Behavioural Auditing

Case study: The Transformation Factory

Inge van der Meulen & Jan Otten

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The audit process

Preparation
- Preparatory discussions client & audit team
- Sensitising concepts

Data collection
- Noticeable results
- Interviews
- Behavioural observation
- Document research

Data processing
- Qualitative data analysis
- Organised material: themes and concepts

Reporting 1
- Narrative report
- Validation
- Feedback on narrative and dialogue

Reporting 2
- Audit report

Distribution
- Distribution and dialogue in the organisation

Optional

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The situation

From a project organisation to an organisation with mass production, characterised by large volumes with high reliability requirements.

This transition is not well marked: current organization has many characteristics from the time of the pioneering phase.

Continuity is threatened

Cultural and behavioral change was necessary

Programme ‘READY for the Future’

"From firefighters to prevention officers"

The behavioural audit must provide insight into:

The effectiveness of the programme and what may be necessary to have the programme be successful again next year.
The preparation

Sensitizing concepts:

• Ownership
• A deal is a deal
• Taking responsibility, active behaviour, always responding
• Retrieving and transmitting information
• Proactive: do what you say and say what you do
• Addressing each other regarding agreements made
• Exemplary role of executives
• Customer satisfaction
• Result orientation
• (...)

Preparation
Preparatory conversations client & audit team
Sensitizing concepts
The start of the fieldwork

‘Noticeable results’:

- The announcement of the ‘Ready for the Future’ programme by the CEO one year ago
- Completion CMS and new website
- The training programme for executives
- Job changes as part of the RftF programme, including: the appointment of customer managers.
- A previously completed audit report in which a conflict of internal programmes is identified
- Departure of employees (in the past year)
- The training programme for employees
- The monthly newsletter about the RftF programme
- Decision-making by the Works Council (WC) one year ago: initially a negative opinion, later positive.
- (…)

Data collection

Noticeable results

Interviews
Participants

The data collection and analysis were conducted in two phases with a feedback of the response to the sensitizing concepts for the client halfway through.

- Strategic sampling
- Triangulation of sources per function
- All interviews were recorded
- 315 pages text interview

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<thead>
<tr>
<th>Phase 1</th>
<th>Interview form</th>
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<tr>
<td>2 MT members</td>
<td>Interview individual</td>
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<td>2 department heads</td>
<td>Interview individual</td>
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<td>1 employee</td>
<td>Interview individual</td>
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<td>4 employees</td>
<td>Focus group</td>
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<th>Interview form</th>
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<td>2 MT members</td>
<td>Interview individual</td>
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<td>3 department heads</td>
<td>Interview individual</td>
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<td>2 staff officers</td>
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<td>4 employees</td>
<td>Focus group</td>
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<tr>
<td>1 director</td>
<td>Interview individual</td>
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The data analysis

- In total, 1107 quotes from the transcriptions were provided with a code (open coding). These were grouped into 8 main codes (axial coding) and further analysed. The results of this were processed in ‘narrative form’ with 192 of these quotes as building blocks

- The quotes were presented to the respondents before the report was prepared. None of the respondents withdrew a quote and only 5 quotes were slightly modified (only in terms of language).
maxQDA
This respondent concludes their plea with a statement. Is this statement true and if so, what is the behaviour at the top of the organisation like?

Department head: “I think the management style from back when we had only just started, helped us tremendously. However, we were too late in realising that in the phase we are in now, we need a different style of leadership all the way to the top. We no longer need firefighters, but prevention officers. Subsequently, you can hire all kinds of new people, but if the ones on top of the rock display the old, no longer functional behaviour and do not adapt or are replaced, then you will never make it.”

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Introduction
Research accountability
Cause for RftF
Objectives RftF
State of affairs RftF
The tool set
• Exemplary role of supervisors
• Education
• Communication
Staff and culture
The change process
The validation workshop

- Audit team facilitated - 13 participants
- Per chapter:
  - What strikes you about this chapter?
  - Do you have any questions about this chapter?
  - What actions do you feel are necessary to improve the programme?
- All attendees recognised the situation as it was told in the ‘story’. It was clear that people considered the course of events surrounding the cultural programme far below par and that something needed to change in the future.
- The brainstorm resulted in many suggestions for improvement.

De dialoog tijdens de validatie-workshop was intensief

Yield
\[ \begin{array}{c}
\text{High} \\
\text{Low}
\end{array} \]
Effort
\[ \begin{array}{c}
\text{Little} \\
\text{Lots}
\end{array} \]

Data collection
Preparation
Validation
Narrative report
Audit report

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The audit report

In the main part of the audit report, the conclusions and the assessment, among other things, are included. These were fully in line with the conclusions expressed by the participants during the validation workshop.

The audit report was presented to the Board and the Audit Committee of De Transformatiefabriek.

After the decision-making by the management, the general director wrote a personal letter to all organisation members of De Transformatiefabriek and addressed it to the home address of those concerned. The letter announced and described 10 steps for improvement.
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