational culture, which contributed to how change managers were viewed and used within the organization. The participants of the study identified value-added change management involvement as the most significant aspect of the change managers' lived experience.

Interview Question 11 asked, what is your perception of the level of importance given to the change management role on projects within your organization? Eight participants (78.9%) believed the change management role had a high level of importance. Based on the weight given for all 19 participants regarding their perceived importance of the change management role based upon their lived experience, the research concluded that the change management role was critical within their organizations. Additionally, the change management role was viewed as a direct catalyst to increase DMIS project adoption rates and generate an organizational culture that leveraged change as a competitive advantage. This finding was consistent with Jaros (2010), who proclaimed that change managers who successfully influenced their organizations to commit to organizational change initiatives such as innovative goals and improved business functions could experience positive results post change implementation as the organization strove to adhere to regulatory policies. The research study identified other problems found during the literature review.

Question 11 uncovered the participants perception that the change management role was of low importance only because qualified internal change managers were sometimes passed over when a DMIS change manager was needed. External consultants were chosen to fill the role. Often times the external consultants would not understand the change process, culture, data, and the stakeholders involved. The internal change

managers believed that they were left out of the picture and were relegated to work on other less important tasks. These change managers were experienced, committed, and wanted to be a part of the project solution and assist the external consultants' with completing a successful DMIS projects.

The participants stated that prior to project completion, the external consultants would often rotate or depart the DMIS project for another assignment. Subsequent to rotation or departure of consultants, internal change managers were directed to salvage faltering projects and did not have the time to focus on project adoption. This finding aligned with the literature review. Oreg et al., (2011) believed that there are two major reasons that change is unsuccessful. First, change leaders do not know how to apply basic change knowledge. For example, change leaders do not understand the necessity of celebrating small wins and the necessity of precise requirement documentation. Second, change leaders do not take into consideration external factors that could negatively affect their internal change management employee's perceptions to change such as leveraging external change resources when internal change resources are available.

### **Significance to Leadership**

There is a growing need for change managers in the financial services industry. Change managers are required to lead the execution of data management information system (DMIS) projects that will change how internal work is accomplished and how data is managed throughout the organization. The need arises because Sarbanes-Oxley and Basel II mandates created a necessity to improve internal DMIS, so that Chief Executive Officers (CEOs) can sign financial earning statements with confidence (Augustinos, 2005; Singer & You, 2011; Lobo & Jian, 2010). The current dilemma is to

deploy DMIS solutions that end-users will use to accomplish daily tasks. This section contains discussions of the significance to leadership with regard to the insight gained through the phenomenological study of financial services industry change managers' lived experiences.

Leaders who wish to improve DMIS project adoption rates could gain significant insight from the findings of this study. The study highlighted how low DMIS adoption rates could be improved as well as the significance of the change management role to help to improve DMIS project adoption rates. Further, this study explored different types of leadership styles and values that might increase DMIS project adoption rate success. Leaders could administer insight gained from this study to develop strategies, frameworks, and policies to improve the effectiveness and motivation of change managers across any industry. The results of this study might add to leadership by contributing to current literature on the critical components of effective change management leadership for DMIS projects. Change managers', change leadership, and change culture plays a cardinal role in the success of DMIS projects and could help mitigate organizational regulatory and compliance risks.

Leaders could use these significant findings to decision how and when to bring on external change managers and most important, articulate the resource need with humanistic intentions to minimize frustration. Leaders could employ these findings to strengthen relationships with human resources to investigate methods to highlight psychological, attitude, and talent factors required to manage DMIS projects. This is because DMIS projects might not follow the same expected path as other technology or process improvement projects. Leaders could re-think tactics that teach change managers

how to identify and move to the center of the influence spectrum. Change managers who may only be concerned with paperwork or administrative duties may not be effective and might not achieve the project adoption rates required to help organizations to comply with external regulations. Leaders could leverage these leadership findings and embrace transformational, charismatic, and authentic leadership styles to draw-in, motivate, and build trust across project teams, end-users, and organizations. Leaders could use this study's findings to begin to redirect focus from strategy, structure and, scorecards to add more focus on project teams, and end-users' perspective of change from a humanistic point-of-view.

In summary, the study's findings offer opportunities for learning and offer suggestions for further research. Leaders could analyze the critical factors that support successful DMIS project adoption rates through studies similar to this study. The growth of change management as a business discipline to resolve data management challenges compels further investigation into the change management and data management phenomenon. Three important recommendations to improve DMIS project adoption rates are discussed next.

### **Recommendations**

Throughout the interviews and the research analysis, insight into the research question about how change managers perceived projects that resulted in low project adoption rates and their perception of the change management role uncovered a prominence on humanistic values, leadership, and an optimized change culture. Financial services leaders perform a complex role of leading organizations through internal and external obstacles. Often times, the first action is to look to external assistance for



internal challenges. This section includes recommendations to help financial services leaders improve change management performance and includes recommendations for future research to increase how change managers perceive low DMIS project adoption rates and the change management role.

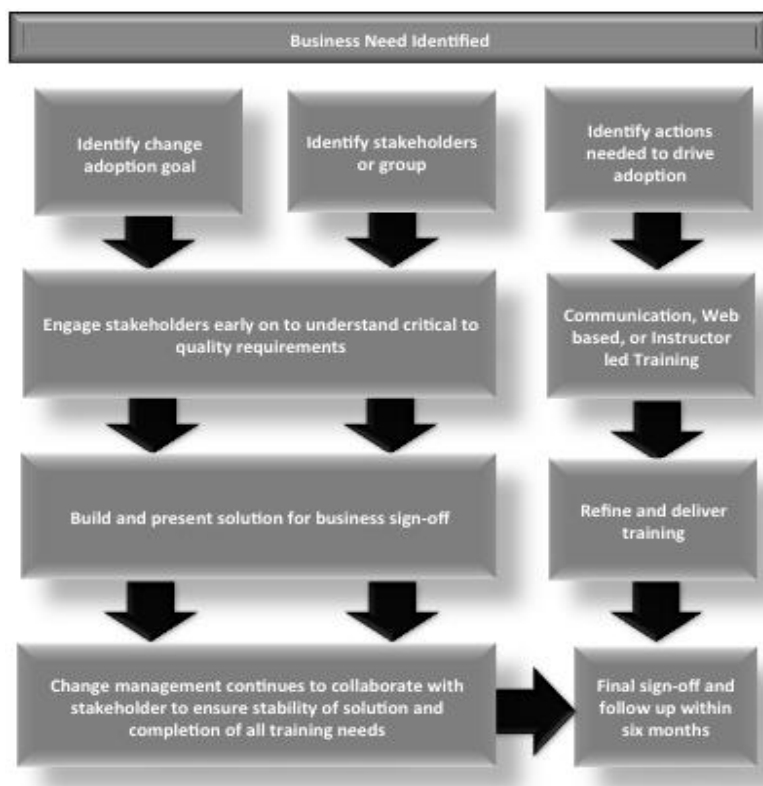
### **Recommendations for Leadership**

The insights gained through the study could help leaders improve the perceptions of low data management project adoption rates. This section includes recommendations for leaders, presented in three categories. The first category includes recommended actions that emphasize the importance of leader's responsibilities. The second category contains a recommendation that leadership recognizes change management role perceptions in regard to DMIS projects. The third category contains recommendations that highlight the value of data management.

**Leaders' responsibility for change.** Leaders' acceptance and commitment to DMIS change efforts might serve as a foundation upon which leaders could develop approaches to increase project adoption rates and create positive perceptions of the change management role. The recommendations offered in this section could help leaders better understand the importance of accepting responsibility for the execution of DMIS projects. Embracement of these recommendations could foster positive change manager perceptions, attitudes, and increased project adoption rates.

Leaders could take full responsibility of critical project team members and allow change managers to manage critical project team members throughout the DMIS project lifecycle. Formal performance feedback information could be entered into human resources performance systems by change managers for future promotional decisions.

The leadership team could assign project ownership to the change manager to reduce the perception that change managers do not own anything. Leaders could allow change managers to develop an overall DMIS project timeline that provides ample time for testing, training, and communication. Reasonable project timelines would help to improve the possibility of project adoption success. Effective leaders should understand that timelines and critical milestones cannot be developed in executive meetings. A collaborative team effort with those who actually do the work may be required. Leaders could improve morale by a celebration of small wins at formal meetings or using formal communications. Leaders could strengthen change managers' data management skills-set via creation of partnerships with human resources. Leaders could also provide more authority to change managers, and collaborate with human resources to allow DMIS projects to become a sub-set specialty of the change management role. The recommendation is for leaders to create a framework to assist with the change management DMIS project adoption plan starting with clear concise business needs and not technology needs.



*Figure 3. Change management adoption plan.*

A change management adoption plan might make leaders more responsible and direct focus on the people or humanistic side of change. When change managers' execute DMIS solution deployments, it is imperative that the right ideas and strategies have the support of the right stakeholders. Change adoption is successfully accomplished when leaders take ownership and personal responsibility for the establishment of future change and removal of older processes and information systems.

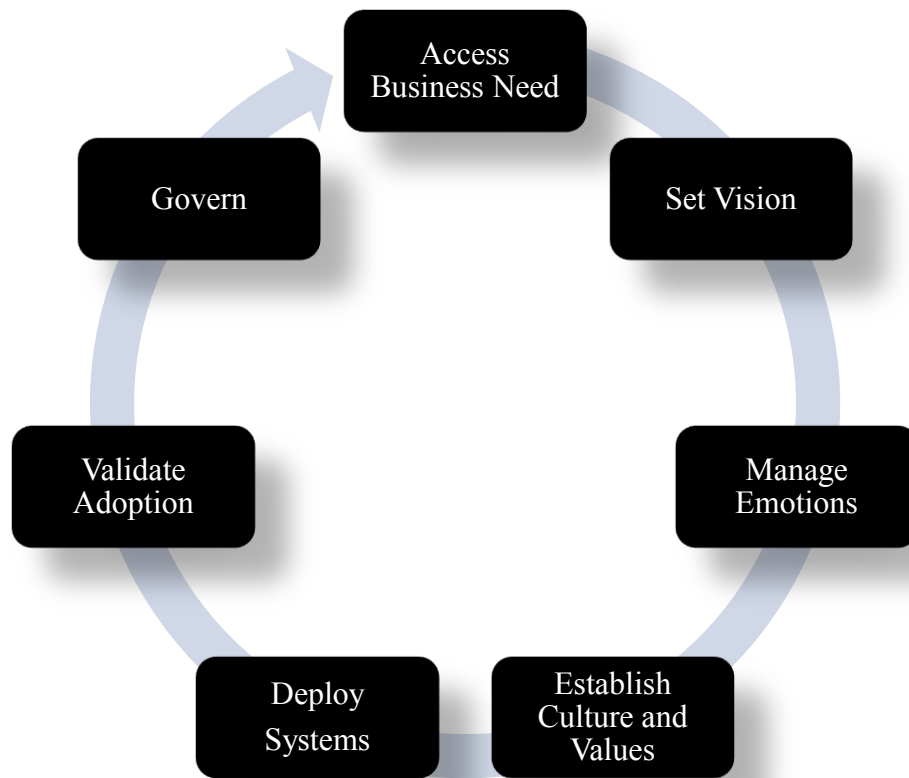
**Leaders' recognition of the importance of the change management role.** The recommendations offered in this section could help leaders understand the importance of the change management role. Adherence to these recommendations could improve the culture of change management, role perception, and how change managers are leveraged

across the organization. Appreciation and identification of the role of change managers' and the value that change managers' bring could help leaders to understand the change managers' plight. Leaders may use this study to create new tactics to improve change management programs to help improve data management project adoption rates. Leaders could review strategies' to invest in change management training and conferences, so that change managers remain abreast of new change management methods and practices and minimize the need to hire external consultants. As a result, leaders could assign internal change managers to lead important DMIS projects and allow external consultants to work with the project team.

Leaders could strive to understand that authentic leaders consider the perceptions of skilled internal change managers and apply humanistic principals. Change leaders who demonstrate authentic leadership traits possess integrity, focus on organizational goals, and remain committed to the organization as well as the DMIS project. Leaders could re-visit organizational change management roles to analyze how to maximize the effectiveness of change managers and determine if the change management role is best suited in a centralized or decentralized organization. Leaders could recognize that the use of fewer change managers may influence the need to ensure that all employees are trained to serve as change managers. Stated another way, change management is a skill-set that all organization members could be familiar with so that there are no organizational gaps in the capability to assist in the execution of change.

Leaders could acknowledge that change managers' are essential components to the organization and work to maximize the ability of internal change management resources throughout the execution of DMIS projects prior to the use of external change

management consultants. The recommendation is to request that leaders leverage skilled internal change managers prior to hiring external change consultants and thoroughly re-analyze the current state of the change management role to determine how and where change management value could be applied (Centralized/Decentralized) across the organization as oppose to a decrease in use. Leaders could consider the employment of full-time equivalent employees and maintain thoughtful balance of external change consultants to assist when and where needed.



*Figure 4. Change management lifecycle.*

The change management lifecycle is an effective change management philosophy and functions in a cyclical fashion. Change managers could assess the situation and create a vision that will empower and transform the organization. Additionally, careful attention must be given to emotional phases that the associates will endure. Change

leaders could also hire new full-time-equivalent employees from outside the organization, so that new culture and norms can form as well as new approaches to execute DMIS projects. The avoidance of external consultants when necessary will allow change managers' to fully comprehend and improve the cyclical nature of change. Adoption practices may be leveraged up front so that end-users are involved in the change process. Last governance will provide a view into the effectiveness of the data management process as the assessment phase starts over again.

**Leaders' value of data management.** The recommendations offered in this section could help leaders understand the value of data management. Consideration of these recommendations could improve DMIS projects and minimize compliance, regulatory risks, and increase project adoption rates. Leaders could improve collaboration and develop policies and procedures to help focus on people, process, technology, data, and governance. Skilled data management leaders may understand that data could be viewed as a political asset and often hinders system integration and data sourcing efforts. Leaders could stipulate that data management efforts be relevant and simple. Non-authentic leaders who work in silos might fail to simplify data management events because they may not realize the value of data management. Leaders could align heavily laden data management centric organizations with change management organizations that specialize in data management projects. Leaders could leverage change managers who show an interest in the value of data management and ensure that they are properly trained to serve as assets to the change organization. Leaders may consider realignment of change managers who have data skill-sets or interests with heavily laden data organizations to improve change management perceptions, data

management value, and increase project adoption rates across organizations that experience challenges.

Clever leaders realize that some change managers might not enjoy data management projects or understand the value data management could bring to the organization.

Leaders who do not comprehend the value of data management cannot properly manage or understand the skills and values required of change managers. The recommendation is to consider formal training on the values of data management across the organization with an emphasis on data management lifecycle and DMIS integration.

### **Suggestions for Further Research**

The acceptance, support, and adoption of organizational change by financial services members is viewed as germane to the success of planned organizational change that involves DMIS projects (Herold, Fedor, & Caldwell, 2007). There are no signs that the increasing rate of data collection and data use will subside (Brown, Chui, & Manyika, 2011). Therefore, there is a critical need for additional research into change managers' lived experiences with low data management project adoption rates and the role that change managers play in the execution of DMIS projects.

The phenomenological study provided deeper insight into the lived experiences and perceptions of change managers in regard to low project adoption rates and the perceived role of change managers'. The findings offered opportunities for future researchers to clarify and expand the investigation. This section contains recommendations for future research to explore the research topic further.

Researchers could add insight to the findings by duplicating the study in other financial services organizations. Similar studies of other change management

representatives' in other industries could expand the results beyond the financial services industry. To broaden the findings beyond change managers, researchers could conduct similar studies among the broader financial community of change partners such as line of business representatives. Research into the lived experience of the external change management consultants could result in incremental insight into the research topic. Technology partners participate in DMIS projects and could be recruited as participants in future studies. The current study participants were financial services change managers. In conclusion, a study of financial services change managers provided insight into the research phenomenon over an extended period.

### **Summary and Conclusion**

The phenomenological research study included an exploration of the lived experiences of 19 financial services change managers' who shared the lived experience of low data management project adoption rates. The conceptual framework proposed low project adoption rates and the perceived role of change managers was linked to planned behavior and value-based leadership. The literature implied that internal and external situations could influence the perceptions of change managers'. External events such as mandatory regulatory or compliance adherence timelines can influence change leaders to make decisions that would not take into consideration human implications prior to those decisions being made. Similarly, internal events such as de-emphasizing of the change management role, lack of change management ownership, and impractical timelines to deliver a quality solution could influence the change manager's perception. According to the 19 participants' interviewed in this study, internal and external influences were



determinants that could influence low DMIS project adoption rates. For example, internal change process and organizational short-falls and external hiring practices.

Through reflective analysis of transcriptions, and audio-recorded, opened-ended, face-to-face interviews, seven themes highly relevant to the research topic emerged. Reflective and reflexive analysis of the themes, key factors, and the participants' textual-structural analysis revealed emerging themes of the lived experiences of financial services change managers. The analysis of financial services change managers lived experiences helped to answer the research question of: *What are change managers lived experiences with regard to DMIS projects that result in low project adoption rates?* Insight from the participants' aggregated lived experience revealed that participants' shared various perceptions of low DMIS project adoption rates.

However, the underlying conclusion of the research data gathered in this study is that that low DMIS project adoption rates are influenced by internal and external factors that may threaten the reputation of financial services organizations and could be prevented. Further, the use of theories of planned behavior and value-based approaches could be used to mitigate internal and external challenges that create low DMIS project adoption rates. Leaders could partner with change managers to conduct bi-lateral mentorship sessions. Bi-lateral mentorship sessions may allow leaders to understand change managers' expectations of leaders. Leaders could also collaborate with change managers to learn their perceived value as well as improve their understanding of the value of data management and identify the gaps that still exist.

The pilot study provided a more valid and reliable instrument. Additionally, the pilot study offered an opportunity to calibrate interview questions (see Appendix A) and

increased confidence in the questions that were asked (Leedy & Ormrod, 2010). A secondary benefit of the pilot study was to identify unanticipated mistakes prior to the primary interview. Third, the pilot study influenced how the primary study data would be categorized as well as provided focal points for the interview sessions.

The integration of this study's results with other research study discoveries could add to change management leadership theory as well improvements during the execution phase of DMIS projects to increase project adoption rates. Additionally, the integration of findings could help to improve the treatment and management of internal employees and external consultants. Most important, the integration of this study with other change management studies could shed light on the true value that change management could bring to organizations.

Chapter 5 concludes this research study. The findings produced seven themes that could improve low DMIS project adoption rates. The seven themes included: (1) level of importance given to change management role, (2) change managers knowledge, perceptions, values, and beliefs contributed to successful project adoption rates, (3) understanding the change management process improved project adoption rates, (4) change management skills and involvement influenced successful project adoption rates, (5) change manager leadership behaviors influenced successful project adoption, (6) change management and organizational cultures were conducive to project adoption success, (7) strong leadership enhances organizational values and improved project adoption success. Adherence to the aforementioned change management adoption plan and realization of the change management lifecycle may improve DMIS project adoption

rates, improve change management performance, reduce regulatory and compliance risks, and create a sustainable competitive advantage for the North Carolina City Bank.

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## APPENDIX A: INTERVIEW QUESTIONS

## Interview Protocol Guide

SUBJECT NUMBER \_\_\_\_\_

### Informed Consent

Introduce yourself and discuss the informed consent form with the subject. Before starting the interview ensure the subject understands informed consent and signs and dates the informed consent form.

### Demographic Questions (record demographic answers/responses here)

1. Observe and identify the gender of the subject.
  - a. Male
  - b. Female
  
2. How old are you?
  - a. Under 20
  - b. 20 to 29
  - c. 30 to 39
  - d. 40 to 49
  - e. 50 or more
  
3. How many years of organizational, departmental, or team leadership experience do you have?
  - a. Under 5
  - b. 5 to 9
  - c. 10 to 19
  - d. 20 or more
  
4. How many years of experience do you have leading DMIS projects?
  - a. Less than 1
  - b. 1 to 3
  - c. 3 to 5
  - d. 5 to 7
  - e. 7 to 10
  
5. Are you a certified change manager (PMP/CAPM)?
  - a. Yes
  - b. No

SUBJECT NUMBER \_\_\_\_\_

**Interview Questions** (Subject responses are recorded. Sub-questions only need to be asked if required to ensure topical coverage or qualitative depth).

Before beginning the questioning phase of the interview, discuss what constitutes a successful project adoption rate. Determine if they agree or disagree. Find out if the subject would add any additional project adoption rate information.

1. Explain the perceptions of change managers concerning data management implementations that contribute to successful project adoption rates?
2. How do data management values affect change management performance or outcomes?
3. Can you provide an example of when your change management skills influenced project adoption rates?
4. How do change management beliefs affect data management project adoption rates?
5. What beliefs are commonly held by change managers when leading data management projects involving information systems?
6. How well do you feel you understand the process of leading a data management implementation addressing successful adoption on a scale of 1 to 10 (10 as the highest factor)?
7. Explain your beliefs of how change management involvement influences project adoption?
8. How does change management leadership positively influence project adoption success?
9. What type of change management leadership behavior/style is necessary for project adoption success?
10. What organizational values are required to support successful project adoption rates?
11. What are your perceptions of the level of importance given to the change management role on projects in your organization (High, Medium, or Low)?
12. Describe the change management culture that would be conducive for change management project adoption success.

13. Describe the organizational culture that would be conducive for project adoption success.

**APPENDIX B: E-MAIL INVITATION LETTER**



Dear Change Management Professional,

Change managers face a complex task of implementing information system solutions that will allow organizations to remain competitive in the global marketplace. Financial services leaders must adhere to several federal mandates to reduce organizational risks. Financial services change managers should be knowledgeable data management change agents and use different leadership approaches to garner project adoption success.

I am a doctoral candidate attending the *University of Phoenix Doctor of Management in Organizational Leadership with a Specialization in Information System and Technology Program*. My dissertation research study will explore lived experiences and the perception of the change management role during the execution of data management projects.

To accomplish this undertaking I need your assistance to conduct this research study. As a change management professional expert, your perspective will provide an invaluable perspective that has not yet been sought after. An interview with a specific number of questions will condition data needed for analysis in this research study. The audio-recording of the face-to-face interview will take approximately 20 to 30 minutes, well within the time allowance agreed upon by the participant.

Your reception to my request will remain confidential in accordance with the rules of research made only available to my mentor, and myself. Any publication of this research study will represent a statistical appearance only, and will address data research. The attached Informed Consent form requires a complete signature of all participants volunteering for the research study.

Sincerely,

Dannie J. Kerns

Doctor of Management in Organizational Leadership with a Specialization in Information Systems and Technology Candidate

## APPENDIX C: INFORMED CONSENT FORM 18 YEARS OF AGE OR OLDER



Dear \_\_\_\_\_,

My name is Dannie J. Kerns and I am a student at the University of Phoenix working on a Doctorate of Management in Organizational Leadership and Information Systems Technology degree. I am conducting a research study entitled, *A Qualitative Phenomenological Study of Data Management Information System Deployments in the Financial Services Industry*. The purpose of the research study is to explore lived experiences of change managers to understand project adoption rates and the role change managers play with influencing adoption rates, specifically change managers who have led Data Management Information Systems (DMIS) projects within the last six years.

Your participation will involve a 20 to 30 minute face-to-face audio-recorded interview about your experience as a change manager who has served on one or more DMIS project(s). The audio-recording will ensure accuracy when transcribing your responses to interview questions. The data collected will not involve information about any specific project data or metrics. The study involves your lived experiences with data management and leadership, not project specifics. You can decide to be a part of this study or not. Once you start, you can withdraw from the study at any time without any penalty or loss of benefits. If you choose to withdraw from the study, you can email me at [djkerns@email.phoenix.edu](mailto:djkerns@email.phoenix.edu). The results of the research study may be published but your identity will remain confidential and your name will not be made known to any outside party.

In this research, there are no foreseeable risks to you.

Although there may be no direct benefit to you, a possible benefit from your being part of this study is improving the knowledge of change management leaders when implementing organizational data management solutions.

If you have any questions about the research study, please call me at 704-591-0886 or e-mail me at [djkerns@email.phoenix.edu](mailto:djkerns@email.phoenix.edu). For questions about your rights as a study participant, or any concerns or complaints, please contact the University of Phoenix Institutional Review Board via email at [IRB@phoenix.edu](mailto:IRB@phoenix.edu).

As a participant in this study, you should understand the following:

1. You may decide not to be part of this study or you may want to withdraw from the study at any time. If you want to withdraw, you can do so without any problems.
2. Your identity will be kept confidential.
3. Dannie J. Kerns, the researcher, has fully explained the nature of the research study and has answered all of your questions and concerns.

4. Interviews will be recorded. You must give permission for the researcher, Dannie J. Kerns, to record the interviews. You understand that the information from the recorded interviews will be transcribed. Dannie J. Kerns, the researcher will develop a way to code the data to assure that your name is protected.
5. Data will be kept in a secure and locked area. The data will be kept for three years, and then destroyed.
6. The results of this study may be published.

“By signing this form, you agree that you understand the nature of the study, the possible risks to you as a participant, and how your identity will be kept confidential. When you sign this form, this means that you are 18 years old or older and that you give your permission to volunteer as a participant in the study that is described here.”

I accept the above terms.       I do not accept the above

**terms. (CHECK ONE)**

Signature of the interviewee \_\_\_\_\_ Date

\_\_\_\_\_

Signature of the researcher \_\_\_\_\_ Date

\_\_\_\_\_

**APPENDIX D: PERMISSION TO USE PREMISES AND SUBJECTS**



**PERMISSION TO USE PREMISES AND SUBJECTS**

**University of Phoenix**

**Check any that apply:**

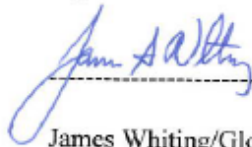
I hereby authorize Dannie J. Kerns, student of University of Phoenix, to use North Carolina Financial Services Organization premises to conduct a study entitled Change Leadership Lived Experiences with Data Management Project Adoption Rates: A Phenomenological Study

I hereby authorize Dannie J. Kerns, student of University of Phoenix, to recruit subjects for participation in a study entitled Change Leadership Lived Experiences with Data Management Project Adoption Rates: A Phenomenological Study

I hereby authorize Dannie J. Kerns, student of University of Phoenix, to use the name of the organization identified above when publishing results from the study entitled Change Leadership Lived Experiences with Data Management Project Adoption Rates: A Phenomenological Study **Not Applicable**

Signature:

Date:

  
-----

4/18/12

James Whiting/Global Tech & Operations Compliance

Address of Organization: North Carolina Financial Services Organization  
101 North Tryon Street  
Charlotte, N.C. 28255

## APPENDIX E: WORD COUNT 5 THROUGH 99 USES

Table 16

*Word Count: 99 through 20 Uses*

Word	Count	Weighted Percentage (%)
Project	99	2.83
Change	63	1.80
Management	53	1.51
Business	43	1.23
Culture	34	0.97
Adoption	32	0.91
Understand	31	0.88
Leadership	29	0.83
Process	29	0.83
Organization	27	0.77
Value	20	0.57

Table 17

*Word Count: 19 through 11 Uses*

Word	Count	Weighted Percentage (%)
People	19	0.54
Projects	19	0.54
Technology	16	0.46
Understanding	16	0.46
Ability	15	0.43
Influence	14	0.40
Transformational	14	0.40
Stakeholders	14	0.40
Charismatic	13	0.37
Organizational	13	0.37
Across	12	0.34
Believe	12	0.34
Quality	12	0.34
Rates	12	0.34
Right	12	0.34
Skills	12	0.34
Success	12	0.34
Support	12	0.34
Environment	11	0.31
Important	11	0.31
Processes	11	0.31

Purpose	11	0.31
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Table 18

*Word Count: 10 through 8 Uses*

Word	Count	Weighted Percentage (%)
Better	10	0.29
Deliver	10	0.29
Goals	10	0.29
Issues	10	0.29
Level	10	0.29
Members	10	0.29
Needs	10	0.29
Place	10	0.29
Teams	10	0.29
Working	10	0.29
Create/creates	10	0.29
Early	9	0.26
Effective	9	0.26
Leveraging	9	0.26
Making	9	0.26
Oppose	9	0.26
Solution	9	0.26
Values	9	0.26
Allows	8	0.23
Assist	8	0.23
Communication	8	0.23
Ensure	8	0.23
Focus	8	0.23
Improve	8	0.23
Knowledge	8	0.23
Manage	8	0.23
Partners	8	0.23
Rigor	8	0.23
Strong	8	0.23
Vision	8	0.23

Table 19

*Word Count: 7 through 5 Uses*

Word	Count	Weighted Percentage (%)
Believes	7	0.20
Drive	7	0.20
External	7	0.20
Information	7	0.20
Leaders	7	0.20
Medium	7	0.20
Needed	7	0.20
Outcomes	7	0.20
Problems	7	0.20
Successful	7	0.20
Build	6	0.17
Confidence	6	0.17
Customer	6	0.17
Execute	6	0.17
Others	6	0.17
Skill	6	0.17
Structure	6	0.17
Achieve	5	0.14
Balance	5	0.14
Based	5	0.14
Chance	5	0.14
Engaged	5	0.14
Forward	5	0.14
Identify	5	0.14
Increased	5	0.14
Individuals	5	0.14
Involved	5	0.14
Leverage	5	0.14
Leveraged	5	0.14
Limited	5	0.14
Metrics	5	0.14
Performance	5	0.14
Points	5	0.14
Provide	5	0.14
Provides	5	0.14
Relationships	5	0.14
Required	5	0.14



## APPENDIX F: SUMMARY OF CLASSIFICATIONS AND SOURCES

Table 20

### *Summary of Classifications and Sources*

Theme and Interview Question	Classifications	Number of Sources
Theme One: Question 11	High importance of CM role	8
Theme One: Question 11	Medium importance of CM role	7
Theme One: Question 11	Low importance of CM role	4
Theme Two: Question 1	Data management implementations contribute to success	19
Theme Two: Question 2	Data management values affect outcomes	19
Theme Two: Question 4	Change manager beliefs affect DM project	19
Theme Two: Question 5	Beliefs are commonly held	19
Theme Three: Question 6	Rating 10 Understanding of the process	1
Theme Three: Question 6	Rating 5 Understanding of the process	1
Theme Three: Question 6	Rating 6 Understanding of the process	1
Theme Three: Question 6	Rating 7 Understanding of the process	2
Theme Three: Question 6	Rating 8 Understanding of the process	7
Theme Three: Question 6	Rating 9 Understanding of the process	6
Theme Four: Question 3	Examples of change manager skills	19
Theme Four: Question 7	Influences of change manager involvement	19
Theme Five: Question 8	Positive influence of leadership	19
Theme Five: Question 9	Necessary leadership behavior	19
Theme Six: Question 12	Change Management culture	19
Theme Six:	Organizational culture	19

Question13		
Theme Seven:	Required organizational values	19
Question10		

### APPENDIX G: CHANGE MANAGEMENT DEMOGRAPHICS

ID Code	Sex	Age Group	Leadership Experience	DMIS Experience	PMP Cert.
DM001	Male	40 to 49	10 to 19	7 to 10	No
DM002	Female	40 to 49	10 to 19	7 to 10	Yes
DM003	Female	40 to 49	10 to 19	1 to 3	Yes
DM004	Male	30 to 39	5 to 9	3 to 5	Yes
DM005	Male	50 or more	20 or more	7 to 10	No
DM006	Male	40 to 49	10 to 19	3 to 5	No
DM007	Female	40 to 49	10 to 19	7 to 10	Yes
DM008	Male	40 to 49	10 to 19	5 to 7	No
DM009	Male	40 to 49	10 to 19	7 to 10	No
DM010	Male	40 to 49	10 to 19	7 to 10	No

ID Code	Sex	Age Group	Leadership Experience	DMIS Experience	PMP Cert.
DM011	Female	40 to 49	10 to 19	5 to 7	No
DM012	Male	40 to 49	10 to 19	3 to 5	Yes
DM013	Female	30 to 39	10 to 19	7 to 10	Yes
DM014	Female	50 or more	20 or more	7 to 10	No
DM015	Male	40 to 49	10 to 19	7 to 10	Yes
DM016	Female	50 or more	20 or more	7 to 10	Yes
DM017	Female	30 to 39	5 to 9	5 to 7	Yes
DM018	Male	40 to 49	5 to 9	1 to 3	No
DM019	Female	40 to 49	10 to 19	7 to 10	No