

# Transformation and Change: Why We Need to Understand the Difference

Understanding the way in which  
transformation is distinct from change -  
**White Paper**

**Keywords:** transformation, change, organisation, approaches,  
definitions

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## Abstract

If you cannot distinguish between change and transformation you are unable to respond appropriately.

Explore the hypothesis that the best way for organisations to deliver successful transformation is to understand the ways in which transformation is distinct from change. We identified ten qualities that distinguish transformation from change and examined how these distinctions are manifested in leadership and organisational culture. Use the ten distinctions to generate and guide enquiry and discussion.

Organisations can do a great deal to manage the challenges of change and transformation. This white paper provides valuable tools and insights to help.

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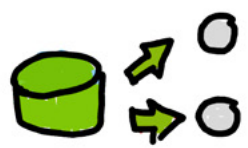
**Date:** May, 2018



CHANGE



- 1.
- 2.
- 3.



ADJUST

MODIFY



SHIFT

TRANSITION

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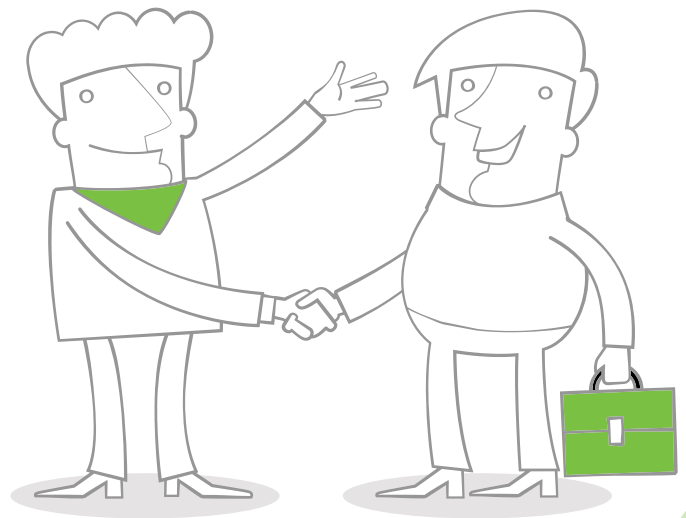
# Introduction

Organisational change and transformation are different, though often talked about as the same, confusing the two leads to poor results, or worse.

A combination of changing customer expectations, shorter business cycles, a growing knowledge-based economy and the rapid expansion of technology have fundamentally altered the way businesses operate. In response, more and more organisations are attempting transformational initiatives. However, the reality is that 70% of transformational projects fail (AIPMM, 2013). Often this is because organisations don't understand what is required to deliver transformation, and how it differs from change.

In this paper we explore the hypothesis that the best way for organisations to deliver successful transformation is to understand the ways in which transformation is distinct from change. We identify ten qualities that distinguish transformation from change and examine how these distinctions are manifested in leadership and organisational culture. This paper reports on research that aims to contribute to the emerging and important debate about how transformation and change differ by examining those aspects of transformation that diverge from change. As the tools and methodologies for change are well understood and covered in other areas, the focus of this paper is defining the transformation aspects.

Beginning in 2016, Asq Projects explored the practices of high-performing organisations in search of good practices for transformation. We used a grounded theory approach, interviewing executives, leaders, project managers and change and transformation experts from leading organisations (see Appendix 1, pp17-18). We led surveys and focus groups with experts in the field of high level change and transformation. We spoke to people who had delivered successful transformation, and those who had tried and failed, and we found out why. It became apparent that a strong indicator of success is a clear understanding of the distinction between transformation and change.



# What you can expect to learn in this White Paper

## > Why you should know the difference

Increase your chances of success by applying the right skills and approach for the specific initiative.

## > Understand the difference

Explore key aspects which are impacted by the differing initiative type: understand picking the right approach to, risk management, leadership and organisational hierarchy.

## > Define the difference

Read the distinctions and definitions produced through detailed research.

Learn how to use the distinctions to generate understanding and conversation in your organisation.

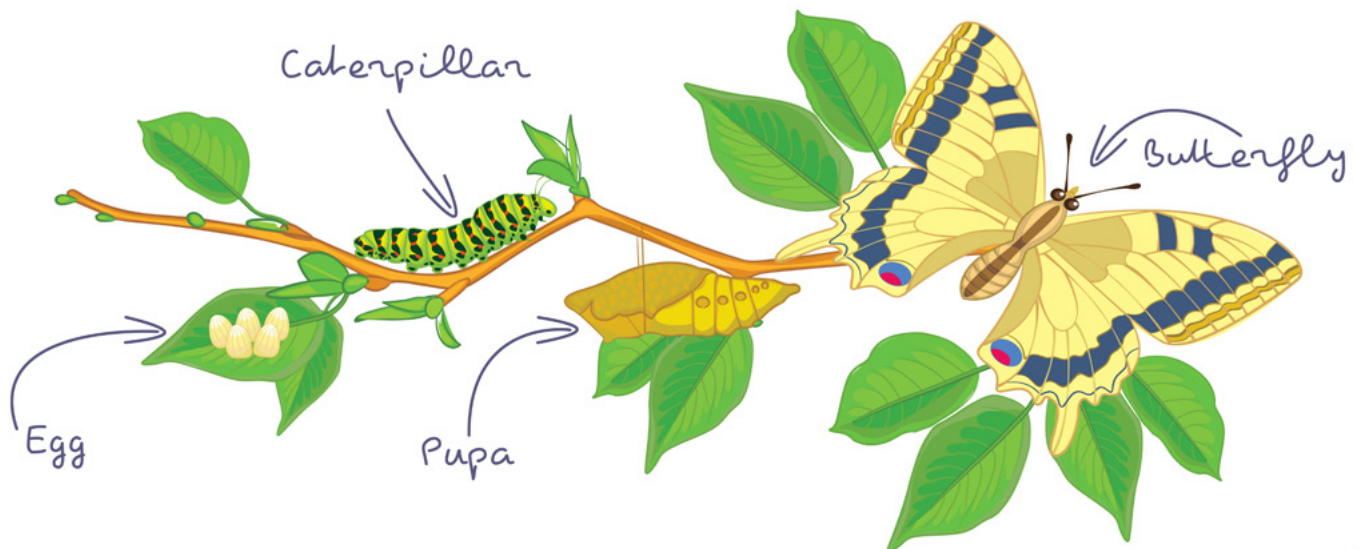


## Why transformation fails

Without a clear definition, transformation can become simply a buzzword, and it is one of the most overused words in business today. Many companies apply it loosely to a myriad of change projects, but change is not transformation. Much is written on how to deliver change well, but little on delivering transformation. Many organisations believe they have adequate project management and change management capabilities to deliver transformation, but they are still unsuccessful. Our research shows that when organisations use change approaches to deliver transformation, they often fail

Our research has distilled empirical insights about transformational success. We found that, currently, a clear distinction between change and transformation does not exist; the terms are often used interchangeably (Asq Projects, 2017a p. 5). This means that there is no common language for transformation, and no shared criteria by which to implement it and measure its effectiveness.

Organisations cannot deliver something they do not fully understand. Understanding and being able to identify the difference between change and transformation is crucial for successful delivery of both. Without this understanding, organisations will fail to deliver either effectively.



## Drivers for transformation

Our research found two main drivers for transformation:

1. When the current business model is no longer viable it becomes a 'burning platform'; this is about survival. For example, how will artificial intelligence impact accounting practices? How will digitising all legal texts impact legal firms?
2. A great idea, or a 'burning ambition'. This may or may not be critical to the organisation's survival, but aspiration is a powerful and inspiring motivator all the same.

## The distinction in a nutshell

### Dictionary Definitions

#### Transform

Verb: "Make a marked change in the form, nature, or appearance of."

Noun: "The end result of having undergone transformation." (Oxford University Press, 2018)

#### Change

Verb: "Make or become different."

Noun: "An act or process through which something becomes different." (Oxford University Press, 2018)

### Analogy

Transformation is when a caterpillar transforms into a butterfly. It is completely different, it looks different and acts different. We are not sure how this transformation happened (the challenge), but we have an idea of how the butterfly will look when done (A vision). It cannot return to a caterpillar.

# Our findings

## A different approach to risk management

Our research found that risk is not managed well in general, but transformational risk is even more demanding. Even with the right leader, transformation is risky.

Transformation is inherently much riskier than change (Anthony & Schwartz, 2017). It involves a complete shift from the ground up; there are no true precedents. Transformation requires an organisational culture of genuine risk taking and exploration, and a willingness to test new approaches and adopt new ideas. This entails a risk management approach distinct from that needed for change. Change management involves implementing finite and discrete initiatives, which may or may not touch the whole organisation. Its focus is on implementing a defined and predictable shift in how an organisation functions. Transformation is fundamentally different, involving a range of interdependent or intersecting initiatives. Its goal is to reinvent the organisation. It is unpredictable, iterative, and experimental, and thus involves significantly greater levels of risk.

The vision and the strategy to guide the journey are the knowns. The unknown stems from the nature of the industry, the challenges faced by the organisation and possibly industry and the opportunities that can be identified and how these can be tried

tested and achieved; true transformation is uncommon and rarely successful (Asq Projects, 2017a pp. 5-6). Tried and true frameworks do not yet exist as they do for change.

A duality exists in transformation which does not exist in change; transformation is both known and unknown.

Think of change and transformation as the colonisation of Oceania. In Near Oceania all islands are visible to each other (Pugach et al, 2018). Colonising this area is a journey from known state to known state. Getting there is easy, and you know how far away it is and what kind of island it is. This is change.

In Remote Oceania the next island cannot be seen (Spriggs, 2003)<sup>1</sup>; colonising this is a journey from known state to unknown state. You don't know how far away or what kind of island it is. Getting there is more difficult, but you know how to steer a ship. You have a vision. The wave and wind patterns indicate where the island is and there is a guiding star to follow.

You have a strategy: you need to prepare yourself to be a stronger leader to your crew and build their trust, so they are willing to go on the risky journey. You have a good boat, but it needs some extra features to last the longer journey. Your crew may need training to navigate the different waters.

<sup>1</sup> Initial colonization of Remote Oceania would have involved crossing at least 400 km of open ocean, and was only accomplished ~3,500ya (Spriggs 2003)



In all areas, transforming organisations need to manage the higher level of risk required for transformation. Organisations manage transformational risk by understanding their current capabilities, willingly committing to acquire and adopt new skills and ways of thinking and investigating and testing new approaches.

In change management, governance and risk management tend to focus on the risks of action rather than those of inaction (Dawson, 2015), but part of the paradigm shift needed for transformation is a clear understanding of the much higher risk of inaction, and of the necessity of adopting an active, visionary yet pragmatic approach to managing and resolving risks.

## Leadership – a different model

Change and transformation are two distinct organisational approaches requiring different tools, methodologies and mindset. Both are important; one is not more valuable than the other. To survive and remain relevant, however, it is important for organisations to understand how to choose the right approach. A leader using a transformation approach to deliver change is as damaging to success as one utilising a change approach to deliver transformation. Whichever way organisations manage the transformation process, the effectiveness of the leader is imperative to its success in every instance. This is not always the case in change management; our research found that change can be delivered successfully without end to end involvement of a leader, as long as the organisation has effective change management processes in place.

*“What you need is leadership that’s relentless and quick to take action and always responsive to the details as well as committed to the vision.”*

*- Transformation and Strategy Leader,  
Energy Company, Australia*

Not all leadership skills that drove success in delivering change apply to transforming organisations. Good CEOs are skilled at maintaining the stable and predictable structures required to deliver change, but often struggle to deliver less clearly defined transformation. Successful transformation entails uncomfortable dualities; leaders need to be able to provide the stability and structure necessary to maintain business as usual, while also being ready to adapt, innovate and challenge.

Leaders have so many demands on their time and energy that they often don't know the right questions to ask:

- > How does an organisation identify the need to transform?
- > What tools and resources does the business need?
- > Who delivers it? What skills, capabilities and competencies does each role need?
- > How do you know if the business is truly transformation ready?

Transformation often requires a shift in the leadership model. True transformation requires leaders to make space for a process of exploration and discovery. They need to be prepared to fail, to not know, and to be curious. They need to respond and adapt quickly. For many leaders, this requires a major mindset shift:

*"Successful transformers do the throw it against the wall technique. They throw it, see if it sticks, and if it doesn't, they try something else. They must be able to pivot quickly enough to be able to do that. Cycle times are so short now, the idea that you can plan over a number of years to land on point B is inconceivable."*

*- Transformation Thought Leader / Academic, Asia Pacific*

Our research found that leadership responsibility is a major determinant of transformational success. Reluctant leaders seek consensus and go to committee for every decision, but if the CEO doesn't make transformation a priority, it fails. Poor leaders hold others accountable. Transformation is unsuccessful when no one owns it, or when leaders delegate ownership. Effective leaders of transformation are courageous and authentic; they own the transformation.

Our research showed the best predictor of success is a CEO who understands the necessity for transformation and communicates that need. When people's values are fundamentally challenged, and when outcomes and timeframes cannot be clearly articulated, and involve a reinvention of the entire organisation, people become uncomfortable (Dent & Goldberg, 1999). They need a strong reason to follow a leader who asks this of them, so leaders'

*"I spoke to some of the executives who were the most resistant and the biggest blocks to solving problems, curious to understand what happened. They were incapable of critical thinking and didn't want to take responsibility. One guy hid problems rather than addressing them. That's no good for survival."*

*- CEO, Sydney*

behaviour and mindset must be congruent. Transformational leaders are crusaders; they must be trustworthy and authentic. This requires leaders to be willing to develop genuine self-awareness and challenge their own assumptions; our research found that a leader who is prepared to commit to that process of self-awareness is most likely to deliver successful transformation:

*"If a leader isn't willing to look at themselves first, you won't get anywhere. Self-awareness is absolutely crucial for transformation."*

- CEO, Leadership Coaching, Australia

Leaders of transformation need to understand the organisation's capabilities and be involved at every level. They need insight into the strategic alignment of initiatives to decide how the initiatives fit together and stay away from ideas that don't fit. This process can take a long time and results may not be immediately clear. It is important that effective leaders are supported by the organisation:

*"Often when results are not what they want, they replace the leadership. The problem is, this can happen halfway through a transformation. If you have a change of senior leadership, the transformation tends to suffer. If you're lucky, you have a chance to reset everything, get more money and have another chance, and you may get a leader who is genuinely behind it. But you also may not."*

- Transformation and Strategy Leader,  
Energy Company, Australia

## Dissolving hierarchies

Organisational hierarchies are important; they provide structure, stability and process, but rigid hierarchies can inhibit transformation. Transformation requires taking steps into unfamiliar territory and reflecting on what is and is not working. This process requires conversation, collaboration and openness. Organisations that transform successfully are structured so that innovators, wherever they are placed in the organisation, have a channel to those who make decisions (Krackhardt & Hanson, 1993; Durkin, 2014).

*"Businesses, and human beings, do many things to resist transformation and preserve the status quo. Organisations can't afford to do that and survive."*

- CEO, Leadership and Change Consultancy,  
Australasia

These innovators are often aware of the potential of technology in a way that executives are not. Organisations need to harness intelligence and expertise at all levels, drawing on their collective intelligence.

Organisations that can learn this openness and suspend their assumptions are the ones that transform successfully. To do this, organisations need to find the curiosity and the courage to step into the unknown.

## Distinctions and definitions

To transform successfully, organisations need a genuine understanding of what transformation is and what it requires. To fully unpack the distinction between change and transformation a number of factors were proposed and tested. The enquiry began with an examination of the potential drivers and impacts of transformation and change (Asq Projects, 2017b). The results of that enquiry produced data and content for a series of workshops to create the distinctions.

In these workshops, a list of distinct qualities was created and condensed to 10. We have now arrived at our final list after taking feedback from lunch forums and an online survey (Asq Projects, 2018). The distinctions are a crystallisation of ideas concerning culture, belief systems and behaviours distilled into intrinsic qualities.

These distinctions were created with the same overarching goal as the whole initiative; to enable a full understanding of change and transformation, identify the challenge involved, manage the risk, and create clear pathways for transformation.

The distinctions are designed to be thought of as two extremes on the scale of change or transformation the 'back and white' of a situation. As with anything in life, it is not expected that the situation will be black or white, but somewhere in the grey between the two.

Quality	Change	Transformation	Description
<b>Predictability</b>	From known state to known state Has been done before	Unpredictable - may not know what it looks like when it's done Has not been done before	Change can be planned for and defined because it has been done successfully before. Transformation is a new journey and there are no precedents to help define the outcome. Unpredictability impacts organisation's risk tolerance and governance.
<b>Reversibility</b>	Can be reversed; includes back-out plan	Cannot be reversed you have no plan to reverse	Change can be unwound and returned to its original state. Transformation cannot be unwound without the organisation dying; 'the tree cannot return to the acorn'.
<b>Values</b>	Unaltered	Altered	Transformation can change the organisation's values. The behaviours and culture that are outcomes of those values also change as can external measurements for success and KPIs for internal teams. For example, media organisations now measure audience not circulation, and those audiences are found across platforms, including some outside of their traditional publishing businesses.
<b>Extent</b>	Discrete structure	Whole of organisation	Extent is how much of the organisation is impacted by the initiative. Change impacts discrete sections of the business; transformation impacts the entire organisation.
<b>Initiative</b>	Tactical	Strategic	Initiative is the approach and scope of the endeavour. Change is tactical, planned and specific. Transformation is strategic, essential and fundamental.
<b>Responsibility</b>	Delegated by highest authority	Owned by highest authority	The level of seniority driving the endeavour is an indicator of transformation or change. Transformation requires the highest level of leadership to achieve executive buy-in and deliver full transformation. The leader needs authority to drive transformation, and the vision to take employees on the journey into the unknown.
<b>Intentionality</b>	Execution	Vision	Intentionality indicates the level at which the metamorphosis occurs: transformation is at the level of its guiding vision, change is at the level of its facilitation and execution. This quality is determined by whether the endeavour occurs at the level of its overarching vision, or its facilitation and execution. For instance, Michelangelo's statue of David; change involves the tools that carve the statue, while transformation is the vision that drives it.
<b>Process</b>	Improvement	Destabilisation, disruption and uncertainty	Process is the means by which the metamorphosis is implemented. Change involves an improvement in process; transformation requires organisational disruption, a re-ordering and destabilising of processes and values. This impacts the culture's tolerance for failure and requires a culture of constant learning and innovation.
<b>Driven by</b>	Adaptation	Crisis or inflection point	Driven by is the impetus for the endeavour. Change is an incremental adjustment to conditions, but transformation is qualitatively different in that it is driven by a crisis or inflection point, a burning platform or burning ambition, either internally or in response to the environment.
<b>Timeline</b>	Clearly defined	Impossible to define. High level plan with proposed / indicative dates	The temporal distinction between change and transformation is not in the length of time it takes to execute them, but in the extent to which their timelines can be predicted. Change has a definable, predictable timeline, whereas transformational timelines are much less certain.

# How to use the definitions

It is important to note that these definitions are not prescriptive; not all conditions must be met for an initiative to be either change or transformation. Each distinction is an indicator only and each distinction and its evaluation are measured in conjunction with the complete set. The assessments are not binary absolutes, but weighted scores lying somewhere between change and transformation. Understanding where an organisation lies between the two points allows the organisation to identify whether it needs to deliver change or transformation.

## Scorecard method

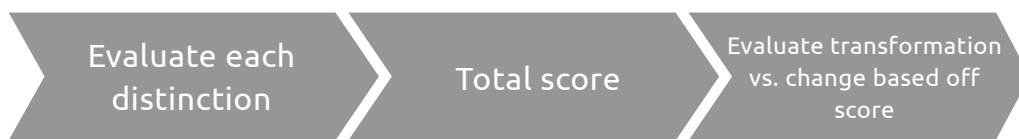
In the discussion paper, we used a scorecard approach to evaluate each case study to determine whether each was transformation or change.

### How to apply the scorecard:

1. Each distinction is evaluated and scored between 1-10, 1 being change and 10 being transformation.



2. The total score will be between 10 and 100.
3. The closer the total is to 100, the more likely that the initiative is transformation.



For example, Predictability 1 = moving to a known state and 10 = Unpredictable, where the outcome is not known. The actual score will be somewhere between the two extremes, and the total score for each distinction indicates whether the organisation requires change or transformation.

The tool is used to generate and guide enquiry and discussion, and it is important that the process not be used to replace critical thinking, conversation and collaboration. These collaborative conversations are a crucial part of understanding and delivering organisational transformation. To see how we have applied the distinctions using a scorecard approach on three case studies, see our discussion paper 'Distinctions between Transformation and Change', published July 2017.

# Summary

In summary, this research has implications for both the theory of change management and transformation. In practice, there is often tension between the approaches of change and transformation, but this study has demonstrated that there is opportunity for a productive partnership.

Both change and transformation perform equally important roles. This study highlights the need for a deeper understanding within organisations of how change and transformation differ, and for a genuine awareness of when and how to utilise each approach. From a theoretical perspective, change management is currently well supported by academic theory and professional bodies, while transformation is much less understood. This suggests an opportunity for theoretical and professional development and a greater understanding of this important topic.

## **Our research has identified significant challenges facing organisations in implementing transformation, change and innovation:**

- > Lack of clear distinctions between change and transformation, leading to overused buzzwords and lack of understanding of what transformation is and how to deliver it
- > Absence of a coherent model or framework to deliver transformation
- > Leaders that are uncommitted, rigid, attached to the status quo or don't understand what change or transformation requires
- > Employees who are not ready or committed to transformation or even change due to:
  - > lack of trust in leaders
  - > resistance to a transformation process with unclear outcomes and timelines
- > Lack of organisational understanding of risk and misguided adherence to old ways of risk management which focus only on the risk of acting
- > Rigid hierarchies that don't allow innovators to contribute to the process

## **Organisations can do a great deal to manage those challenges. This white paper provides valuable tools:**

- > Research and real-world experience have defined the differences between transformation and change.
- > Development of 10 distinctions to help business identify what type of initiative they need, whether transformation or change, and inform discussion and enquiry.

# Look for our next White Paper

The next whitepaper builds on this:

- > Tools to identify the required skills, leadership, willingness and capabilities required for the success of the initiatives (whether it be transformation, change and project management) that the organisation needs.
- > Integration of the process used for the initiative, including a fully flexible framework to accommodate a discrete, complex and/or large change or transformative initiative.
- > Combine all the methodologies and disciplines required to understand, plan and execute.
- > Provides objective tools to measure the soft and hard skills that will be required, for instance, leadership, vision, readiness, capability, risk analysis and management.

As change and transformation continue to be critical to survival, businesses need the tools and capabilities to know how to adapt their business and challenge the status quo. This research provides businesses with a way to discern your initiatives from the beginning and then develop a plan from the ground up to achieve genuine and sustainable change or transformation, demystifying them and allowing organisations to access the tools to deliver successfully.

Sign up to our newsletter on our website [www.asqprojects.com](http://www.asqprojects.com) for opportunities to participate in surveys, interviews, focus groups and events



# Appendix 1: Research method

A mixed method of research was chosen, integrating both qualitative and quantitative approaches.

## Qualitative method

### Literature review

The qualitative method involved a comprehensive literature review of existing research on the subject. This literature review can be found in our Discussion Paper at [http://www.asqprojects.com/Download\\_Discussion\\_Paper\\_Definitions\\_and\\_Distinctions\\_between\\_Change\\_and\\_Transformation.html](http://www.asqprojects.com/Download_Discussion_Paper_Definitions_and_Distinctions_between_Change_and_Transformation.html), pp. 5-6

### Workshops

Several workshops were conducted in Sydney, each covering a different aspect of the distinctions between change and transformation.

Notes from these sessions are available on request.

### Lunch forums

Three lunch forums were held in Sydney, all three were held to get in-depth ideas from various industry professionals in order to refine our distinctions and definitions in addition to informing the overall direction of our approach to change and transformation.

Notes from these sessions are available on request.

### Interviews

Twenty-six semi-structured interviews were undertaken with leaders of transformation in 26 organisations in Australasia and Europe. The interviews were administered using a semi-structured interview guide, allowing flexibility for the respondents to elaborate on their answers. Interviews were recorded, transcribed and analysed. Distribution by role is indicated in Figure 1 and Figure 2 indicates industry distribution.

The interview findings can be found at <http://www.asqprojects.com/download-interviewfindings2017>

Academic	3
Transformation Leader / Strategist	7
Project / Programme director	3
Project Manager / PM consultant	3
Change Manager / CM consultant	5
CEO	3
Managing Director	4
CIO	1

Figure 1: Role distribution of study

Public Sector	3
Consulting / Leadership coaching	8
IT	2
Banking / Finance	4
Energy	2
Recruitment	2
Telco	3
Academia	3
Heath	2

Figure 2: Industry distribution of study

## Quantitative method

### Surveys

Two online surveys were used at different stages of the research.

The first survey was created to get the first opinions on the topic at the very beginning.

This online survey was undertaken by 23 participants with an interest in whether the community perceived change and transformation as different at all. This was asked both directly and indirectly by having participants rate various drivers and impacts for organisations for both change and transformation separately.

The results summary for this survey can be found at <http://www.asqprojects.com/download-impactsdriverssurveysummary>

The second was used to refine the definitions and distinctions proposed in our Discussion Paper: Definitions and Distinctions between Change and Transformation.

This online survey was undertaken by 96 participants with an interest in transformation from a variety of fields. Participants were asked for their feedback on the 10 definitions and distinctions between change and transformation. The results of this survey included both statistical data and open-ended questions and produced data that was used to develop and refine the final 10 distinctions and their definitions.

The results summary for this survey can be found at <http://www.asqprojects.com/download-distinctionsurveysummary>

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