

LEVERAGING PLURAL PARADIGMS, DIVERSE DISCIPLINES,
AND INCLUSIVE INTERVENTIONS: CONVERGENCE OF
ORGANIZATION DEVELOPMENT WITH HUMAN RESOURCE
MANAGEMENT AND HUMAN RESOURCE DEVELOPMENT
IN SELECTED CASE STUDIES

BY

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The dissertation of William Van Lente, "Leveraging Plural Paradigms, Diverse Disciplines, and Inclusive Interventions: Convergence of Organization Development with Human Resource Management and Human Resource Development in Selected Case Studies" approved by his Committee, has been approved and accepted by the faculty of Marshall Goldsmith School of Management, Fresno Campus, in partial fulfillment of the requirements for the degree of Doctor of Psychology in Organization Development.


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DEDICATION

To my many mentors, who have modeled integrity, professionalism, creativity and innovation, a strong work ethic, life-long learning, and courage in the face of resistance to change--thank you for teaching me knowledge, skills, and values. Included are Larry Lutjens, my first supervisor in Human Resources (HR), and Bob De John and Wally Davis, HR executives who were true HR champions long before it became popular. Another is Marty Locke, who as VP of Manufacturing, then President, was the most people oriented line executive I have known. From Marty I learned that the best human resource strategy is to keep people learning and growing, and that survey guided Organization Development (OD) can be an effective labor climate change strategy. Though they were responsible for thousands of people in multiple locations, I always felt them being in touch with me. I continue to feel the passion for people as integral to business performance that they instilled in me.

John Baumgartner, hospital administrator, was a valued mentor in governance change, teaching me how to balance idealism with realism while cutting through board politics and special interests to get something significant done. From John Cummisky, JD, I learned there was way more to effective labor

relations than labor law or contracts; consideration and respect for the people involved came first.

While they will remain unnamed to ensure client organization anonymity, I owe a debt of gratitude to two educational leaders, a superintendent of schools and an assistant superintendent of curriculum and instruction, who provided me with accelerated learning in education theory and practice, and instructional leadership and management. Both avid educational reformers, they allowed me the privilege of serving with them as a nontraditional educator and change agent, generously sharing their rich knowledge of the field and their passion for meeting student learning needs.

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Last but not least, I dedicate this dissertation to my parents, Ralph and Alice Van Lente, who taught me so many wonderful lessons in life, most important among them being the value and satisfaction of serving others. Mom's leadership and advocacy in community organizations, both career and volunteer roles, was as inspiring as it was effective in fighting prejudice and improving the lives of underprivileged people. While supporting her, Dad's more subtle life-giving

contributions through the Red Cross were consistent with his humility. While giving me a lot of freedom to learn and grow, I always knew they had high expectations of me.

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My colleagues in the *PsyD Cohort IV* formed a rich and stimulating learning community for which I will always be grateful. While sharing generously of themselves, they patiently put up with me as we engaged in group learning experiences, challenged and guided each other and our team to new heights of understanding and skill, and celebrated our

achievements together. They have clearly validated for me the efficacy of social learning theory. I want to continue learning and working with them professionally.

My family has been totally interested and supportive of this learning venture, whether it involved patiently listening to my evolving mental models of OD theory and practice, or hearing how I was becoming more capable of changing the world for the better, one organization at a time. Letting me practice on the extended family as a client when teaming to meet our aging parents' needs was true testament to their confidence in each other and me. To my three wonderful daughters, Victoria, Nichole, and Alison, their patience with my limited time and attention for them and for much else over the course of this effort was clearly unselfish and consistent with the love I always feel from them. I am as proud of them as they are of me.

I am fortunate to have many friends among clients and professional colleagues who have also taken an interest in my doctoral studies. Some who were directly involved in the cases studied were kind enough to review and critique my drafts and provide validation of my observations and data interpretation. The ultimate compliment comes from the confidence they have placed in me, and the feedback about positive changes we have made together and continue making in their organizations, benefiting also our professional and personal lives. I greatly appreciate the opportunity to learn and achieve with them.

ABSTRACT OF THE DISSERTATION

Leveraging Plural Paradigms, Diverse Disciplines,
and Inclusive Interventions: Convergence of
Organization Development with Human Resource
Management and Human Resource Development
in Selected Case Studies

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The case study method of organizational research can be applied to foster optimal learning from actual human resource and organization development and change (OD & C) interventions. Furthermore, case studies can demonstrate the efficacy of alignment and convergence of theory and practice in the fields of Human Resource Management (HRM), Human Resource Development (HRD), and Organization Development (OD).

The purpose of this study was to demonstrate how such a convergence in theory and practice can provide critical mass for lasting beneficial change in complex organizations, while also demonstrating the efficacy of case study designs, including both qualitative and quantitative inquiry. An overview of intervention theory and practice was provided, followed by a historical and theoretical survey of the convergence of HRM, HRD, and OD. Specific assessment and intervention methods applied in the cases were explained, recognizing the often inseparable nature of assessment and intervention in OD & C practice.

Three detailed cases were presented, all with qualitative data, and two with significant quantitative descriptive data obtained through organizational surveys. The organizations studied were diverse, yet common themes permeated individual behavior and group dynamics in the context of organizational culture. All three organizations were undergoing paradigm shift change. Two were touted as organizational experiments. In all three leadership made the decision to deploy a complement of HRM, HRD, and OD & C measures to address pressing needs. While leadership was not a central focus of the study, leadership was clearly evident in its influence on success with organizational change.

Cross-case analysis and synthesis was presented to demonstrate validity and answer the fundamental question regarding the efficacy of multiple converging or complementary

HRM, HRD, and OD & C interventions. The case experiences demonstrated the potential leverage of critical mass for change that can be gained from plural paradigms, diverse disciplines, and inclusive intervention methods.

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Chapter 1

INTRODUCTION

The purpose of this applied project study was to assess and demonstrate the efficacy of multifaceted theoretical and practical approaches to planned change that reinforce each other and provide critical mass for change. The study attempted to answer the question: Can a comprehensive complement of organization development (OD), human resource development (HRD), and human resource management (HRM) interventions that are well-aligned and reciprocally reinforcing consistently produce planned beneficial change in complex organizational systems? Such comprehensive interventions that are internally consistent and externally aligned are designed to stimulate and guide beneficial change resulting in improved organizational effectiveness.

The fundamental model and method applied was case analysis (Yin, 1994) coupled with participant observation (Jorgensen, 1989). While these methods are primarily qualitative in nature, quantitative data was also used to supplement and illustrate findings, enrich data analysis, and support conclusions. An argument was made, supported by case study data, for the inherent superiority of an integration of qualitative and quantitative methods in action research, especially where

comprehensive planned change is a strategic priority, if not a necessity.

The cases included in this research are discussed in the context of multiple organizational theories, illustrating how a complement of paradigms and models can most effectively guide both understanding and action. The impact of interventions in the case studies and other cases where the writer was involved were compared to data from Golembiewski's (2001) meta-analysis of OD effectiveness.

Cases presented were drawn from the diverse experiences of the writer as an internal and external consultant and change agent using a comprehensive complement of human resource management, human resource development, and organization development (HRM-HRD-OD), interventions. The writer's work and applied research was performed in a variety of organizations, including service as a human resource and organization development professional and leader. Case settings included: (a) a research and development institute affiliated with a university undergoing transformation from a federal entity, (b) a public education school district troubled by poor labor relations, learning how to change through collaboration, and (c) a nonprofit community service organization challenged by growth and a dysfunctional culture.

Learning from reflective and prospective case analysis was stressed to varying degrees of depth and detail among these

cases, supporting the hypothesis that comprehensive and well-aligned interventions do provide critical mass for desired change. Data sources from case file reviews involving past and ongoing consulting experiences included document analysis, observations, interviews, and surveys, and were further supplemented by secondary research. Cross-case comparison and synthesis were applied in the context of theory, with implications for the future development and practice of HRM-HRD-OD.

While the diversity of the organizations studied presented challenges when comparing across cases, no doubt the challenges faced by these and similar organizations made the effort worthwhile as elaborated upon in the case presentations that follow. There were clear linkages among them, in theory, practice, and impact.

In summary, the cases and secondary research included in this study were important because of:

1. the intractable state of public education, including limited success of reform measures and potential opportunity for teachers and their unions to be more involved in beneficial change;
2. the adverse impact of adversarial collective bargaining on public education, and other organizations;

3. the opportunity to improve performance in public education by allowing talented professionals from outside of education to help with reform;

4. the potential for improving research and development (R & D) productivity and at the same time reducing costs to the public by transferring and transforming federal department laboratories into free standing nonprofit research organizations; and

5. the need to support nonprofit community service agencies in preparing for and adapting to rapid growth by creating contemporary human resource functions and fostering improvement in organizational health and effectiveness.

The following literature review provided an overview of theoretical orientations regarding organizations, organizational research, and change. This background influenced the case interventions and created a context within which to compare, further evaluate, and synthesize learning from these experiences. Models of change applied in the cases discussed provided a rationale for the action research and intervention measures applied in the cases.

Chapter 2

REVIEW OF LITERATURE

The following literature review provided an overview of theoretical orientations regarding management of human resources and organizations. Topics surveyed included organizational research and organization development and change (OD & C), and also included the convergence of HRM (human resource management), and HRD (human resource development) with OD (organization development). Attention was focused on theories that either influenced the case interventions or helped to explain them on reflection. This survey of relevant literature created a context within which to compare, further evaluate, and synthesize learning from these case study experiences. Discussion of applied behavioral research paradigms set the stage for consideration of organizations, how they can be viewed, and how they change.

Methodological Pluralism

Debate over the superiority of either qualitative or quantitative behavioral research has missed the point altogether, according to Slife and Williams (1995). They contended that the choice of method was best made based on the

nature of the research. Slife and Williams stated their reading of postmodern proponents of methodological pluralism as

They hold that the question of method is not the crucially important one in the behavioral sciences. Because all methods are languages through which we attempt to make sense of the world, we ought to make our choice of methods based on the nature of the problem we are investigating. (p. 200)

We do not hear that the behavioral scientists routinely use the term *methodology* to refer to the particular method used in a research study. However, the etymology of the term suggests that methodology is discourse about *methods* - the study and evaluation of methods and what they can do. In methodology, methods are the objects of study, not the tools of study. Proponents of the third position who have articulated methodological pluralism suggest that methodology - in this latter sense - should be the primary concern, and choices of method will derive from careful methodology. (p. 204)

As suggested by Slife and Williams (1995), individual academic and action researchers have had preferences leaning toward quantitative or qualitative data that limited their choices of method. Their choices would have been better driven by method alignment with the nature of their research work and the organizational behavior of interest (i.e., by careful and comprehensive methodology). Fortunately, traditional and contemporary behavioral research texts have featured the full complement of ways of knowing, including how to use quantitative data (e.g., behavioral observation measures and objective surveys), as well as qualitative data (e.g., open ended interview questions, content analysis of responses and other organizational communication), and case studies (Kerlinger,

1973; Whitley, 1996) based on careful observation and reflection.

Similarly, the practice of OD & C has relied on a multitude of models and methods to diagnose or assess organizations, gather data to be interpreted and used for change purposes, and coinquire with organization members (Burke, 1994; Cooperrider, Sorensen, Whitney, & Yaeger, 2000; Cummings & Worley, 2005; French & Bell, 1999; Jones & Brazzel, 2006; Levinson, 2003; McGill, 1977; Rothwell & Sullivan, 2005). As Slife and Williams (1995) espoused, all such approaches to social science discovery and meaning making can be of value when seeking to understand organizations. Similarly, Schein (1999b) asserted with regard to categorization of OD interventions:

I have concluded that such categories [of interventions] are not really useful because they divert one from the more fundamental question of figuring out what will be helpful at any given moment in the evolving relationship. I prefer a general concept of *facilitative intervention* that implies that a consultant should always select whatever will be most helpful at any given moment, given all one knows about the situation. (p. 245)

Mental Models of Organizations

Multiple metaphors and paradigms of organizations have supported research and practice, according to Morgan (1997). Morgan provided a thorough survey of the metaphors theorists and practitioners have created to form shared images applicable to research and decision-making. He included images of organizations as: (a) organisms interacting with and adapting to

their environment; (b) self-organizing and learning brains; (c) social reality creating cultures and meaning making through belief systems that profoundly influence behavior; (d) political systems engaged in power brokering, conflict and constituent interest balancing; (e) as psychic prisons with entrapment by often unconscious motives and a psyche of the organization's own that transcends those of organization members; (f) as flux and transformation of often opposing forces that drive change towards strange attractors in the midst of complexity and chaos; and (g) as an ugly face of domination and exploitation of human kind, of our communities and natural resources. In the latter case, the modern multinational corporation has been deemed culpable by some and a redeemer of third world country abyss by others.

In his biographical notes, Morgan (1997) cited Aristotle as the first to identify the role of metaphors in the creation of knowledge when in his *Rhetoric* he asserted, "Midway between the unintelligible and the commonplace, it is metaphor which most produces knowledge" (p. 379). Morgan has depicted organizations as "many things at once! They are complex and multifaceted. They are paradoxical" (p. 347). He contended that it was this complexity that makes the challenges management encounters so difficult. Each metaphor has had value in creating meaning and understanding of organizations. However,

taken in their extreme, metaphors have been limiting, even blinding, thus constraining a comprehensive view.

Morgan (1997) summed up the pros and cons of our intrigue with metaphors and the purpose of his treatise on their meaning:

To recognized and cope with the idea that all theories of organization and management are based on implicit images or metaphors that persuade us to see, understand and imagine situations in partial ways.
As has been shown, metaphors create insight.
But they also distort.
They have strengths.
But they also have imitations.
In creating ways of seeing they tend to create ways of *not* seeing.
Hence there can be no single theory or metaphor that gives an all-purpose point of view. There can be no "correct theory" for structuring everything we do. (p. 348)

The views of *organizations as organisms*, and as machines or mechanical systems, have dominated organizational and management thinking for some time, significantly influencing the most popular theoretical view of organizations as open systems (Beer, 1980; Jones & Brazzel, 2006; Katz & Kahn, 1978; Morgan, 1997; Nadler, Tushman, & Hatvany, 1982). The open systems view of organizations as an interdependent set of multiple subsystems dynamically influencing each other while adapting to their environment has influenced much of organization theory and organization development practice (Cummings & Worley, 2005; French & Bell, 1999; Rothwell & Sullivan, 2005).

Overlapping with the open systems view of *organizations as social systems* has been the notion of *organizations as cultures* (Deal & Kennedy, 1982; Levin, 2007; Schein, 1992). While

organizations as cultures has offered a comprehensive metaphor of socially constructed organizational belief systems, as Morgan (1997) pointed out, these images can be limiting, and other paradigms offer both similar and dissimilar advantages and disadvantages.

Sociotechnical systems theory has sought to integrate the view of organizations as both social and technical systems (Bushe & Shani 1991; Pasmore, 1988), combining mechanistic or structural views with organic notions of organizations as living, breathing organisms, of human systems. Sociotechnical systems theory has embraced the cultural view of organizational actors driven by values, norms, and roles as they leverage technology and symbolic artifacts to adapt to and even influence their environment. Thus, this theory appears to have been consistent with aspects of both the machine and the organism metaphors (Morgan, 1997).

Morgan's (1997) *flux and transformation* metaphor and the dialectic of opposing or random forces leading to new organization forms around strange attractor patterns appears to have also been complementary to his political system metaphor and the open systems and cultural metaphors. Largely self-referencing and politically competing organizational subsystems have had their own subcultures, whether or not their intentions were transparent, benevolent, or otherwise. Conflict related to competing beliefs and feelings about which strategy or

technology is preferred, and who should be in control of strategy execution and technology deployment, has also overlapped these multiple metaphors. The same principle has applied to issues of who controls the product, whether physical or increasingly informational. And the technology, structural and symbolic artifacts selected for use in organizations have reciprocally influenced the belief, value, and behavior systems, whether as cues or instruments of action (Pheysey, 1993; Rahim, 2001; Sathe, 1983; Schein, 1992; Walton, 1987).

Schein (1992) appeared to make these multiple connections by incorporating aspects of the purposive, goal-oriented and learning-brain metaphor, and the interest-sharing coalition and potentially conflicted political system metaphor, with the sociotechnical system perspective as an organism adapting to its environment. Yet he framed his view of organizations as cultures.

Cultural assumptions evolve around all aspects of a group's relationship to its external environment. The group's ultimate mission, goals, means used to achieve goals, measurement of its performance, and remedial strategies all require consensus if the group is to perform effectively. If there is conflict between subgroups that form subcultures, such conflict can undermine group performance. On the other hand, if the environmental context is changing, such conflict can be a potential source of adaptation and new learning. . . . How these external survival issues are worked out strongly influences the internal integration of the group. Ultimately, all organizations are sociotechnical systems in which the manner of external adaptation and the solution of internal integration problems are interdependent. (p. 68)

The rational, learning-brain metaphor has also been viewed as applicable to learning how to achieve balance between the opposing forces of differentiation for production efficiency and effect, and integration for system functioning and maintenance (Galbraith, 1977, 2002; Katz & Kahn, 1978). From Schein's (1992) cultural view, this sociotechnical learning process has been necessary for adaptation. Applying a complementary theory, Johnson (1996) has seen the opposing forces as polarities to be managed rather than problems to be solved. According to Johnson, whether to differentiate or integrate is not a problem to be solved, but rather a polarity to manage. Organizations have needed both differentiation and integration. These two polar opposites are at the same time contradictory and interdependent organizational processes, similar to other essential processes that form polarities, such as centralization and decentralization, or stability and change.

Again, as Morgan (1997) expressed, any one metaphor is inadequate to explain such complexity. However, their complementary or overlapping nature should not come as a surprise. This principle seems evident given that the metaphors have attempted to describe the same phenomenon. Specifically, all the metaphors attempted to provide a framework for human organizations, groups of people working to produce a product or service that has value to customers, and achieve goals necessary for survival, adaptation, and success in an ever-changing

environment. In doing so they have been working also to meet organization members' basic, as well as higher order needs, in an equitable fashion (Beckhard & Pritchard, 1992; Bennis, 1969; Budd, 2004).

Organizational Culture

Accepting Schein's assumptions about culture encompassing "all aspects of a group's relationship with its external environment" (1992, p. 68), culture has been depicted as rather inclusive. Schein formally defined organizational culture as:

The pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 12)

Schein has held that culture is the product of the shared learning of groups over time. He did not include overt behavior as culture because behavior, in his view, is determined by situational contingencies that arise from the immediate external environment as well as cultural predispositions. He did contend that leadership is integral to culture. He also pointed out that large organizations generally have multiple subcultures.

According to Schein

Culture and leadership are two sides of the same coin, in that leaders first create cultures when they create groups and organizations. Once cultures exist, they determine the criteria for leadership and thus determine who will or will not be a leader. But if cultures become dysfunctional, it is the unique function of leadership to perceive the functional and dysfunctional elements of the

existing culture and to manage cultural evolution and change in such a way that the group can survive in a changing environment. The bottom line for leaders is that if they do not become conscious of the cultures in which they are embedded, those cultures will manage them. Cultural understanding is desirable for all of us, but it is essential to leaders if they are to lead. (p. 15)

Schein (1992, 2006) differentiated three levels of culture (see Figure 1, Levels of culture). Schein elaborated on this model, explaining that artifacts, though easy to observe, can be difficult to interpret. Furthermore, espoused values may be more aspirations and defenses than accurate representations of underlying assumptions, and consequently may be more malleable. Underlying assumptions provide a sense of stability and predictability, and consequently are resistant to change. The keys to understanding a group's culture, in Schein's view, has been surfacing the group's shared basic assumptions and gaining an understanding of the learning process by which such basic assumptions were created. Though the initial set of assumptions are those communicated by a founding leader, if the assumptions work well the group will have adopted them as belonging to all members. Again, Schein related:

Once a set of shared basic assumptions is formed by this process, it can function as a cognitive defense mechanism both for the individual members and for the group as a whole. In other words, individuals and groups seek stability and meaning.

Once these are achieved, it is easier to distort new data by denial, projection, rationalization, or various other defense mechanisms than to change the basic assumption . . . culture change, in the sense of changing basic assumptions is, therefore, difficult, time

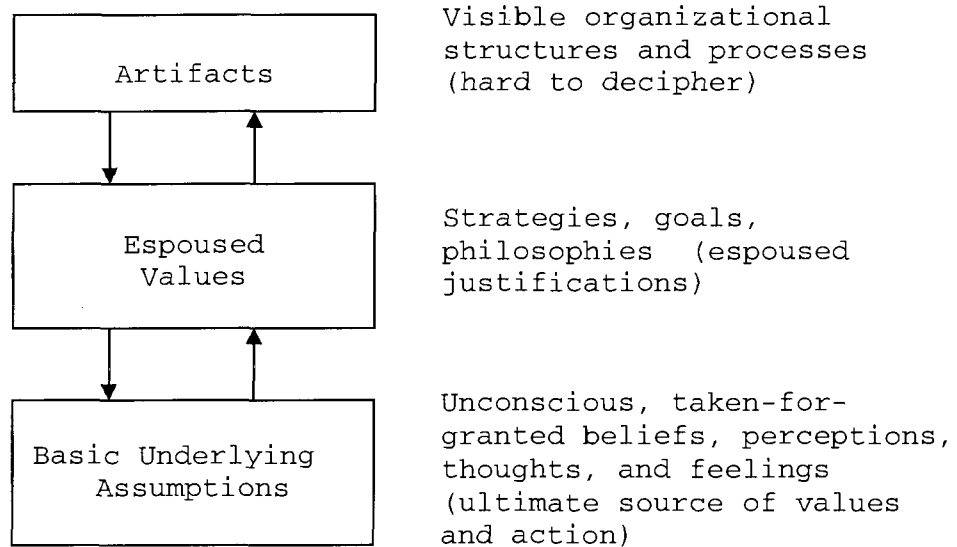


Figure 1. Levels of cultures

Note: From *Organizational culture and leadership* (p. 26), by E. H. Schein, 1992, San Francisco: Jossey-Bass. Copyright 1992 by Jossey-Bass. Used with permission.

consuming, and highly anxiety provoking. This point is especially relevant for the leader who sets out to change the culture of the organization. The most central issue for leaders, therefore, is how to get at the deeper levels of a culture, how to assess the functionality of the assumptions made at each level, and how to deal with the anxiety that is unleashed when those levels are challenged. (pp. 26-27)

Schein's (1992) depiction of the heavy influence of largely taken for granted assumptions, often operating unconsciously or habitually, is related to a critical aspect of Morgan's characterization of the psychic prison metaphor. According to Morgan (1997), awareness of these characteristics can:

encourage us to become more sensitive about the hidden meaning of our everyday actions and preoccupations and to learn how we can process and transform our unconscious energy in constructive ways. . . . These hidden concerns influence whether we attempt to design work to avoid or to deal with problematic aspects of our reality and how we enact our organizational world. (p. 243)

Morgan also viewed these factors as underlying group dynamics, leadership, and innovation and change in organizations.

Schein (1992) demonstrated with case descriptions how these cultural assumptions could be surfaced and modeled with interconnecting sets of beliefs charted for an organization's culture. Through the consultant's clinical method of coinquiry with a client, Schein held that "if one finds some of those basic assumptions and explores their interrelationship, one is really getting at the essence of the culture and then can

explain a great deal of what goes on in it" (p. 47) as a paradigm or an interlocking, coordinated set of assumptions.

Deal and Kennedy (1982) gained their view of culture in organizations from their study of successful organizations, such as General Electric, Procter & Gamble, and Tandem. They found strong and effective cultures had widely shared philosophies and values, significant heroes, rites and rituals, and a cultural network through which values are communicated, what they term the *carrier* of corporate values and heroic mythology. Deal and Kennedy concluded, "Companies that have cultivated their individual identities by shaping values, making heroes, spelling out rites and rituals, and acknowledging the cultural network have an edge" (p. 15). Deal and Kennedy contended that cultures can be read, and that readings of culture can predict success that any wise analyst or investor can place their bets on. This, they held, is true because culture strongly influences a company's behavior over time. Things warranting study included:

1. The physical settings, plant conditions conducive to a healthy environment and pride, fostering identity;
2. What the company says about its culture, recognizing the importance of their values and people in achieving success;
3. How the company greets strangers, assessed by striking up a conversation with the receptionist and observing how things are done at that key point of contact with the outside world (e.g., whether service oriented or bureaucratic);

4. How people react in interviews, including their response to questions such as: "Tell me about the history of the company. What were its beginnings? . . . Why is the company a success? What explains its growth? . . . What kind of people work here? Who really gets ahead in the long term? . . . What kind of a place is this to work in? What is an average day like? How do things get done?" (pp. 132-133); and

5. How people spend their time.

Though Deal and Kennedy (1982) studied large corporations, they have foreseen the successful company of the future as small, flat, decentralized, and relying on a strong culture with information and value networks to provide necessary self-control. They predicted that empowerment will become the ultimate replacement of bureaucratic designs, with peer pressure to conform to values replacing management control of people.

While stressing the advantages of strong cultures, Deal and Kennedy (1992) did not overlook cultures in trouble. Signs of a weak or deteriorating organizational culture were the absence of what stronger cultures possess, specifically:

- Weak cultures have no clear values or beliefs about how to succeed in their business; or
- They have many such beliefs but cannot agree among themselves on which are most important; or
- Different parts of the company have fundamentally different beliefs.

- The heroes of the culture are destructive or disruptive and don't build upon any common understanding about what is important.
- The rituals of day-to-day life are either disorganized--with everybody doing their own things--or downright contradictory--with the left hand and the right hand working at cross purposes. (pp. 135-136)

Symptoms of cultural malaise, according to Deal and Kennedy (1992) included (a) inward focus--ignoring the outside world and focusing strictly on internal affairs, (b) short-term focus--the amount of time on short-term results precludes a longer term view, (c) morale problems--often detected by confidential employee surveys, (d) fragmentation and inconsistency--whether between subunits or headquarters and the field, (e) emotional outbursts--often a reaction to fear given knowledge of the company being in trouble, (f) ingrown subcultures--due to lack of productive exchange among subunits, (g) exclusive subcultures--like exclusive clubs, with arbitrary exclusion from membership and subgroup interests being preeminent, and (h) subculture values that preempt shared company values--subcultures promoting their beliefs as superior to the overall company beliefs, rather than balancing subgroup beliefs with organization wide beliefs.

Managing culture requires symbolic managers who, according to Deal and Kennedy (1982) are sensitive to culture and its long-term impact, place a much higher level of trust in others, see themselves as "players--script writers, directors, actors-in

the daily drama of company affairs . . ." and recognize " . . . the importance of the symbolic influence they have on cultural events around them" (p.142).

Sathe (1983) provided another view of culture. He defined organizational culture as "a set of important understandings - often unstated--that members of a community share in common" (p. 30). Similar to Schein regarding the tacit nature of cultural assumptions, Sathe contended that beliefs and values, which have been sustained over long periods of time without change, become taken so much for granted that they operate at an unconscious level. Consequently, organizational members frequently fail to realize the profound influence culture can have on them. Sathe pointed out, as did Schein (1992) and Deal & Kennedy (1982), that corporate culture is plural, not one but generally many subcultures within a corporation.

Culture's impact on behavior has been efficiency when activities are accomplished with limited resources, but not always effectiveness when actions are not aligned with the needs of the organization and are inconsistent with its members' needs and those of other constituencies (Sathe, 1983). Culture's influence on organizational functions, according to Sathe has included:

1. Communication--within a unit, can be less difficult given the already shared understandings, though between units with different subcultures, can be more problematic due for

example to differing beliefs and values about what and how to communicate.

2. Cooperation--true cooperation cannot be legislated by policy, employment contracts or position descriptions, nor manipulated by reward systems. It must be based on shared beliefs and values about cooperation.

3. Commitment--"People feel a sense of commitment to an organization's objectives when they identify with those objectives and experience some emotional attachment to them" (Sathe, 1983, p. 35).

4. Decision making--decision making is made easier by shared premises, though in addition to the strength of culture, the amount of conflict over decisions would be influenced by shared beliefs about the role of conflict in decision making, and

5. Implementation--culture helps guide implementation when unforeseen circumstances occur and immediate action is required before checking with others.

Sathe (1983) asserted that the strength of culture's influence on behavior was driven by (a) the extent of shared beliefs and values, referred to as *thick* or *thin* cultures, (b) how widely these assumptions were shared, and (c) how clearly ordered the beliefs and values are, their relative importance, and which values took precedence over others in cases of conflict. Furthermore, history, leadership, organizational

size, and stability of membership could all impact strength of culture.

Culture shock can occur when one enters a culture foreign from what they have experienced (e.g., where cooperation vs. competition is dominant). It is important to avoid irreconcilable mismatches, but usually neither possible nor desirable in the long run for either the individual or the organization to avoid culture-person mismatches altogether (Deal & Kennedy, 1982; Sathe, 1983).

A way to prevent against cultural blind spots is for enlightened managers to accommodate a degree of nonconformity, to accept people who deviate within reason, especially if they are valuable. These people demonstrate alternate ways of thinking and acting. "Although this may cause some loss of cultural efficiency, it is an insurance against culture's becoming so firmly entrenched that people can no longer see its blindspots" (Sathe, 1983, p. 45). Another way is for managers themselves to selectively deviate from the culture when necessary.

Sociotechnical Systems

The sociotechnical systems perspective (STS; Bushe & Shani, 1991; Pasmore, 1988) has been that effective organizations are those having achieved a balance between their social and technical aspects or subsystems. STS theory places

an emphasis on designing both technical and social dimensions of organizations that are more responsive to human needs as an alternative to the often-inhumane bureaucratic form of organizing historically popular in large organizations of all kinds, public and private.

Pasmore (1988) defined the social system as

People who work in the organization and all that is human about their presence. The social system encompasses individual attitudes and beliefs; the implicit psychological contracts between employees and employers; reactions to work arrangements, company policies, and design features; relationships between groups, among group members and between supervisors and subordinates; cultures, traditions, past experiences and values; human capacities for learning and growth as well as for sabotage and collusion; power and politics; individual personalities and group norms; the potential for motivation or alienation; for loyalty or dissension, for cooperation or conflict; and remarkable uniquely human emotions such as love, hate, greed, charity, anger, joy, fear, pride, devotion, jealousy, compassion and excitement. (p. 25)

As defined by Pasmore (1988) "The technical system of an organization consists of the tools, techniques, devices, artifacts, methods, configurations, procedures and knowledge used by organizational members to acquire inputs, transform inputs into outputs and provide outputs or services to clients or customers" (p. 57). Pasmore stated there was not one best sociotechnical design for organizations, that rather there are a variety of optional designs, with the best choice dependent on the nature of technology applied and compatibility with the

social system--that design which seems to be most acceptable based on research and practice. Pasmore elaborated:

Thus while the relationship between technology and organizational arrangements is not strictly deterministic, choices made about technology do indeed influence choices made about other aspects of the organization. Whether conscious or unconscious, the choices made by those who design and select technical systems affect the way people in organizations behave and how well organizations perform. (p. 57)

Pasmore (1988) offered sociotechnical systems design as the preferred alternative to traditional organization designs with narrowly defined jobs and roles that are inconsistent with human needs. He stressed design of tasks that provide for learning, development, growth, meaning, variety, mastery, belonging, and generativity.

According to Pasmore (1988), technology, though created or procured as inputs by organization members over time, is not benign. Technology affects behavior at individual, functional unit or department, and total organization levels. At the individual level, technical work design influences levels of variety, autonomy, feedback, task completeness, task significance, interdependence with others, and required skills. All of these factors can be ignored in favor of a technology preferred for other reasons, while missing opportunities for optimization based on human motivational properties and needs for self-fulfillment, meaningful purpose, and social interaction and belongingness.

The classic example cited by Pasmore (1988) has been the assembly line, which ignored most human needs. Another example is the classroom in a traditional public school. Education is mass-produced and delivered lock step through a closely prescribed curriculum delivered according to detailed procedures driven by a highly centralized administrative system. This centralized, mass production approach, fashioned after the military-industrial model of command and control largely ignores the needs of individual students or the creative abilities of the professional educator (Dolan, 1994; Glasser, 1992; Katz & Kahn, 1978; Kerchner, Koppich, & Weeres, 1997; Rogers, 1969).

Pasmore set out technical system design principles for efficacy and fit with human dimensions as:

"1. *Variances should be controlled at their source*" (p. 62).

"2. *Boundaries between units should be drawn to facilitate variance control*" (p. 63), by grouping interdependent operations together physically.

"3. *Feedback systems should be as complex as the variances which need to be controlled*" (p. 64).

"4. *The impact of variances should be isolated in order to reduce the likelihood of total system failure*" (p. 64).

"5. *Technical expertise should be directed to the variances with the greatest potential for systems disruption*" (p. 65).

"6. *Technological flexibility should match product variability*" (p. 66).

"7. *Technology should be appropriate to the task*" (p. 66).

"8. *Inputs should be monitored as carefully as outputs*" (p. 66).

"9. *Core absorbs support (e.g., quality control or customer service)*" (p. 67).

"10. *The effectiveness of the whole is more important than the effectiveness of the parts*" (p. 68).

Two assumptions underlie the STS perspective, according to Pasmore (1988):

The first of these is that while organizational design is not always completely rational, it is choiceful. Many designs are possible and some are superior. Organizational design begins with organizational creation and evolves over time; to the extent that this evolution reflects the real demands of the external environment and moves closer to joint optimization of the organizations social and technical systems, survival is more likely.

Second it is assumed that organizations are agreements among people and the changes in the organization will affect these agreements and vice-versa. Therefore, in addition to determining which changes in design will be more effective it is especially important to focus attention on the process of change itself. (p. 5)

STS theory has offered broad perspectives regarding the design of production and work systems that consider, if not capitalize on the human element. STS theory has also sought to strike a balance or insure alignment between the social and

technical systems. Considering the intractable bureaucratic state that continues in many public sector organizations and some large corporations, STS potential has been underappreciated (Bushe & Shani, 1991; Dolan, 1994; Galbraith, 2002; Pasmore, 1988; United States [U.S.] Department of Labor, 1990).

Group Dynamics in Organizations

Organizations are groups of people made up of subgroups. Consequently, group dynamics has played a large role in organization design, effectiveness and change (Dyer, 1995; Forsyth, 2006; Katz & Kahn, 1978; Smith & Berg, 1997). For purposes of this study, discussion of the literature on group dynamics and teams focused on change, specifically change in groups through minority influence, and on inter- and intra-group conflict. Of primary concern was the impact of facilitated group process and minority position of influence when articulating the need to change, as well as influencing group members to contribute to and embrace change.

When a new team is forming, third party facilitators have been able to expedite development of shared norms by clarifying formal group process and by indoctrinating team members during shared training. Shared responsibility for adhering to the process has helped solidify new norms (Forsyth, 2006). This feature of expedited group formation has been quite helpful when

ad hoc teams were formed to pursue problem solving or change (Bushe & Shani, 1991; Moore, 1987).

Research findings surveyed by Forsyth (2006) demonstrated that minority positions, the power of the few when articulated by appropriately positioned change advocates imbedded in a group, can be formative if played well. Group dynamics studies reviewed by Forsyth suggest that minorities were the most influential when they adopted a consistent, balanced with flexible behavioral style, and when they were unwavering in their positions of principle while also responsive to group member needs. Through the following observations Forsyth expounded on this principle:

1. Minorities who persuaded majorities of the importance of cooperation while self-confidently expressing their positions were more influential than minorities who demonstrated less confidence.

2. Minorities who demonstrated flexibility and who were willing to grant minor concessions to the majority were more likely to be influential than minorities who were rigid.

3. Groups listened better to minorities who were being consistent when their dissent was perceived as a sign of confidence and perceptiveness rather than rigidity or closed mindedness.

4. Minorities who offer compelling arguments that contradict the majority were more influential than minorities who failed to refute the majority's position.

5. Minorities were also more influential when the majority was unsure of themselves, uncertain about the correctness of their position.

6. Minorities who explained their dissent by confidently persuading that they know what they are doing and that it is for good purpose were more likely to be influential than minorities who adopted a more subdued style. This principle was especially true if their solutions to the group's problems had tended to be correct.

7. Minorities who began by prefacing their nonconformity with conformity had greater influence than those who were nonconformist from the outset. This phenomenon has been called idiosyncratic credits.

Forsyth (2006) summarized the impact of minority positions on group change over time:

Minorities tend to produce profound and lasting changes in attitudes and perceptions that generalize to new settings . . . whereas majorities are more likely to elicit compliance that is confined to the original influence setting. . . . Minorities, then, are a source of innovation in groups, for they shake the confidence of the majority and force the group to seek out new information about the situation. In one series of studies, when people worked on problems in groups, they often accepted the majority's solutions, even if those solutions were flawed. If, however, a minority argued for a non-obvious solution, the group members abandoned the flawed solutions

and sought solutions that were both novel and correct.
(p. 187)

These findings reported by Forsyth (2006) were predominantly from laboratory studies with students as subjects, a common characteristic of group dynamics research. Consequently generalizability to actual working groups may be questioned. However, participant observation of working ad hoc teams has, in the writer's experience, revealed like behavior dynamics of minority influence. When a minority member of the group articulated new perspectives, consistent with the principles enumerated above by Forsyth, it led to group change in beliefs and behaviors. Change occurred by creating new meaning and group processes embraced by the group. Lasting beneficial change in the entire organization resulted when group members shared their new assumptions, values and skills with others during an organization wide restructuring, as related in the second case in the case study section of this dissertation (Van Lente, 1997).

Conflict is one aspect of group dynamics that has received much attention (Rahim, 2001; Smith & Berg, 1997; Walton, 1987). Included in the attention has been the place and relative advantages and disadvantages of organizational conflict. Walton expressed it as,

The premise is not that interpersonal conflict in organizations is necessarily bad or destructive and that either those directly involved or third parties must inevitably try to eliminate or reduce conflict.

Interpersonal differences, competition, rivalry, and other forms of conflict often have a positive value for the participants and the social system in which they occur.
(p. 4)

Moderate levels of conflict, according to Walton (1987), have increased motivation, and have promoted innovation by surfacing diverse views and ideas. Views articulated have also increased understanding of respective positions by bringing out supporting arguments and information. Yet, conflict has also been disruptive, even debilitating, causing rigidity in the group or organization and distortions of reality. High levels of interdependence between the parties to conflict coupled with elevated levels of conflict have been shown to increase the seriousness of adverse consequences.

Rahim (2001) surveyed the development of theory about conflict, pointing out that most classical theorists, such as Fayol, and Weber, as well as neoclassical theorists such as Mayo, and human relations theorists including Likert and Lewin, saw most all conflict as dysfunctional in organizations; something to be rooted out, or at least minimized. The exception was Follett, who was "several decades ahead of her time. . . [and] noted the value of constructive conflict in an organization: 'We can often measure progress by watching the nature of our conflicts. Social progress is in this respect like individual progress; we become spiritually more and more developed as our conflicts rise to higher levels'" (Rahim, 2001,

p. 9). Rahim credited Follett with being the first theorist to conceive of integrative solutions to conflict, and credited her views as being the forerunner of Walton and McKersie's (1991) theory of integrative and distributive bargaining. Consistent with Follett's view, Rahim concluded that a moderate amount of conflict managed constructively was necessary for optimal levels of effectiveness in organizations.

Smith and Berg (1997) agreed, indicating that "small groups can actually realize significant benefit from the experience of conflict, including the reaffirmation of stability and the revitalization of group norms" (p. 36). Noting Tuckman's theory of group development, they pointed out that conflict is viewed as a necessary and natural phase. Groups after *forming* go through a *storming* stage of expressing individuality and resistance to group formation before moving on to *norming* and then *performing*.

Walton (1987) distinguished among substantive and emotional issues in conflict. Issues in conflict may be one, the other, or both, according to Walton. "Substantive issues involve disagreements over policies and practices, competition for limited resources, and differing conceptions of roles. Emotional issues involve feelings such as anger, distrust, scorn, resentment, fear, and rejection" (p. 68). Among substantive issues postulated by Walton were: (a) policies and procedures, (b) role definition, (c) role performance, and (d)

competition for rewards or resources. Emotional issues included: (a) frustrated personal needs, and (b) contradictory personal demands on relationships. Examples of contradictory personal demands in a relationship would be one party being overly aggressive and one collaborative, or one direct, another indirect. Walton contended that distinguishing between the two is quite important because:

Substantive conflict requires bargaining and problem solving between the principals and meditative interventions by the third party, whereas emotional conflict requires a restructuring of a person's perceptions and the working through of feelings between the principals, as well as conciliative interventions by the third party. The former processes are basically cognitive, the later processes more affective. (p. 69)

Conflict dynamics described by Walton (1987) included barriers--both internal and external--and triggers. Barriers can include, for example, task requirements, group norms, public image, perceptions of the other's or one's own vulnerability, fear that a conciliatory overture will not be reciprocated, and physical barriers to interaction. Triggers can increase the salience of a conflict, or lower the barrier. Conflict diagnosis involves understanding and identifying barriers and triggers.

Smith and Berg (1997) explicated conflict as being the product of an intertwined set of individual and group paradoxical processes operating at conscious and unconscious levels. Similarly, according to Johnson's (1996) polarity

management theory, conflict would be seen as a misunderstood and poorly managed polarity, an individual--group and perhaps self--other polarity. Most theorists interested in conflict have also been concerned with conflict management, which is beyond the purpose of this literature review, to provide a brief overview of conflict theory. Approaches to conflict management during labor contract negotiations were further explored in the following subsection and within the assessment and intervention discussion in chapter 3.

Unions, Negotiations, and Change

The impact of unions, where they exist, upon change in organizations cannot be ignored. Union-management collaboration through interest-based bargaining as an intervention is considered in the intervention section and in the following.

Behavioral Theory of Labor Negotiations

Negotiation, also referred to as bargaining, has been an organizational process commonly used to resolve conflict resulting from intergroup differences between labor and management, particularly in union-organized settings (Fisher, Ury, & Patton, 1991; Mathis & Jackson, 2006; Noe, Hollenbeck, Gerhart, & Wright, 2006; Rahim, 2001; Walton & McKersie, 1991). Walton and McKersie contended that almost all behavior in labor negotiations involves four distinct, yet related subprocesses:

(a) distributive bargaining, (b) integrative bargaining, (c) attitudinal restructuring, and (d) intraorganizational bargaining.

Distributive bargaining has centered on competitive behaviors motivated by the desire to influence the division of limited resources. It has served to resolve pure conflicts of interest. Integrative bargaining, however, has increased the joint gain available to the multiple negotiating parties. These were "problem-solving behaviors and other activities which identify, enlarge, and act upon the common interests of the parties (Walton & McKersie, p. xv).

Attitudinal restructuring influenced the attitudes toward each of the parties involved in negotiations by the other parties. It shaped the fundamental relationships, the bonds formed between the involved social units. Intraorganizational bargaining was intended to achieve consensus within the negotiator's own organization or subgroup among his or her constituents. While not as apparent, intraorganizational bargaining has been an integral feature of the negotiations process.

As explained by Walton and McKersie (1991), the four subprocesses are interrelated, yet at times are in conflict, consequently they can create many dilemmas for negotiators. For example, a power play that can be an effective tactical move in distributive bargaining would typically work against forming

more constructive attitudes between the groups. An effort to be more conciliatory with the other party may meet with disfavor from members of the negotiator's constituent group who prefer an adversarial relationship. Dilemmas arise especially between distributive and integrative bargaining because the tactical requirements of one are opposite those of the other. As another example, through aggressive distributive bargaining the aggressive party may obtain a larger share of a limited resource. However, it may result in the net gain to both parties being smaller or even negative initially or over time. When both parties engage in integrative bargaining, on the other hand, they can both gain. Mutually beneficial results or greater net gain from integrative bargaining can come in the form of a problem solved or new value created. Yet, if one party pursues integrative bargaining while the other views the openness and greater information sharing as a weakness and exploits it to gain advantage, the first party can lose.

According to Walton and McKersie (1991), experience has demonstrated the usefulness of conceptualizing these two as polar yet interdependent decision processes of distributive bargaining and integrative bargaining. These processes have also been referred to as *claiming value* or *creating value*, and for the individual parties to negotiations, respective positions versus shared interests.

As a means of differentiating between these polar dimensions, Walton & McKersie (1991) characterized distributive, fixed sum matters as issues and integrative, variable sum matters as *problems*.

The fixed-sum, variable-share payoff structure is our point of departure for defining an issue. It describes a situation in which there is some fixed value available to the parties but in which they may influence shares which go to each other. As such there is fundamental and complete conflict of interests. (p. 123)

Beyond the settlement range for distributive issues is the default range, where both parties lose, such as a strike in the short term, or business failure in the long term. Problems, on the other hand, lending to integrative bargaining, have been characterized as a

variable-sum situation in which a wide range of possible total values is available to the pair of parties (depending, for example, on the quality and creativity of their joint decision making) and in which the parties need not be preoccupied at the same time with the question of allocation of the values between them. (Walton & McKersie, p. 16)

An example would be in a situation where labor and management has agreed to an equal share of the value created by their efforts, such as a group gainsharing compensation plan.

While a variety of situational factors strongly influence how negotiation subjects are perceived and consequently how they are resolved, Walton and McKersie (1991) have found that some items tended to involve more inherent conflict of interest than others, for example wages and benefits. They identified three

types of negotiations objectives: (a) economic, (b) rights and obligations, and (c) relationship patterns. As they explained:

The first type of issue--that relates to direct allocation of economic resources--contains the most inherent conflict, but even this can be overstated. For example, a few companies prefer to be leaders in the wage area and find little conflict with the wage policies advanced by the union. (p. 19)

These types of negotiation objectives can be put on a continuum from *more distributive* to *more integrative* in terms of potential. However, successful outcomes seemed to depend on how the parties framed their objectives and how creative they became. Many negotiation subjects have offered potential for mixed distributive and integrative bargaining. Examples have been layoff protections that limited management flexibility to an extent, while also contributing to reduced turnover, thus with an offsetting savings. Another example has been incentive systems, which increased payments to each employee based on productivity. These systems reduced the number of employees needed, thus also reducing the health care benefit expense, as well as fixed assets necessary to engage employees in productive activity.

Walton and McKersie (1991) provided two visual means of fostering understanding of distributive versus integrative bargaining. These exhibits depict the relative gain available for the parties from each form of negotiations, including their choice of hard or soft bargaining strategy on distributive

problems. These visual depictions are provided in Appendix A, with modifications for clarity and to extend the conceptual opportunity of integrative bargaining. Walton and McKersie's Figure 2.3 (p. 15) illustrated the potential range for distribution of limited resources depending on how aggressive each party chooses to be relative to the other in a distributive negotiations. Their Figure 2.1 (p. 14) demonstrated the tradeoffs from the zero sum game of distributive bargaining as one alternative, contrasted with the potential for increasing shared value from integrative bargaining. The two exhibits taken together illustrate the polarity formed between distributive and integrative bargaining.

As illustrated in these figures, there is potential for mutual gain by being open or soft in approach, by sharing information on interests necessary for true integrative bargain. However, this openness also poses the risk of losing advantage if the other party takes it as a sign of weakness and decides to be exploitive instead of collaborative, pursuing a hard distributive instead of integrative strategy. Both parties need to be integrative, mixed at times with distributive in like proportions at the same time on the same problems and issues respectively for the preferred negotiations process to work. On mixed issues with problems, the parties need to recognize when they are being integrative and when distributive, both shifting gears synchronously (Walton & McKersie, 1991).

The exhibits also illustrated the limitations of compromise, the common distributive bargaining outcome where scarce resources are more or less evenly divided. The net value to each party is reduced by the actual bargaining costs. Theoretically there was also an opportunity cost further reducing net value. The opportunity cost is the lost potential for mutual gain and value added as a result of deploying distributive instead of integrated bargaining (Walton & McKersie, 1991).

Dilemmas in distributive bargaining, according to Walton & McKersie (1991), have primarily involved selection from the complement of bargaining tactics. For example, a decision to communicate directly with employees could give the company a better assessment of the significance of a specific issue, such as health insurance. However, such communication could also solidify the union's position and result in less confidence in the company when it does not fulfill heightened employee expectations. In addition, direct communication between management and employees could alienate the union leadership and bargaining team. Furthermore, direct communication could result in an unfair labor practice charge of attempting to negotiate directly with employees instead of recognizing their exclusive representative (Mathis & Jackson, 2006).

Most dilemmas, explained Walton and McKersie (1991), are due to potential conflict between distributive bargaining and

the other subprocesses of integrative bargaining, attitude structuring, and intraorganizational bargaining. Many, if not most, negotiations subjects are a combination of issues and problems, thus lending to a potential mix of distributive and integrative bargaining.

Issues, problems, and mixed items have different types of outcomes. Issues result in compromise solutions. Problems result in integrative solutions in some degree. Mixed items can result in either compromise or integrative outcomes, depending upon the orientation of the negotiators and their tactical approach to the agenda item. (Walton & McKersie, p. 128)

Similarly, Klingel (2003) found that the integrative approach of interest-based bargaining has become incorporated into the "larger, existing framework of bargaining practices as a set of techniques not wholly separate from traditional bargaining practices" (p. 37). Klingel and others view collaborative bargaining as a hybrid form of bargaining on a continuum of bargaining behaviors (see Figure 2).

Walton and McKersie (1991) quoted Follett in her description of the differences between conflict resolution strategies: "The conflict in this case was constructive. And this was because, instead of compromising, they sought a way of integrating. Compromise does not create, it deals with what already exists; integration creates something new" (p. 128). Trust and a supportive climate are essential for successful integrative bargaining.

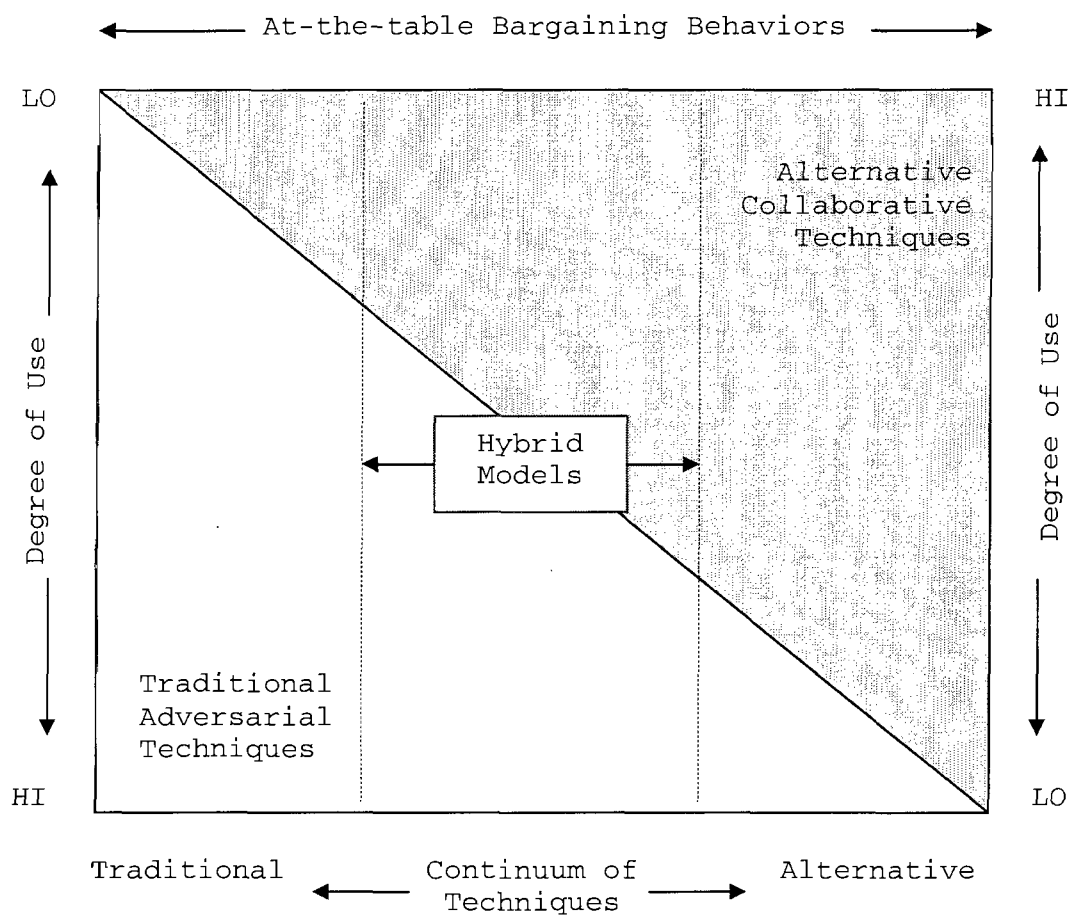


Figure 2. Continuum of bargaining behaviors

Note. From "The Life Cycle of Labor Management Relations," by R. Wilson, 2000, Negotiators Notebook, p. 1. Copyright 2000 by Oregon School Boards Association. Adapted with permission.

A supportive and trusting climate facilitates joint problem solving. Defensive and low-trust atmospheres inhibit the process. A supportive climate is marked by encouragement and freedom to behave spontaneously without fear of sanctions. A defensive atmosphere is one in which the parties perceive threat and risks associated with provisional behavior. (Walton & McKersie, p. 141)

Building trust can be essential to any labor management shared improvement initiative. However, there is disagreement regarding how much trust is necessary beforehand to ensure success with such initiatives (Wilson, 2000; Woodworth & Meek, 1995).

Why is climate important, Walton and McKersie (1991) asked? They gave five reasons.

1. When trust is lacking, there is usually defensiveness that is at best distracting, though often inhibiting of problem-solving as the parties are more concerned with averting threats from each other. Their focus becomes defending themselves from feared attack by the other party in a self-reinforcing cycle that thwarts or at least inhibits problem solving.

2. The parties will withhold information, or even provide false information in a positioning posture typical of distributive bargaining, being distrustful of the other party's intentions regarding problem solving.

3. In contrast, when trust is present, each party will be less inclined to read in to the other party's communication what are often their own projections of efforts at distortion. When defensiveness is lower or absent, receivers of communication are

better able to focus on the actual content and meaning of the message.

4. A supportive environment fosters open exchange of ideas, testing of perceptions, and "stimulation and sharing, during which ideas get kicked around, elaborated, and defended" . . . leading to ". . . new meanings that would not occur to one by oneself" (p. 142).

5. When feeling threatened and anxious, negotiators lose "efficiency in processing the information they receive . . ." and ". . . their ability to abstract and in other flexibilities of intellectual functioning" (p. 143).

Walton and McKersie (1991) cautioned that some minimum level of trust and support was a precondition to problem solving, however that did not mean an absence of all conflict. Moderate levels of conflict with trust were optimal, they contended.

More information on integrative, or as more commonly called interest-based bargaining, is presented in the discussion of intervention methods, which follows later in this dissertation in the assessment and intervention section. An example is provided in one of the cases, the Highland County School District.

Walton, Cutcher-Gershenfeld, and McKersie (1994) further elaborated a theory of strategic negotiations based on bargaining strategy and pattern changes they contended are

driving by heightened competitiveness. Transitioning from what they characterized as the New Deal bargaining era of arms length union management accommodation are three strategic change options they observed to be occurring driven by this new competitiveness era. Included are forcing change through bargaining and other leverage, fostering change through communication, problem solving and partnering relationships, or escaping the scene, for example moving operations to a lower cost, non-union facilities.

Their more comprehensive theory of strategic negotiations featured the following contextual forces, strategies, processes, structures, and outcomes. Forces shaping negotiation choices included

1. Desirability of change, including (a) substantive objectives, for example reduced labor costs and improved productivity through operational flexibility by management, or increased job security and involvement in business strategy by union, (b) social contract objectives, generally improved relationships, more open communication, development of trust and willingness to collaborate instead of compete by both union and management, and change from compliance to commitment at the individual level through employee involvement, for example in quality circles,

2. Feasibility of change, including (a) expected response of the other party, (b) relative bargaining power, and (c) other

enabling factors, for example skills of the parties in joint problem solving, the current culture of the organization (Walton et al., 1994).

The actual interaction system postulated by Walton, et al. (1994) included

1. Negotiating strategies of (a) forcing, through negotiating power, typical of distributive bargaining, (b) fostering, through cooperation and problem solving, and (c) various forms of escape, an example being subcontracting to a non-union firm,
2. Negotiating processes of (a) distributive and integrative bargaining, b) shaping intergroup attitudes, and c) managing internal differences. These negotiating processes are essentially those put forth by Walton and McKersie (1991) in their behavioral theory, with the re-labeling of intra-party negotiations as managing internal differences, and
3. Negotiating structures included in the interaction system of (a) frequency of interaction-number of channels, with shifts from periodic to more frequent or continues interaction for fostering strategies, such as with labor-management partnerships, (b) individual and institutional levels, with shifts to more individual levels when strategy changes from compliance to commitment through involvement by individual employees, (c) degree of centralization, such as local facility, division, or national pattern agreements, and (d) number of

parties, with a trend away from bilateral to multiple interest group involvement; such as community, vendor, or for example in the case of one very large Coalition of Kaiser Permanente Unions, multiple independent and affiliated unions representing different groups of employees with one very large, multi-location employer (Eaton, Kochan, & McKersie, 2003).

Outcomes of negotiations, as presented by Walton et al., (1994) included

1. Substantive terms of (a) wages and benefits, (b) work rules, (c) employment security, etc, and the
2. Social contract at individual and institutional levels of (a) compliance-containment, (b) commitment-cooperation, and (c) commitment-containment, etc.

A compliance-containment outcome would, for example, be a highly structured production operation with detailed, enforced operating procedures, little employee discretion under tight supervision, and an arms length relationship with the union dealing only with negotiated wages, benefits and conditions of employment, a quite traditional and historically popular approach in major industry (Walton et al., 1994). An example of a commitment-cooperation outcome was the Kaiser Permanente union management partnership (Eaton, Kochan, & McKersie, 2003), including joint initiatives for continually increasing patient care quality, fostering growing employee involvement and satisfaction as measured by their People Pulse surveys, and

operational efficiency improvements achieved by Kaiser's department or unit based teams (Kochan et al., 2005). Another example was success with interest-based bargaining and decision-making, and creation of a partnering relationship featuring joint initiation of school based collaborative decision-making teams in the case of the Highland County School District presented later. Another example was union involvement with management in surveying employees and responding to their concerns about a historically dysfunctional union-management relationship by working at building trust and creating opportunities for more frequent communication through employee and union leadership focus groups with management, including discussion of business strategy (Van Lente, 1999).

An example of commitment-containment could be creation of a new, non-union location, what has been referred to as a green field plant because they are often located in a field near a small rural town where costs are lower and union influence is minimal. Management strategy will often feature high employee involvement and commitment as part and parcel to a union avoidance strategy (McKersie, 1993; Noe, et al., 2006; Walton et al., 1994). In such instances, in addition to fostering employee commitment, management might actively discourage employees from placing their confidence in a union, stressing instead that management takes care of its employees. Other beliefs promulgated could be that a union would introduce

unnecessary and unattractive factors, such as union dues, and union representatives placing themselves in between employees and their management, thus interfering with communication.

*Prospects for Labor and
Management Collaboration*

Kochan and Dyer (1976) presented a model for organizational change in union settings based upon a set of assumptions that suggest opportunities offset by constraints. Essential considerations, they contended, for successful union and management joint change programs are

1. External and internal pressure, for example from economic conditions or constituents,
2. The effectiveness of the existing collective bargaining process for addressing the extant issues i.e., whether another process is needed,
3. Joint commitment that is perceived as meeting each parties goals with willingness to negotiate and make compromises,
4. Absence of power holder coalitions in either labor and-or management attempting to block the effort,
5. Early successes and the prospect of future successes in meeting goals for both the union and employer,
6. Continuation of the need and goals sought over time for both parties,

7. Perceived equitable distribution of the benefits to the parties,

8. Perceived instrumentality of the union in obtaining benefits from the change program to maintain union commitment,

9. Perceptions of legitimacy in the context of labor and management relations, with no infringement on the regular collective bargaining process or management rights,

10. Clarification of ambiguities relative to the collective bargaining process, grievance procedure, and joint change program,

11. Avoiding impressions that union leadership roles are being co-opted such that they become indistinguishable from typical management roles,

12. Buffering from strategic maneuvers of regular contract negotiations, the distributive tactics of the parties, and continued union aggressiveness in pursuing their constituents goals in negotiations. OD interveners, according to Kochan and Dyer, must be sensitive to these dynamics.

Furthermore, "Consultants must learn to accept structurally based power sharing and conflict as facts of life (Kochan & Dyer 1976) given the two separate formal structures of union and management with different, often conflicting goals. Rather than expecting high levels of trust as a pre-condition to a change program, consultants must accept that limited trust is typical given incompatible goals and self-interest orientations.

They asserted that interpersonal trust-building efforts, such as inter-group team building or laboratory training are not likely to be effective, given divergent goals and motivations of the parties. In conclusion, they hold, "If applied behavioral scientists are to successfully operate in joint union management change efforts, they must accept the legitimacy of the differences in goals between employers, workers, and union organizations" (p. 76).

McKersie (1993), taking a more optimistic view, categorized three levels of labor management relations: (a) collective bargaining, (b) corporate strategy, and (c) workplace conditions. He has seen these dimensions as playing out in three prototype labor management systems:

1. Traditional system of management at the strategic level, union at the workplace level, with detailed contracts and grievance procedures, and the negotiations level involving industry patterns that take wages out of competitive mix. This pattern has been followed in basic industries such as automotive and steel. It seems to work as long as there is steady growth and limited competition. Obviously limited competition is not the case any longer in automotive, steel, and other industries.

2. Nonunion, which is generally more productive and less costly, yet offers employees much of what the union system does in a grievance procedure, and protective strategy and policy designed to make unions unnecessary and unattractive. This

strategy has been used for years by many successful firms, and is increasingly being used to avoid unions.

3. The third system which is emerging as a transformation of the traditional system featuring labor management collaboration and union interest and shared responsibility in strategy, as well as workplace conditions and collective bargaining.

McKersie (1993) contended that the changes in a world economy and global society may be leading to the third system, as well as continued popularity of the second system. However, he raised the questions of: Which will it be? Will the third system grow and replace the first, or will the second system replace both the first and third systems?

Hecksher (1993) argued that while *mutual gains dispute resolution* has spread rapidly in many arenas of social action, sustained growth in popularity has not been the case in labor relations, which he found puzzling, given formalization of negotiations in labor relations settings. He found that bargaining reforms or innovations have been present and cyclical, but not sustained. He cited positive examples of joint labor-management initiatives by the human relations committee in the basic steel industry, and the previous notoriously adversarial long shore industry. All have moved well towards the tenants of mutual gains bargaining. However, these seem to be more exceptions than the rule.

Woodworth and Meek (1995) indicated that a survey of the empirical research literature supported the view that labor management partnerships clearly add value, including benefits such as: (a) increase in self-worth and pride in one's job, (b) higher financial rewards for employees, and (c) more positive relationships between workers and their supervisors. They indicated that research has also shown a variety of other advantages including: (a) reduction in grievances, (b) more voice for employees in how their jobs are done, (c) overall higher satisfaction, (d) more meaningful involvement of union representatives in management decision making, (e) assistance to labor officials in running the union, (f) increased recognition of union officials among the rank and file, (g) better quality products and services to customers, (h) improved efficiency and higher productivity, (i) reduced costs of overhead, materials, expenses related to rework and waste, (j) enhanced management-employee communication and relationships, (k) closer alignment between workers' and management's goals, and (l) reduced tardiness, absenteeism, and turnover. Offsetting these benefits somewhat were potential disadvantages of: (a) added costs to train a number of people to apply labor-management partnerships, (b) role conflict for union officials, and (c) layoffs due to increased productivity.

Yet in spite of the obvious positive balance, according to Woodworth and Meek (1995), many labor-management partnerships

have been short-lived. They attributed limited success to an OD bias against unions in favor of management, a phenomenon they have seen as characteristic of the origins of the OD profession. "Our opinion of OD effectiveness in unionized firms has its origins in the conceptual roots of organizational research" (p. 20). They asserted that OD has had a historic bias in favor of working with management in a top-down fashion; an approach that is rather one-sided and *props up* managers but ignores workers. As support, they cited the much more collaborative and successful relationships between labor and management in European, Asian, and Scandinavian countries, and they suggested there is much room to improve in the U.S. Summing up their position:

Most OD professionals tend to have very little understanding of the collective-bargaining process and labor-management agreements. Therefore, . . . they typically tend to regard these factors as bureaucratic red tape and a source of inflexibility and ineffectiveness. Even though there may be some truth to this view, if an OD effort is intended to be sustained as a process of ongoing culture change, then it is necessary to build upon the existing cultural and institutional base. The institution of collective bargaining, the labor-management agreement, the methods of administering the contract, the union's organizational structure, and the informal cliques and factions that exist within the union are all part of the deeply embedded assumptions, values, and behavior patterns of the workplace. (pp. 75-76)

If ignored these factors can jeopardize any cooperative effort. While they may at times present barriers to some aspects of cooperation and wide-scale employee involvement, they can also become "an institutional springboard for launching a cooperative

partnership. As a minimum, these factors must be accommodated in the development of any cooperative partnership, or they will eventually work first to frustrate and eventually destroy it" (p. 76).

Van Lente (1999) found that by partnering with labor leaders, as well as management, in applying survey-guided organization development, process consultation, conflict resolution, and teambuilding interventions, along with coaching both management and labor leaders, employee confidence and commitment was restored and a successful business turnaround achieved. The partnership also featured joint initiation of an employee assistance program, thus eliminating one of the most common sources of conflict between the parties, discipline and termination of problem employees, and helping save a number of valuable employees. The overall effort, including repeat of the survey two years apart, led to two successful labor contract negotiations without work stoppages following a history of long and bitter strikes. In addition, there were significant improvements made in the labor agreements that supported change, including management introduction of numerous operational improvements. The combined changes led to performance records in sales and profitability for a manufacturing division that had been tentatively slated for closure due to unprofitable performance. Van Lente's experience supported that there is

nothing inherently incompatible between OD and progressive labor relations joined through labor management partnerships.

Other notable labor management partnerships have demonstrated the potential of such relationships in the U.S., in major industry (Woodworth & Meek, 1995), public education (Brod, 1994; Brown, 2002; Hannaway & Rotherham, 2006; Maeroff, 1993; National Education Association [NEA], 1998; Schmuck & Runkel, 1994; U.S. Department of Labor, 1990), and in healthcare (Eaton, Kochan, & McKersie, 2003).

Learning in Organizations

Most human resource and organizational theorists and practitioners agree that learning is fundamental to how organizations and their members form, develop, grow, and change. However, about as many views have developed of how this occurs as there are theorists of human learning in organizations (Argyris & Schon, 1978, 1996; Burke, 1994; Freedman, 2007; Merriam & Caffarella, 1991; Noe et al., 2006; Schunk, 2000; Senge, 1990). Regarding individual learning, Merriam and Caffarella provided a synopsis of theory for behaviorist, cognitivist, humanist, and social learning with implications for the practice of adult learning. Noe et al. provided a similar schema including goal, expectancy, need, and information processing theories of learning. He detailed how organizations apply these theories in a process of needs assessment, training

design, delivery of learning, and evaluation, all designed to build competencies needed by the organization and desired by employees.

Cummings and Worley (2005) clarified that "learning is organizational to the extent that:

- ◆ It is done to achieve organization purposes.
- ◆ It is shared or distributed among members of the organization.
- ◆ Learning outcomes are embedded in the organization's systems, structures, and culture" (p. 498).

Probst and Buchel, (1997) offered another definition:

"Organizational learning is the process by which the organization's knowledge and value base changes, leading to improved problem-solving ability and capacity for action" (p. 15).

Argyris (1985) and Argyris and Schon (1978, 1996) provided a view of organizational learning that features levels of (a) *single loop learning*--how to do better at what and how things are done now, (b) *double loop learning*--how to learn new ways of doing things based on new assumptions and understandings of how things work, and (c) *deuterolearning*--learning about how learning occurs in the organization and how to improve all forms of learning. Through inquiry about others' theories of action, and reflection on one's own theories, flawed or incomplete assumptions and defensive routines that interfere with learning

can be overcome, according to these theorists. Higher forms of learning can help individual organization members understand the difference between espoused theories and theories actually in use, expand and align their theories of action to include more comprehensive and shared theories, and thus change and improve upon the theories in use. When mastered, action science as a special form of learning can enable reflection in action, in other words, being capable of mentally pausing to reflect on one's thoughts while at the same time acting on those reflections, incorporating the actual experience at hand, and applying past learning.

Senge (1990) offered a comprehensive systems view of organizational learning based on disciplines of personal mastery, mental models, shared vision, team learning, and systems thinking. Van Lente (1999), quoting Senge, provided a synopsis of these disciplines as follows:

1. *Personal Mastery*--"special proficiency. . . continually clarifying and deepening our personal vision, of focusing our energies, of developing patience, and of seeing reality objectively" (Senge, p. 7).
2. *Mental Models*--"deeply ingrained assumptions, generalizations, or even pictures or images that influence how we understand the world and how we take action" (Senge, p. 8).
3. *Shared Vision*--"shared picture of the future we seek to create" (Senge, p. 9).
4. *Team Learning*-- "using dialogue, the capacity of members of a team to suspend assumptions and enter into a genuine 'thinking together'" (Senge, p. 10).

5. *Systems Thinking*--seeing the system as a whole with its distant connections in time and space, realizing that each part has an influence on the whole that is usually hidden from view. (p. 22)

Senge's (1990) notion of mental models was influenced by and is a corollary of Argyris and Schon's (1978, 1996) theories of action. Group or team learning, in Senge's view, occurs through shared mental models, discovered and created through iterative cycles of inquiry with reflection, and discussion with dialogue. Dialogue, as Senge (1990) explained it, is a process of suspending one's own assumptions and reactions in order to focus on truly listening to and understanding others, including learning and accepting their assumptions as plausible. Discussion, in Senge's view, is confidently asserting our views in an effort to have them understood and accepted by others. Discussion has value when combined with dialogue. Without dialogue, discussion often results in escalation of differences and conflict. Effective inquiry includes balancing inquiry and advocacy, seeking to understand and surface others' views, and alternately assertively and openly articulating one's own views. Reflection involves examining our own assumptions and the behavioral predispositions resulting from our assumptions, how they effect our actions and the actions of others.

The key to effective dialogue is to truly put one's assumptions on hold and focus on listening, seeking to understand, and accepting others' assumptions as worthy of

knowing along with our own assumptions (Senge, 1990). The value in dialogue is often created by expanded, more complete and inclusive mental models that create shared meaning and provide a basis for collective and effective action, which Senge characterized as "*thinking together*" (p. 10). Quoting Bohm, Senge asserted that

Dialogue is a way of helping people to "see the representative and participatory nature of thought [and] . . .to become more sensitive to and make it safe to acknowledge the incoherence in our thought." In dialogue people become observers of their own thinking. (pp. 241-242)

Isaacs (1999), makes reference to dialogue as an alternative to the position taking and asserting that often typifies conversation, negotiations, and debate over differences. He offers further definition of dialogue:

Dialogue, as I define it, is a conversation with a center, not sides. It is a way of taking the energy of our differences and channeling it toward something that has never been created before. It lifts us out of polarization and into a greater common sense, and is thereby a means for accessing the intelligence and coordinated power of groups of people . . . dialogue is a conversation in which people think together in relationship. Thinking together implies that you no longer take your own position as final. You relax your grip on certainty and listen to the possibilities that result simply from being in a relationship with others-possibilities that might not otherwise have occurred. (p. 19)

As described by Senge (1990) Dialogue enables goal oriented team learning among talented individuals by overcoming barriers to learning; defenses that protect us from threats, but also from learning:

Team learning is the process of aligning and developing the capacity of a team to create the results its members truly desire. It builds on personal mastery, for talented teams are made up of talented individuals. . . . Team learning also involves learning how to deal creatively with the powerful forces opposing productive dialogue and discussion in working teams. Chief among these are what Chris Argyris calls "defensive routines," habitual ways of interacting that protect us and others from threat or embarrassment, but which also prevent us from learning. (pp. 236-237)

Systems thinking includes understanding and appreciating archetypes, master patterns of system dynamics, *nature's templates* as Senge (1990) characterized them. Archetypes depicted by Senge and Senge, Roberts, Ross, Smith, and Kleiner (1994) featured combinations of reinforcing and balancing loops, with feedback loops, rather than straight linear relationships. These learning organization theorists have depicted five fundamental archetypes:

1. Fixes that backfire, usually involving quick fixes that produce temporary improvement, followed by worsening deterioration caused by unintended, generally delayed consequences of the fix. When the fix is repeated, because it did seem to help for a while, it makes long-term conditions progressively worse.

2. Limits to growth, where a reinforcing or growth loop runs up against a constraint that is reached, a balancing loop such as present capacity or the availability of resources, whether human, organizational, financial, or material.

3. Shifting the burden, featuring two balancing loops, one for the symptom that is obvious, and one for the underlying problem. Similar to fixes that backfire, when the focus is fixing the symptoms instead of the underlying problem, side effects loops occur that gradually cause deterioration in the organization's ability to address the underlying problem. These side effects loops can become addicting, as they are increasingly repeated and reinforced instead of solving the underlying problem.

4. Tragedy of the commons, involving competition for a scarce or limited resource, with competition heating up as the resource diminishes, sometimes completely destroying the ability of the resource to regenerate or re-supply. This archetype has two or more reinforcing loops in competition with each other as the resource is increasingly used up or destroyed.

5. Accidental adversaries, where two parties who really must rely upon each other to achieve certain goals end up, often unknowingly, undermining each other's efforts based self serving actions and their reactions to each other's actions. This archetype is comprised of a balancing loop for each party to the conflict which when combined form a negative reinforcing loop between them that serves to accelerate the reciprocally damaging cycles. This archetype seems relevant to the Highland County School District case detailed in the case studies section of this dissertation, where labor and management, while needing to

cooperate for both to succeed, had a long history of being adversaries whose self-interested actions undermined each other.

Visualizing the archetypes templates and examples provided by these authors has been instructive in fostering understanding and use of archetypes. These images have aided the writer in forming mental models of specific system dynamics.

Effective system change, asserted Senge (1990), involved knowing how to apply leverage, which induces change at key points in the system that are generally not obvious. Understanding archetypes, which can aid in surfacing and enlightening shared mental models, can aid in identifying leverage points for change. Applying selective leverage is preferred to attempting to force change through large efforts that incite resistance due to the system pushing back.

Senge (1990) has asserted that systems thinking and mental models complement each other because "The two systems go naturally together . . . one focuses on exposing hidden assumptions and the other focuses on how to restructure assumptions to reveal causes of significant problems" (p. 203). This ability is especially important, claimed Senge, because "Contemporary research shows that most of our mental models are systematically flawed. They miss critical feedback relationships, misjudge time delays, and often focus on variables that are visible or salient, not necessarily high in leverage" (p. 203).

One way to simulate complex mental models advocated by Senge (1990) was creation of *microworlds*. Microworlds are designed experiences, often using information technology, to experiment with alternate assumptions and scenarios, to learn by doing without the high risk of learning the hard way through failed decisions or strategies. Microworlds provide alternate ways of defining future reality and being prepared before it *creeps up and shocks* an unsuspecting system. Using personal computers, organizations can "develop individual or team capacities to deal productively with complexity..." and "...capture the dynamic complexity that confronts the management team when it seeks to craft new strategies, design new structures and operating policies, or plan significant organizational change" (p. 315).

De Geus, former planning director for Royal Dutch Shell, is a proponent of organizational learning. Senge was De Geus' protégé as De Geus was to Argyris and Schon. De Geus and Shell applied organizational learning to clear advantage in the face of unexpected change in world oil supply. The Organization of Petroleum Exporting Countries (OPEC) production cutbacks threw competitors into a tailspin, while at Shell they were far along on plans for alternate supplies and refinery reconfigurations to handle multiple grades of crude. De Geus contended that our business world is one where "the ability to learn faster than

competitors may be the only sustainable competitive advantage" (De Geus, 1988, p 71).

Convergence of HRM, HRD and OD

The balance of this literature review addresses a trend involving three related fields of management practice in organizations that, while having developed quite independently, have increasingly merged. These fields have formed a complement of overlapping and reinforcing disciplines, each with a growing strategic focus that has contributed to their merger. Ruona and Gibson (2004) expressed and supported how

Twenty-first-century HR [Human Resources] is emerging to uniquely combine activities and processes of human resource management (HRM), human resource development (HRD), and organization development (OD)--three fields that 'grew up' distinct from each other. Contributing strategically to organizations' demands that HRM, HRD, and OD coordinate, partner, and think innovatively about how they relate and how what they do impacts people and organizations. (p. 49)

Driven by changes impacting organizations today, such as globalization, the service economy, focus on speed and innovation, pressure for financial performance, an increasing focus on customers, e-business, changing demographics, and heightened competition, organizations have expected and needed more from HRM-HRD-OD, resulting in a move towards coordination and integration of historically separate planning, programs and practices. This merger of HRM, HRD, and OD was influenced by the realization that people are the primary source of

competitive advantage (Berman, Bowman, West, & Van Wart, 2001; Noe et al., 2006; Lawler, 2003; Mathis & Jackson, 2006; Ruona & Gibson, 2004; Ulrich, 1997).

According to Ruona and Gibson (2004) it has become more and more evident that "success is determined by decisions employees make and behaviors in which they engage" (p. 49). This growing realization has stimulated increasing emphasis on HR department development of programs in HRM, HRD, and OD to leverage talent and align people competencies with organizational competencies and strategy.

An analysis of the evolution of these three fields helps to explain why the distinctions among the three areas continue to blur and how the similarities among them provide the necessary synergy for HR to be a truly valued organizational partner. (p. 49)

These authors placed HR on a continuum in terms of its development from operationally reactive to strategically proactive, and included a 2 x 2 matrix of the reactive-proactive and operational-strategic options for HR.

Of particular note during the 1990s to present has been the emphasis in HR of aligning people management strategies with business strategy, including

Working to establish a desired culture that would support competitive advantage and designing HR practices (such as competency assessment . . . and total rewards systems) that would foster this culture. HRM also began a foray into change management and organization development activities. (Ruona & Gibson, 2004, p. 55)

Similarly, beginning during the 1980s and increasingly to the present, the field of HRD has incorporated organization development processes, especially work with teams, into training and career development. Ruona and Gibson (2004) cited a popular definition of HRD from McLagan's 1989 landmark study of HRD practice, as "the integrated use of training and development, career development, and organization development to improve individual and organizational effectiveness" (p. 56). The roots of OD's strategic and systemwide emphasis began even earlier with Beckhard's work in open systems planning during the 1960s, and included also analysis and intervention at multiple organizational levels, such as culture, and a classic HRM function, reward systems (Ruona & Gibson, 2004).

Concern with workplace change and performance improvement through learning became a third dominant theme influencing the convergence of HRM, HRD, and OD, along with the total system perspective and focus on strategy. HRM, HRD, and OD have increasingly been concerned with organizational learning, including self-directed and generative learning, and learning organizations, including personalized learning and development plans, team learning, and leadership development and coaching.

Measurement, both qualitative and quantitative, has been a fourth theme. This theme included use of measurement to assess and monitor variables indicative of learning and change, cultural dimensions such as values and roles, employee

satisfaction and commitment, and *harder* measures such as turnover, grievance frequency, and lead time to hire. Measurement has increasingly been used to assess desired change and link measures to organizational outcomes and results, such as customer satisfaction, productivity, profitability, and return on investment (Becker, Huselid, & Ulrich, 2001; Losey, Ulrich, & Meisinger, 2005; Phillips, 1998; Rothwell & Sullivan, 2005; Ruona & Gibson, 2004; Ulrich, 1997).

Ruona and Gibson (2004) projected that HRM, HRD and OD professionals of the future will need to be

extremely attuned and responsive to the external climate and markets of an organization. . . anticipating future trends . . . [and providing] integrated, systemic interventions that develop and leverage an adaptable, agile workforce. . . [with a] focus on learning at the individual, group, and organizational levels. (p. 58)

They held that in addition to having competencies in their respective disciplines of HRM, HRD and OD, human resource professionals will need to know how these competencies and functions all fit together and are aligned with business or organizational strategy. HRM's increasing role, in their view, will be "creating future strategic alternatives for the organization" (p. 57).

Ulrich (1997) popularized the notion of HR as change agent, strategic partner, and employee champion, as well as administrative expert. The increasing emphasis on the first three roles signified movement in values and practice converging

with HRD and OD. For example, in Table 2-1, Definition of HR Roles, p. 25, Ulrich included in activities of "Strategic Partner--'Organizational diagnosis' [and] Employee Champion--Listening, and responding to employees: 'Providing resources to employees' [and as] Change Agent--Managing transformation and change: 'Ensuring capacity for change'" (p. 25). Even the "Administrative Expert--Reengineering Organization Processes: 'Shared services'" (p. 25,) role espoused by Ulrich suggested aspects of organization design in the sociotechnical systems perspective.

Van Lente (2006) expressed the need of graduate students in organizational behavior and organization development to be aware of how OD and HRM are viewed and interrelated, and how they must be aligned in contemporary organizations:

HRM professionals and line managers often view Organization Development as a function or specialization within HRM, similar to Training & Development, Employee Relations, or Performance Management. Within the Organization Development field, HR interventions are viewed as being among those deployed in OD. In any case, aspects of both fields are intertwined in theory and practice. If HRM and OD strategies and tactics are not aligned, they may work at cross-purposes to each other, rendering both ineffective. When well aligned, they provide leverage, often creating positive synergy for planned change. (p. 2)

He further stressed the need to be aware of client contact, peer and reporting relationships involving OD and HRM:

Though ideally the CEO is highly involved and committed, the initial point of entry for OD consultants will often be the HR function and staff. HR leaders are often the first and continuing primary client contact, and at times

function as internal consultants collaborating with external OD consultants. When a firm employs internal OD professionals, they are generally situated within HR, reporting directly to an HR executive, or OD Director who reports to an HR executive. It is helpful for internal OD consultants to know about what their HR peers do and how HR and OD are combined to gain competitive advantage. (p. 2)

Summing up overlapping roles and responsibilities, and consequently the needs of aspiring OD practitioners, Van Lente pointed out that:

In many organizations, internal OD professionals often have responsibilities combined with aspects of HR, such as training and human resource development (HRD), performance management, and succession planning. HR leaders are increasingly expected to possess competencies in OD. These and other factors make HRM a key component of scholar-practitioner preparation in OD. (p. 2)

Various other scholars, practitioners and thought leaders mix their HRM, HRD, OD, leadership and executive coaching teachings, writings, and practice across these interwoven disciplines (Effron, Gandossy, & Goldsmith, 2003; Losey et al., 2005; Rothwell & Sullivan, 2005). For example, Rao and Rothwell (2005) in a chapter about using the HRD audit to build convergence between HRM and OD in the *Practicing Organization Development* series asserted that:

Human resources (HR) and organization development (OD) share similar roots in the human aspect of organizations. In the past, distinct differences between HR and OD served to clearly differentiate the two disciplines. However, as each discipline has evolved, the differences between them have diminished. Currently, the fields of HR and OD are blurred, with no evident dividing line drawing distinction between these two disciplines. (p. 106)

In a 2001 study Rao and Rothwell cited, 41.8% of human resource managers saw their roles as changing to include organization development, including managing change and organization culture. They also provided a variety of examples where HRD audits were in effect an OD intervention, bringing attention to needs such as building trust and increasing collaboration and teamwork.

They concluded that:

The HRD audit was not originally intended to be an OD tool. By virtue of its diagnostic and participative methodology, it works as a change management tool. But the audit process does have the potential to serve as an OD intervention, and it can facilitate bringing together HR and OD. (p. 133)

Cummings and Worley (2005) included a section with two chapters on human resource interventions in their popular OD & C text. In this text they treated performance management and appraisal, the reward system, career planning and development, workforce diversity, and wellness programs all as HR interventions. Many of the models for OD assessment and change include the human resource subsystem as critical to organization functioning and change, stressing the need for alignment of HR with organizational and change strategy. Fundamentally, if an OD intervention is applied to change a belief and behavior system that is limiting, yet the recognition and reward system does not reinforce those changes, the changes are not likely to last. Worse, if the granting of pay raises and bonuses continues to reward the old behavior that the OD intervention

was designed to change; the change has little chance of ever taking hold. Organizational communication is an essential HR process that is absolutely necessary to support an OD & C initiative (Beckhard & Pritchard, 1992; Burke, 1994; Cummings & Worley, 2005; Noolan, 2006; Rao & Rothwell, 2005; Ulrich, 1997).

Early during the formative years for these fields from research performed by the Institute for Social Research, Likert (1961) concluded that "This highly motivated, cooperative orientation toward the organization and its objectives is achieved by harnessing effectively all the major motivational forces which can exercise significant influence in an organizational setting" (p. 98). Likert included ego motives, such as self-fulfillment, desire for growth, status and recognition, involvement, task accomplishment, as well as security, curiosity and variety, economic, and social motives as all being met more in high than low performing groups. He found that managers of high performing groups also made full, yet supportive and considerate, use of task, work process and organizational structure, and work simplification through high involvement. Performance data, he stressed, was used for support, not undue pressure or coercion. Laying the foundation for use of HR metrics, he also stressed use of data on intervening variables, such as perceptions, attitudes, turnover and absences rates, to demonstrate the impact of human resource,

leadership and organizational strategy on hard outcome measures of performance.

Budd (2004) presented a philosophical and ethical view of employment with three dimensions of (a) efficiency--serving capital and market interests, (b) equity--serving labor or employee interests, both material and self-worth, and (c) voice--giving workers a say in matters that impact them in their work. He depicted his theory through a simple triangle, with efficiency at the lower left corner, equity on the lower right corner, and voice at the peak of the triangle. Budd asserted:

Economic prosperity demands that employment be productive, but economic performance should not be the sole standard of the employment relationship. Work is not simply an economic transaction; respect for the importance of human life and dignity requires that the fair treatment of workers also be a fundamental standard of the employment relationship--as are the democratic ideals of freedom and equality. Furthermore, the importance of self-determination for both human dignity and democracy mandate employee input and participation in work-related decisions that affect workers' lives. In short, the objectives of the employment relationship are efficiency, equity, and voice. (p. 1)

Budd (2004) stated that balancing efficiency with equity and voice is imperative, and that given the expansion of global markets and the emphasis on the free market economy, along with advances in information technology and the end of lifetime employment, equity and voice can easily be compromised, being trumped by efficiency. Consequently, the institutions that have historically provided checks and balances on economic markets, such as government standards and labor unions, are under attack

and are in decline. Budd has been critical of much of the human resources and industrial relations field (HRIR) for focusing on the administrative functions of how HRIR is conducted and missing the essential need to balance these forces. He cited the 1999 United Nations *Human Development Report* advocating for checks and balances on free markets that will help respect and serve human life.

Budd (2004) raised the specter of three different schools of thought regarding contemporary HRIR:

1. Industrial Relations, which subscribes to a pluralist belief that there is an inherent conflict of interests between labor and management, with a power imbalance favoring management, thus there must be a productive role for unions and government regulations.

2. Modern Human Resource Management, which adheres to the unitarist belief that the interests of employees and employers can be aligned, thus removing conflicts of interest.

3. Critical Industrial Relations, which sees employment relationships as being class-based conflict, beyond the employment relationship.

Budd defined his purpose in advocating for balance by stating:

My analysis seeks to refocus attention on the basic goals of the employment relationship; to create the industrial relations trilogy of efficiency, equity, and voice; to strengthen the need for a balance by grounding it not only in the traditional view of an imbalance of power between employees and employers but also in contemporary thought on human rights, property rights, and ethics; and to

consider alternative methods to achieve this balance."
(p. 7)

He provided a detailed model for the three schools of thought, and theorized about their relative strength and the probability that balance between efficiency, equity, and voice will be achieved. Budd's perspective provides a broad framework for ethical practice that can complement standards for professionals in HRM-HRD-OD, such as those provided by Newman, Robinson-Kurpius, and Faqua (2002) or the ethical guidelines developed by the Society for Human Resource Management (SHRM, 2005) and the OD Institute's *International Organization Development Code of Ethics* (Egan & Gellermann, 2005).

Examples of convergence of HRM, HRD, and OD, including use of an HR audit as a form of OD intervention, are provided in the case studies presented in this dissertation. Also included was an example of combining OD with contemporary labor relations in an educational reform initiative of transformational nature.

Chapter 3

ASSESSMENT-INTERVENTION

Chapter 3 provides a synopsis of models applied to organizational assessment, offering verbal images. Though the actual models are not illustrated, the reader is referred to the specific figures in references cited. Discussion of the often intermixing and indistinguishable nature of assessment and intervention in organization development follows, providing a prelude to discussion of the assessment and intervention methods applied in this research study.

Models

A variety of assessment and intervention models and methods were applied in this study and the cases reviewed. Formative in influencing the approach to assessment was Nadler and Tushman's (1982) congruence model. Burke (1994) and Noolan (2006) discussed this model and a variety of other models for organizational assessment. These models influenced prior assessment at the time of these case interventions and again influenced analysis and reflection regarding the case studies. Included among the models, in addition to Nadler and Tushman's (1982), are the Weisbord six box model, the Burke-Litwin model, Boleman and Deal's four frames model and Freedman's swamp model

of sociotechnical systems (Noolan, 2006). As with research paradigms and organizational metaphors, each of these models offers advantages, and many overlap in content and approach, while all have limitations in assessing complex organizations.

The Nadler Tushman model (Nadler & Tushman 1982) is classic open system theory in nature with inputs of resources from the environment and history shaped into strategy, a transformation process comprised of task, individual, and informal and formal organizational arrangements, all in dynamic interaction, generating outputs for the organization, groups and individuals. There are feedback loops between the three stages. This model is straightforward in its simple structure. The transformation process occurs in a containment that could be considered the organization's culture, or its sociotechnical system, however Nadler and Tushman did not call it either.

Weisbord's six box model (Noolan, 2006) is similarly practical in defining the dimensions of assessment with questions that need to be addressed at each phase or process. He depicts it as one large cycle or circular loop on which all boxes are placed except box 5 (leadership), which resides in the middle, keeping the other boxes in balance in the loop. The other boxes are box 1: "Purpose--What business are we in?" box 2: "Structure--How do we divide up the work?" box 3: "Relationships--How do we manage conflict (coordinate) among people? and with our technologies?" box 4: "Rewards--Is there

an incentive for doing all that needs doing?" and box 6: "Helpful mechanisms--Do we have adequate coordinating technologies?" (Noolan, 2006, p. 199). The model also shows a loop entering and returning from the "Outside environment - 'everything else'--What constraints and demand does it impose?" (Burke, 1994, p.98). This framework has been useful in concert with the basic SWOT model of performing a situational analysis, identifying through brainstorming sessions, (a) strengths, (b) weaknesses, (c) opportunities, and (d) threats (Bryson, 1995). The Weisbord six-box model has also proven effective in developing qualitative questions for confidential interviews, leading to questions for objective surveys with Likert scale response options.

The Burke-Litwin model of organization performance and change (Burke, 1994; Noolan, 2006) is comprehensive with an even dozen boxes representing everything from the external environment to motivation and policies and procedures, including lines demonstrating the myriad of interconnections. What it lacks in simplicity it makes up for in comprehensiveness. Fortunately, Burke (1994) broke the model down into two primary subsystems: one for transformational factors and the other for transactional factors. Again, the specific subprocesses or functions Burke included in his model can be seen in the assessment instruments and methods applied in the cases which follow in this study. For detail, the reader is referred to

Figures 7.1, 7.2 and 7.3 in Burke (1994, pp. 128, 130, 131 respectively).

Boleman and Deal (Noolan, 2006) offered a four-framed cultural model that featured quadrants along with the goal for each frame:

1. Structural: "roles, relationships, structures, rules, and policies--Goal: coordination,"

2. Human Resources: "Tailoring the organization to meet human needs--Goal: individual job fulfillment,"

3. Political: "Scarce resources, which leads to conflict, bargaining, and coalitions--Goal: increase political skills," and

4. Symbolic: "Organization's shared values and culture as evidenced in rituals, myths, ceremonies, and beliefs--Goal: manage symbols, myths, traditions" (p. 201).

Freedman's swamp model of sociotechnical systems (Noolan, 2006), as suggested in its name, was aligned with the sociotechnical systems perspective, thus treating the technology, along with structure, financial management, human resource management, and strategic direction. These subprocesses influence the core production process through a layer of management in the context of culture and climate. This model also illustrated a level of boundary management between the organization and the environment on both the input and output sides. Variance analysis, reference the discussion of

Pasmore above, was also taken into account in feedback at all levels, consistent with the sociotechnical systems perspective that it is best to measure variance close to the source of variability. See Figure 11.2, page 197 in Noolan.

Levin (2007) spoke of a five windows model of organizational culture assessment. His model is comprised of (a) leadership, (b) norms and practices, (c) stories and legends, (d) traditions and rituals, and (e) symbols. Levin defined organizational culture as "The learned patterns of beliefs, information processing and sense-making shared by organizational members that influence and guide their behavior and practices" (p. 6).

Sathe (1983) offered another model of cultural assessment. The model featured shared understandings and how they generate shared things (objects), shared sayings (talk), shared doings (behavior) and shared feelings (emotions). Sathe (1983), consistent with a social constructivist or qualitative view, contended that "reading a culture is an interpretive, subjective activity," and that "The validity of the diagnosis must be judged by the utility of the insights it provides, not by its 'correctness' as determined by some objective criteria" (p. 31). Shared understandings include shared beliefs--"basic assumptions about the world and how it works," and shared values, also basic assumptions, however with an 'ought' attached to them (p. 31).

Assessment and-or Intervention Methods

While framing assessment in the context of the models discussed previously, interviews and questionnaires were used for assessment in the cases considered in this study. Process consultation (Schein, 1999b) was both an assessment and intervention method, as well as "a core philosophy of how to establish a relationship with a human system" (Rothwell & Sullivan, 2005, p. 21).

It can often be difficult to separate assessment from intervention because both are often occurring essentially in parallel and inseparably. For example, coinquiry with a leader when designing a questionnaire or customized survey was both assessment and intervention. It was preparation for the next phase of a mixture of assessment and intervention when conducting the interviews or administering the surveys (Nadler, 1977; Schein, 1999b). Gauging the reaction of organizational members when receiving feedback was primarily continuing intervention and beginning evaluation, yet also assessment by perceiving subtleties of their reactions. For example, data feedback generally presents change-inducing stimuli resulting in the reactions of those receiving the feedback, which to the perceptive intervener sets up another cycle of assessment, intervention, and evaluation. Even no reaction was a reaction that told the consultant something (e.g., the client is

disinterested, or the client is in severe denial; Schein, 1999b).

Focus groups where participants processed feedback and their own reactions to it in more depth, often through brainstorming and dialogue, involved more intervention with the consultant him- or herself as an instrument of change and employees in their engagement as instruments of change. However again, being attentive to their reactions was further assessment for the intervener. In some aspects it was also self-assessment and in turn a learning intervention for employees growing in the process through double loop learning of new assumptions about their conditions and how to change them (Argyris & Schon, 1978, 1996; Cummings & Worley, 2005).

Assessing and intervening were found to be generally inseparable and interdependent, as were intervention and evaluation methods. This same principle applied to typical interventions and the consultant's self as intervention. It was hard to know where the intervention left off and the consultant as intervention kicked in; it was a matter of degree and timing for maximum impact (Nadler, 1977; Schein, 1999b).

Process Consultation

Perhaps a good way to illustrate these principles is to review Schein's process consultation (PC), which, in addition to an interactive assessment and intervention approach as expressed

above, is a core philosophy of OD consulting (Rothwell & Sullivan, 2005; Schein, 1999b). Schein (1999b) defined PC as

The creation of a relationship with the client that permits the client to perceive, understand, and act on the process events that occur in the client's internal and external environment in order to improve the situation as defined by the client. (p. 20)

Particular notice should be made of the client focus in PC. Schein (1999b) prefaced his exposition on PC by making clear that there are three fundamental models of consulting. The three are (a) the *purchase-of-information* or expertise model, which involves a lot of selling and telling of expert advice and direction; (b) the *doctor-patient* model, which features diagnosing and prescribing remedies; and (c) the *process consultation* model, as elaborated in the following paragraphs. Schein stressed that neither a nor b are process consultation where the consultant coinquires with the client and guides the process but does not take ownership of the solutions, which belong to the client.

According to Schein (1999b), at any moment the consultant must decide which model she or he is in, based on the client's needs and expectations. "We cannot be in all three roles at once. So our only choice is to be conscious of which role we want to be in from one moment to the next" (p. 6).

In PC the consultant and client jointly diagnose and develop a valid action plan based on the diagnosis (Schein,

1999b). Both share responsibility for insights and actions planned.

From the PC point of view, the consultant must not take the monkey off the client's back but instead must recognize that the problem is ultimately the client's and only the client's. . . . It is a crucial assumption of the PC philosophy that problems will stay solved longer and be solved more effectively if the organization learns to solve those problems itself. (p. 9)

The consultant can only provide the help needed.

The ten principles of PC, according to Schein (1999b), are

1. Always try to be helpful.
2. Always stay in touch with the current reality [regarding what is going on with the client, the client system, and me].
3. Access your ignorance [by distinguishing what I know, from what I think I know, from what I know I do not know, which is necessary to know current reality].
4. Everything you do is an intervention [as long as you have any contact with the client].
5. It is the client who owns the problem and the solution.
6. Go with the flow [of the clients personality, culture and readiness to deal with problems, the clients reality, motivation to change, and build on those].
7. Timing is crucial [An intervention that would work at one time may not be accepted at another time, so the consultant needs to be sensitive to those moments when the client is ready].
8. Be constructively opportunistic with confrontive interventions [finding the areas of instability and openness where motivation to change is present, balancing going with the flow with taking risks].
9. Everything is data; errors are inevitable-learn from them [It is impossible to know enough about the client's reality to avoid all errors in judgment, however client reactions are valuable learning opportunities].
10. When in doubt, share the problem [If simply stuck, share the problem with the client, involving the client in what to do next]. (p. 60)

Schein (1999b) confessed regarding his own fallibility and need to rely on the ten PC principles

As I reflect on various consulting-helping encounters that did not go right from my point of view, inevitably I find that I have violated one of these ten principles. Similarly, when I am stuck and don't know what to do next, I review the ten principles, and sooner or later come to a realization of what should have been done and was not, and what therefore to do next. And if that does not resolve the issue, I go to principle 10 and share the problem. (p. 60)

And Schein summed up the essence of PC:

Process consultation focuses first on building a relationship that permits both the consultant and client to deal with reality, that removes the consultant's areas of ignorance, that acknowledges the consultant's behavior as being always an intervention, all in the service of giving clients insight into what is going on around them, within them, and between them and other people. Based on such insight, PC then helps clients to figure out what they should do about the situation. But at the core of this model is the philosophy that clients must be helped to remain proactive, in the sense of retaining both the diagnostic and remedial initiative because only they own the problem identified, only they know the true complexity of their situation, and only they know what will work for them in the culture in which they live. (p. 20)

Psychodynamic factors can further complicate the balance between process consultant influence and client self-direction, according to Schein (1999b). Schein stressed that understanding and balancing psychodynamics in the PC relationship is necessary for success. It must begin with recognizing the importance of the psychological contract, both explicit and implicit.

What does each party expect to give and receive, and what psychological conditions must be met for the exchange to occur successfully? For example, mutual trust, mutual acceptance, and mutual respect may all be necessary for a helping relationship to work. (p. 30)

There is an initial status imbalance due to the nature of helping relationships with "the helper being 'one-up' and the person seeking help being 'one-down'" according to Schein (1999b, p.31). This status imbalance can create various reactions and feelings from the client, including

1. Resentment and defensiveness (counter-dependency) manifested in the client looking for opportunities to make the consultant look bad by belittling her advice, challenging her facts . . . so that the client regains a sense of parity.
2. Relief at having finally shared the problem and the frustration with someone else who may be able to help.
3. Dependency and subordination manifested in looking primarily for reassurance, advice, and support.
4. Transference of perceptions and feelings onto the present consultant, based on past experiences with helpers (pp. 31-32).

Reactions and feelings in the helper can be

1. Using the power and authority that one has been granted to dispense premature wisdom and, thereby, putting the client even further down.
2. Accepting and overreacting to the dependence, usually manifested by giving support and reassurance even where it may be inappropriate.
3. Meeting defensiveness with more pressure.
4. Resisting entering the relationship because giving up the power position of being one-up requires the consultant to be influenced and make some change in her perceptions of the situation.
5. Counter-transference or the projection by the helper onto the client of some feelings and perceptions that re-create past consultant/client relationships. (pp. 32-33).

As Schein (1999b) elaborated, the helper can be vulnerable to letting the position of power from the initial imbalance go to his or her head. This feeling of power comes from the experience of the consultant being approached for help by a leader with influence who is placing his or her confidence in the helper, thus leaving the client vulnerable. Also, the helper may perceive solutions well before the client, and become impatient or look down upon the client for not recognizing these solutions. It takes patience and humility to wait the client out, and skill to draw the client out. The consultant, especially the internal consultant who is often underutilized, must avoid rushing in and taking control from the client, despite any notions of being underutilized that can lead to over serving (Schein, 1999b).

Consultants often feel frustrated that they are available as a helper but no one comes to them, a common situation of inside consultants in organizations. When someone finally asks for help, there is so much relief that the consultant risks overworking the situation and providing much more help than may be needed or wanted. (p. 34)

Occasionally, the client will abandon an elaborately planned intervention due to changed circumstances resulting in less client interest in the effort. Such developments can create feelings of disappointment for the consultant helper.

Why then not just be the expert or doctor, Schein (1999b) asked? Because there are often deeper issues that the client is not even aware of initially, or not willing to share until a

trusting relationship has been well developed between the client and the consultant. The initial presenting problem may be a test, with real open sharing during the PC relationship occurring later, depending on how the relationship progresses.

Schein (1999b) stressed that exploring mutual expectations in the early stages of the consulting relationship can sometimes be more important than concern about closure in contracting. Relationship building through exploring levels of mutual acceptance needs to develop as trust in the relationship builds. While the client is sensing how well the consultant is listening, hearing, and understanding, the consultant is paying attention to whether the client is responsive to prompts, questions, and suggestions. Schein stressed that dynamic:

This process can be viewed as one of mutual helping. The helper can create trust by really accepting at every level what the client reveals and possibly changing his own conceptions of what may be going on. In a sense, the helper is dependent on the client for accurate information and feelings, and the helper must be willing to be helped in order for the client to build up the trust necessary to reveal deeper layers. The relationship gradually becomes equilibrated as both parties give and receive help.
(pp. 38-39)

Schein (1999b) referred to this form of shared engagement between the consultant and client as *active inquiry*, stressing it was managed inquiry. It must start with the client's story coming out in the client's own words, to give the helper a realistic and accurate picture of what is going on with the client. The helper must avoid projecting his or her own

experiences and feelings onto the client. The helper must listen in a neutral and nonjudgmental fashion so that the client tells his or her story as completely as possible. Schein alluded to what Isaacs (1999) called a *safe container* in which the client finds it comfortable handling sensitive issues.

Schein defined the purposes of active inquiry:

1. To build up the client's status and confidence.
2. To gather as much information as possible about the situation.
3. To involve the client in the process of diagnosis and action planning.
4. To create a situation for the client in which it is safe to reveal anxiety-provoking information and feelings.
(p. 43)

Schein (1999b) specified three levels of active inquiry, (a) pure inquiry, (b) exploratory diagnostic inquiry and, (c) confrontive inquiry. *Pure inquiry* starts with silence, and uses a lot of open ended questions or requests such as "What brings you here? . . . Tell me what is going on?" (p. 45). The helper also uses cues that one is listening, such as facial expressions of interest, concern, nodding acknowledgement and such, and follow-on questions such as "What happened next? . . . The goal is not to structure how the client tells his story, but to stimulate its full disclosure in order to help the consultant remove his ignorance and enhance his understanding" (p. 45). It can help the consultant to visualize the scene. Eventually the story will slow down and come to closure, often with the client

asking the helper what to do, or what he or she thinks. The helper must be careful not to shift into the expert or doctor mode, but instead to go with the next level of exploratory diagnostic inquiry.

During *exploratory diagnostic inquiry* (Schein, 1999b) the helper begins to assist the client in shifting his or her mental process by focusing on other issues not revealed in pure inquiry. Exploratory diagnostic inquiry includes (a) feelings and reactions, (b) hypotheses about causes, and (c) actions taken or contemplated. Once the consultant begins to really understand and have a basis for helping more actively, she or he can then shift into confrontive inquiry. The consultant now pushes the client into the consultant's perceptual territory, making suggestions or offering options that may not have occurred to the client.

Whereas the previous inquiry questions only steered the client through her own conceptual and emotional territory, the confrontive intervention introduces new ideas, concepts, hypotheses, and options that the client is now forced to deal with. The helper is now messing with the client's content, not just the process. (Schein, 1999b, p. 47)

What Schein (1999b) called *constructive opportunism* has to do with sensitivity to readiness and timing, which is crucial regarding when to switch between modes. Keeping in mind the safe container, balanced with sensitive risk taking, modality shifts can vary in timing from nearly immediately to not at all in a meeting with the client. Often it is a matter of switching

back and forth between modes as the moment presents opportunities to deepen inquiry or move back into a safer place. The consultant cannot become a "passive inquiry machine" (p. 48) but must be perceptive and sensitive to opportunities to deepen inquiry. "When the timing feels right, the consultant must take some risks and seize an opportunity to provide a new insight, alternative, or way of looking at things" (p. 48). The consultant will sometimes be mistaken about the opportunity and the client will react, however this reaction also reveals valuable information on how the client feels about certain kinds of input.

We may learn a lesson such as "be more careful in how you state things" or "don't make assumptions, access your ignorance," but we must always go beyond the lesson and ask what the new data reveals about the situation.
(p. 49)

It is sometimes more appropriate and helpful, according to Schein (1999b), to think in a positive mode of appreciative inquiry (Cooperrider et al., 2000) as opposed to problem solving, or as some would characterize it, a deficit mode. We can, stated Schein,

Think in more positive growth terms, focusing on what works well, what ideals we are trying to accomplish, and what visions for the future we have. In a sense, appreciative inquiry highlights the difference between 'adaptive learning,' i.e., fixing the immediate problem and 'generative learning,' or building the *capacity to learn* so that such problems will not recur. The basic PC philosophy is clearly geared to generative learning, but such learning often starts with what the client experiences as an immediate problem that requires a fix.
(pp. 56-57)

Similar to Morgan's (1997) *psychic prisons* metaphor, Schein (1999b) held that unconscious dynamics often underpin what is happening with the client, and perhaps, though ideally minimally or not at all, with the consultant. He explained his notion of an intrapsychic process comprising a cycle of observation, reaction, judgment, and intervention or action (ORJI).

Psychodynamic and cognitive theories, according to Schein (1999b), have shown that there are many perceptual distortions, such as denial and projection, as well as perception influenced by needs or cognitive set. "We must understand and attempt to reduce the initial distortions that the perceptual system is capable of and likely to use" (p. 87). We are often not even aware of feelings, because we deny or take them for granted, in effect "short-circuit them and move straight into judgments and actions" (p. 88). Culturally, we also learn that feelings should not enter into many judgments, so there is an attempt to discount or ignore feelings. However, "paradoxically, we often end up acting most on our feelings when we are least aware of them, all the while deluding ourselves that we are carefully acting only on judgments" (p. 88). Schein pointed out that we cannot manage or control forces of which we are not aware.

The major issue around feelings, then, is to find ways of getting in touch with them so that we can increase our areas of choice. It is essential for consultants to be able to know what they are feeling, both to avoid bias in

responding and to use those feelings as a diagnostic indicator of what may be happening in the client relationship. (p. 89)

While detailed analysis and planning are important, judgments fundamentally depend on the quality of the data, and how accurately it is perceived (Schein, 1999b). There are limits to rationality, which is bounded, so we should do our best to base our assessment on good data. "The most important implication for consultants is to recognize from the outset that our capacity to reason is limited and that it is only as good as the data on which it is based" (p. 89). If consultants act on emotional impulse, a *knee jerk reaction*, they are probably shortcutting the rational judgment process. In such cases, practitioners are not taking all the data into account, so it may be an inadequacy in the data they are using, not the judgment that is flawed.

Realistically, there are times when a client is simply and consciously ill-intentioned, dishonest and manipulative, and devoid of integrity. These clients are probably not good candidates for PC or any form of executive coaching. Goldsmith (2005) was quite to the point in how he advocated dealing with such leaders. "I would never choose to work with a client that has an integrity violation. We believe that people with integrity violations should be fired, not coached" (p. 3).

Team Building

Team dynamics and development have been a mainstay of OD from its early development of sensitivity training in stranger T groups to the eventual transfer of team development principles to intact or *family* teams ranging from senior executives to shop floor self-directed work teams and quality circles. Increasingly teambuilding has been concerned with temporary, cross-functional, interdisciplinary, R & D project, product development, and virtual teams of various degrees of complexity (Cummings & Worley, 2005; Dyer, 1995; Dyer, 2005; Galbraith, 2002; Jain & Triandis, 1997; Reddy, 1994). Teambuilding can be difficult to distinguish from PC, as many of the same principles apply, and PC is often done with groups or teams. The interest in teambuilding is expected to continue growing as flatter organizations with an emphasis on change readiness and agility rely heavily on lateral communication. Team effectiveness, often with self-direction, will become increasingly important as organizations respond to complexity and rapid change in markets and other environmental forces (Cummings & Worley, 2005; Galbraith, 2002; Jain & Triandis, 1997; Want, 1995).

Dyer (1995) delineated four essential requirements for teambuilding interventions (in addition to team commitment and skills):

1. Top management commitment, including a philosophy demonstrated by modeling in the top management team's own

performance, and stating its commitment in both written and spoken presentations;

2. Support in the organization's review and reward systems that encourages and reinforces teamwork and collaboration; becoming a part of the culture and structure of the organization;

3. Time for team development must be encouraged and made available; and

4. People need to understand what team building is and what it is not.

Concerning expectations and rewards, Dyer (1995) surveyed 200 companies asking, among other questions, if they include developing an effective work team in their formal performance requirements and appraisal process for supervisors. Responses were "Yes, clearly and specifically: 35%, Yes, implied but not stated: 46%, No, not mentioned: 19%" (p. 9). While the wide majority included at least some vague reference to building teams, there was obviously room for improvement in the formal stated performance expectations and reward structure support for developing teams.

Establishing objectives for teambuilding, gaining an understanding of the organization's operations and the work of teams, and the overall atmosphere and existing relationships before embarking on teambuilding are good places to start. Whether teambuilding is the most potentially effective

intervention, and what else will be needed, are important factors to address. Team characteristic questionnaires are available that can help in assessing the need for teambuilding (Dyer, 1995; Dyer, 2005; Reddy, 1994).

According to Dyer (1995) research supported the following characteristics of effective teams:

1. Goals and values are clear; they are understood and accepted by everyone. People are oriented to goals and results.
2. People understand their assignments and how their roles contribute to the work of the whole.
3. The basic climate is one of trust and support among members.
4. Communications are open. People are willing and have an opportunity to share all data relevant to the goals of the team and the organizations.
5. People are allowed to participate in making decisions. They make free, informed decisions-not decisions they think the "power people" want.
6. Everyone implements decisions with commitment.
7. Leaders are supportive of others and have high personal performance standards.
8. Differences are recognized and handled, not ignored or brushed over lightly.
9. The team structure and procedures are consistent with the task, goals, and people involved. (pp. 15-16)

These principles can be used to assess and develop team functioning in an organization, whether through consultant or team leader observation or team engagement in self-assessment.

When working with teams and teambuilding it is important to consider cognitive, affective, and behavioral dimensions. While important in work with all teams, being in touch with cognitive and affective functioning, and its impact on the range of behavior, can be especially important among highly educated and acclaimed professionals, such as in research and development (Jain & Triandis, 1997). The work of teams includes content and process, the actual work to be done, and how the team goes about doing the work in terms of team process, including rules, group dynamics, styles of interacting, and relationships. Team process and roles typically include task and group maintenance functions. For example, task roles can include providing and clarifying information necessary for task performance, setting agendas, decision-making techniques, problem-solving steps, initiating action, and clarifying ideas. Maintenance roles feature meeting the group's psychological needs. Group maintenance may involve clarifying roles, resolving conflict, encouraging others to contribute, dealing with dysfunctional behavior of members, addressing inclusion, and helping the team reach consensus (Dyer, 2005; Reddy, 1994).

Van Lente (1999) found that goal and role clarification and goal synthesis could become both task and group maintenance processes. In a labor-management conflict resolution and team development intervention, role negotiation shaped task behavior and shared goals focused task accomplishment, while

complimentary roles and goal convergence provided a sense of team identity. Creating and maintaining a constructive labor-management partnership instrumental to a business turnaround became as much a labor goal as management goal, and both labor and management leadership developed a sense of shared responsibility for achieving the goal. Furthermore, they shared recognition and credit for their success once the manufacturing company was back in the black and setting sales and profitability records.

Culture is critical to team development and performance given teams must function within and are influenced significantly by the organizational culture. Furthermore, teams often develop subcultures of their own which can enhance or impede development. In addition, for optimal performance, organizational culture needs to be aligned with organizational goals and systems (Beckhard & Pritchard, 1992; Reddy, 1994; Schein, 1992).

Reddy (1994) illustrated a model of how individual member and organizational culture characteristics converged to influence the nature of the group, which was then mediated by the nature of the task. Group and task characteristics led to formation of group process norms that were both expected and emergent for task and maintenance functions, all resulting in potential for task accomplishment and member satisfaction. Reddy also stressed the importance of balancing focus on content

with task and maintenance process, which varied depending on the group's level of development. He proposed a rule of thumb that "Theoretically, there needs to be a balance between content discussion and task and maintenance focus, with about 70 percent content, 15 percent task process, and 15 percent maintenance process over the life of the group" (p. 35). Reddy proceeded to clarify the shifting needs experienced during the group or team's development:

During the early stages of the group's life, the balance is likely to be 50 percent content, 35 percent task, and 15 percent maintenance. As members become familiar with one another and the parameters of the objectives, the balance shifts to 50 percent content, 15 percent task, and 35 percent maintenance. As skills are learned, relationships worked, decisions made and problems solved, the balance settles to 70/15/15. (p. 35)

Reddy (1994) stressed balance depending on the group's stage of development, and pointed out that imbalance can be disruptive. Obviously, intercultural differences in team member origins and the current team context could make a big difference in the relative emphasis suggested by Reddy, for example with regard to individualism versus collectivism and task versus relationship depending on the culture, as well as stage of group development (Adler, 2002; Hampden-Turner & Trompenaars, 2000; Jaeger, 2001; Van Lente & Weber, 2005).

Dyer (1995) provided a team development model of shifting power from the team leader as dominant while serving as educator at the start-up phase, to an equal balance of power during the

intermediate phase when the leader becomes more of a coach, and ultimately to the team holding the majority of power as the leader becomes a facilitator. Consistent with effective empowerment, the argument can be made that the leader gains power as well throughout team development as overall team power expands.

Conflict in teams is not necessarily problematic, in fact a lack of conflict is often a sign of unhealthy agreement, where no one questions an idea or direction and the group makes an unnecessary and unpleasant *trip to Abilene*. Dyer (1995) advocated making diversity and controversy constructive by exploring all sides of every issue. He provided guidelines on how to do just that, including (a) formulating common goals and vision; (b) treating diversity as a value; (c) creating a set of guidelines for group process, such as how disagreements will be handled and that all members will be treated with respect; and (d) team self-critique.

The teambuilding cycle is like the fundamental action research cycle of (a) identify the problem or need, (b) gather data, (c) data analysis, (d) action planning, (e) implementation, and (f) evaluation (Dyer, 1995). The design of a teambuilding process could begin in an intervention session by asking

(a) What keeps us from being as effective as we could in our work unit? (b) What changes would improve our effectiveness? (c) What are we doing now that is

effective that we want to continue? This is a variation on an older format: In order for us to be more effective as a work team, what should we stop doing, start doing, and continue doing? (Dyer, p. 15)

Often, interviewing or surveying team members beforehand and feeding back the data for discussion can be a good place to start. Survey techniques may include 360 feedback methods, especially for team leaders (Dyer, 1995; Dyer, 2005; Reddy, 1994).

Interteam dynamics can be as important to organizational effectiveness as intrateam behavior, especially where teams most need to interact to accomplish the organization's goals (Cummings & Worley, 2005). A team that becomes more cohesive through team development can even run into increasing difficulty interacting with other teams or operating within the overall organization. According to Cummings & Worley

As a team becomes more cohesive, it usually exerts a stronger influence on other groups within the organization. This can lead to intergroup conflict. Because that is one area in which team building can have negative effects. The process consultant must help the group understand its role within the larger organization, develop its own diagnostic skills, and examine alternative action plans so that intergroup tensions and conflicts do not expand. (2005, p. 237)

Dyer (2005) offered an interteam process intervention wherein the consultant meets with the two or more teams separately and persuades them to participate in the teambuilding process. As he explained it,

Each team is assigned to a separate room and asked to answer the following questions:

1. What are the attributes or qualities of the other team (or teams)?
2. What are the qualities of your own team?
3. How do you think the other team will describe your team?

After answering these questions, the teams come together, and representatives from each team present their team's answers to the three questions. While listening to the other team, no questions, other than clarifying questions, can be asked by members of the other team(s). Debate, arguments, rebuttals, or justifications are not permitted. (pp. 415-416)

After facilitating this process, the consultant summarizes the team's perceptions of each other and helps the respective teams understand each other's points of view, clarifying any misperceptions. The consultant uses a questioning approach thus drawing the teams out further and helping them surface and understand the origins of misunderstandings. Working with the teams either separately or jointly, the consultant helps them develop solutions to problems of interteam coordination and cooperation, including negotiation as necessary to form a joint agreement regarding how they will improve teamwork between them. The final step is a written agreement that is reviewed from time to time and adjusted by the teams as needed (Dyer, 2005).

Teambuilding occurs at various levels of depth in terms of the consultant-facilitated process of delving into team history and psychodynamic forces. At times it may be unnecessary to dig deeper than expressed and observed goals, values, norms,

decision making, and other patterns of interaction. Doing so may involve unnecessary risk, and may stretch the consultant's capabilities and the client's tolerance. However, at other times problematic patterns of interpersonal and intergroup behavior, including team leadership, may be driven by unconscious motives and extreme defensive routines (Argyris, 1985; Reddy, 1994; Schein, 1999b).

Some combination of in-depth individual coaching and team assessment with process consultation, even referral for therapy through the employee assistance program, may be in order, especially for group maintenance and emotional issues or when serious emotional immaturity or substance abuse with addiction are factors. The emotional and physical health of team members and the organization are impacted by such factors (Goleman, 1995; International Labour Office, 1984; Kilburg, 2000; Mathis & Jackson, 2006; Reddy, 1994; Schaeff & Fassel, 1988).

All the teambuilding in the world will probably not resolve executive team dysfunction when the only way to maintain a relationship with a nonrecovering addicted chief executive officer (CEO) is to be his or her boozing buddy; when denial and externalization of blame for all the organization's problems are the name of the leadership game (Schaeff & Fassel, 1988). As Schaeff & Fassel pointed out, addictive emotional and behavior dynamics in organizations can become contagious, even when the affliction of physical addiction is not. When both forms of

addiction are present among a codependent team, matters become even worse.

Dyer (1995) stressed that teambuilding is a process, not an event. Consequently, teambuilding is not over after a team or teams spend a half day, full day, or even 2 or 3 days off-site working through a teambuilding intervention experience. Periodic follow-up is essential to assess progress, review and learn from progress, and make any midcourse corrections that become necessary. Research on teambuilding effectiveness over time supports that without such follow-up, teambuilding may have no lasting beneficial impact on team effectiveness (Cummings & Worley, 2005; Dyer, 1995; Dyer, 2005).

Effective use of teams is not only critical for ongoing operations in most organizations, but can serve as a means of applying other interventions. For example, parallel structures, site-based management in education, strategic planning, and action learning all involve teams. Ad hoc problem-solving teams are often formed to implement improvement measure in response to employee survey feedback. In interest-based bargaining, two formerly conflicted and competing teams representing labor and management can become one idea-creating and problem-solving team, and even an organization-wide team of change agents. A number of writers provided detailed elaborations of these team initiatives and discussed further interventions and cases (e.g., Bushe & Shani, 1991; Chisholm & Tamm, 1993; Cummings & Worley,

2005; Cutcher-Gershenfeld, Kochan & Wells, 2001; Dolan, 1994; Dyer, 1995; Klingel, 2003).

Data-Based Methods

While most information gathered during organization assessment is considered either quantitative or qualitative data, the focus in this study was on using both forms of data, largely from interviews and surveys, with some use of archival review. Interview data was content analyzed, and survey data using Likert scaling was analyzed using various descriptive and other statistical techniques. Using multiple forms of data aided in the research and intervention designs and provided opportunities for triangulation of data. The following synopsis of data-based methods provides the context within which to appreciate the data gathering approaches used in the cases.

Surveys

Surveys of various types and forms have been a popular method of performing applied social research, and OD & C (organization development and change) is no exception (Cummings & Worley, 2005; French & Bell, 1999; Levinson, 2003; McGill, 1977; Nadler, 1977; Rothwell & Sullivan, 2005; Silberman, 2003; Visser, Krosnick, & Lavrakas, 2000). Visser et al. (2000) advocated use of surveys with representative samples of populations, rather than the laboratory experiments with students that have been preferred among many social scientists.

They seemed to chastise their colleagues by asserting that social psychologists could continue doing most of their research with college students using laboratory techniques, and be subject to criticism of limited generalizability to real contexts; or they could explore the replicability of their findings in the populations of interest, refining their theories with new moderators and applying field techniques such as survey research. OD practitioners are obviously not guilty of this limitation, and perhaps could offer to include some of their more academically oriented colleagues in their real life fieldwork in organizations.

Regardless of setting, optimal rigor is important and must be considered when assessing organizational characteristics and gathering data upon which decisions will be made. Concern for total survey error must include

1. *Coverage error*--the bias when the pool of potential survey respondents from which the sample is selected does not include portions of the population of interest,

2. *Sampling error*--the random differences that invariably exist between any sample and the population from which it was selected,

3. *Nonresponsive error*--bias that can result when all members of a sample are not included, and

4. *Measurement error*--distortions in the assessment of the construct of interest from various sources.

Measurement error can come from respondents' own selective behavior (e.g., misrepresenting true attitudes, failing to pay close attention to a question), or from interviewer behavior (e.g., misrecording responses, providing cues that influence responses), and questionnaire error, (e.g., ambiguous or confusing question wording, or even biased question wording or response options) (Visser et al., 2000).

Study designs reviewed by Visser, et al. (2000) included cross-sectional surveys where collection of data was at a single point in time from a sample of a population. The intent was to assess frequency of characteristics of the sample, but also to assess relations between variables and differences between subgroups. Occasionally the design and data analysis was meant to formulate and test causal hypotheses. These approaches are available for organizational assessment with careful *hard* data analysis, and are often applied in combination with qualitative data analysis (e.g., content analysis, archival and participant observation analysis) in actual interventions and case studies (Nadler, 1977; Yin, 1994).

Rationale for Data

Though not limited to surveys, Nadler (1977) provided a comprehensive overview of data-based methods in OD, setting out a fundamental premise for inclusion of data in OD:

Individuals act and organizations function on the basis of information that they receive. People are constantly

searching for information to help them make decisions and correct errors, to give them direction and to confirm their beliefs. In many ways, people are information processors, taking data in and making decisions about behavior. Similarly, organizations are information processing systems. Organizations gather and process environmental data as well as data about internal functioning. . . . Information is thus a key factor in the understanding of behavior in organizations. (p. 5)

Nadler (1977) contended that almost every intervention should include some form of data collection, data analysis, data feedback, and data application. Data feedback can be immediate, for example when a consultant applying PC gives feedback to a group on its behavior. Data feedback may also be delayed, such as when an analysis of questionnaire data or preparation of a written report follows the actual collection of the data, often by weeks and sometimes by months.

Nadler (1977) set out a number of assumptions qualifying use of data. One assumption is that using data for organizational change entails discrete, while also interdependent steps of "(1) *choosing the type of data to be collected*; (2) *deciding how to collect the data*; (3) *deciding how to analyze or aggregate the data*; and (4) *determining how the data will be given back to the organization*" (p. 10). Specific examples of how this can unfold are provided in the cases that follow in the case analysis section of this dissertation.

Data-based methods, in Nadler's (1977) view, comprised but one component of a systematic OD intervention. "The successful

use of data-based methods requires that they be used in conjunction with other change tools, ranging from small-group or individual consultation to large system structural change" (p. 11). Furthermore, data-based methods must be applied within the context of the overall organization. The process of gathering data must be credible, thus encouraging trust and preparing for acceptance of subsequent steps in the action research process. Selecting methods for data collection is contingent upon unique organizational needs and the purpose of the intervention; *no one size fits all*. Nadler (1977) stressed that data is used throughout the stages of the change consulting process of (a) scouting, (b) entry, (c) diagnosis, (d) planning, (e) action, (f) evaluation, and (g) termination.

Nadler (1977) elaborated on the following steps:

1. *Planning to use data.* During this stage the client system makes the decision to proceed with data collection, with an understanding of the implications of that decision for feedback and ultimate use of the data. In this stage specific plans are also formulated for data collection and use.
2. *Collecting data.* The activity here involves the planned gathering of information about the client system.
3. *Analyzing data.* In some manner the raw data (that is, the observations and collected information) need to be interpreted and prepared in some meaningful and usable form.
4. *Feeding back data.* The interpreted or organized data must be fed back to the client system to check on its validity and to initiate change activities.

5. *Following up.* This stage involves those activities designed to build on the feedback experience so that meaningful change can be brought about. (pp. 42-44)

How much impact does information have on changing behavior, and how? According to Nadler (1977) studies have demonstrated that data can change behavior by (a) energizing behavior, arousing interest and feelings in regard to the topics or issues about which the data was collected, thus beginning to create motivation to act, and (b) by directing the behavior once the motivation is there to change it.

For example, the collection and feedback of questionnaire data about employee attitudes may arouse interest and create energy for management to be responsive to employee concerns, particularly if the results of the questionnaire are different from what was expected . . . [while] employee responses in different parts of the questionnaire can guide management's attention toward specific problems, such as the quality of supervision or job design. (p. 58)

And how much energy is created by data? Nadler (1977) suggested that this depended on (a) collection of data about an activity, (b) the perceived accuracy of the measures, and (c) the extent of the power groups use of data, which leads to energy generated around the activities measured.

Feedback Effects

As reported by Nadler (1977), research has supported that feedback has positive, though uneven and inconsistent effects. Frequently, changes in employee attitudes and perceptions, as well as specific and observable organizational behavior, result from data feedback. The key is the potential for change through

feedback, as feedback alone provides no guarantee of change. How data gathering and feedback is used is what seems to make a difference.

Where there has been an effective and active process for using the data, such as frequent meetings, intensive training, or specific structures for using the feedback, then positive changes tend to occur. Similarly, the greater the participation by members of the organization in the entire collection-feedback process, the more change comes from the data. Many of the uneven results can be accounted for by variation in how the data were collected, analyzed and fed back. (p. 170)

Feedback is more effective when it is combined with other interventions. When survey feedback is the only intervention used, the beneficial effects tend to be limited and short-lived. Data feedback is but one tool, one that is most effectively used along with other change interventions that use the data. There is no one best feedback design. It depends on a host of contextual, organizational, and workforce variables that can best be judged by those involved rather than on any hard criteria (French & Bell, 1999; McGill, 1977; Nadler, 1977).

Action Learning

Freedman (2007) is a proponent and practitioner of *action learning* (AL), which combines and integrates multiple theories of learning and change. AL incorporates (a) action research, (b) laboratory education, or *T* groups, (c) sociotechnical systems theory, (d) andragogical or adult learning, (e) double-loop learning, and (f) participative organization development

and change. AL is often used with leaders and leadership teams, working and learning in a cadre of high-potential individuals from different groups within an organization or a society.

"Action Learning is most appropriate when organizations must develop executives while they deal creatively and effectively with critical, unprecedented, discontinuous issues where there are ambiguous goals and uncertain pathways for creating 'solutions' in real time" (Freedman, 2007, slide 21). Participants are all trained in action research and double loop learning. The AL components include (a) a project, challenge, task, or problem; (b) a group or set of 4 to 8 people; (c) processes of reflective questioning and listening; (d) development of strategies and actions that are taken; (e) a commitment to learning at multiple levels; and (f) a learning coach.

Freedman (2007) differentiated among the types and nature of issues that managers, including AL participants pursue, some being "problems-to-solve, [some] opportunities-to-exploit, [and others] dilemmas-to-manage" (p. 30). Some of the examples given by Freedman included (a) developing training programs for leaders, (b) improving information systems, (c) resolving conflict between departments, (d) developing a new performance appraisal system, and (e) establishing common priorities incorporating diverse vested interests of multiple stakeholders.

Unique in the action learning process, as described by Freedman (2007), is a set of ground rules that restrict and channel the forms of communication. Participants may only ask or answer questions. Statements are allowed only in response to questions asked. Debate is prohibited. An issue is presented to the team, followed by the series of questions addressing the presenter and the particular problem. Answers are given specifically to the questions asked. Questions generally build upon each other and cover the bases for the issue. The process of questioning is essential to framing the issue, making sure the team is working on the right issue, and checking for understanding of assumptions. The questioning gets at both the issue and the context of the issue, and provides seeds of solutions. The coach facilitates and enforces adherence to the process and may intervene at times of perceived learning moments for a simple pause, as well as to assess progress with the team, and provide feedback on process.

Following a period of divergence, designed to be imaginative and generate quantity of ideas and information with no judgments made, then there is a process of convergence where based on defined criteria, the information is evaluated, judgments are made, and solutions are developed. The goal is agreement on the issue, strategies to address the issue, and actions to be taken. Decision-making is by consensus (Freedman,

2007). AL looks much like the interest-based bargaining intervention discussed later in this dissertation.

Cultural Interventions

Sathe (1983) provided an approach to cultural change for those who are intent upon leading change. He asserted that culture change could be made by individuals or groups using selective, either planned or spontaneous, deviations from the established culture. These culture change agents could apply what he called *cultural insurance*--support from powerful others, or self insurance--one's own track record, credibility, or personal power within the system. Sometimes a *cultural metamorphosis* is required that involves a major overhaul of both belief and behavior systems, though this is a major undertaking, according to Sathe. At other times, only behavior change is necessary and will suffice, such as when cultural change would take too long, or when the need is only temporary. Behavior change without cultural change can, however, be difficult to maintain. This is true because controls such as accountability systems, and reward and punishment require constant monitoring and enforcement. These controls can lose their effectiveness over time if not accompanied by changes in beliefs and values (Sathe).

However, when leadership behavior change is not antithetical to the culture, the change is made based on others'

expectations of the already successful leader, and the goal is becoming even more effective and responsive to self and constituent identified needs, behavior change is probably the most cost-effective and realistic alternative (Goldsmith, 2003, 2005). This assumes, of course, that the culture is working well for the organization and the objective is not culture change. Goldsmith has coached many of the world's most successful executives, helping them to become even better leaders through behavior change based on feedback from those people who work for and around them. Perhaps culture is ultimately impacted by a CEO who models personal learning and by aligning *theory in use* better with *espoused theory* (Argyris, 1985; Argyris & Schon, 1978, 1996).

To influence significant cultural change, leaders must consider the ways in which culture perpetuates itself, and then work on all those forces or fronts. Managers seeking to create culture change must intervene at five points: (a) behavior; (b) justification of behavior, which must shift from external to internal; (c) cultural communication; (d) hiring and socialization of members who fit in with the new culture; and (e) removal of members who deviate in nonconstructive ways from the new culture (Sathe, 1983). Justification of behavior must shift from external (e.g., extrinsic rewards and punishment, policy enforcement) to internal (i.e., shared beliefs and values). Therefore managers need to work on both fronts at the

same time; removing the emphasis on external justification and instilling more intrinsic motivation through compelling persuasion regarding what is needed, such as the strategic value of new approaches and behavior, and internalization of the organization's mission, goals, and future prospects (Sathe, 1983; Schein, 1992).

Schein (1992) saw consensus development around planning dimensions as a strong driver of culture development, as do Worley, Hitchin, and Ross (1996), who also contended that such processes of strategy development integrated with organization development offer the best leverage for strategic change. According to Schein (1992), the essential elements which initially comprise steps to culture formation, then continue simultaneously, include

1. *Mission and strategy*: obtaining a shared understanding of the core mission, primary task, manifest and latent functions
2. *Goals*: developing consensus on goals, as derived from the core mission
3. *Means*: developing consensus on the means to be used to attain the goals, such as the organization structure, division of labor, reward system, and authority system
4. *Measurement*: developing consensus on the criteria to be used in measuring how well the group is doing in fulfilling its goals, such as the information and control system
5. *Correction*: developing consensus on the appropriate remedial or repair strategies to be used if goals are not being met. (p. 52)

Sathe (1983) also held that cultural communication must be both explicit (e.g., announcements, pronouncements, and memos) and implicit (e.g., rituals, stories, metaphors, and heroes). "Such 'cultural' persuasion cannot rely on statistics and other 'facts' alone, for beliefs and values are not necessarily accepted and internalized on the basis of 'hard evidence'" (p. 43). Two basic approaches to effective cultural persuasion are identification--for example getting a folk hero to go first and model the change--and "Try it you'll like it," (p. 43)--getting people to try it without making a commitment by appealing to other values, such as curiosity or loyalty to the leader.

Interest-Based Bargaining

Fisher, Ury, and Patton (1991) popularized interest-based bargaining (IBB) in *Getting to Yes*. Walton and McKersie (1991) set out a variety of principles and techniques for integrative bargaining, as presented in the foregoing literature review, a collaborative approach to negotiating that in their view was preferred to the traditional adversarial negotiations common in labor contract negotiations. This integrative form of bargaining has been given a variety of other names, such as mutual gains, *win-win*, and interest-based negotiations. Interest-based bargaining or negotiation has been promoted as the new way to bargain through negotiator pursuit of shared and separate interests rather than haggling over respective

positions (Barrett, 1993; Brod, 1994; Brown, 2002; Cutcher-Gershenfeld et al., 2001; Straut, 1998).

The basic tenants of IBB according to Fisher et al. (1991) relate to an alternative view of power, quite unlike the tug of war characteristic of distributive and often adversarial traditional bargaining. Sources of power as they explain it, include

1. There is power in developing a good working relationship between the people negotiating.
2. There is power in understanding interests.
3. There is power in inventing an elegant option.
4. There is power in using external standards of legitimacy.
5. There is power in developing a good BATNA (best alternative to a negotiated agreement)
6. There is power in making a carefully crafted commitment. (p. 179)

Fisher et al. (1991) expressed the belief that making the most of your power was *mixing it up*, not focusing on limited sources of power, but using multiple (ideally all) of the above means of creating power. Power in negotiating also comes from believing in what you are saying and doing, and doing and saying what you believe. This openness and honesty in negotiations is in sharp contrast to traditional positional bargaining where each party tries deliberately to deceive the other party as to their true interests and acceptable alternatives, in order to keep the other side guessing and gain advantage over them. The

IBB method involves (a) separating the people from the problem; (b) focusing on interests, not positions; (c) inventing options for mutual gain; and (d) insisting on using objective criteria.

Fisher et al. (1991) provided a circle chart for inventing options, a critical component of IBB that is achieved by the parties working together using brainstorming. Included in the process they defined were:

Step I. Problem

What's wrong?
 What are current symptoms?
 What are disliked facts contrasted with preferred situation?

Step II. Analysis

Diagnose the problem:
 Sort symptoms into categories.
 Suggest causes.
 Observe what is lacking.
 Note barriers to resolving the problem.

Step III Approaches

What are possible strategies or prescriptions?
 What are some theoretical cures?
 Generate broad ideas about what might be done.

Step IV. Action Ideas

What might be done?
 What specific steps might be taken to deal with the problem? (p. 68)

Barrett (1993) similarly provided a breakdown with detail on principles and techniques of IBB, including

Principles

1. Focus on Issues not personalities.
2. Focus on Interests not positions.

3. Create options to satisfy mutual and separate interests.
4. Evaluate options with objective standards--not power and leverage.

Assumptions

1. Bargaining enhances the parties' relationship.
2. Both parties can win in bargaining.
3. Parties should help each other win.
4. Open and frank discussion expands the areas of mutual interests, and this, in turn, expands the options available to the parties.
5. Mutually developed standards for evaluating options can move decision making away from reliance on power.

Steps

1. Pre-bargaining steps
 - a) Prepare for bargaining
 - b) Develop opening statements
2. Bargaining steps
 - a) Agree on a list of issues
 - b) Identify interests on one issues
 - c) Develop options on one issue
 - d) Create acceptable standards
 - e) Test options with standards to achieve a solution or settlement.

Techniques

1. Idea charting
2. Brainstorming
3. Consensus decisionmaking (p. 4)

In using brainstorming, it is valuable to be comfortable moving back and forth between specific and general ideas (Fisher et al., 1991). All ideas must be recorded in full view of all participants. Typically, participants are seated so that they can all easily see the problems and ideas being posted during brainstorming. Separating participants on sides facing each other by labor and management subgroup typical of traditional

negotiations is to be discouraged. Ideally, in time it should not be apparent to an unknowing observer which participants represent either labor or management, whether by the physical arrangement or their involvement and approach to the process and content the IBB team is pursuing. It can be helpful to have a skilled facilitator for joint training, who continues at least for the beginning meetings of the group (Barrett, 1993; Fisher et al., 1991; Klingel, 2003; Walton, 1987; Walton & McKersie, 1991; Zulmara & Necochea, 1997).

IBB has been applied in a wide variety of organizations among diverse people, including manufacturing (steel, rubber, food, aluminum, electronics, machine tools, paper, and military vehicles), public utilities (electric, natural gas, and telephone), mineral mining-processing, defense, health care, federal government, municipal government, and public education (Kindergarten through 12th grade, community college, and university). The unions involved have included the American Federation of Grain Millers (AFGM), American Federation of Government Employees (AFGE), American Federation of State, County, and Municipal Employees (AFSCME), American Federation of Teachers (AFT), American Nurses Association (ANA), International Association of Machinists and Aerospace Workers (IAMAW), International Brotherhood of Electrical Workers (IBEW), International Brotherhood of Teamsters (IBT), International Union of Operating Engineers (IUOE), International Union, United

Automobile, Aerospace, and Agricultural Implement Workers of America (UAW), National Education Association (NEA), United Paperworkers International Union (UPIU), United Rubber Workers (URW), United Steelworkers (USW), and a number of independents (Barrett, 1993; Brod, 1994; Chisholm & Tamm, 1993; Eaton, Kochan, & McKersie, 2003; Hannaway & Rotherham, 2006; Klingel, 2003; Zulmara & Necochea, 1997).

Chisholm and Tamm (1993) surveyed approximately 1,300 management and labor representatives to establish a baseline, then followed up with over 90 organizations that had participated in California Public Employee Relations Board (PERB) sponsored training and facilitation programs in IBB. They found an 85% reduction in PERB filings for unfair labor practice charges, requests for impasse determination and mediator appointment, and requests for factfinding among participants 36 months or more following training in IBB principles and techniques.

Based on his extensive experience training and helping organizations use IBB, Barrett (1993) observed factors that indicate ideal participants:

- Both parties are motivated to change based on a perceived need to change and a belief that they can change.
- Both bargaining teams have at least one member who is willing to urge and push the team when the bargaining gets difficult and negotiators get discouraged. These individuals are cheerleaders or true believers with

credibility and a willingness to motivate based on their vision of a better way to bargain.

- The parties have already built some trust into their relationship through some form of labor-management cooperation.
- The parties have some experience in group process techniques and problem solving. The parties' market or financial environment is not at a point of desperation.
- The parties are willing to allow a third-party facilitator to help them during their first several negotiating sessions. (pp. 11-12)

Factors that have been observed as obstacles to success with IBB include

- *Lack of readiness or motivation to change.* The parties were not sufficiently dissatisfied with their current bargaining process and its results to make the effort to change.
- *Lack of constituent support for change.* One or both parties believed that their constituents did not want to change, and the bargaining committee was unwilling to lead or challenge constituents' views.
- *Too little trust by key negotiators.* Based on their bargaining experience together, bargainers had lingering suspicions and doubts about the other negotiator's motives for trying the . . . model.
- *Political reasons.* (p. 12)

In addition to numerous anecdotal and case study reports of the benefits of IBB, comparison of agreements negotiated with IBB versus traditional bargaining also demonstrated advantage. Paquet, Gaetan, and Bergeron (2000) performed a study of the outcomes of IBB negotiated agreements compared with more traditional forms of bargaining, analyzing 19 cases of each type

of negotiations. Their analysis demonstrated that contract clauses dealing with joint governance and innovation were more frequent in IBB negotiated agreements, as were clauses involving union concessions.

Paquet et al. (2000) caution, however, against interpreting these data as suggesting a tradeoff for unions where the ability to negotiate collaboratively was paid for or necessarily lead to concessions. They suggested that the willingness to make concessions could have stemmed from the same factors as willingness to engage in IBB, for example adverse business conditions that would threaten worker security. What we may be seeing in their findings is correction for past distributive bargaining that was in what Walton and McKersie (1991) characterized as the *default zone*, where both parties lost, perhaps due to a decline in business competitiveness. If this were the case as they postulate, use of IBB to shape concessions would seem a preferred alternative to a costly strike or lockout to force concessions.

Van Lente (1999) found this principle to be especially appropriate in a labor climate and business turnaround situation where the alternative was closure and movement of the company to a lower cost region in order to survive. This unattractive alternative with loss of all union jobs negatively affecting many long service employees and causing damage to the local economy would have been inevitable had the union and company not

had the wherewithal to collaborate as necessary to restore profitability. In a spirit of collaboration and integrative bargaining, intent on transforming a dysfunctional labor climate as instrumental to a business turnaround, management involved the union in surveying employees. Management and union, with help from a third party survey consultant, jointly learned about employees' interests in management practices, plant conditions, product quality, supervision, pay levels, health insurance, union-management cooperation, and other matters of concern to employees, especially the labor climate and its potential impact on the company's future viability. It was then possible to use that information to improve communication, build trust, problem solve with the union, and create new *win-win* alternatives that led to resumed profitability, restored viability, saved jobs, and record sales and ROI (Van Lente, 1999). Collaborative creation of *win-win* solutions that some might characterize as union concessions were instrumental to productivity and quality improvements, as well as cost control and market responsiveness through *just-in-time*, new work standards, and other manufacturing process improvements.

Cutcher-Gershenfeld et al. (2001) performed a multivariate analysis of data from the first national survey of IBB performed by the Federal Mediation and Conciliation Service. Both company and union negotiators having experience with IBB were found to prefer this method of negotiating, though management, younger

and female negotiators were more positive than union, male and more senior negotiators. In terms of outcomes, they found

a positive relationship between use of IBB and some contractual outcomes. In particular, both union and management respondents who have past experience with IBB are also more likely to report contracts with increased flexibility in work rules, new pay arrangements, language on team-based work systems, and new language on joint committees. At the same time, little or no observable effect is associated with use of IBB on outcomes such as wage increases, benefits increases, wage reductions, benefit reductions, or health and safety issues. The results indicate that the impact of IBB is primarily observable on more complex issues associated with the changing nature of work and that it is less salient on basic economic issues. These findings support cautious optimism about IBB—suggesting that it is not a panacea but that a change in the bargaining process does facilitate certain types of contractual outcomes. (pp. 17-18)

What if McKersie's (1993) projection is correct? Is the traditional labor-management system of separate positions and roles with unions assuming no responsibility for strategy, one that thrives on conflict over scarce resources and leads ultimately to compromise, doomed? The third system of collaboration may be the only alternative to nonunion organizations. The current plight of the domestic automotive industry and the condition of public education may be suggestive of this principle, and innovations in collective bargaining and labor-management relations the preferred alternative to erosion of these organizations and sectors of the U.S. manufacturing and educational infrastructures (Dolan, 1994; Hannaway & Rotherham, 2006; Kerchner et al., 1997; Klingel, 2003).

Chapter 4

CASE STUDY METHOD

Rationale for Use

The research described in the following, including the detailed analysis of selected cases in Chapter 5, involved a variety of case study and participant observation methods across varied organizations. The case study design was selected because all cases were rather unique in organization characteristics and context, though there were similar dynamics present and similar interventions applied across the cases.

According to Yin (1994) "In general, case studies are the preferred strategy when 'how' or 'why' questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon, within some real-life context" (p. 1). Furthermore, "the case study method allows investigators to retain the holistic and meaningful characteristics of real-life events, [such as] . . . organizational and managerial processes" (p. 2). "The case study is preferred in examining contemporary events, but when the relevant behaviors cannot be manipulated" (p. 8). Primary methods used in case study research are direct observation and interviews. Thus, the case study method was appropriate given the interventions were applied in *real-life* organizations

undergoing change. The interventions were designed to collaboratively work with organization leaders and members to influence changes in organizational beliefs, behaviors, and effectiveness. This approach of cocreating change with organization members is consistent with OD intervention principles. Events were clearly not under the interveners' direct control in the sense of experimental variables.

Elaborating further, Yin (1994) stated, "The essence of a case study, the central tendency among all types of case study, is that it tries to illuminate a decision or set of decisions: why they were taken, how they were implemented, and with what result" (p. 12). Detailing case study characteristics, Yin held that:

A case study is an empirical inquiry that

1. investigates a contemporary phenomenon within its real-life context, especially when
2. boundaries between phenomenon and context are not clearly evident.

The case study inquiry

- copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result
- relies on multiple sources of evidence, with data needing to converge in a triangulating fashion and as another result
- benefits from the prior development of theoretical propositions to guide data collection and analysis. (pp. 13-14)

Yin (1994) also pointed out that "case studies can be based on any mix of quantitative and qualitative evidence" (p. 15). Appropriate case study applications, according to Yin, include explaining the causal links between real-life interventions that are too complex for survey or experimental methods, and for describing an intervention in its real-life context. Again, by this detailed characterization the case study is an ideal design for HR-HRD-OD interventions, justifying its selection.

Participant Observation

Participant observation was also used in two of the cases to enrich the case data and provide information otherwise not available to the case study investigators. Yin (1994) described participant observation as (a) a special form of observation in which the researcher is not a passive observer, but assumes some active role; (b) where the researcher may be a participant in the events being studied; or may be (c) a staff member or a key decision maker in an organizational setting.

The foundation for participant observation was also described thoroughly by Jorgenson (1989) who asserted that, "In the course of everyday life [including organizational life], people make sense of the world around them; they give it meaning and they interact on the basis of these meanings" (p. 14). Even if this conception is in some ways mistaken, according to

Jorgenson, it nevertheless has real consequences. From a social constructivist vantage, meaning is formed and shared through language in social interaction. Consequently, it is not possible, according to Jorgenson, to "acquire more than a crude notion of the insider's world, for instance, until you comprehend the culture and language that is used to communicate its meanings" (p. 14). The insider's conception of reality is not directly accessible to outside observers, thus justifying the greater immersion of the investigator and potential threats to objectivity, should that become a concern.

Participant observation "seeks to uncover, make accessible, and reveal the meanings--realities--people use to make sense out of their daily lives" (Jorgenson, 1989, p. 14). The method is generally applied in a case study. Theoretical, rather than probability, sampling is generally applied to selective observations within a case. However, probability sampling may also be used within a case. While direct observation is the primary method applied, participant observers have used a variety of techniques to gather data, including casual conversations and interviews that may be informal and unstructured, or formally structured interviews and surveys, all of varying depth. A definite insider advantage can be the ability to influence events inside the organization, such as scheduling and facilitating meetings designed to support change, administering a survey, creating a new HR management system,

arranging for external consulting support, and other functions performed by internal consultants who are change agents. Researchers may also use informants who relate detail and less obvious behavioral and organizational dynamics in confidence.

Study Design

The specific design in this study was a multicase holistic design for the detailed cases included, with all cases studied in their own context (Yin, 1994). All the organizations studied were facing a variety of challenges requiring change, and all used a combination of HRM-HRD-OD interventions to effect change. The study featured an introduction and overview of each case followed by depth and careful analysis of the selected cases, and concluded with cross-case comparison and synthesis.

The researcher's access to case settings was liberal based on a combination of internal and external consulting relationships with the organizations and their leaders over varying periods of time. All cases were studied over a period of at least 2 years, with the average being about 5 years. Some relationships were nearly continuous while others were intermittent. The amount of data obtained was, understandably, somewhat dependent on the duration and intensity of involvement, as well as the assessment and intervention methods applied.

Background on the rationale for assessment and intervention methods applied was provided in the literature

review and assessment-intervention chapters (chapters 2 and 3). Detail on the methods used in each case is provided in the individual case descriptions, which follow, and cross-case comparison and analysis is provided in the results section of this document. In effect, each case is a mini-study including context background, a description of the organization, the methods for diagnosis or assessment performed leading or overlapping into interventions, and concluding with the results and evaluation.

The overlying method or design in all of the cases was action research (Bennis, 1969; Cummings & Worley, 2005; French & Bell, 1999; Nadler, 1977; Van Lente, 1999). Assessment and data analysis techniques included multiple qualitative and quantitative methods to (a) ensure representativeness, (b) provide appropriate depth and breadth of data, (c) inform and help sequentially and iteratively create data gathering instruments and techniques, and (d) ensure validity and usefulness of the data.

Qualitative Methods Utilized

Qualitative approaches were generally applied first to support entry and contracting; gain an overall understanding of the organization and its context; begin understanding key organizational issues, goals, and dynamics, including those directly relevant to the consulting or case study initiatives;

and to learn about the culture and language. Content analysis was the primary qualitative data analysis technique (Kerlinger, 1973; Nadler, 1977; Weber, 1985; Whitley, 1996) and included interview and meeting notes, open-ended survey questions, focus group notes and flip charts, and other documents. Also important for retrospective review were interpretation and reflection on participant observation notes, plan drafts, correspondence, and reports. Recollections were refreshed by reviews of project files and documents; triangulation of theory, interventions and data sources; as well as triangulation with informed others, both organization leaders and OD & C consulting team members (Yin, 1994).

Quantitative Methods Utilized

A variety of quantitative techniques were used. Included were descriptive statistics from surveys, performance appraisal instruments and exit interviews using Likert scales. Analysis included correlation, multiple regression, and factor analysis of data sets coupled with qualitative interpretation to dimension and characterize survey data. Charting of data was used for illustration in feedback and focus group meetings (Converse & Presser, 1986; George & Mallery, 1999; Kerlinger, 1973; Kim, 1978; Nadler, 1977; Whitley, 1996).

It was not the intent of quantitative data analysis or any of the statistical techniques used to validate or replicate the

use of survey instruments or demonstrate statistical significance. Instead each survey was customized based on the qualitative data, goals for the interventions, and unique organizational characteristics and needs. Sample sizes were also relatively small, thus limiting such exercises. Rigor was applied in construction of the instruments regarding item creation, sequential placement of items, and use of Likert scales. Survey instruments were pretested. Factor analysis was used to establish themes and data dimensions based on associations (i.e., covariance) in the minds of respondents to items in the survey instruments, thus relying less on consultant interpretation, though similar to and triangulating with the consultant's qualitative data content analysis.

Rigor was also emphasized to help ensure beneficial change in the organizations, as well as to apply methodological pluralism in action research (Slife & Williams, 1995). Organization member confidence demonstrated during dialogue, along with the problem solving that occurred, and the improved collaboration and learning stimulated by feedback and other interventions, was considered to be the final arbiter of validity. Desired change leading to improved performance was the ultimate measure of results. Selected examples of data analysis are presented and discussed in the individual case summaries. Appendices contain additional detail regarding data observation and collection in the case studies.

It was difficult to separate the diagnosis or assessment in each case from the interventions, given assessments often were in fact beginning interventions. Schein (1999b) articulated this principle when he asserted

How we go about diagnosing has consequences for the client system. . . . We must recognize that everything the consultant does is an intervention. There is no such thing as pure diagnosis. The common description in many consulting models of a diagnostic stage followed by recommended prescriptions totally ignores the reality that if the diagnosis involved any contact with the client system, the intervention process has already begun.
(p. 17)

Actual survey instruments that were used in two of the three detailed case studies are provided in Appendix B and D. The mean responses of survey participants are also shown in the appendices, along with sample write-in comments on the second survey.

Not trusting the consultant or the process can be an early source of resistance and measurement error. It can bias the responses of organization members in terms of willingness to participate and to be candid with their real perceptions during interviews, on surveys, and even in their communication and other actions in the presence of consultants. The impact can be unrepresentative participation and conscious or unconscious shading or distorting of responses. Consequently, confidentiality and anonymity were stressed, wherever applicable, preceding and during assessment and data gathering.

Assurances were provided through multiple means, such as employee communication pieces, explanations in meetings and at the beginning of interviews, and through written statements at the beginning of questionnaires and surveys. As essential to maintain confidentiality and confidence, these promises were kept through careful data chain of custody and security. Confidentiality was maintained even in the face of an attempt by the executive director to divulge responses of individuals through examination of completed surveys for handwriting. His request was of course denied.

Similarly, anonymity of the organizations and individual actors involved was preserved in this study based on discretion, as well as shared understandings and agreements when being granted permission to use and disseminate the data for applied research purposes. All names of organizations used in this study are pseudonyms, and descriptions of the organizations and the settings were selectively filtered for any identifying information. The study was not intended to be an exhaustive public analysis of any one case, which would have gone beyond the scope and purpose of this study. Divulging identities would not enhance, and could impede the opportunity for optimal learning from the cases by inhibiting less than full disclosure, candor, and objectivity in presenting characteristic information and critical data from the cases.

Chapter 5

RESULTS

Actual Cases Studied

The following case studies were developed based on actual experiences applying case study methods and participant observation, combined with archival retrieval and review of consultant files. Additionally, in the third case ongoing work with the client provided substantial information. The cases were reviewed in depth to provide examples of the use of a complement of OD & C interventions, merged with and reinforced by HRM and HRD interventions.

The first case involved a research and development organization affiliated with a research university that was undergoing significant change following its defederalization and reorganization as a private nonprofit corporation. The second case was in a public education setting, involving a major labor climate and cultural change in a school district that had historically been troubled with adversarial labor relations. The third case featured a private nonprofit community service organization undergoing rapid growth, without the services of a developed human resource function or a skilled human resource professional on the management team. An effort is made to

demonstrate a wide variety of interventions that, taken together, can and did provide critical mass for lasting, beneficial change, and to feature a complement of qualitative and quantitative approaches to case study research.

*Case 1: University Research and
Development Institute*

The University Research and Development Institute (URDI) had existed for more than 30 years as a U.S. federal agency research laboratory, performing largely fundamental research that had passed its peak of perceived value due to supply and demand changes in global markets. During a period of federal budget trimming and a movement to privatize research and other programs the organization was offered to the university where it was located, essentially *lock, stock, and barrel*. Continued funding was provided under a near-term cooperative agreement between the federal government and the URDI. However, the funding plan enacted legislatively featured a gradual step down of assured funding, replaced increasingly with matching funding for competitively obtained research contracts. New contracts were to come primarily from other sources, preferably industry and state. The rationale and strategy, besides reducing the federal deficit, was to leverage federal funding and technology with private funding in collaborative R & D initiatives that would lead to technology transfer and commercialization. The intent, and part of the university's justification for becoming

involved, was to create in the institute a technology transfer arm of the university, a sort of funnel for research performed in academic departments to be channeled through the institute to the private sector.

The challenge faced by URDI was to transform itself from a dependent of the federal government into an independent, state university, affiliated though not funded, competitive and viable, private, nonprofit R & D institute. Furthermore, the URDI was challenged to change the fundamental nature of its research programs from basic research leading primarily to publications to applied R & D that contributed to technology transfer and lead ultimately to commercial applications. The URDI was planning to increasingly pursue research that industry was willing invest in, made attractive initially because it was subsidized by the federal government. Selling R & D services to other federal and state agencies on a competitive basis was also allowed. However, with the exception of two agencies that had provided funding, marketing to federal agencies was de-emphasized in the initial plan to diversify the funding base. The R & D performed for these clients was consistent with the strategy of increasingly forming partnerships for private industry participation in partially publicly funded research. Organization design, human resource strategy and policy (including research talent management) and leadership and organization development became central matters of concern,

integrated and aligned with business and research program strategy.

The transition team of research and administrative directors from the former federal entity, along with selected university leadership, decided to maintain a degree of separation and autonomy from the university so as to be free to pursue entrepreneurial prerogatives and not be encumbered by state or university policy or bureaucracy. A key component of this strategy was to have an independent human resource function that would create and maintain programs instrumental to attracting and retaining top research talent on a national and global scale. As one of their first initiatives, the transition team recruited a human resource management professional with significant major industry background, including organization development and change, and an interest in R & D organization design. That individual was hired shortly following defederalization and became the participant observer in this case study while serving as an internal consultant and member of the management team in charge of human resources, as well as training and development and occupational safety and health.

The defederalization plan included eventual formation of an independent board of directors for the URDI. However, before the board became active the university president handpicked an individual from the federal agency who had been in charge of research programs from an administrative and contractual

vantage, and thus had a political but not scientific background. This individual had not been directly involved in technical or research work given his education was in business and his background before becoming a federal agency administrator was as a military officer. He had no background as a research scientist or engineer.

When this appointment of the first URDI executive director was announced, the leadership team of research division directors and others among the research staff who were acquainted with him became concerned, expressing their reservations privately. Some of the expressions were simply "Oh No!" and "Why did he [the university president] do that?" Van Lente (1993). Speculation included that it was motivated by a desire to solidify a strong relationship between the URDI and the federal agency and to help ensure continuity of federal funding. Primary concerns expressed were that he was not the right person for the job by qualifications as a former federal agency administrator. Many viewed him as *professional bureaucrat*. There were also concerns about his management style. Notions of what would have been preferred were a successful R & D leader from industry, given the plan to transform into an industry-focused research partner. Preferably, in the view of the technical staff, the executive director would have been someone with a successful research and research management track record.

Yet, with continued excitement about the overall opportunity, mixed with trepidation about the executive director appointment and loss of federal security, the leadership team and lead research staff decided to brace themselves and make the best of it, because the executive director was indeed coming and they perceived that they had no choice in the matter. A position had also been slotted for a chief scientist to complement the executive director and provide lead technical qualifications in support of the research staff and effort. The research staff were cautiously optimistic that the individual eventually selected for this position would be their advocate and a strong supporter, especially when communicating with a nontechnical executive director, whose primary background was in administration.

Having been picked by the transition team months before the arrival of the new executive director, the head of HR had begun setting priorities with the then largely self-directed leadership team. HR priorities included creation of a nearly complete new HR system from the ground up. The HR system was planned to be compatible initially with the university system as a matter of policy, yet dynamic enough to help drive the needed changes. The planned strategy was to gradually diverge from the university system as deemed necessary to ensure labor and product market competitiveness.

The second priority soon became helping to design an organization that was aligned with market opportunities and the needs and expectations of current, as well as new prospective customers, including an emphasis on project management of applied research and technology transfer. The organization design would also ideally be one accepted as balancing the often-competing expectations of the new executive director and other administrative staff with those of the research directors and research staff. Historically, there had been two, sometimes clashing, subcultures of administrative staff and research staff under the federal system. Many of the initial actions of the new executive director reinforced the separate subcultures and widened the chasm between them by promoting *we-they* thinking and competition for control. Issues revolved around who had the right and power to make decisions about marketing and program development strategies, operating methods, and administrative controls, as well as the fundamental approach to transforming to a market-based contract research organization. The executive director's command and control leadership style, coupled with his sometimes condescending attitude towards researchers, further complicated the combined HRM-HRD-OD challenges faced by HR and the leadership team.

Resistance to change among many of the former federal employees was also evident. While recognizing and expressing the need to change, even espousing enthusiasm about the

opportunities presented, some employees were stuck in the past, at times even self-acknowledged products of the former federal government system.

These challenges coupled with the broad-based need to learn how to adapt and market the institute's research capabilities to new customers seemed to call for a comprehensive complement of well-aligned HRM-HRD-OD initiatives. HRM-HRD-OD was viewed as essential to accelerating and focusing change, and ideally integrating the two subcultures (soon to become three subcultures) with the infusion of new research talent. Based on careful need and opportunity assessment (including individual interviews and group meetings with the leadership team) and through *management by walking around* discussions with a cross section of the employee population, the following priorities were set:

1. Launch a national recruitment drive to attract new research talent, including added disciplinary specialties enabling development of new research programs, and diversify the talent base in both hard and soft skills with perspectives supporting change, while also increasing cultural diversity.

2. Create a comprehensive, highly participative, and cost-effective laboratory safety and health program, including an active safety committee, safety inspections, safety policy and procedures, safety training, and significant modification and monitoring practices of laboratory and pilot plant exhaust

ventilation systems, toxic substance and waste control, explosion prevention features in high risk areas, and personal industrial hygiene monitoring and protection; all consistent with the applicable OSHA laboratory and EPA standards. Such safety program development had been sorely lacking under the federal system. Employees were uncomfortable with some significant hazards while they were inattentive to other hazards about which they should have been more concerned.

3. Develop a customized performance appraisal system that would help foster change through clarified expectations and performance standards, performance assessment and feedback, developmental coaching, improved interdisciplinary collaboration, and a link to the reward system.

4. Develop a merit pay system that would tie percentage merit pay increases into the performance appraisal rating (considering also position in salary grade) and develop a compensation planning and budgeting system (all of which was quite foreign to a former federal agency entity).

5. Develop a promotional system featuring a dual ladder for research positions that would offer accomplished research scientists and engineers opportunities to advance on the technical ladder comparable to opportunities on the management ladder.

6. Develop a patent royalty sharing program that would help stimulate innovation and an increasing focus on applied research, technology transfer, and commercialization.

7. Evaluate and adjust salary grades as necessary based on careful survey research of competitive compensation for professional research scientists and engineers, as well as research managers, project managers, and support staff; and make adjustments as necessary to the compensation structure and to individual salaries.

8. Evaluate the benefits program, and add key features that were missing for competitive purposes, such as disability protection through complementary short-term salary continuation and long term disability insurance programs, added life insurance, and enhanced retirement program implementation.

9. Solidify the above and guide development and application through a carefully written, collaboratively evaluated and approved set of policies and procedures defining the HR, training and safety & health programs and practices.

10. Assess needs and provide training interventions in priority areas, including safety, project management, management development, experimental design, marketing, and proposal development.

11. Support and reinforce all of the above and the strategic transformational change through individual and group process consultation, survey-guided organization development,

conflict management, team building and executive coaching interventions, eventually leading to structural and key staff changes.

12. Later, largely in response to the above interventions, as well as the essential need, initiate a strategic planning intervention.

The complement of HRM-HRD-OD interventions was staged and sequenced largely in the order listed above, though many interventions overlapped. Aligning and linking the interventions with each other and business and research program strategy was constantly stressed. While promoting accelerated change, there was also concern that the amount of change not overwhelm organization members and the HR staff.

The HRM-HRD-OD strategic and tactical plans were both formally developed through dialogue and consensus with the leadership team and emergent as needs and priorities became evident. The first two initiatives, the safety program and recruitment drive, were deemed essential to meet pressing needs of ensuring safety after it became apparent that some serious hazards had been suppressed, not mitigated or managed, under the federal system, and that there was an immediate need for new talent to fulfill the research and diversification plans. Many of the HR-HRD-OD systems were developed and implemented in parallel, such as performance and compensation management plans which were linked in policy and practice.

Formal policy development typically followed skeletal definitions sufficient for implementation. This approach worked well given the high degree of involvement in development and largely consensus approval process by the senior leadership team. And it recognized the advantage of giving new HR systems a test run, providing opportunity for evaluation and refinement before *locking them down* in policy. This approach was also welcomed, even celebrated, by research professionals and managers who had lived for a number of years under a federal bureaucracy where often unworkable policy and procedure were imposed with no involvement or consideration for strategic fit or efficacy in the unique organization. Needed structure was balanced with flexibility in both design and administration, consistent with the nature of an R & D organization undergoing change.

The overall recognition and reward systems (e.g., performance management, merit and market pay, dual ladder career development and promotion, and patent royalty sharing), along with the training and structural interventions in research quality and project management, were viewed as especially central to the change strategy. The performance management system was carefully custom designed with high leadership team involvement. After repeat administrations the system was evaluated using survey and internal statistical validity study methods - stepwise multiple regression of competency and performance dimensions on an overall rating of observed

performance. Both the performance management and promotion system incorporated 360 evaluation features, including customer input.

The whole system change initiative through OD & C (organization development and change) interventions was designed to reinforce and support all of the forgoing HRM-HRD initiatives, as well as changes in overall strategic direction and adaptation to a changing environment, changes in research programs and nature of the R & D work, diversification of funding and the expanded customer base, and especially the challenges to leadership and staff posed by the sheer magnitude of change. The balance of this case study focused on this OD & C initiative.

One primary and three supportive strategic issues faced by the organization seemed to call out for planned and facilitated systemic change through OD & C measures. As alluded to in the preceding case description, the issues were:

1. Developing and marketing R & D programs and technical services on a competitive basis to existing and new customers in changing markets,

2. Transcending a cultural divide between the leadership style and expectations of the executive director and the needs and expectations of the research directors and staff, including their divergent understandings and perceptions of the first issue,

3. Transcending the burdensome and costly administrative systems that carried over from the history as part of a federal bureaucracy with administrative staff invested in procedural control rather than support of the research effort,

4. Developing an organization structure with key systems to support the research strategy and competencies and provide necessary support systems. Typical of R & D organizations, an underlying assumption that *played out* in structure was that it would be some form of matrix, presenting the mix of challenges inherent in such complex structures of separate disciplinary functional units working together across interdisciplinary projects.

The head of HR became the internal consultant and participant observer member of an eventual three-person OD & C consulting team--referred to in the following as HRIC for HR internal consultant. As indicated previously, this individual was the first new member of the management team. The HRIC came on board coincident with formal defederalization and formation of the new corporation. The new executive director arrived months later. The executive director soon sought counsel from the HRIC expressing his observation that the research staff had already come to trust that individual and consequently he felt he should as well, while obviously doubting they trusted him. A coaching relationship soon developed between the executive director and the HRIC; though the executive director reserved

the prerogative to turn it on or off at his sole discretion, which was consistent with many of his other relationships.

Often meetings between the HRIC and executive director were at the request of others who had been frustrated in trying to communicate with the executive director. The HRIC utilized a complement of adult learning and behavioral and psychodynamic coaching--often having to lean on the latter with this executive who had a highly developed set of defense mechanisms which frequently shaded his perceptions of leadership, others' intentions, organization dynamics, and business strategy.

Approaching a year into the reorganization, the executive director was expressing frustration to the HRIC at not being able to "get them to change" (Van Lente,1993). The executive director was referring to the research leadership and staff. He expressed the feeling that the research staff was not sufficiently receptive or committed to changing the nature of their work from basic research to more applied research and technology transfer. He further expressed the feeling that they were resisting most change, including his emphasis on more aggressive marketing to new prospective clients.

Over a series of listening, strategizing, and coaching meetings, the HRIC helped the executive director frame the situation as one of necessary total organization system or culture change. Among change opportunities identified were clarity of mission and strategic direction, the role and

leadership of the executive director, his relationship with the research leadership and staff, their willingness to change (including their need to be involved optimally in change direction and initiatives), and the confidence level of the professional research and support staff in the future direction of URDI. Further considerations discussed between the HRIC and executive director were organization structure, research and administrative support processes and systems (including relationships between research and administrative staff), and other related structure and process changes.

A dialogue about alternative approaches to assessing and facilitating change in the organization led to an agreement to pursue employee survey guided development by retaining an external OD consultant to work with the HRIC and the leadership team, as well as the entire organization. The HRIC cautioned the executive director that there would need to be a clear commitment to feeding back and taking action in response to the perceptions of employees provided through the survey. Included in the coaching was advising the executive director that some of the survey data would most likely suggest changes involving him and his leadership style and practices. He was advised that he would probably hear things expressed by employees through the survey that he would not like, but would nonetheless have to take seriously and objectively, giving due consideration to change.

The executive director responded that he needed to know what employees were thinking whether or not he liked it, in order to take the organization forward as their leader. He restated something to the effect of "Whether or not I like it, I need to know what they are thinking" (Van Lente, 1993). He reassured the HRIC, with an aura of self-confidence, that he could handle it and would benefit from learning about employee impressions of his leadership and anything else of importance to the organization; after all, as he was fond of stating "perception is reality" (Van Lente, 1993). He was especially interested in assessing how committed others were to making changes in the nature of URDI's research programs and work product.

With the executive director's consent, the HRIC sourced and recruited two additional members to the OD & C consulting team, one an independent, seasoned OD consultant highly regarded in the region, and the other a faculty colleague of the HRIC with a PhD in organizational behavior and significant HRM background. The three person consulting team, one internal and two external, formulated the assessment and feedback plan, in consultation with the executive director and his leadership team. Plan design and execution included answering the following questions through survey research and individual and group discussion methodologies, as set out in the consulting agreement:

How do employees view the leadership and management style of URDI?

What motivational forces are functioning within URDI?

How effective are communication processes within URDI?

How much effective participation in decisions is perceived by URDI employees?

How much (and what type) of resistance to change is evident at URDI?

What levels of security/insecurity are there at URDI?

Is the URDI organization designed to reward creativity and risk taking, or is the organizational culture more risk averse and bureaucratic?

Do staff employees view their roles as support for the scientists and do scientists perceive that staff are supportive of their work?

Is there a consensus on URDI's goals for the future? (TMG Consulting, June 4, 1994, *Proposal and letter of agreement*, Unpublished document)

The OD & C plan as it was formalized and emerged included

1. A series of individual confidential interviews by the lead external consultant with the executive director and his leadership team, as well as a cross section of employees,
2. Customized design, pretest, and administration to all employees of a 66-item survey using an eight point Likert scale with two responses to each question (one rating how the employee respondent was seeing conditions in the organization at present, or now, and the other response indicating how the employee would like conditions to be in the future), as well as providing open ended or write-in recommendations,

3. Data analysis and interpretation by the consulting team, including cross tab subgroup analysis by occupational group and length of service, calculation of *gap scores* between *now* and *like* plus qualitative evaluation of write-in responses and reactions in feedback and focus group meetings,

4. Staged feedback of the data to the leadership team first, then the entire employee population, followed by focus group meetings with homogeneous subgroups of employees representative of the overall population,

5. Preparation of a *Discussion Paper with Recommendations* for the management team,

6. A full day offsite meeting with the senior management team facilitated by the lead-external consultant to produce action plans for the future phases of the project, with phase 2 to include action plan implementation, and phase 3 to assess action plan results,

7. Frequent active communication with the entire employee population through departmental meetings, the employee newsletter and special communiqués from the executive director, as well as HRIC informal dialogue throughout the organization.

Employees were generally eager to participate in the survey process, whether out of confidence that it would help foster change and resolve issues, or as a means to vent frustration and concern about the organization's future. Though participation was voluntary, employees were strongly encouraged

to participate, and nearly everyone did. Responses were, of course, anonymous. Information was requested on length of service and major job groups as a means of assessing group differences. Possible differences between employees in research and administration, management and staff, and between long service former federal employees and new employees hired following defederalization were of interest. A grand mean of the *now* responses was used as a high level measure of overall group confidence and intergroup differences with response scores reversed as necessary for items scaled in inverse order of high number equals a negative perception.

Table 1 shows the overall mean responses with standard deviations in a matrix of occupational group by length of service grouping of new or continuing employee. An interesting finding was that the group, professional research, believed by top management to be quite different, did not for the most part respond differently to the survey (if the grand mean is taken as an overall measure of employee response to organizational conditions). Being the largest group, professional researchers had an overall mean higher than the technical and general support groups and lower than professional and administrative support groups. Members of the technical and general support group were somewhat different when length of service was considered. Newer employees were more positive than continuing employees. The reverse was true for middle managers and length

Table 1

URDI Employee Survey Overall Now Response Means and Standard Deviations by Job Group

New employees		Continuing Employees		Did not disclose		Totals	
<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>
Professional research job group							
4.12	1.72	4.23	1.89	5.28	2.02	4.21	1.34
Technical & general support job group							
4.52	1.87	3.85	2.11	----		4.12	2.04
Middle management job group							
4.72	1.75	5.03	1.84	----		4.97	1.33
Professional & administrative support job group							
4.15	1.70	4.50	1.98	----		4.39	1.90
Did not disclose job group							
4.74	1.66	3.89	1.84	5.15	1.53	4.59	1.75
Totals of all job groups							
4.32	1.78	4.37	1.98	5.22	1.78		

of service. Continuing employees demonstrated a more positive outlook than newer managers. Middle management had higher overall ratings of the organization than did non-management personnel, a finding consistent with much survey research. Employees who did not identify their length of service were generally more positive than those who did, a somewhat curious finding.

The longer service technical and general support staff had the lowest overall ratings, and also had the largest standard deviation. This group was comprised primarily of research technicians, some working in laboratories and others working at a remote pilot plant site. As would become apparent through further investigation after the survey, these two subgroups were quite different. The remote site technicians were more in need of employee relations services, which were eventually provided by regularly scheduled HR staff time at the remote site. The overall difference between new and continuing employees was small, though there were larger differences within length of service groups (between occupational sub-groups) than between these two length of service groups. This finding dispelled one top management assumption that most all continuing employees were more negative about the organization than the newer employees hired after defederalization. It appeared the overall employee group was more homogeneous than had been thought, at least from the standpoint of how positively they viewed the

condition of the organization as a whole when measured by the survey. Appendix D contains the actual survey with mean responses for the total organization.

One approach used for data analysis and feedback was to list the questions with high and low means. Table 2 shows abbreviated survey items with the highest and lowest means. As is apparent from the high and low means, URDI had strengths and weaknesses in the minds of employees as expressed through their survey responses. Specifically, employees felt relatively more positive about immediate supervisor trust and working relationships, and working hours flexibility and safety. However, they expressed less positive views about elimination of internal seminars on their research, comfort with top management style and decision-making, and were not confident about the effectiveness of the marketing function, nor of prospects for a long-term career at URDI. It was interesting that employees admitted to a continuing high level of federal government orientation among themselves. This item was reverse scaled, as high federal government employee orientation equals a low number considering the need of employees to adopt a more private sector orientation. Another interesting finding was that research employees saw themselves as working more on applied than basic research, with a small negative gap between *now* and *like*. This response was counter to a top management assumption and concern that the professional research staff saw themselves as basic

Table 2

URDI Employee Survey High and Low Mean Responses

Employee survey question		
No.	Summary	M
Questions with high means (descending order)		
79	How often ideas stolen (item reversed)	6.38
55	Working hours sufficiently flexible	6.34
91	Does immediate manager listen to ideas	5.92
9	Researchers help other researchers	5.85
39	True commitment to URDI	5.81
49	Emphasis placed on safety	5.78
35	Do you work on applied or basic research	5.43
109	Free to talk to supervisors about work	5.33
59	Adequacy of office facilities	5.24
11	How trapped do you feel in job (item reversed)	5.19
Questions with low means (ascending order)		
75	Internal seminars on research	2.30
123	Level at which decisions are made	2.66
13	Concentration of review and control functions	3.06
23	Confidence regarding a long term career future at	3.18
URDI		
115	Comfort in expressing concerns to executive director and chief scientist	3.31

Table 2 (continued)

41	Beneficial change from top management communication	3.42
73	Employee federal government orientation	3.47
21	How goal setting is usually done	3.59
37	Effectiveness of marketing function	3.60
67	Coordination of management decisions on projects, purchasing, personnel, etc.	3.60

researchers who were disinterested in pursuing applied research, and thus resistant to necessary changes in the nature of work performed by URDI.

Table 3 shows *positive points* identified by the OD & C team for presentation purposes. Tables 1, 2, and 3 were provided to the entire organization for discussion during feedback and focus group meetings (as presented further in subsequent sections of this document). All organization members contributed to the survey questions, either directly or indirectly through their colleagues who were selected for confidential pre-survey design interviews. Consequently, this data feedback provided somewhat of a reality check regarding employee perceptions of needs and issues of concern to organization members in all subgroups.

URDI employees were requested to write in their three most important concerns about the organization. Content analysis of the open-ended or write-in responses was performed by the consulting team (See summary contained in Table 4). Definitions of the content analysis themes were developed as follows.

1. MANAGEMENT: This category relates to management and management practices as perceived by URDI employees, and it also dovetails with "communications".
2. COMMUNICATION: This category relates to all responses dealing with current communication or desire for increased communication. This was the first word in many responses.

Table 3

URDI--Objective Survey Responses, Positive Points

Question		
No.	Topic	Conclusions
48	Marketing	Employees wanted to participate in making positive impressions on customers.
39	Productivity	Employees felt committed to URDI and would like to be more committed.
51	Job	The slight discrepancy on professional participation showed a degree of realism about the change in status.
91 109	Communications	Supervisors and managers were perceived as willing to listen.
87	Goals	The low, but positive in direction gap indicated that employees wanted to become more service oriented.
35	Working conditions	A slight negative gap here did not indicate the strong resistance to applied research we might have expected.
59	Working conditions	The relatively low gap showed realism about the present space crunch.
49	Safety	Employees feel that <i>Quite a Bit</i> of emphasis was placed on safety.

Table 4

URDI Survey Responses by Category--Write-in Recommendations^a

Topic	# respondents who mentioned	% of total respondents ^b	# times mentioned ^c	% of total responses
Management	71	54.6	102	28.33
Communication	67	51.5	85	23.61
Working conditions	45	34.6	56	15.55
Marketing	33	25.4	33	9.17
Goals	17	13.1	22	6.11
Job	17	13.1	18	5.00
Pay	15	11.5	15	4.17
Productivity	15	11.5	19	5.27
Performance evaluation	8	6.2	8	2.22
Safety	2	1.5	2	.55

^aListing order of topics by descending frequency.

^bEquals more than 100% due to multiple responses

^cTotal responses received $N = 360$

3. WORKING CONDITIONS: This is a "catchall" category dealing with "hygiene" factors at URDI, women's concerns, teamwork, reward systems.
 4. MARKETING: This category encompasses the Marketing Department, its strategies, and how it fits within the capabilities of the organization.
 5. GOALS: This category deals with the goals of URDI, the short and long-term objectives.
 6. JOB: This category involves the structure of a position, the status associated with it, personal development, and responsibility.
 7. PAY: This category deals with employees' perceptions of inequities in the pay scale: positions of equal responsibility with unequal salaries; the length of time between merit increases, cost of living increases.
 8. PRODUCTIVITY: This category relates to employee effort and commitment to URDI; are we working at or near 100% of capacity.
 9. PERFORMANCE EVALUATION: This category involves promotional possibilities, recognition of capabilities and potential.
 10. SAFETY: This category relates to the importance of taking precautionary measures to protect employees.
- (Majors, Van Lente, and Johnson, 1995)

Similar to the high and especially low means summarized previously in Table 2, the write-in responses reflected significant concern about management (especially top management), communication, working conditions (which was defined for the write-in responses as concerns relating to top management manipulation of rewards, bias against women in research, and interdepartmental relationships rather than

physical working conditions), and marketing. Somewhat less concern was expressed about goals, job features, pay, and research productivity. Fewest concerns were expressed regarding performance evaluations and safety, including the new safety program which featured high involvement and had become a source of growing confidence and pride.

Examples of narrative from the summary of write-in content regarding management and communication, included that employees

don't "trust" the open door policy and fear that if they approach management with problems they will lose their jobs. There is a general lack of respect for management and even a reference to ". . . they have to earn respect." Employees state that they don't like getting information through the "grape vine" or "rumor mills." They see top management in too many meetings, but they are not informed of decisions made or goals set. Upward and downward communications were both mentioned as severely lacking.

Delegation of responsibility and authority, confidence in the ability and commitment of employees, and inflexibility were some specific items mentioned in this category. Threatening attitudes, intimidation, isolation from employees, "bottle necks," favoritism, retaliation, are words used by employees. There were references to "elitist" management, which tends to discourage employees from initiating communication. Some mentioned that the executive director and chief scientist need to get out of their offices and "see and be seen" much more frequently. (TMG Consulting, January 1995, *Analysis of open-ended employee survey*, Unpublished document)

Regarding marketing, content analysis of the write-in responses included:

Several employees mentioned that the marketing department should be more aware of URDI as a whole, i.e., the capabilities. . . . They would like to see more scientifically knowledgeable people in marketing. Marketing goals have not, to the respondents' satisfaction, been set, i.e., is URDI a research or

service organization? Respondents would like to see more marketing strategy; identify strengths and markets. Employees want to know what's going on in the marketing department at URDI. (TMG Consulting, January 1995, *Analysis of open-ended employee survey*, Unpublished document)

Regarding URDI goals and planning, closely related to sentiments about marketing were expressions such as these

Employees want to know where URDI is headed. ". . . there is no set direction or long range plan for URDI. A corporate plan is necessary." "Clearly define organizational goals and the individual's role and responsibility toward achieving those goals." ". . . strategy is inadequate or missing." "Develop well organized, long range strategy. Keep all employees involved and informed of these strategies." (TMG Consulting, January 1995, *Analysis of open-ended employee survey*, Unpublished document)

Productivity was also a source of concern, reflecting a measure of self and peer criticism, with highlights as follows

Responses falling in this category dealt with concern regarding every employee carrying his or her own weight. There were many references to "get rid of the dead wood, people who are not productive." "Job security can be attained only by job performance." Productivity was also viewed as URDI productivity, i.e., how URDI can be most productive and profitable in the private sector. Prioritization of projects for optimum efficiency was suggested. (TMG Consulting, January 1995, *Analysis of open-ended employee survey*, Unpublished document)

As a means of reducing or simplifying the data, various factor analyses using both orthogonal varimax and oblique rotations were performed and evaluated in SPSS. No attempt was made to rigorously validate the psychometric properties of the instrument given it was customized for a unique organization at a certain point in its development, and sample sizes were too

small to rely exclusively on a best fit factor solution. The purpose of the factor analytic study was to compare alternate factor solutions and their interpretations to the qualitative and other quantitative data analysis. These data sources ranged from qualitative participant observation to mean responses to survey questions. In this fashion, data triangulation was used to enrich understanding of organization and leadership dynamics and form a basis for more focused analysis, interpretation, and action planning.

The factor solutions were used to aid qualitative dimensioning and data reduction for efficacy in fostering dialogue and action. Through this complement of qualitative and quantitative analyses the majority of survey questions were grouped into 10 dimensions. The mean *now* and *like* scores of the survey items combined in the ten dimensions are shown in Table 5. Also shown are the gap scores between the *now* and *like* responses and the individual survey questions included in each dimension. The spread between *now* and *like* responses by dimension is depicted in Figure 3. Focusing on the gap scores can be an effective approach to emphasizing potential opportunities for improvement.

The gap scores represent discrepancies between employees' needs and expectations and the reality of organizational conditions, as perceived by employees. Figure 4 depicts the

Table 5

URDI *Now*, *Like*, and Gaps--Mean Responses by Dimension

Survey dimension/Question number	<i>Now</i>	<i>Like</i>	Gap
Top management/ 17, 21, 29, 33, 51, 91, 93, 105, 107, 117, 123	3.17	6.80	3.63
Marketing/ 5, 25, 37, 43, 77, 121	3.78	7.15	3.37
Teamwork/ 1, 3, 19, 95	3.80	6.99	3.19
Employee change/ 73, 85, 119	3.57	6.63	3.07
Career growth/ 101, 113	3.95	6.87	2.92
Research productivity/ 63, 93	4.44	7.29	2.85
Administrative controls/ 13, 31	3.89	6.51	2.62
Middle management/ 7, 61, 71, 91, 109, 127, 129	4.48	7.08	2.60
Working conditions/ 55, 57, 59	5.10	6.73	1.63

N = 134

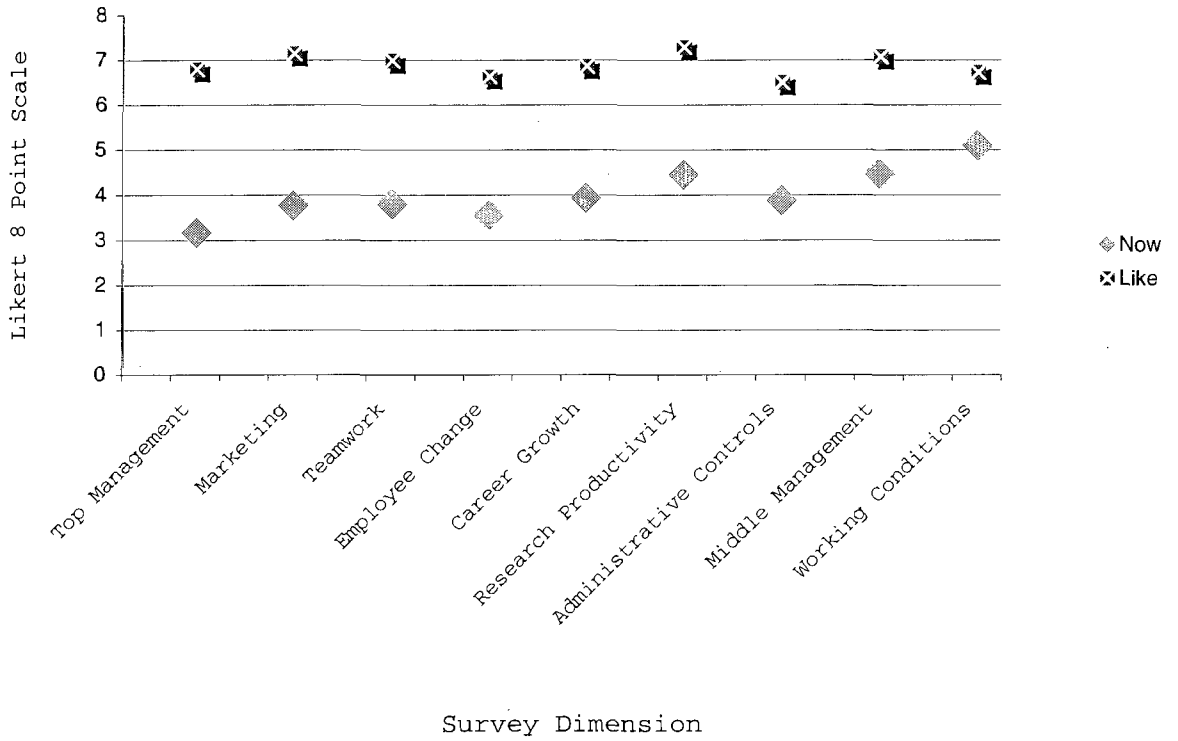


Figure 3. URDI employee survey like and now responses by dimension

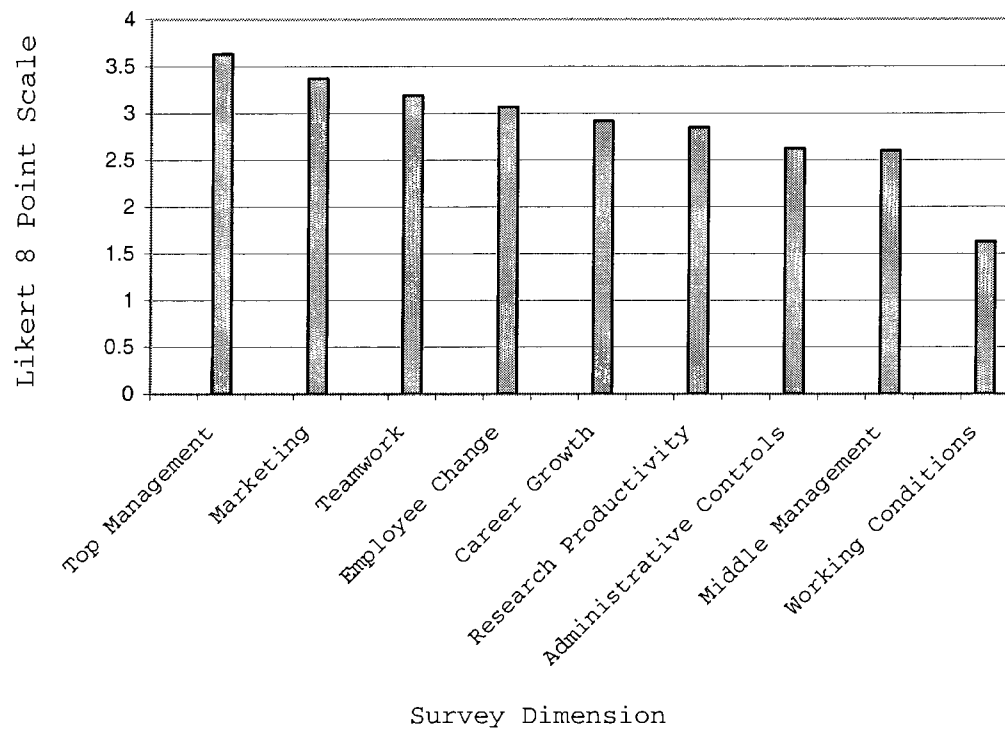


Figure 4. URDI gap scores by dimension

relative size of the gap scores, ranked by size of gap score with Top Management having the highest and working conditions having the lowest gap scores. Note that working conditions as dimensioned following the factor analytic study of objective question responses is different from working conditions defined earlier from content analysis of the write-in responses, the later relating more to soft issues and the former the specific questions relating to work hours, compensation and benefits, and working facilities.

As shown by the gap scores, employees viewed working conditions as most favorable, followed by middle management and administrative controls, whereas they viewed top management, marketing, teamwork and employee resistance to change as most needing to improve, with research productivity and career growth opportunities being intermediate. As evident from a review of all the data, employees were candid in expressing their concerns and impression of the organization, including leadership, the marketing function and strategy, administrative systems, the value and acceptability of their R & D work, overall willingness and confidence in their ability to change and succeed in the future, and other important considerations. Confidence in top management and the failure to formulate a cohesive strategic plan became an increasingly apparent weakness in the view of employees, as well as the OD & C consulting team.

A review of the timeline for the overall intervention is helpful in setting the stage for further discussion of the balance of this case. The initial intervention, essentially the assessment or diagnostic phase in action research terms, took place over approximately 1 year, from April of the 1st year to April of the next year, as shown in Table 6.

One might question the sheer amount of data and the time taken to amass it. However, in an R & D setting with the majority of employees having a Masters or PhD and most of the rest having at least a bachelor's degree in the natural sciences or engineering, there was strong interest in the process and data-based approach to change. Considering the time frame, the research staff and leadership were accustomed to working on programs that spanned decades to produce significant results and R & D projects that were often multiyear with subtasks spanning as much as a year. Interest in the process grew over the duration, along with optimism that beneficial change would result.

Impatience and a sense that things needed to move on did, however, develop among the OD & C team. They became concerned about what appeared to be resistance from the executive director following the feedback meeting with senior management in mid January of the 2nd year. During his confidential pre-meeting with the lead external OD & C consultant, the executive director

Table 6

University Research and Development Institute

Intervention Timeline with Key Events and Processes

Time Frame	Process or Event
April	Initial contact and exploration by HRIC with external consultant
May 14	Meeting on site with URDI management group
July 18-20	Initial interviews with cross section of employees
August to October	Development and pilot testing of survey questionnaire
November 12	Administration of questionnaire to virtually all employees
Mid November To Mid January	OD & C Team tabulation, analysis and interpretation of data, strategizing on best approaches to and preparation for feedback
January 18	Survey results meeting with Senior management team
January 25	Total employee feedback sessions
February 14	Focal groups sessions
April 15	Planned off-site meeting with senior management team to review consultant recommendations with action planning

expressed his conclusion that the survey proved how well the organization was being managed, demonstrated the progress being made and revealed a few minor problems that he was already addressing. He contended that most of the problems identified in the survey had already been resolved or were in process of resolution, and that if the survey were re-administered at that time, it would come out much more positive. He supported completing the balance of the planned survey-feedback process confident that employees would conclude much the same. He was unwilling to listen to any suggestion that there may be other ways of interpreting the survey results. While concerned about the executive director's state of denial, the OD & C consulting team felt compelled to complete the feedback to all employees and the focus group meetings with representative teams of employees to reflect on the data, assess the current state, and begin generating ideas for improvement.

The feedback meetings went well, and employees demonstrated appreciation for the validation of their perceptions and the thoroughness of the process. In the focus group meetings, employees were again quite candid and increasingly eager for change. Contrary to the executive director's expressions, the focus group discussions revealed a growing impatience with top leadership in responding to concerns expressed through the survey process. The essence of the

situation was expressed in the external consultant's final report and review of the focus group meetings.

This final survey report is to focus on appropriate action which will provide employees with some evidence that management has taken seriously the employee good faith inputs. . . . The consultant found little evidence that management policy and practice changes would make survey results more positive since November. In fact, the consultant concludes that, if any change in survey results could be expected, a negative trend might be anticipated in any current re-survey. There is a real desire for not only more but better quality of communication on a more collegial level. One group concluded that corporate goals are ambiguous and should be made more cogent by management and published to employees. There is a perceived management by "fear, threat and innuendo" as viewed by a significant number of employees. Again, a sampling of comments will deliver the flavor of the focal group discussions. . . . "Matters go up the appropriate hierarchy but seldom come back down as feedback." At the quarterly employee meetings "we are talked down to, even harassed." "Delegation from upper management is lacking. Often lower level managers are required to assume responsibility without commensurate authority." "Must treat professionals professionally."

"Marketing is directed toward activities which don't fit our competences. There needs to be more 'technical credibility' to our marketing effort." "Proposals go out 'half baked' because of lack of organization." "Rumors are rampant--like loss of contracts." "Top management must be convinced that these survey results reflect real issues--everything is not OK. (TMG Consulting, March 1995, *Report of focal group process*, Unpublished document)

The lead consultant shared conclusions about the state of the organization and made a variety of recommendations in his final report. He stressed that most of the problems surfaced should be viewed as issues of strategy. He suggested that all

of what was learned be synthesized by addressing the two strategic questions:

- (1) "What sort of business are we in?"
- (2) "What sort of an organization should we have?" (TMG Consulting, March 1995, *URDI executive report*, Unpublished document)

The key recommendations were:

1. To engage in a senior management strategic planning retreat that would produce a clear mission statement and a cohesive plan with key strategic initiatives to be shared with employees,
2. To restructure the positions and responsibilities of the executive director and chief scientist in order to free the latter up from operating responsibilities in order to concentrate on development of scientific capabilities and career development of research staff,
3. Other reorganization as needed to implement the plan,
4. An ad hoc task force to address concerns and opportunities revealed through the survey process,
5. Career development plans for each research professional,
6. A standing committee of researchers to advise management, and
7. A total communication system.

Employee concerns expressed in the focus group meetings clearly mirrored those expressed previously through the survey

process, and there were also new concerns. Confidence in the marketing function seemed to have reached a low point. Rumors of lost contracts and fear of lost jobs filled the employee grapevine.

The executive director requested the planned all day off-site action planning meeting with the consultant be reduced to a half day on-site given his view there was not really that much to discuss or do. The OD & C consulting team, growing increasingly concerned by the executive director's reaction, met to strategize how to go forward. The team agreed, based on the executive director's *apparent defensiveness and denial regarding organizational conditions*, that the lead external consultant would request a private meeting with him and apply a confrontation meeting intervention in an effort to shake him out of his denial. The intervention was not successful. The executive director became even more defensive, rejected all suggestion that the data indicated needed changes, and asserted that he was in total control of any problem areas. The consultant was invited to leave and advised his contract was terminated for the balance of any work with the organization.

Direction came back to the HRIC that the executive director expected him to complete the process, including facilitating the half-day action planning meeting. However, during prework requested of the senior leadership team, the executive director changed his mind and cancelled that meeting.

The HRIC was directed to discontinue any pursuit of the OD & C initiative because the executive director had decided that he needed time to digest all the information, form his conclusions and take whatever action he felt necessary; that he simply wanted to do it his way.

A week later the executive director drafted a four page report to his senior leadership team criticizing most of the conclusions and recommendations provided by the consultant in his final report, and criticizing the consultant for his inappropriate work, including passing on rumors. In the memo he criticized employees for wanting to go back to the past. He defended the marketing function and strategy. He did acknowledge the need for better planning and committed to developing efforts in this regard. He was most critical of suggestions that organizational communication was a problem, touting the many forms of communication being used, and later publishing a list of the 20 official communication channels. Nearly a month later he published an article in the employee newsletter reiterating his views and committing to developing a strategic plan, taking measures to strengthen the organization, and alluding to more focused marketing efforts with increasing research staff involvement. Appendix E contains a reproduction of that article.

Dialogue about the survey information and consultant's recommendations continued to provide fodder for lively senior

management team meetings as the executive director became increasingly more comfortable allowing such discussions. In the months that followed he replaced the director of marketing with someone far more qualified. He reassigned the former marketing director, one of his close confidants and most loyal supporters, which appeared to be why he was appointed in the first place.

The new marketing director had been one of the newly recruited division managers, and in that role had earned the confidence and respect of the research staff and the management team. He presented a sharp contrast to his predecessor who had limited technical depth and, according to researchers, had embarrassed them when attempting to communicate with prospective clients about their work. The initial marketing director was also known to be a poor communicator who played *hard ball* as expected by the executive director rather than collaborating with research staff. He was perceived as having limited understanding of the scientific work and of contemporary marketing. The new marketing director demonstrated strengths in all of the areas perceived as weaknesses of his predecessor, and he gained the strong confidence of the professional research staff and managers. He was also highly regarded by the URDI's primary client, the federal agency.

The new marketing director brought with him a background in research program development and marketing that bridged industry with government research programs and funding. He was

clearly a team player who planned with the research staff and followed through on his commitments. He was not afraid to be assertive with the executive director. All of these qualities worked to new advantage as he reshaped the overall marketing program, building confidence with the research staff and leadership.

In time the executive director forgave the HRIC for subjecting him to the trauma of his accelerated learning, and the executive coaching relationship resumed, with more caution yet a stronger mutual regard. The HRIC was allowed increasingly to provide group process consultation with competing research functional groups and project teams, thus reducing conflict and fostering action learning of shared decision making and teaming relationships. He was also allowed to recruit someone well qualified to set up a project support function, thus strengthening the project management and support structure. He provided key training initiatives for management development and quality of experimental design, as well as further learning support of project management. Seminars were provided to all researchers on marketing and proposal development. A strategic planning process was initiated, and the HRIC was made a part of that ad hoc team. The middle management group was also engaged in a series of development meetings. Periodic all-institute meetings were conducted where progress reports were given, followed by question and answer sessions, provided the questions

were not terribly sensitive in questioning senior management judgment or direction. These initiatives were reinforced and supported by continued refinement and application of the performance management, performance-based compensation and dual-ladder promotion systems discussed earlier.

The results in research program growth over the next few years were positive, including a 25% increase in funding and a variety of new research initiatives, some involving partnerships with industry clients or their consortium. Success with defederalization and creation of a viable nonprofit research affiliate of the university seemed more assured, and employees became more confident.

Yet the executive director seemed hard pressed to continue placing confidence in others, as if the success belonged to them and was not one sufficiently of his making. When federal funding progressed along the planned phase down and it became increasingly imperative to replace funding on a competitive basis, he seemed to grow more insecure and was again inclined to regress to old patterns of behavior and top-down over controlling management. Some staff members felt harassed for not being fully supportive of him. His personal social relationships, including those with his immediate reports (i.e., the research and administrative directors), also seemed important to his sense of security and control, and when those relationship began breaking down over personal matters, he

regressed further. These conditions were exacerbated by health problems subsequently leading to his resignation.

The organization's story moved into further chapters of challenging times under three succeeding executive directors and softer demand for R & D, resulting in contraction of funding, programs, and staff, followed by limited growth. However, these later periods were beyond the scope of this study. A recent review of status indicated that URDI continues to provide valuable research services at a reduced level with growth and stability in programs for which it is best qualified. Having retained and developed a critical mass of research talent, URDI seems to have carved out a sustainable market niche. While many of the new people moved on, some also *dug in* and became part of the fabric of the transformed organization essential to its evolving complement of R & D capabilities. A recent review of the organization's Web site and research plans revealed success in sustainable areas of historic and new expertise. In addition, commercial development occurred for technologies that were in their infancy during the time of this comprehensive HR-HRD-OD intervention. There has been slow but stable growth continuing under a new executive director who has distinguished himself as an accomplished scientist, academic, and leader.

Many lessons were learned from this case study and are further discussed in the cross-case synthesis and intervention analysis section of this overall study. Probably most cogent

would be an answer to the question: Why did the university president select the initial executive director, apparently without others' involvement? From all information obtained during this study, it remains a mystery to most informed observers. Was it based on assurances of continued funding from the executive director's former federal agency, though that was formally provided through a cooperative agreement? The practice of providing employment opportunities for former federal administrators with the very contractors they monitored is not uncommon. Was it a variation on this theme? Or could it have simply been a matter of returning a favor for the gift to the university of the laboratory, equipment, and research capabilities, along with initial assurances of continued federal funding? However, that arrangement had been enacted at a higher level of policy by the then federal administration and endorsed by congress. Were there nontransparent residual political favors in play?

Whatever the reasons, some obvious questions seem to be: Should anyone besides the most qualified individual available be selected to lead the transformation in what was characterized as an experiment in defederalization of an R & D organization? How valid was such an organizational experiment? And was it a prudent use of taxpayer funding?

What about the people involved? In casual dialogue and reflection months removed from the executive director's

resignation, one of the more accomplished senior researchers known for his candor characterized it as a *cruel hoax* perpetrated on a group of dedicated people who were most concerned with continuing their valuable research under any organizational arrangement. If asked, the former executive director may contend the hoax was really on him. He faced significant resistance to change and despite his forceful and unpopular management style, inroads into new competencies were made during his tenure that have benefited the organization over time. Further analysis is contained in the cross-case analysis and synthesis section of this overall study.

One point for comparison of approaches to managing research scientists and engineers is the URDI Safety & Health program. From the onset, the need for high involvement was recognized. Initially, there was a mix of resistance to taking safety seriously, coupled with relief that longstanding serious hazards were finally being addressed. Reception to the significant involvement of research staff in the work areas affected, as well as the overall design and management of the safety program, was positive from the start, and confidence and commitment only grew with time and increasing achievement of program objectives.

The research staff were required to take additional safety measures for their protection, and while some occasionally complained, they complied. The safety program was team led by

the HRIC and a safety committee chair, who was highly regarded by the research staff, the position being rotated on a limited basis for continuity. Committee members participated in monthly inspections of the laboratories and engineering research facilities, picking up the responsible manager for each area along the way. Policy and procedure, as well as significant safety training, were developed by the safety committee and HRIC, with widespread input and review before approval and application based on consensus. Researchers, under guidance from the HRIC and the safety committee, prepared and provided safety training to their colleagues. The state occupational safety and health administration (OSHA) staff was invited to assist from time to time, and communicated strong confidence in the program.

Researchers proudly shared program design features and copies of the safety program policy documents with colleagues around the country. The program was considered a model for others to emulate. Safety communication was active through a variety of means, including the employee newsletter, special memos, presentations, and celebration of success with no OSHA-recordable injuries for each calendar quarter at a special safety luncheon for the entire organization.

The results were impressive; not a single work-related lost time injury over nearly a decade, not one OSHA citation, and miniscule workers compensation costs. Accepting that

everyone was responsible for safety, which must be taken seriously given the presence of highly toxic and volatile chemicals and gasses, and well as high temperature, pressure, and other physical hazards, became a core value that everyone lived by. Perhaps, as recommended by the lead consultant, something akin to this model would have served overall organization planning and management better than the one applied.

Case 2: Highland County School District

The Highland county school district (HCSD) served nearly 14,000 students at about 30 school sites in a western U.S. state. The district was known in its region of the state for having a troubled labor climate that appeared to be adversely affecting the quality of education provided to students. HCSD had been troubled for years by mistrust, conflict, and competition for control between the teachers' union and the administration and school board. They became so engrossed in battle over the respective rights of each to be in control of their own destiny, which for each meant the school district, that conflict spiraled out of control presenting a huge distraction from concentrating on student learning, where control seemed to be relatively lacking. Reciprocally, though perhaps mostly unintentionally, labor and management obstructed each other's success and rationalized the decline in student

achievement by blaming it on each other. While needing to be functionally interdependent and mutually supportive to meet student needs, the teachers' union and administration seemed caught up in an accidental adversaries archetype (Senge, 1990; Senge, et al., 1994). There also seemed to be with a defensive routine (Argyris, 1985) of denial of culpability and externalization of blame that made matters continually worse, for students as well as employees. The Highland County Teachers' Association (HCTA) was an NEA affiliate.

The school board had considered use of interest-based bargaining (IBB) utilizing an external consultant to help transform the labor climate, and had solicited proposals in this regard. The teachers' union was also interested in IBB and in pursuing a more collaborative course in contract negotiations. Typical of historic communication patterns between the parties, the agreement broke down before they secured the services of a consultant and embarked on an IBB initiative. The school board withdrew its intention to use IBB, and decided instead to replace top administrative leadership as its answer to reform.

The school board replaced the superintendent, and two new administrators were hired onto the superintendent's cabinet to form a three-person team of new leadership devoted to reform. One of the new senior administrators was in charge of human resources, the other curriculum and instruction. The new director of human resources also had a background in OD & C,

including applications to conflict resolution and labor climate change through a combination of OD & C and a form of IBB. He was hired to serve as both the HR administrator responsible for the overall district HR programs, including labor relations, and as an internal consultant to promote change -- referred to as HRIC (HR internal consultant).

In a bold move, the superintendent selected this individual based on an assessment of his ability to foster change, though he was not an educational administrator typical of incumbents in such positions in school districts. His HR and labor relations, as well as OD & C background had been primarily in the private sector, R & D, and higher education. Issues of state educational administrator certification, which he did not have, were made secondary to selecting someone with the needed competencies and determination in what was fashioned as an experiment in educational reform.

The two new administrators soon formed a close working relationship of mutual support and advocacy for change under the superintendent's determined leadership, though they faced significant resistance from those entrenched in the organization's past. The culture had been characterized as one of an entitlement mentality where the primary focus of employees and their unions was expanding their rights, privileges, benefits, and some argued, stranglehold on the district.

Upon entering the scene, the HRIC found little concern expressed by union leadership, whether for the certified teaching staff bargaining unit or classified administrative support employees, for the well-being of students. They seemed focused primarily on their individual bargaining unit's rights and perceived needs, including equity with the other units. However, it became apparent over time that there were pockets of educational excellence and a latent concern for students and their learning that was underdeveloped among teaching and support staff, and inadequately supported by the historic organizational system, an entrenched bureaucracy.

A primary issue of concern was the lack of accountability or consequences for problem employees and underperforming employees. Due to assertive, indiscriminant union defense of employees who had not been performing their responsibilities adequately or had been violating acceptable behavior standards, employees' positions were secure regardless of their contributions or the unreasonable demands they placed on the district. Even employees seriously violating acceptable standards of conduct were retained and not subject to more than token corrective measures. When conditions became untenable with such an employee, often due to parent protests, the problem employee was transferred to another school rather than being provided remedial support or being held accountable. This condition had apparently developed due to historic

administration acquiescence and erosion of administrative prerogatives in the labor contracts. Union leadership, who placed employee rights above any reasonable standards of employee performance in meeting student needs, propagated this condition. School principals and other supervisors expressed the view that there was little they could do to address employee performance or behavior problems.

A number of HR initiatives were immediately needed because critical HR systems were inadequate. Foremost among those limitations was inadequate recruitment and staffing resulting in limited assurance of well-qualified and appropriately credentialed teachers in all classrooms. The district was significantly out of compliance with teacher certification requirements due to the weak recruitment system. There was an over reliance on lower qualified long-term substitutes and many other teachers were teaching outside their subject areas of certification. Though the state department of education had issued an objection, the district had not found a way to respond.

New, less experienced and less qualified teachers were more likely to be in the schools with the most needy students. Teachers used their contractual seniority privileges and union support to move to the schools where student needs were less demanding and to avoid the more difficult teaching posts in schools with higher concentrations of underprivileged students.

To a lesser extent, the same pattern applied to building principals. The problem teachers who were moved from school to school would generally end up settled in one of the lower socioeconomic area schools where the teacher's limitations did not draw as much attention. Consequently, there was a trend of the district's most needy students being taught by some of the poorest performing teachers. A third of the district's schools were receiving Title I federal funding for economically disadvantaged students.

The district's employee benefits were generous, and an employee needed only to work half time to qualify for the health insurance package with full district contribution for the employee and dependents. Health insurance premiums were escalating at an alarming rate as many people in the community sought part-time and full-time jobs with the district as a means of providing their family with health insurance, especially if there were health problems in the family. This condition contributed to high claims experience and rapidly increasing insurance premiums. With some part-time employees, for example in food services, the cost to the district for benefits nearly equaled the employee's wages rather than the more typical one quarter to one third ratio of benefit to compensation costs. Because of the generous coverage, families elected the district's plan over that of the primary income generator in the family, thus further adding to the district's costs, and in

effect subsidizing health care for other employers in the community.

Budgets in the schools were tight, while the central administrative office staff had been growing and there had been little emphasis on controlling costs. Teachers found it necessary at times to purchase classroom supplies out of their own pockets and staff development budgets were quite limited. The information system was antiquated, and information was often untimely, inaccurate, or both. The district's financial reserves were dangerously low, and it was strapped with some of the highest compensation and benefits levels in the state and region based on survey data, constituting the majority of its high costs.

While making the rounds of school site visits, being accessible and seen in the schools, as agreed with the superintendent, the HRIC engaged the principals, along with the superintendent's cabinet, in assessing needs, and then set and pursued the priorities described in subsequent sections, with the superintendent's strong support.

Recruitment System

The HRIC redesigned the recruitment system to address immediate needs given the school year was underway, while also planning and *gearing up* for a spring recruitment drive. The district had relied primarily on word-of-mouth referral by

current employees, walk-in applicants, and occasional small ads placed in the local paper. The district had not participated in teacher job fairs, not even the nearby state university job fair. No use had been made of the Internet for recruiting.

To increase the applicant pool, under the HRIC's direction, the HR staff placed display ads in local and regional papers and posted positions on appropriate Internet sites. The HRIC made networking contacts with college placement offices, and directly with the education departments and faculty in regional colleges and universities known for the quality of their teacher education programs. He arranged for job announcements to be placed on bulletin boards in the placement offices and colleges of education. He followed up with education faculty members to obtain referrals of their best students. This marketing approach soon stimulated a larger and better quality applicant pool. Following this initiative the HRIC recruited and oriented principals and program directors to participate in teacher job fairs in the spring, providing for their travel expenses out of the HR budget. He modeled the recruiting commitment by personally teaming with one of the principals to screen and interview teacher candidates at the nearby state university job fair.

The infusion of new high quality applicants allowed the district to come into compliance with teacher certification requirements and reduce the over reliance on substitutes. It

enabled the district to add new talent, especially in difficult areas of teacher shortages, special education, math and science.

*Health Insurance Cost
Containment*

The HRIC, with assistance from the district's benefits brokerage firm, negotiated a new approach to funding the health insurance plan that, through modified self-funding, put a cap on cost escalation. He also rewrote and obtained approval of the generous school board policy of paying full cost of health insurance for part-time employees, replacing it with provision for prorated contributions based on hours worked. He held meetings with an insurance committee of representatives from each bargaining unit to inform them of escalating healthcare cost trends, the need to control costs, and how each employee and their families could contribute through responsible use. Accounts of the meetings, including the presentations made and the dialogue that followed, were published in the employee newsletter. Committee members also took responsibility for communicating among their peers.

Employee Accountability

Under the superintendent's directive, exercising an underused school board policy, a cease and desist order was placed on transferring problem employees between the schools. These employees were required to remain in place until

performance deficiencies were corrected, or they were terminated for cause after remedial efforts and progressive discipline. While there were constraints in the contracts and liberal past practices, these new accountability and performance remediation measures were applied consistent with prudent interpretation of the contracts and district policy rather than the permissive past practices that had evolved. The HRIC provided strong support to administrators and supervisors in this regard, coaching them in applying remedial and disciplinary procedures, and backing them up in the grievance procedures based on the merits of each case. When necessary, the HRIC took an assertive position and thoroughly prepared with legal counsel in order to prevail in those cases where the grievants appealed district actions at hearings.

The HRIC communicated actively with union leadership and their regional union representatives to ensure their understanding of the issues, to reassure them that affected employees were being provided with due process and given every reasonable opportunity to redeem themselves, and to request their understanding and support, while also recognizing their duty to provide fair representation. The unions initially balked, protested, and resisted these efforts. However, in time they became more receptive to a new assumption framed during dialogue with the HRIC, that providing a high quality workforce

for students and for their committed members to work with was a shared responsibility between the unions and the administration.

While doing what they, as a union, needed legally to ensure fair representation, the unions discontinued going overboard in defense of problem employees who were not willing to address their performance deficiencies. The unions became partners in addressing employee performance issues rather than adversaries. Some problem employees did an about face and became valuable contributors after years of troubling behavior or inadequate performance--to the amazement and delight of their supervisors and peers. Others did not respond and their employment was carefully, considerately, and defensibly terminated. Morale in the affected schools improved. In one case, the union assisted by persuading the employee to resign in lieu of being terminated. In another case the union, feeling it was on solid ground due to the employee's resistance to remedial measures, refused to represent the employee on appeal. No terminations were overturned on appeal, and no legal actions followed in the administrative agencies or the courts.

*Central Office Staff
Reduction*

Under the superintendent's directive and HR's coordination, central office classified positions were reduced through *belt tightening* and attrition, with clerical staff reassigned from the central office to the schools to provide

strong continuing administrative support for teaching and learning. Correction of staff performance issues as discussed above also improved administrative and teacher aid support in the schools.

Parents as Customers

One of the mostly unstated values at the school district--actually stated at times by union leadership--had been that parents did not know what was best for their children, consequently teachers and staff did not need to take parents seriously. The new reform leadership team changed that thinking by declaring that from that point onward parents would be taken seriously, and they modeled this commitment by a strong response to expressed parent concerns, especially about problem and underperforming teachers and administrators. The administration began increasingly treating parents as valued customers of the school district and responsible partners in the education of their children.

The HRIC, who assumed responsibility for a parent complaint procedure, provided a forum for parents to express concerns about underperforming or failing teachers, while also protecting the due process rights of staff whose performance was in review. Parent complaints were carefully investigated and evaluated, hearings were held in a quasi-judicial format, and findings of fact with candid responses including meaningful

critique and recommendations were made. The new superintendent also made himself directly accessible to parents and parent groups, and provided strong support to the above parent complaint procedure and corrective measures.

Serious historical problems with teacher, classified staff, and administrator performance were resolved. Through application of school board policy consistent with prudent application of the labor contracts, valid concerns expressed by parents were addressed through remediation and progressive discipline.

*Human Resources as a
Service Department*

The district as a whole had functioned like an entrenched bureaucracy. The Human Resources department was no exception. Arbitrary and inconsiderate practices were applied based on department policy that was convenient for the HR Department staff. The HRIC applied a series of team planning and attitude adjustment meetings, along with administrative process improvement help. Though the HR staff was not given an option of no change, these measures instilled an improved internal customer service orientation among the HR staff. The change in orientation to internal customers was not that difficult because the HR staff cared about their colleagues in the district. They were friendly when they said no to reasonable requests for help or service. It simply had always been that way; it was policy.

By changing expectations and policy, reorienting staff, and adopting quality service goals, the HRIC was able to readily improve internal customer service from HR.

*Labor Climate Change,
Collaboration,
and IBB*

The largest problem area and most needed change was in the labor climate as described above. The HRIC began by establishing a dialogue and soon developing a relationship of trust with the teachers' union leadership, leading to an agreement to change the negotiations process by applying IBB (interest-based bargaining). This IBB initiative became the primary intervention, designed to renegotiate the teacher collective bargaining agreement (contract), change problematic contract provisions, and develop a much improved, more constructive relationship with the teachers' union. Supporting interventions included preparation for negotiations through confidential interview with a sample and a survey of all administrators to identify concerns and needed contract changes. Other interventions featured significant group process consultation in meetings held by the HRIC and superintendent with the school board. Because members of the school board were not in complete agreement regarding negotiations strategy and allowable contract changes and agreement conditions, the HRIC also conducted confidential interviews with each school board

member to gain an understanding of their concerns and expectations, build understanding and support for the IBB process, and clarify acceptable contract parameters.

The school board had not been functioning that well as a team, consequently reaching anything approaching consensus with them regarding negotiation planning was difficult at best. In confidential interviews with the HRIC they were more open with their concerns and aspirations for the district. For example, in a private interview with the HRIC, one school board member stated: "If there is anything at all that you can do for them [meaning teachers] that will also be good for students, it is to reduce class size" (Van Lente, 1997). Another school board member felt class size reduction should be considered, though cautioned that it was a sensitive issue. However, the official publicly stated position of the board, proclaimed only after the first tentative agreement, was that the IBB team was not authorized to discuss or agree to a class size reduction provision, thus justifying their initial reticence to approve the tentative agreement.

Process consultation and trust building involving the superintendent and his cabinet, and the teachers' union leadership was also applied to build confidence and support for the change. As an additional support measure, the HRIC developed a collegial and collaborative working relationship with the UniServe representative of the state NEA chapter. As

noted by one observant colleague of the HRIC, a professor working in educational leadership and change, the "*force field analysis*" (Lewin, 1947) was thorough" (Van Lente, 1997). The needs assessment and negotiation planning efforts revealed critical areas of concern and needed change. Foremost among the identified issues were the contract provisions and past practices that had evolved for teacher discipline and discharge. As described above, there were articles in the teachers' contract that made it extremely difficult to address and correct poor performance and unprofessional behavior.

Another problem area was contractual teacher union mini-grievance or bargaining committees at each school site. These committees frequently worked to undermine the principal and foster ferment among the teaching staff whenever the union disagreed with a school board or administration decision. Actual teaching slowdowns had been staged and orchestrated by these committees in protest of school board and administration efforts.

Another less common concern was the typical teacher salary schedule with automatic step increases based on longevity and college credits, without linking compensation to teacher performance evaluations or demonstrated competence. The best and the worst teachers received the same compensation if their years of experience and educational credits were the same. The summary of district interests that reflected these concerns as

provided to the teachers' union is provided in Exhibit B (Van Lente, 1997).

Approaching the time for negotiations to begin, two negotiating sub-teams were formed: the union bargaining committee and administrative team representing the school board. The latter team consisted of the HRIC with his handpicked group of administrators--building principals who were selected for their courage, independent thinking, and demonstrated leadership ability. For a change, school district legal counsel was not directly involved in the negotiations, nor was a representative of the NEA state affiliate, except to provide encouragement and preliminary orientation to IBB. As discussed in the following, these two sub-teams were subsequently merged and became the IBB negotiations and effective change team.

A third party independent facilitator skilled in IBB methods was jointly selected based on a careful shared evaluation and dialogue between the HRIC and union leadership regarding what she would bring to the negotiations. The HRIC and union leadership agreed to split her fees evenly between the teachers' union and the school district.

The combined team invested their 1st day together in training on principles and methods of the selected form of IBB, including a complement of the methods set out for IBB in *Getting to Yes* (Fisher & Ury, 1991) and the description of IBB provided by Barrett (1993) as detailed in the assessment-interventions

section of this dissertation. Primary methods included in the training and negotiations were (a) pursuit of interests, not positions, (b) round robin brainstorming to generate multiple ideas and expand options to satisfy mutual and separate interests, (c) recording and posting ideas on flip charts taped on walls around the conference room for all to see and use in creating options, (d) consensus problem solving and decision-making, basing decisions on the previously developed consensus standards, and (e) shared responsibility for working the process and achieving an improved contract, as well as relationship improvements.

The IBB team took the principles of separating the people from the problem seriously, and being hard on the problems, not on the people (Fisher & Ury, 1991). Trust, teamwork, creativity, and collaborative problem solving became progressively better, though not necessarily any easier as the more difficult issues were addressed. There was conflict, somewhat heated at times, though it was well managed with the support of the skilled facilitator and the team. Conflict diminished and became more constructive over time as all ideas were treated as having value and each contributor was shown respect. Purpose, goals, values, roles, criteria for decision making and success, and group process methods were defined, practiced, internalized by the group and used effectively to produce positive change. The core standard, the ultimate value

and criteria for all acceptable decisions, *meeting student learning needs*, was repeated over and over. This standard became a driving and sustaining force for the negotiations as team members met off-site for extended, sometimes marathon evening and weekend sessions in order to create a new contract.

The two sub-teams truly became one team, with members crossing over their previous sub-team boundaries and identities to support each other irrespective of subgroup membership. They based collaboration and team member support on the potential value, ultimately to students, of the ideas and problem solutions generated. Essential reform contract provisions and new, much more trusting and productive working relationships were formed. Applying the spirit of IBB and these collaborative methods, previously *undiscussable* issues (Argyris, 1985) of teacher discipline and discharge, large class size, and the dysfunctional union committees in the schools, which all contributed to compromising students' best interests, were actively and openly discussed, applying principles of dialogue (Schein, 1999b; Senge, 1990; Walton, 1987). Change ideas were discovered, new contract provisions created that were courageous in the spirit of reform, and agreements were reached using the IBB techniques adopted by the team.

The IBB team found that introducing some humor and laughing together from time to time was helpful in managing the stress of the work they had undertaken and promoted bonding with

each other and the team. For example, the phenomenon of teachers who had consistently failed students and would not try to address their limitations in spite of repeated opportunities at different schools came to be referred to as "the waltz of the lemons" (Van Lente, 1997).

Among the key contract provisions resulting from this paradigm shift in shared leadership and advocacy for students was one that also served the interests of the wide majority of teachers who were devoted to meeting student needs. It was not only parents and administrators who were troubled by underperforming teachers. Educational professionals who had to make up for colleagues' failings in subsequent grades and among school teaching teams were similarly discouraged by the district's and the union's historic failure to address this serious limitation. However, it had been largely *undiscussable* (Argyris, 1985) as a violation of union solidarity.

That changed during IBB dialogue, and all IBB team members were eventually open and honest about this serious issue and committed to addressing it. In the words of one team member who helped the HRIC turn the tide regarding tackling this challenging issue "We cannot leave these negotiations until we have done something to resolve this problem" (Van Lente, 1997). The IBB team created a new discipline and discharge contract provision, an innovative system of accelerated remediation for teachers identified as failing to meet student learning needs.

The IBB team designed the system to be administered collaboratively, with the intent of giving failing teachers every reasonable opportunity to improve and achieve acceptable standards over a period of 6 months, with all the support the administration and teachers' union could leverage. However, failing or declining remediation, underperforming teachers would be reassigned to nonteaching work (if available) or be terminated in a considerate fashion. The superintendent of schools, with support from the HRIC, took a similar approach to underperforming principals, thus providing consistency and equity in accountability. These contract and policy changes paralleled the work detailed previously in the employee accountability subsection.

Another new contract feature extended the advantages of IBB principles and techniques to all schools after the negotiations. This initiative was achieved by replacing the problematic local union committee at each school with a high involvement *Collaborative Decision Making Team* in the spirit of restructuring and site-based management (Dolan, 1994). The new site-based teams included classified as well as certified employees; members as well as nonmembers of the NEA-affiliated local among the teaching staff; parents and community members; and students at the secondary level. Committee members were selected and meetings were cofacilitated by the principal and a school-based teacher union leader. Training was provided to all

the new school teams in use of the interest-based, consensus decision-making techniques. The IBB team became a resource to the school teams in learning these new approaches to collaborative, high involvement decision-making.

The economic package negotiated by the IBB team was data driven and formulated based on both distributive and integrative principles, with IBB team members shifting back and forth together between the modes of negotiating. Data from the NEA teacher compensation and benefits survey was used to clarify the already strong competitive position of the district on teacher salaries. The HRIC and HR team had prepared detailed tables and graphs to help establish this fact pattern. The cost impact of adjustments was modeled in a spreadsheet workbook developed by the district information systems team with the HRIC, and was available on a laptop computer to simulate the cost impact of compensation adjustment alternatives. The HRIC had established economic parameters beforehand with the district finance staff, superintendent, and school board. The final adjustments made to the salary schedule, teachers' salaries, and the overall costs were conservative and prudent given the district's current financial position. Historic teacher concerns involving minor costs and recurrent irritations, such as delays in receiving credit on the salary schedule for completion of education, were addressed and resolved.

Active communication and planning with constituents before and after, but not during the actual negotiations process was a feature that helped enable IBB to work. The team was able to focus on being cohesive, creative, and courageous without having to be constrained by what constituents were lobbying them to do. They were not distracted by constituents requesting information on progress of the negotiations, and did not have to contend with constituents attempting to influence the process and outcomes to serve individual or coalition positions, whether from the more outspoken among their respective colleagues, or school board members. The team was largely free of the political dynamics more characteristic of labor contract negotiations in public education.

This ability to negotiate without interference was based on an agreement, supported by the school board and administration, as well as union leadership, that negotiations would be conducted in private. Negotiation team members promised loyalty to each other and the process, and agreed not to discuss or reveal to anyone outside the team the content of negotiations until such time as there was a tentative agreement. Any negotiated agreement would then be presented publicly by the IBB team. The understanding included that statements made eventually to the press would be joint statements by the district and the teacher's union, a refreshing change from a history of bashing each other in the press during negotiations.

The intraorganizational bargaining dilemmas (Walton & McKersie, 1991) were suspended or managed in this fashion.

One school board member did attempt to violate the agreement by requesting a confidential review meeting and progress report on the negotiations from the HRIC. Recognizing that such a meeting would violate the pact of the IBB team, could destroy the trust developed and potentially compromise the entire IBB process, the HRIC, supported by the superintendent, declined to provide the requested review. He instead met briefly with the doubting school board member to explain the reasons for his position and provide reassurance that the negotiations were progressing well. Before that meeting, he apprised the rest of the IBB team and reassured them that their trust would not be violated.

Ultimately, key stakeholders were empowered to accept and approve or reject what the IBB negotiating team had created. As a means of building understanding and support of the process and outcomes, after the initial tentative agreement was announced additional union leadership and school board members were allowed to observe, but not participate in, the previously closed IBB bargaining team meetings. This change was made in response to surprise and resistance among some administrators and school board members to the magnitude of changes created by the IBB team and an apparent political move to undermine the tentative agreement. One provision of the tentative agreement

was not acceptable to the school board, having to do with class size reduction as discussed previously. Some members of the administration, who opposed the IBB process and eventual agreement, and attempted to block its approval by the board also took this position. Obviously, these two dynamics were related to political competition for control by individuals or factions that did not appreciate how the agreement was in the best interests of the district and its students. Or their motive may simply have been a desire for personal power.

However, rather than a breakdown in the process or resort to impasse, the IBB negotiating team reconvened with the invited observers and worked further to create alternatives to the provisions of concern to the board, particularly around class size. The approach taken was similar to what is called *softer agreements* in *Getting to Yes* (Fisher & Ury, 1991), which ultimately made them palatable to the school board and concerned administrators.

At the school board meeting to approve the contract, a minor coalition of a board member and administrators, supported by district legal counsel, attempted to block board approval. An impassioned appeal by the HRIC to the school board about the need for trust to spread beyond the IBB team if the district was ever to improve its ability to meet student needs, seemed to be persuasive. The school board members voted by a comfortable margin to approve the contract. Teacher union membership

ratified the contract by a 95% margin, an unheard of level of teacher contract support in the district's history.

Accounts from the administration over the years, indicated that the IBB process just kept becoming better. The school site-based teams have flourished, and the IBB negotiations process has continued to add value for nearly a decade, more recently having been extended to the classified bargaining units. The current HR assistant superintendent has attributed the continually improving relationships and spirit of collaboration, as well as successful repeated negotiations, to the IBB process. Furthermore, he reported there has been a bonus of significantly improved communication throughout the district outside of negotiations.

The use of IBB was in many ways similar to the parallel learning structure approach to change defined by Bushe and Shani (1991), and also evident were the team learning through dialogue and shared mental models was evident as described by Isaacs (1999), Senge (1990), and Walton (1987). According to Isaacs:

Dialogue fulfills deeper, more widespread needs than simply 'getting to yes.' The aim of negotiations is to reach agreement among parties who differ. The intention of dialogue is to reach new understanding and, in doing so, to form a totally new basis from which to think and act. In dialogue, one not only solves problems, one dissolves them. We do not merely try to reach agreement, we try to create a context from which many new agreements might come. And we seek to uncover a base of shared meaning that can greatly help coordinate and align our actions with our values. (p. 19)

The idea generating, integrating, and moving to consensus processes were much like the nominal group technique explained by Moore (1987). A round-robin method of brainstorming was used to make sure everyone had an equal opportunity to participate, though team members could pass on a cycle at their option. Polling of views on ideas and options helped bring the team to consensus on best ideas and ultimate solutions and new contract features. There was similarity also to the action-learning model espoused by Freedman (2007). A team member would state a concern, and other team members would engage that person through a series of questions to explore assumptions and ensure complete shared understanding. During convergence of ideas, debate was discouraged in favor of selective synthesis of ideas through iterations of discussion and dialogue with pauses to reflect on progress (Senge, 1990), and eventual consensus.

The IBB process as detailed above, and the conduct of team members provided a safe container for team members to suspend and openly hold out and share their assumption, to enquire about others' assumptions, to reflect on their discourse and the newly created meaning, as well as their progress and achievements, and to form new, shared mental models. As described by Isaacs (1999), "Generative dialogue emerged as people let go of their positions and views. They found themselves attending simply to the flow of conversation, a flow that enveloped us and lifted us to a new level of understanding . . ." (p. 40). The IBB team

members were clearly thinking together (Isaacs; Senge, 1990; Senge, et al., 1994). Some less complex or value laden subjects that did not stimulate the depth involved in dialogue were dealt with well through what Senge et al. (1994) characterize as skillful discussion. The IBB team seemed to move back and forth comfortably between dialogue and skillful discussion, with occasional pauses for group reflection. Flip charting and posting interests and ideas literally comprised what Isaacs (1999) described: "A discussion attempts to get people to choose one of two alternatives. A dialogue helps to surface the alternatives and lay them side by side, so that they can all be seen in context" (p. 44).

The facilitator served as primary coach (Freedman, 2007), however all team members shared responsibility for supporting each other and staying true to the IBB principles and the process. Anyone could raise a process check, and work on content was temporarily suspended while process concerns were reviewed and resolved with relative ease.

As the IBB team became increasingly better at working the process in the spirit of collaboration with high trust, high engagement of all team members, and unity of values and purpose, progress moved into high gear as if on autopilot. The experience was like that described by Quinn (1988) as the team reached a state of transformational excellence some would call flow. Following the transformational cycle depicted by Quinn,

the team took on the risk, engaged in intuitive experimentation that lead to creative insights through brainstorming, used dialogue and reflection, as well as convergence of idea themes, to creatively reframe issues and interests as opportunities, and generated the synergy necessary to attain equilibrium at a level of mastery through consensus. Similarly, when confronted with resistance to the tentative agreement and an attempt to block its approval at the school board meeting, the HRIC in appealing to the board carried the full force of the IBB team momentum, self-confidence and commitment to change when articulating the case for school board approval. The appeal to take some risk and extend the spirit of trust and collaboration of the IBB team to the leadership and entire organization was obviously persuasive. As acknowledged by observers and felt by the HRIC, the experience was what Quinn describes as flow. Both the IBB team process at its peak and the presentation to the school board had these characteristics:

During this dynamic state of total involvement, there is a holistic sensation that suggests a lack of conscious intervention by the actor. While one knows how one is doing, because of feedback, there is no stopping for conscious evaluation . . . there is no split between the self and the environment, the stimulus and the response, the past and the present. Action and awareness are merged. There are no dualisms. The self disappears. (p. 13)

Other descriptions of flow, for example during sporting events, include a sense, though events are fast moving, that all is in slow motion and one anticipates what occurs as if there

were only the present (Quinn, 1988). Quinn maintains that these peak experiences of excellence cannot be maintained for long periods as they are highly demanding and would lead to exhaustion. Post negotiations fatigue among members of the IBB team seemed to validate that principle, though marathon negotiating meetings must also have contributed. What mattered most, however, is that such peak experiences, when well timed and placed, can make a huge difference, as was the case for the IBB team and Highland County School District.

Summary and Conclusions

The IBB process, along with the HR interventions, obviously worked well as OD & C and educational reform strategies in this case. The complement of comprehensive and inclusive interventions significantly changed the course of the school district for the future and improved potential educational opportunities available to students. The quality of the working environment for the adult learners in the organization was also significantly improved. While obviously due to many factors in addition to improved labor-management collaboration, a brief check of student performance data shows steady improvement for the district, reversing the previous historic trend of declining student achievement.

*Case 3: The Petland County Society for
the Prevention of Cruelty to Animals*

The Petland County Society for the Prevention of Cruelty to Animals (PCSPCA) is a regional private nonprofit community service organization with a long and rich history of advocacy for animals. It is a full service animal shelter fulfilling the dual functions of animal protection and control. Services and facilities are comprehensive, including spacious kennels, an adoption center, a full service veterinary hospital and surgery center, as well as a thrift shop and grooming center. Animals are housed in multiple buildings on a spacious campus. Separate primary kennels are provided for stray and adoptable animals. The adoption center's full service front desk is community friendly, and humane and animal control officers are active in the community, teaming with other law enforcement as needed to provide rescue, humane protection, stray control, and leash law enforcement. Many functions, including receiving animals, operate 24 hours a day, 7 days a week.

The PCSPCA has a well-defined mission that is widely understood among employees. Employees understand that the purpose of the PCSPCA is to prevent cruelty to animals and provide temporary shelter and a return home or new homes for as many as possible, while also fulfilling the duty to help control the animal population and enforce local animal protection and control regulations. Through its spay and neuter program,

community outreach services for mobile adoptions, foster care and sharing furry friends with the elderly, and a dynamic community education program, the PCSPCA staff promote community support and responsibility. The hospital provides vaccinations, injury and illness care, as well as high volume reasonably priced spay and neutering.

While striving in time to become a *no-kill* shelter, euthanasia of failing, low-probability adoption, and excess population animals is accepted as a necessary evil, though most employees have mixed feelings about this function. Given their love of animals, euthanasia presents somewhat of a dilemma or paradox to a number of employees. They manage their ambivalence in various ways, such as working extra hard and tirelessly on the educational and spay and neuter programs, advocating for public responsibility, or devoting extra time helping a stray animal become adoptable through socialization training.

An executive director, who has devoted a long career to the organization, its people, and services to animals and the community heads the PCSPCA. A dedicated board of directors governs the organization. The PCSPCA has contracts with both the major city and its county for animal control and enforcement. Overall funding is provided by donations, memberships, the county and city contracts, and a fee structure for owner recovery of stray animals. The PCSPCA has not been active in grant writing.

The organization has grown significantly over the past few years, due to growth of population in the communities it serves, and resulting growth in the animal population. New leash laws have added to the demand for services. The PCSPCA is the largest such organization in its region of the state. Recent growth of the organization to nearly 100 employees has created strains and *growing pains*, especially in the area of human resources, which had been largely decentralized and shared among the office manager and assistant, executive director and supervisors. Turnover has historically been a problem, especially among newer employees, and continues in spite of a significant boost to starting wage rates.

The entry-level kennel jobs are not the most attractive, and they seem to draw a mix of people devoted to animals who identify with the organization's mission, and people who are unable to obtain better jobs. Employees who stick it out, however, find stable employment with good benefits, and the potential for advancement to higher level jobs over time. There are many dedicated, long service employees who would work nowhere else in the community; they love what they do and are committed to the organization and its mission.

The *growing pains* made the executive director and board receptive to an offer of assistance from a graduate school cohort of organization development students. Students, under faculty guidance, performed an organization assessment.

Substantive needs for improvement were surfaced through interview and survey techniques, and a set of recommendations were carefully considered and have led to further action. Some students provided a complement of small group workshops to address identified needs, and the executive director worked to improve communication, leadership, entry level pay, and the hiring process, as well as meeting frequently with his team of managers and working through issues and plans to further address needs.

One primary recommendation from the initial assessment was the creation of a formal human resources function with a qualified HR manager added to the management team, reporting to the executive director. This case study features follow-on consulting work, including assistance to the organization through performance of an HR program audit or needs assessment; recruitment of an HR manager; and completion of a thorough organization assessment, including application of survey-guided organization development, and other supportive interventions. Through a series of site visits, a facilities tour, review of files, discussions with the executive director and his staff, and a meeting with the board of directors, an understanding and written agreement were reached. Appendix F contains a copy of that document, which also recaps the initial organization assessment.

The writer, in his role as consultant, confidentially interviewed approximately one third of the PCSPCA employee population using select randomization to ensure a representative sample. The primary purpose, as explained to employees, was to learn information about the organization that would be used to help it improve, including development of a custom-designed employee survey to be completed by all employees who were willing to participate. Interview questions were fashioned based on the initial organization assessment work and subjects of interest identified by the client, participating employees, and the consultant. The interview questions are shown in Appendix G.

The responses were recorded in consultant notes during interviews and in the weeks following they were transcribed and content analyzed. The survey was developed and administered during working hours. Employees were encouraged to participate by the executive director through formal announcements and informal communication, though completing the survey was not mandatory. Employees completed the survey in a large, quiet meeting room away from work related distractions, and they provided the completed survey to the writer, who maintained custody of the surveys to ensure anonymity. A summary of the content analysis is shown in Appendix H. The survey, with response means posted is provided in Appendix D.

Examination of the 40-question survey shows that it provided employees with an opportunity to rate various aspects of the organization on a 7-point Likert scale. The survey featured a three-part response to each question, for how the employee perceives things *now* in the organization, how things have *been* in the past, and how the employee would *like* them to be in the future. Questions were reversed intermittently from a positive to a negative statement to avoid response bias. The survey also allowed write-in comments in response to each objective question and summary or additional write-in responses.

The survey responses were sorted into high, medium and low mean responses to the *now* condition. Graphs of these groupings of responses are shown in Figures 5 to 7. Figure 5 includes the 11 high response employment factors identified. The number preceding each phrase (in the figure) refers to the corresponding item number from the survey. The phrases are an abbreviated form of the actual survey question (Refer to Appendix D for the full text of the questions). Similarly, Figure 6 shows 11 factors that indicated medium employee confidence. The 16 low and undesirable employment factors (see Figure 7) identified through the survey indicated that PCSPCA employees perceived that there was plenty of room for improvement on a variety of organizational processes and behaviors. Note that question #28 was stated in the survey as a negative, looking to leave, then reversed for scoring purposes

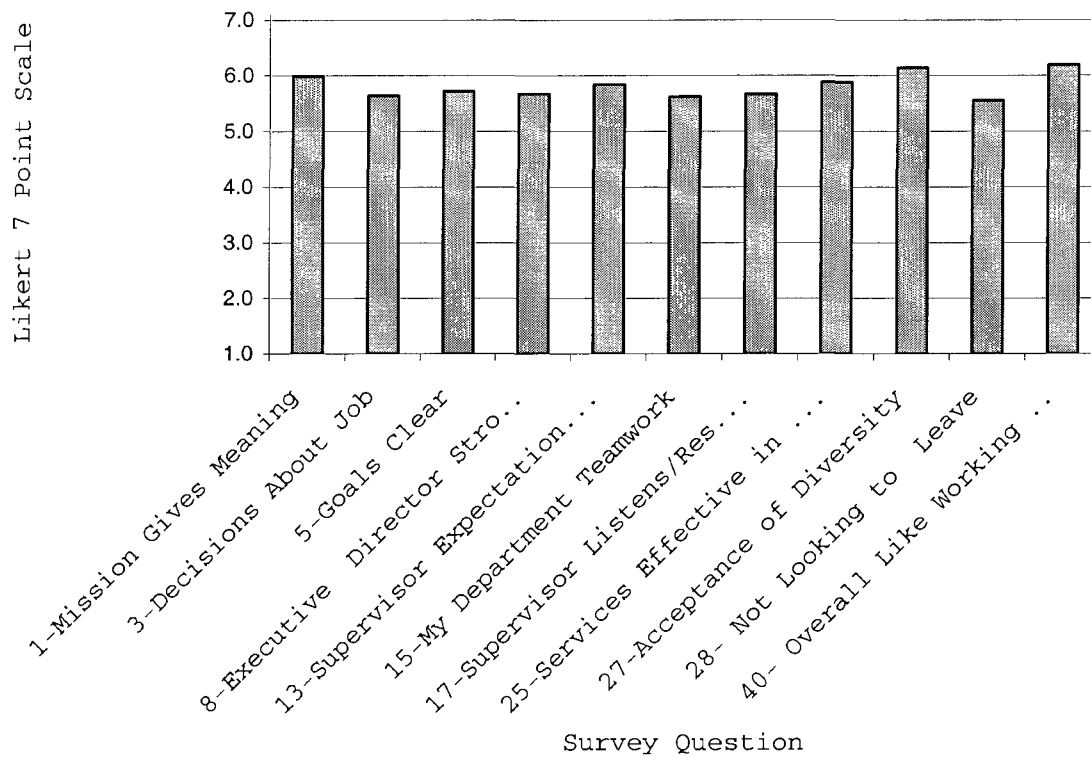


Figure 5. PCSPCA high mean now responses

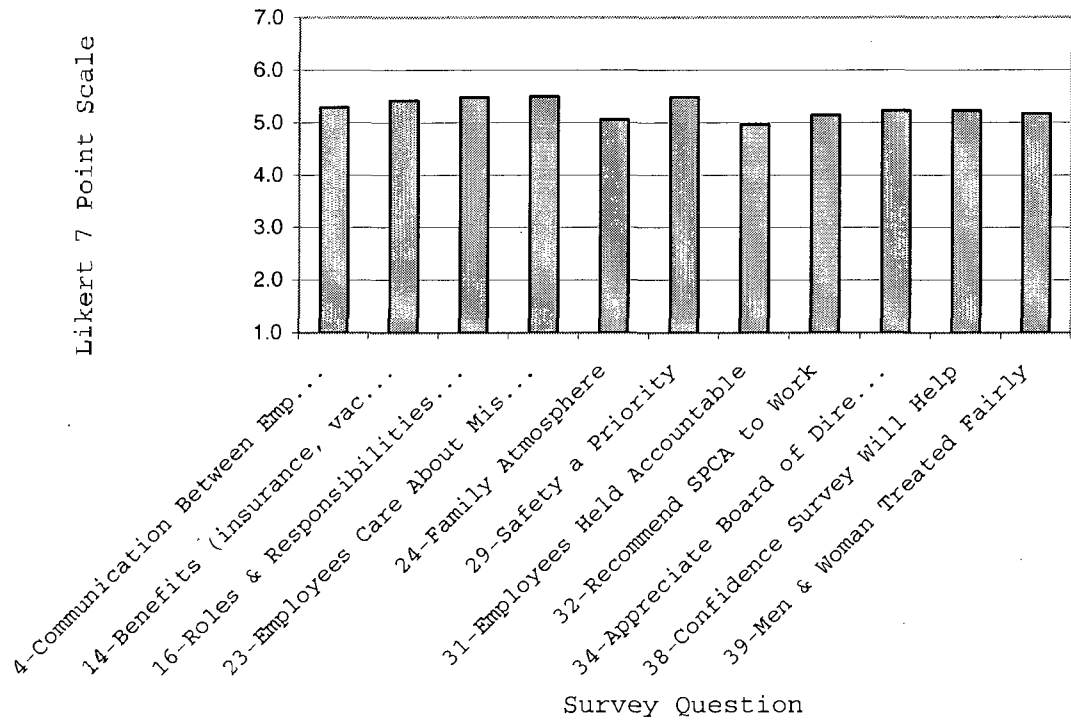


Figure 6. PCSPCA medium mean now responses

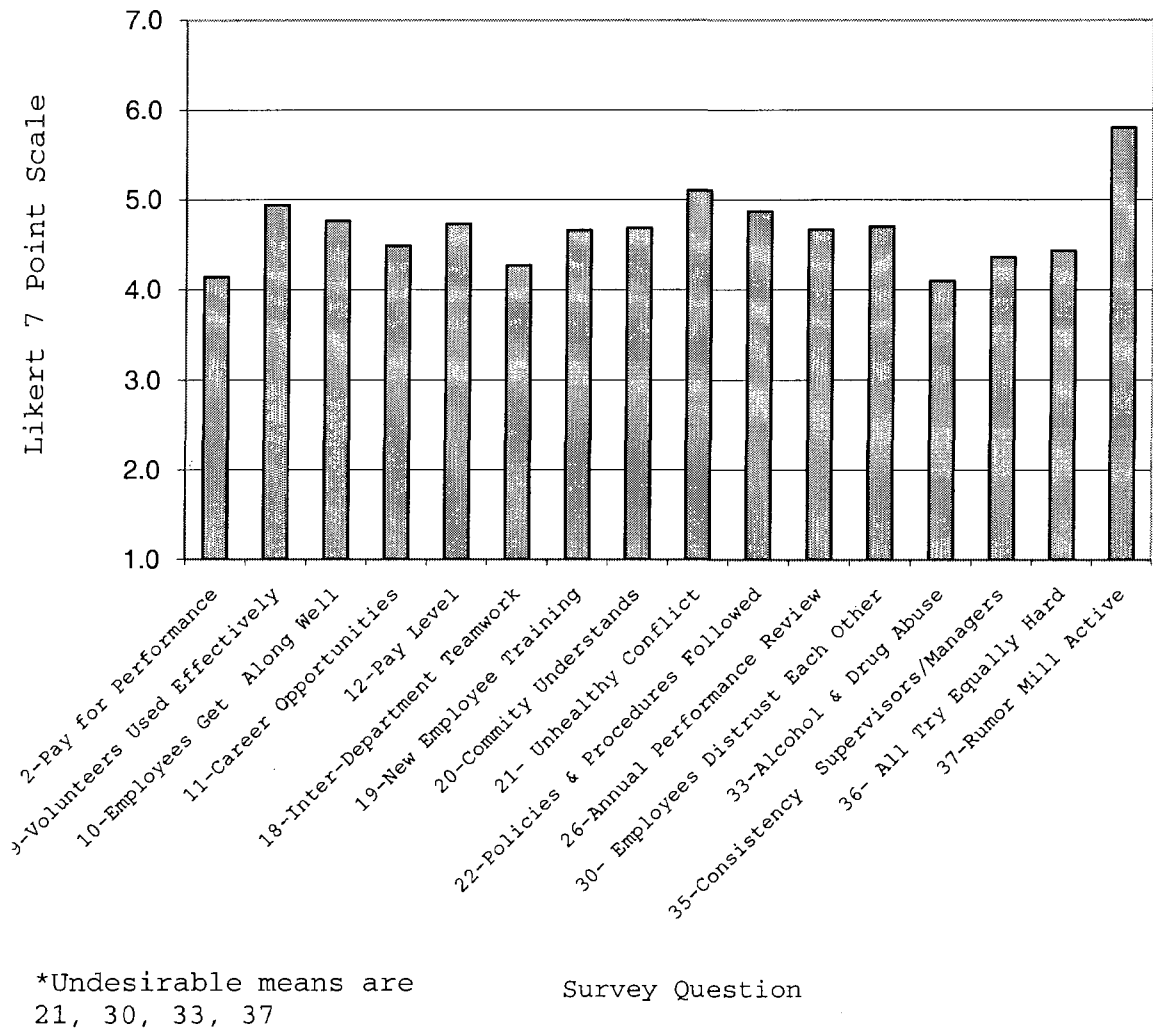


Figure 7. PCSPCA low or undesirable mean now responses

to reflect an indication of intent to stay in employment at the PCSPCA.

The survey design of multiple response time frames to each question provided additional information that can be as meaningful as the mean *now* responses about current conditions. Information regarding the difference between how employees perceived organizational conditions now and how they would like them to be in the future is provided in *gap scores* of the differences in employee ratings between *now* and *like*. When considered with the *now* response, these gap scores can point out areas providing the greatest potential for improvement. Though employees are inclined to respond with high *like* scores, understandably wanting the best of employment conditions, the variability in their mean *like* responses suggest that they did discriminate among the various questions in communicating their priorities. While more of the variability is in the *now* responses, the gap scores of differences between *now* and *like* responses do provide a basis for prioritizing improvement plans.

These gap scores, divided into high, low and medium score differences are shown in Figures 8 to 10. Another opportunity with the gap scores is to use information about what employees aspire to in employment conditions to engage them in problem solving and decision-making about the changes to be made. This approach seems especially appropriate when the desired changes confident and opportunities to build upon strengths. As is

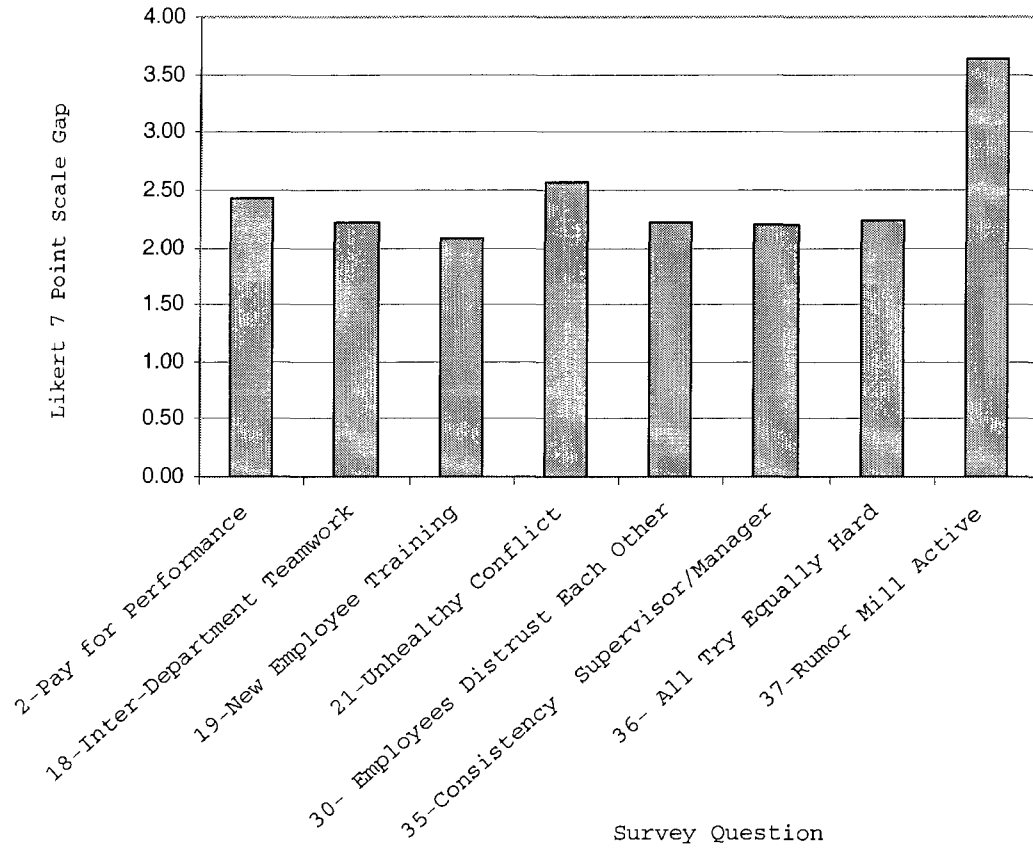


Figure 8. PCSPCA higher like-now gap scores

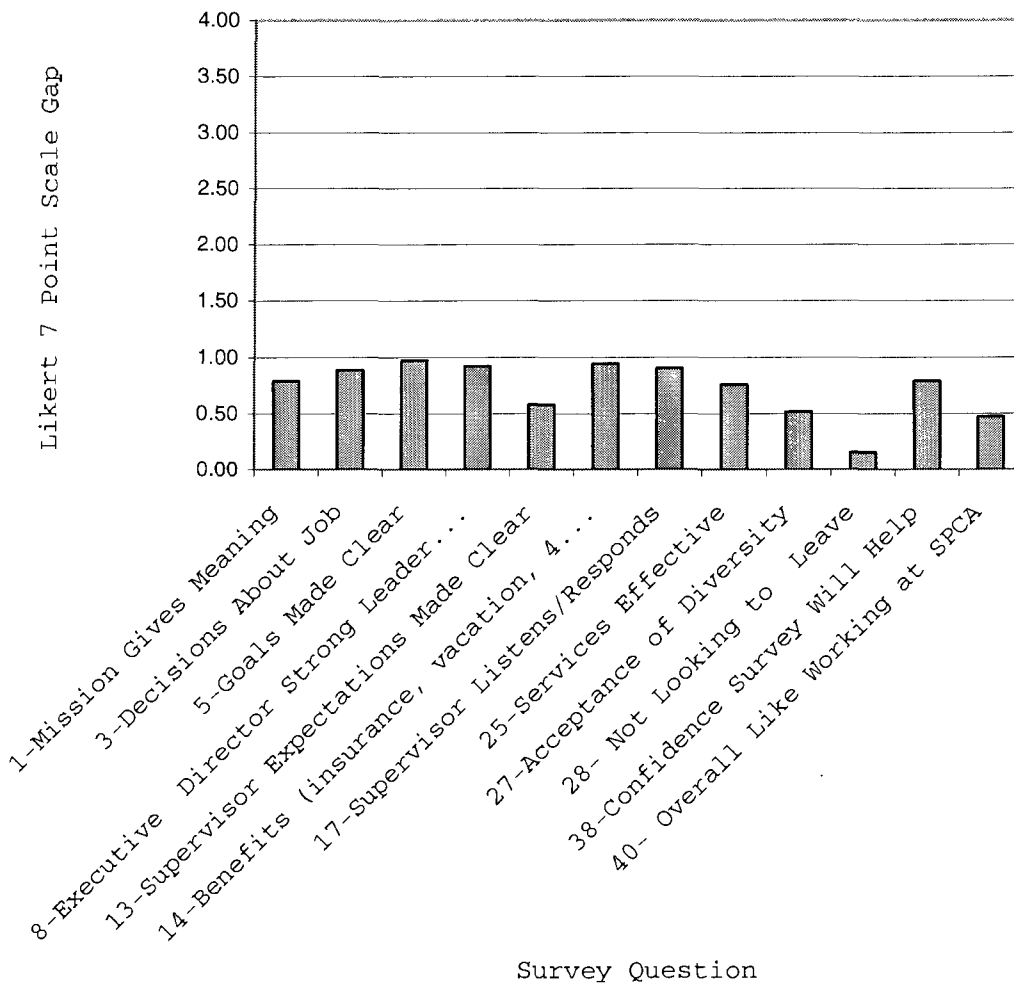


Figure 9. PCSPCA lower like--now gap scores

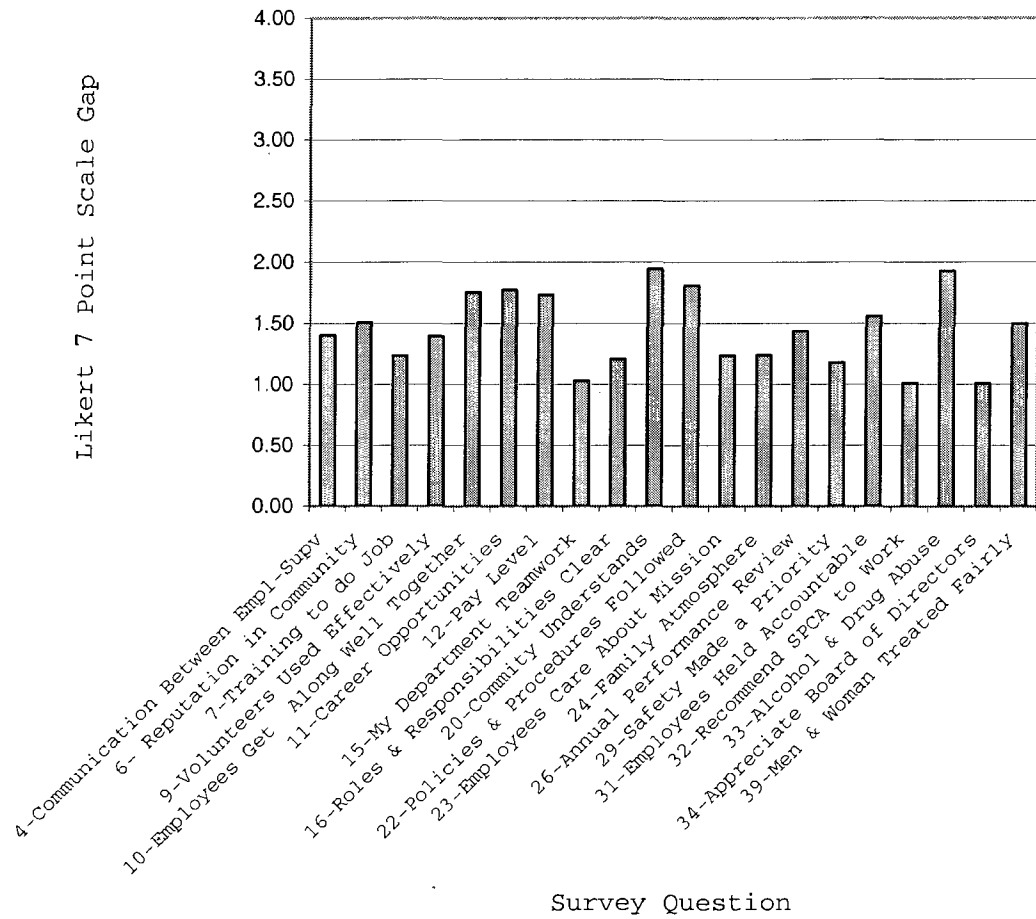


Figure 10. PCSPCA medium like-now Gap Scores

relate to employees' own behavior, as is the case in many of the larger gaps scores.

In expressing their wants, as well as their assessment of current conditions, PCSPCA employees clearly self-assessed their need to improve on interdepartmental teamwork, unhealthy conflict, employee trust in one another, and the all too active rumor mill. The high gap scores shown in Figure 8 further suggested they would like to see opportunities in pay for performance, better new employee training, and supervisor and manager consistency. Furthermore, they wished that all employees would try equally hard to accomplish their work and achieve the PCSPCA's goals.

Examining the low gap scores suggested reasons to be apparent from Figure 9, employees were reasonably pleased with the PCSPCA mission and how it gave meaning to their work. They were relatively comfortable with being allowed to make decisions regarding how they did their work, with goals and their supervisor's expectations being clear, and that their supervisor listened to them. They seemed to recognize how their benefits program was as good as they could find at other employers in the community, and they appreciated that their services were effective in the community. Employee responses indicated they appreciated their executive director's strong leadership, felt diversity was accepted, and had some confidence that the survey process would meet their expectations for improvement at the

PCSPCA. Perhaps the most positive finding was that the surveyed employees really liked working at the PCSPCA and were not planning on leaving. When viewing the *like minus now* gap score graphs it is important to remember that small differences between how employees would like things in the organization to be and how they view them now are a positive sign.

The medium gap scores suggested other opportunities for improvement and should be considered in the HR strategy as they link to other initiatives. For example, the relatively low gap score and consequently favorable position for question #15 regarding teamwork in the employees' own department could be a key to extending teamwork between departments and across the PCSPCA organization. Employees identified interdepartmental teamwork, along with unhealthy conflict and distrust, as clear weaknesses, showing some of the largest gap scores. It is interesting to note that the responses to these three questions, interdepartmental teamwork (question #18), unhealthy conflict (question #21), and employees distrusting each other (question #30), were highly intercorrelated. Correlations ranged between .66 and .71, showing the strong association among these variables in the minds of employees.

Understanding why there was good teamwork within departments but not across departments could be a key for unlocking teamwork organization wide. Extending what was working within departments to the organization as a whole might

be part of the answer to this problem. Perhaps understanding that intragroup versus intergroup dynamics often involve a dilemma or paradox to be managed rather than a problem to solve (Johnson, 1996; Smith & Berg, 1997) could also become a part of the strategy for change. The PCSPCA obviously needs both cohesive teams and cross-team collaboration. It appeared that some of the strong within group identity was based on competing with, blaming and pointing fingers at other groups, which was not an especially healthy or productive form of group development. It also appeared that some of the group member competition was modeled after group manager behavior, perhaps even their expectations. These conditions obviously have implications for performance management and leadership development among the middle management team.

The three-timeframe response feature of the survey also allowed employees to rate how conditions have been in the past. Many employees did not have an opinion regarding the past, especially newer employees. However many intermediate and longer service employees had strong opinions that reflected a vivid memory of how conditions had been in the past at PCSPCA, and they were comfortable rating what they obviously saw as appreciable improvement. Their ratings were consistent with comments in the confidential interviews and write-in survey responses.

Fixing a specific time in the past was not intended, given the past would mean different things to different employees, depending on their history with the organization and individual perspectives on past changes. The intent in using this survey feature was to simply assess trends of current state in the organization compared to the past in general. Because employees indicating no opinion or simply not responding to questions regarding the past provided no basis for comparisons of past with present, those survey responses were treated as missing data and not included in the mean *been* response calculation. The improvements noted from the survey responses appear as Figure 11. As depicted in Figure 11, employees perceived appreciable improvement in a number of factors of importance to the PCSPCA. The questions listed on this figure showed the most improvement--an improvement score of approximately 1 or more on the Likert scale. This categorization of appreciable improvement was somewhat arbitrary as a means of focusing on a limited set, and was not based on statistical significance. It was intended to be descriptive. Almost all questions on the survey showed some degree of improvement.

PCSPCA organization improvement was also assessed by comparing the recent survey with the survey conducted in early 2005 during the first phase of this organizational improvement initiative. Though the initial survey was of a much smaller sample, 20 responses compared to 76, there did seem to be a

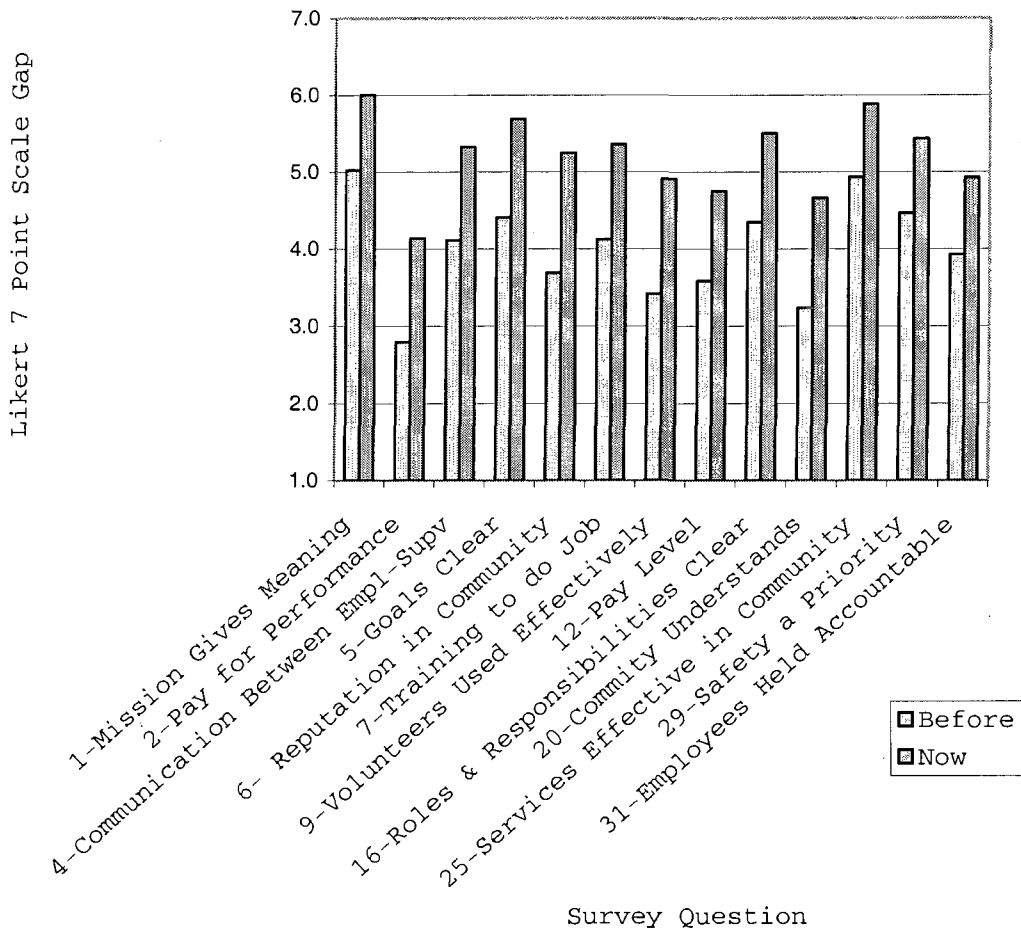


Figure 11. PCSPCA higher improvement scores

trend in the right direction, indicating improvement over the 2 years.

The data shown in Figure 12 has been adjusted to convert the 6-point scale used previously to the 7-point Likert scale for comparison to the recent survey data on similar questions. There had been apparent improvement in all but volunteer effectiveness, which seems to have declined slightly based on these data, though current data alone suggests improvement. The small sample size of the earlier survey combined with the difference in the questions and scales, even though adjusted, necessitated caution in interpreting these results. However, the trend is encouraging. The trend indicated in Figure 12 was also consistent with what employees indicated on the recent survey when rating both the *been* and *now* timeframes (i.e., that there had been improvement).

It can be helpful in understanding an organization to look at intergroup differences in survey responses. An overall mean response for all questions on the survey was used as an indication of employee confidence, with scoring reversed as appropriate for some questions to reflect a relative absence of negative perceptions as positive. The overall or grand means and standard deviations for the groups identified based on employee self-report on the survey are shown in Figures 13 and 14. There did not appear to be much difference between the groups on this global measure, with the exception of supervisors

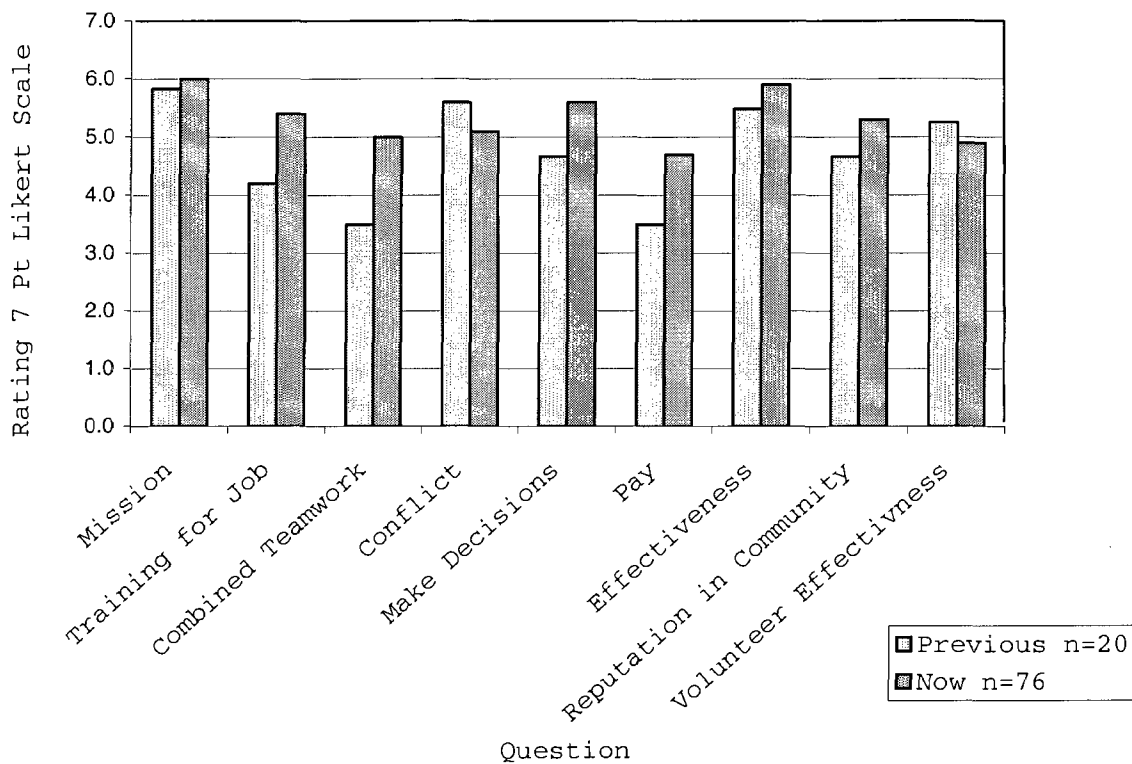


Figure 12. PCSPCA comparison of 05 and 07 surveys

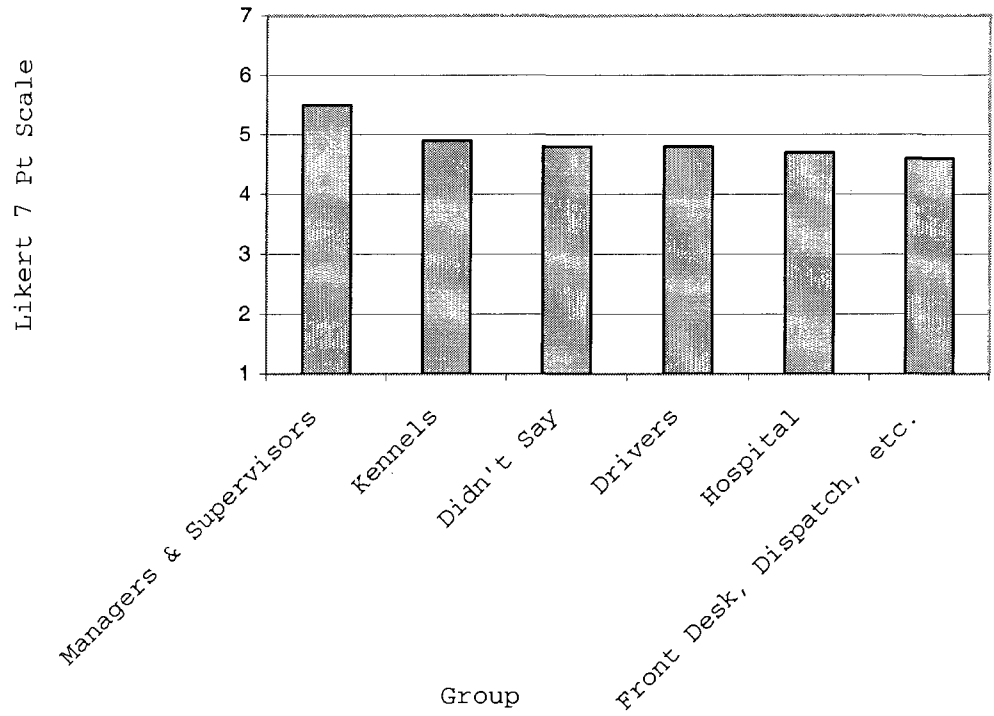


Figure 13. PCSPCA overall mean response by group

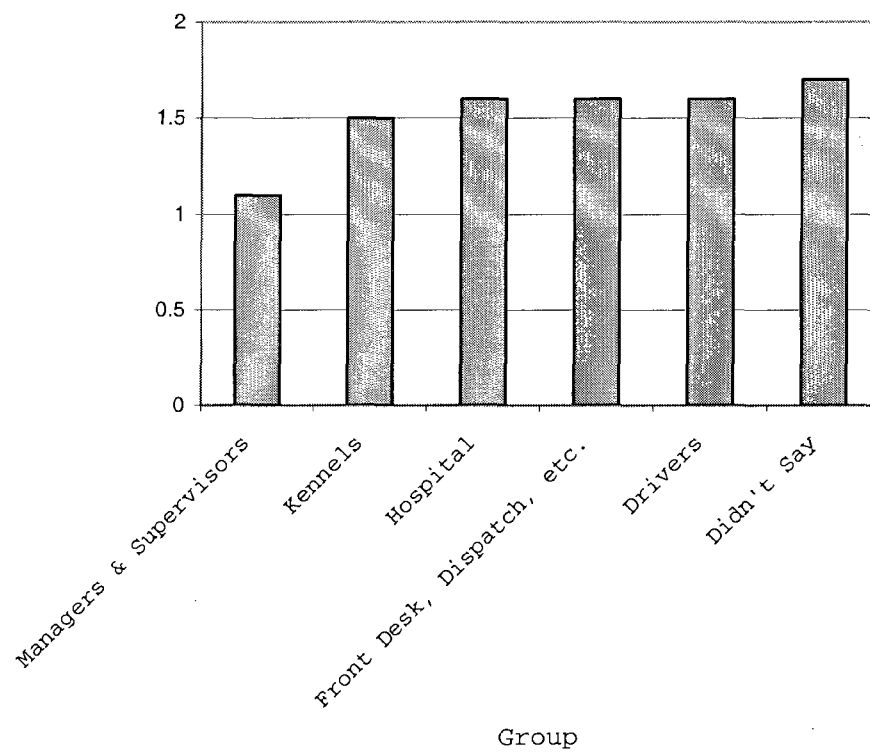


Figure 14. PCSPCA overall average standard deviation by group

and managers, who were generally in greater agreement about a more positive condition. This finding is consistent with the writer's experience in surveying other employee groups. Supervisors and managers frequently see organizational conditions, which they manage, as more positive than do employees generally. As a tight knit group, managers and supervisors were in stronger agreement about conditions.

Employee write-in responses (Comments and Ideas) on the survey were similar to the information provided previously in the confidential interviews. The interview data was content analyzed and is summarized in Appendix H. The content analysis and write-in comments helped clarify PCSPCA employee responses to the objective questions. Data triangulation of the *objective* data on employee responses to survey questions with the more qualitative data from the confidential interviews and write-in responses on the questionnaire demonstrated clear consistency. This data triangulation, as well as confidential review for triangulation with other individuals previously involved, supported the reliability and validity of the recent data as being an accurate depiction of employee perceptions regarding organizational conditions. The strong response by employees--better than 80% of active employees completed the survey--also supported confidence in this data.

The responses of employees in the confidential interviews to the idea of adding a human resource manager were so

convincing that the question was not included in the employee survey. The wide majority of employees interviewed demonstrated understanding of how this addition to the management team would add value and meet needs, and they were supportive of the decision. The interview responses based on the content analysis are summarized in Figures 15 and 16.

This thorough assessment based on employee perceptions clearly supported that adding a human resources manager to create a complete HR function would help meet employee expectations and address apparent needs of the PCSPCA organization. Such an addition to the PCSPCA management team could provide a set of competencies and programs likely to address the most pressing concerns expressed by employees in their survey responses. Targeting the high gap scores would be a good place to start. Priorities that could be met through the new human resources manager role included: (a) proactive efforts to help transform the rumor mill into helpful, supportive, goal and team oriented communication; (b) interventions to transcend interdepartmental conflict; (c) creation of a performance based pay system tied to a well developed formal performance management system; and (d) improving new employee recruitment, selection, orientation, and training.

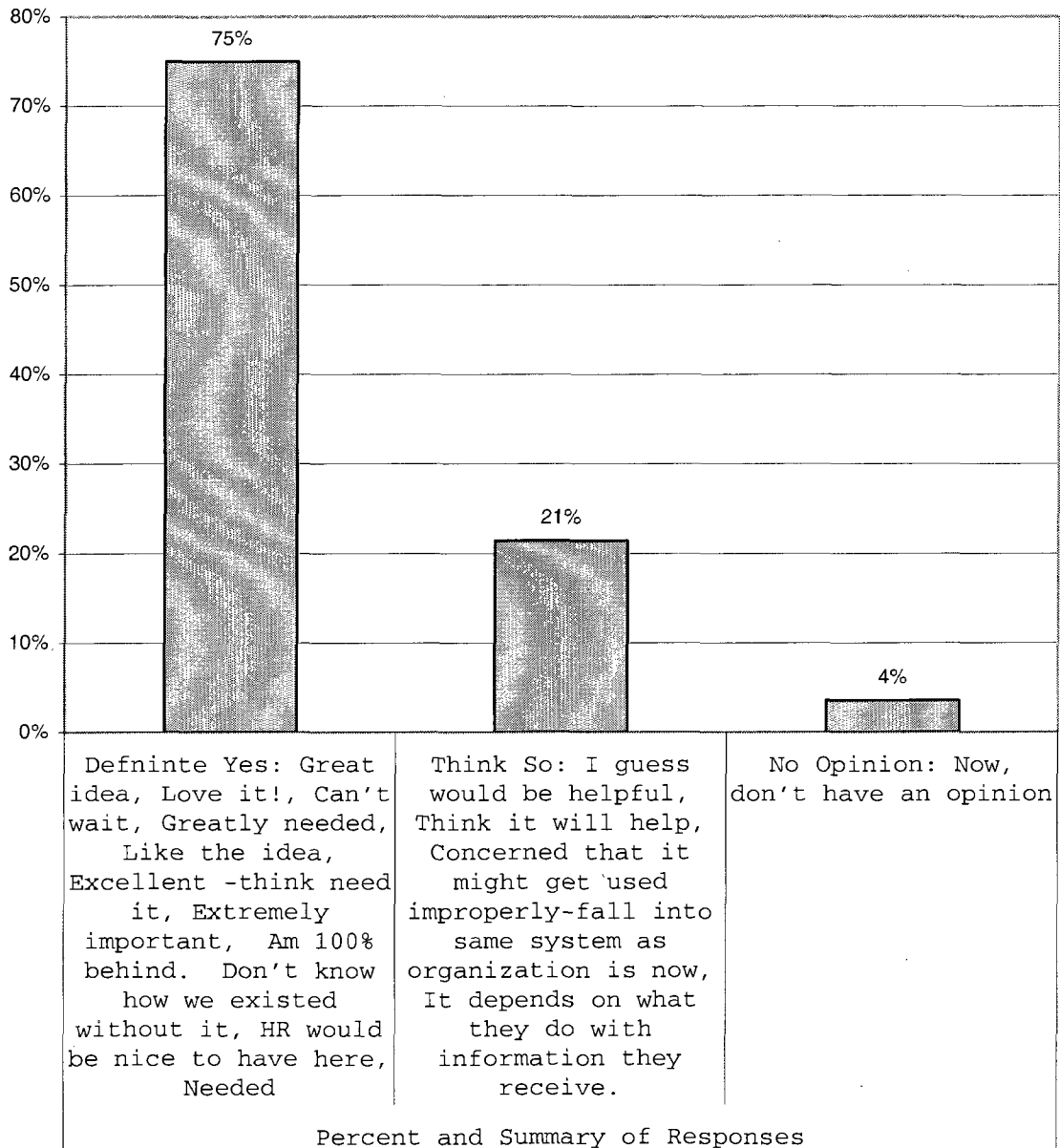


Figure 15. PCSPCA Opinions Regarding Adding an HR Manager

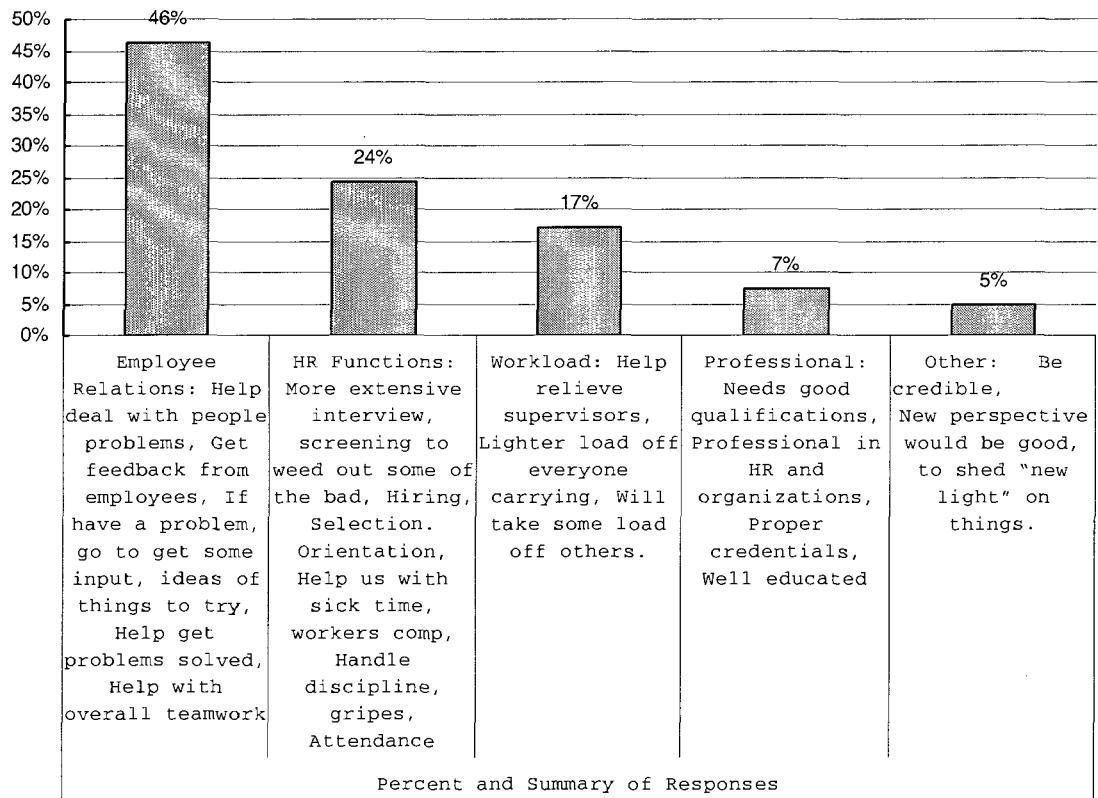


Figure 16. PCSPCA expectations for new HR Manager

This addition of an HR manager could also have near- and long-term direct tangible and measurable benefits. High turnover and resulting excess recruiting and training costs, hiring the wrong new employees who detract from the performance of others causing inefficiencies and extra overtime costs, excess absenteeism by some employees, and workers compensation cost increases are all direct targets for savings from the addition of a HR manager position.

Fortunately, with consultant assistance, the PCSPCA has now hired its first HR manager, who will also be responsible for the training and safety and health programs. In addition to the need to create a comprehensive HR function, the new HR manager will be required to devote significant effort to working with the executive director and management team to take full advantage of the survey information, responding to what are now heightened employee expectations for change. The executive director, new HR manager, and overall leadership team should continue receiving support from an external consultant skilled in survey-guided organization development, conflict resolution, and teambuilding interventions. Continued work in leadership and management development through learning and executive coaching would also be to the organization's advantage.

It is important to note that essential human resources and personnel administrative functions, such as recordkeeping, benefits enrollment and administration, workers compensation,

unemployment compensation, payroll, and similar functions are being handled quite well by the office manager and her assistant, supported by an outside firm. By continuing this arrangement for the time being, the new HR manager would be able to concentrate on strategic needs and opportunities, such as follow up on the survey, further assessing needs with the leadership team, getting to know the employees, addressing the most pressing problems, and HR program planning. Continuing provision should be made for administrative support of the HR manager and appropriate functions, such as personnel file maintenance and payroll input and processing. The following subsections further clarify or elaborate priorities identified through the HR and organization assessment that will require the services of the HR manager, along with continued strong support from the executive director and entire management team.

Recruitment System

No one at the PCSPCA had the time or skills to do a thorough job of recruiting and selection. This limitation was evident from review of practices, staff competencies, the quality of new hires, the high turnover of new hires, and the expressions of employees through the interviews and survey. Current employees would really appreciate having higher expectations and standards for the new people brought in to work with them. The amount of drain on the organization from the

current decentralized and weak recruitment system was and would continue holding the PCSPCA back in achieving its goals unless it is addressed.

It appears the PCSPCA should seriously consider drug testing all new employees and reasonable suspicion testing for current employees. These new policies should be incorporated in a drug free workplace plan consistent with the employee handbook.

*Performance Management and
Performance-based Pay*

Performance reviews have been inconsistent and infrequent. Employees should receive regular feedback from the supervisors and formal feedback and a written performance appraisal not less than annually, preferably with a quarterly or semi-annual progress reviews. Developing a quality performance review format and process can greatly improve clarity of expectations, performance goals, individual developmental plans and goals, and provide each employee feedback regarding their progress meeting needs and achieving goals. The system needs to be well understood, transparent, and credible. Consequently, active communication and training during development and implementation is crucial. Such a system will also provide a reliable link to the performance-based pay system.

The relationship between performance and pay increases has been limited. Though employees perceive it as having improved

somewhat, they would like the relationship to be stronger. The current system of the executive director informally allocating exceptions to the across-the-board percentage increases was not perceived as providing employees with strong opportunities to earn more by contributing more.

That budgets are limited is not a reason to avoid a formal pay-for-performance program. It is more reason to adopt an effective program linking pay increases to formal performance reviews and thus improve the return on scarce compensation resources through employee performance improvement.

The absence of any formal performance-based pay system was evidently the source of one of the highest gap scores on the survey. Employee comments also supported that they perceived inequities in allocation of pay increases and little incentive to work harder or smarter based on earning compensation increases. A perspective expressed was that the primary way to earn more was simply to stay longer.

Carefully evaluating and designing the right mix of individual and team incentives, and tying rewards to desired behavior and performance, could be a significant force for improved performance and employee confidence and retention. Such a system could also help with compensation expense control.

*Compensation and
Benefits Plan*

An overall assessment of the competitiveness of the compensation and benefits program needs to be performed using reliable survey information. The PCSPCA would do well to have a compensation and benefits plan based on survey data to set benchmarks and balance competitiveness in the labor market with cost control. Comparisons should be made to similar organizations and comparable jobs in the region. Such a program would help the PCSPCA attract and retain quality employees and treat them equitably. The data obtained can also be used to help justify appropriate budget amounts in contract negotiations with the city and county.

A formal salary grade structure should be developed to improve compensation administration, help provide a link to the performance-based pay system, and show employees the compensation opportunities available to them in their current job and future jobs in their potential career track with the PCSPCA. The salary grade structure should be reviewed annually based on current survey information and wage trends, and adjusted as necessary to maintain the planned relationship to benchmark data.

Compensation and benefits practices need to be carefully reviewed to ensure compliance with applicable regulations. Particular attention should be given to exempt and nonexempt

status and compensable time worked versus volunteer work on community projects for nonexempt employees.

Employee Training and Development

The lack of adequate employee training, especially for new employees, came up frequently in the interviews. Inadequate new employee training was one of the higher gap scores on the survey, and the topic of many comments in employee write-in responses. Newer employees reported not being trained adequately, then being chastised by their supervisor for improper performance of their jobs. Some new employees reported being trained by other new employees who had hardly learned the job themselves. Others reported that different employees instructed them to perform duties in different ways, creating confusion about what was expected. Employees related that supervisors were not involved sufficiently in training, yet were quick to criticize them for not performing properly, sometimes being harsh and verbally abusive. There was some indication that this condition had improved in the recent past, though more improvement was needed.

Supervisors and managers have benefited from training in mini workshops provided earlier during the initial phase of this improvement initiative, including conflict management, stress management, and dealing with difficult customers. Organizational management, assertiveness, and managing emotions

in the workplace were other topics covered in brief training workshops. At that time, supervisors expressed the need for more training. This theme reoccurred in the interviews and survey responses, especially the need for more training on leading and managing people.

A further investment in training and development of this key group could spread benefits to all the employees they supervise, resulting in wide-scale performance improvement. Supervisory training and management team development could help reduce the inconsistency employees experience between supervisors and help mitigate interdepartmental conflict. Both training and middle management leadership and team development seem needed. New learning can be reinforced through the performance appraisal and performance based pay programs recommended above, applying specific performance expectations and performance and developmental goals.

Safety training was not identified as a serious weakness, though some employees expressed concern about a lack of attention to safety, including a lack of training. Employees commented that safety received attention only right after an accident, and then was ignored until the next accident. Safety training could be one of the best means of protecting employees and reducing workers compensation costs, which spiked in the recent past. Savings on workers compensation can be invested in

other aspects of the HR and training programs, such as further training and pay incentives, often paying significant dividends.

Volunteers

Use of volunteers, though much appreciated by employees when it works, does not appear to be consistent. Recognizing there is a volunteer coordinator, consideration should be given to involving the new HR manager in support of the volunteer coordinator and program. Volunteers are human resources with many of the same needs and expectations, as well as potential contributions as employees, though on a limited scale. Concern was expressed about volunteers who were not serious about helping, were too immature to help, or who were at PCSPCA as a summer activity because their parents are employees. An objection to *baby sitting* other employees' children was expressed. Some employees perceived a need for stronger supervision of volunteers so that they were more a help than hindrance. These conditions should be evaluated and appropriate policy applied. This same need was identified in the original survey and interviews 2 years prior. Employees perceived improvement over the past in effective use of volunteers and greatly appreciated volunteer support when it worked well. Some employees felt the PCSPCA would simply be lost without the contributions of their volunteers.

Employee Survey Feedback

About 2 months following the survey administration, feedback meetings were held with PCSPCA employees. Duplicate meetings were held on a Tuesday and Thursday evening from 6:00 to 8:00 PM such that all employees would have an opportunity to participate in one or the other meeting. Attendance at one of the meetings was made mandatory, and nonexempt employees were paid overtime as appropriate, underscoring the importance of the meetings. Some of the employees who attended the first meeting returned voluntarily for the second meeting to participate further in the dialogue. All but two employees attended one or the other meeting. Employees seemed to both attend and participate willingly.

The meetings were planned and cofacilitated by the writer as consultant and the executive director. The executive director opened the meetings by stressing the importance of the employee survey process and the opportunity for employees to take an active interest in it as a means to address needs and help improve the PCSPCA. He reiterated how strongly he supported the process and valued input from employees.

The consultant thanked employees for their participation and sharing through the interviews and their survey responses. He presented an overview and recap of the survey-guided development process and the results using a PowerPoint™ presentation. The information presented was essentially an

abbreviated version of the comprehensive summary provided in this document. The presentation included data figures, along with summaries, conclusions and recommendations. An outline of the presentation is included in Appendix I.

In addition to providing the survey information, the feedback meetings were planned to stimulate new perspectives and beginning dialogue and problem solving by employees. Questions were encouraged during the presentation, and discussion facilitated around key points. The consultant summarized PCSPCA strengths and improvement opportunities as shown in Appendix I. The slides on *Interesting Contradictions* stimulated much discussion as hoped by the executive director and consultant regarding beliefs, values, and dynamics expressed through the interviews and survey process. Issues around inconsistent or differing employee commitment, the vicious rumor mill, interdepartmental conflict, and the often dysfunctional family atmosphere were discussed with new openness. There was an apparent willingness to communicate with each other to clarify meanings and resolve misunderstandings rather than talking about each other to find fault and lay blame.

The consultant explained the concept of an organizational cultural and how culture persists over time, including the beliefs, values, and behavior patterns employees described in their confidential interviews and survey responses. The executive director related an example of how the vicious rumor

mill was hurtful to him shortly after joining the PCSPCA some 40 years prior. The consultant pointed out that it was no one individual's or group's fault that there were dysfunctional aspects of the culture. However, he stressed that everyone now involved can take responsibility and change those unwanted aspects of the culture. Various employees offered their thoughts about sources of misunderstandings that fed the rumor mill and created conflict between individuals and groups. Some employees offered ideas of how to change or transcend those dysfunctional aspects of the PCSPCA culture. Ideas and questions about dynamics and how to improve the services of the PCSPCA and worklife of employees were recorded on a flip chart for emphasis or follow up. The ideas that were captured and elaborated by the consultant based on the discussion and the other sources of information were as follows (in no particular order):

1. *Rush to judgment*: People are inclined to judge others, to form an immediate opinion based on incomplete information, rather than go to the individual and communicate, or otherwise find out why they may have taken the action they did, for example with a difficult animal.

2. *I am the only one committed*: Judging others' level of commitment by comparison to our own, rather than accepting that there can be various levels of commitment and involvement that

are appropriate for different individuals based on their roles, past contributions to the PCSPCA, and personal lives.

3. *Hesitation to communicate about problems:* This limitation seems to be common, with people more inclined to talk badly about others than approach them or bring up people or operational problems in other more constructive ways. Even in the feedback meetings, some attempts to be more open about problems and misunderstandings digressed into debate and somewhat of a contest as to who was right, rather than dialogue and a sincere effort to listen to each other to ensure understanding before proclaiming the rightness of one's views.

4. *Being offended when offered help:* Sometimes when help is offered, it is taken as a suggestion that it is necessary because of lack of ability to do one's job, instead of simply needing help because of the high demands.

5. *Supervisor and employee friendships:* Can supervisors be objective and fair to all their employees if some are their personal friends? Will there at least be a perception of favoritism?

6. *Certain supervisors not liking and getting along with each other:* Through their conflict some are setting a bad example for employees in their departments. If these supervisors would get along better, so would their employees.

7. *Understanding the role of the animal control officers:* They have law enforcement authority, not only over the public

but also over PCSPCA employees if they observe mistreatment of an animal. However, that authority should not be abused, and does not excuse bullying or other mistreatment of employees.

8. *Use of volunteers in the stray animal kennels:*

Difficulty using volunteers with stray animals, given these animals are generally less socialized and sometimes aggressive, creating potential excessive risk to volunteer safety, led to discontinuing volunteer work in the stray kennels. However, it creates an inequity between the adoptable and stray kennels regarding volunteer help. Perhaps with more careful orientation and training, clearer guidelines, and better supervision of volunteers, they could be used in the stray building.

9. *Lack of understanding of each other's jobs:* Ideas to improve included job rotation so people could *walk in others' shoes*, leading to better understanding of each other's roles and responsibilities, by seeing all aspects, not just what is readily visible, and being in a position to offer constructive ideas, not criticism, which is perceived as an attack.

10. *Overall communication processes:* They simply need to be improved, so that people have a better understanding of each other and the rationale for certain decisions and actions, and have a better overall picture of the PCSPCA and how it functions.

11. *Euthanasia and compassion fatigue:* Most employees work at the PCSPCA because they sincerely care about the

animals. Yet, all employees are in some way associated with taking animals' lives, for the most part simply due to overpopulation. This condition presents an internal conflict, personally and organizationally, that different people handle in different ways. It is a paradox, or dilemma that cannot be solved in the near term, though ideally, the PCSPCA will become a *no-kill* shelter in time, a noble and widely shared goal. Progress is evident in the declining number of animals euthanized each year in spite of larger populations being managed by the PCSPCA. It appears there may be an underlying level of tension and discomfort with this unresolved dilemma among employees, whether or not they are directly involved, and that this tension is contributing to interpersonal and perhaps intergroup conflict. Misunderstandings occur due to the different coping methods, for example when one person's approach is confused as a lack of compassion and another's is viewed as weakness or being overly zealous--a *bleeding heart*--regarding the reality of PCSPCA's responsibility to control the animal population with limited resources. It does not help when members of the public and certain animal advocacy groups are critical. It appears additional concern for compassion fatigue on a broader scale may be advisable, though there are clear procedures in place consistent with generally accepted practices for monitoring and counseling. The more open discussion among employees of a previously mostly undiscussable source of stress

is a step in the right direction. (Note. Efforts are underway to provide more support by a trained professional in compassion fatigue counseling.)

12. *Other ideas:* (a) Supervisors need to be more consistent; (b) Just stop the rumor mill; (c) Everyone needs to take more personal responsibility; (d) Everyone needs to just stay more busy and not focus on the negative; and (e) Remember we are all here for the animals. The consultant explained that most organizations experience conflict of various degrees and forms. The objective, he explained, should not be to eliminate all conflict, because some level of conflict that is well managed is good for organizations, leading to the surfacing and solving of problems, generating new ideas, and avoiding *group think*, which can destroy an organization. He expressed his view that the PCSPCA needs to learn how to manage organizational, intergroup, and interpersonal conflict better so that it becomes an advantage instead of a disadvantage. Following the feedback meetings, many employees were observed staying around and continuing the dialogue informally, communicating with each other more openly about historic misunderstandings and bad feelings.

The presentation included a set of recommendations for human resources, training, and organization development. Those recommendations are shown in the presentation outline in Appendix I. The executive director provided the recommendations

and completed study to the new human resources manager as an important resource to help understand the organization, its culture, and key opportunities to improve.

Summary and Conclusions

Additional opportunities to use the data provided in this study will become obvious as management works through the information while engaged in coinquiry with the consultant and with the new HR manager. Furthermore, communicating with employees, involving them in further evaluation of the data, and using it to improve the organization offers significant potential. The feedback meetings with the management team and employees were obviously a good place to start while also providing additional study data from their reactions. As stressed to the executive director, it will be important to take further measures that foster and support the changes desired, thus continuing the process of learning and change precipitated by the survey and feedback meetings. The process and outcomes have been a topic of much discussion among the leadership team, and an overview was shared with the board of directors.

As changes are made to HR plans and policies, they should be communicated to all employees through the employee newsletter, in department meetings, and defined in written HR policies. Other organizational and operational changes should also continue to be topics of active communication with employees through multiple means. Conducting periodic

all-employee meetings similar to the survey feedback meetings could also be beneficial in this regard.

The employee newsletter is an important communications tool that the executive director and human resources manager plan on continuing to use with increasing effectiveness. It may be more effective to mail the newsletter to employee homes rather than handing it out at work. This approach facilitates employee reading of the newsletter at their convenience during leisure time, and provides information also to family members, an important employee support system. Recognition of employees and important organizational achievements in employee newsletter articles can often lead to family interest and discussion of the information.

In time the employee handbook will need to be updated, including a rewrite to reflect the evolving HR strategy, and new compensation and performance-based pay systems, and to improve overall quality and relevance of the employee handbook. The handbook should be carefully reviewed at new employee orientation meetings. The *at-will* notice should be made more prominent in the handbook. Other enhancements would make the handbook an even more effective communication tool. A theme apparent in the current handbook is that the executive director exercises much of the discretion on employment matters. This approach should be changed to refer instead to HR policy, the HR manager, and especially to immediate supervisors who, when more

fully developed, should be the employee's primary first contact on most important matters. Placing more emphasis on the middle management team and human resources department will take a significant load off of the executive director's plate, and free him up to concentrate on more strategic needs, while also allowing more room and opportunities for growth among the middle managers.

All of these changes will not likely be doable at once. Consequently the management team, supported significantly by the new HR manager and consulting support if available, will need to set priorities. Incremental change in one priority area at a time, however, is not likely to lead to lasting change. The approach taken must be systemic, with multiple interventions being aligned and reinforcing each other. The survey should be repeated in 1 to 2 years as a way of motivating action and assessing progress.

Progress from the inception of consulting work with the PCSPCA organization more than 4 years ago has been evident. It is clear the executive director and his management team have made improvements in managing and developing the organization's human resources a priority. This strategic imperative needs to be continued and heightened for PCSPCA to realize its full potential and achieve its vision of becoming the most effective and beneficial animal protection and control resource possible

to the communities served, their resident furry friends, and human companions.

Chapter 6

DISCUSSION

Evaluation, Synthesis, and Implications

Case Studies Evaluation Overview

Each case discussed in chapter 5 was obviously unique. Each organization was quite different from the other two, and the organizations were all operating in different contexts. The primary thing they had in common was the need to change.

University Research and Development Institute

URDI was faced with huge challenges of shifting from a federal agency laboratory to a viable private, nonprofit R & D institute, from more traditional fundamental research to new, more applied R & D work, with new customers and sources of funding. Professionals who regularly created and applied theoretical models, and who formulated and tested new hypotheses, were placed in a difficult position by a new and rather troubled leadership. They were effectively told by top management that they must change by redefining and recreating themselves and their work on the one hand, while on the other hand their ideas were not needed to create a shared image and workable plan for the institute's future. Instead, the

executive director insisted upon *calling most all the shots* with little planning and shared direction because the future, in his view, was too uncertain to plan, and he was obviously uncomfortable involving others meaningfully.

Just why he had little confidence in others in spite of their strong credentials was unclear, however it appears his own low self-confidence, which he projected onto others, was a factor (Kilburg, 2000). His emotional intelligence (EQ; Goleman, 1995) seemed to be quite limited. He did not learn to understand and appreciate the research staff because he seldom listened to them. He was quick to criticize and blame others for the organization's limitations, however he was highly defended and rejected most feedback about him and his leadership, no matter how supportive or constructive. While insisting others change, he refused to change and became increasingly entrenched in what was not working for him as a leader.

Trust between top management and much of the rest of the organization was nearly nonexistent. Opportunities to have a beneficial impact on technology development, economic development, and the environment through R & D were being missed due to the dysfunctional organizational environment. In effect, the organization and its research and support staff were placed in a position of having to succeed in the context of tumultuous changes in spite of rather than with the support of capable

leadership. Political forces that propped up and maintained the unsuccessful leader in place apparently prolonged these conditions. Low self-confidence among staff members, also projected onto others, peers, and top management, was apparent, in a reciprocating cycle of distrust and conflict. The survey process, however, provided a common framework for employees. Coupled with the multiple interventions applied, the process fostered shared beliefs and more collaboration that crossed functional unit lines and improved interdisciplinary project achievement. The comprehensive change interventions, including an influx of new talent, seemed to provide a springboard for the organization to survive in spite of leadership limitations.

URDI employees gained some semblance of voice through the survey guided development process, leading to the most critical near-term changes. Leadership of the marketing function was changed, and consequently a new approach was applied to marketing that optimally involved the research staff. Employees were allowed to provide input into a more deliberate strategic planning process. Though much more change was needed, these two changes did give the organization a fighting chance at success, and the professional and support staff some sense that their contributions, concerns, and ideas mattered. Though many difficult times and challenges were to follow, there apparently developed a critical mass of talented and committed people who

have persisted in maintaining the research institute's viability.

*Highland County School
District*

HCSD was experiencing declining public support due to their labor climate malaise and the perception that children and their learning needs were being compromised as a result. Yet the teachers' union, administration, and school board had continued pointing fingers of blame at each other and no one was taking responsibility. They were so consumed with laying blame and competing for control that energy potentially invested in reforming their corner of the beleaguered public education system was instead being released to the organizational atmosphere as *toxic waste*.

A bold move by the new superintendent, supported by the school board, to go outside the district, even outside of public education for a new human resource director to round out the new reform-focused leadership team, paid off. While trust levels seemed to reach new historic lows initially in response to stronger administrative leadership, collaboration in planning and applying the IBB process created opportunities to build trust. This trust was eventually shared district wide by patterning the collaborative decision-making teams at each school after the IBB team model for success. There were political moves by key administrators and board members to

derail the change, perhaps out of fear of loss of control and political ambition. However, the new HRIC and superintendent, along with union leadership, stayed the course and proved there were advantages to be gained from risk taking, including getting out in front when it comes to trusting those formerly perceived as adversaries. The school district has reportedly continued for a decade to reap advantages from the IBB process, including continually improving communication outside of negotiations.

An interesting observation at HCSD was that each of the reform leadership team members moved on after making significant changes, being nudged out in effect by the old guard through political maneuvering and a propensity to return to the past. Fortunately, many of the beneficial changes--IBB and labor-administration collaboration, strategic recruitment and development of teacher and administrator talent, curriculum, instruction and assessment improvement, and leveraging technology--stuck and grew based on demonstrated value and the initiative of current and new staff.

Petland County SPCA

The CCSPCA was facing growth challenges with *growing pains* that were taxing the informal family atmosphere. The additional strain on a system where sibling rivalry dynamics had become prevalent was contributing to the family-like system becoming more dysfunctional. Relationships vacillating between love and

hate were not helping the organizational family adapt to heightened demand for its services, while at the same time having to add new *children* (i.e., employees, volunteers) at a rate never faced before in its history. Finding fault with others instead of sharing responsibility for overcoming organization-wide limitations was not positioning them for growth in demand for their services. Fortunately, an executive director committed to the human resources program and organization development initiatives, prodded and supported by the external consultant and his own board of directors, devoted the time and energy necessary to reap benefits from the organization improvement processes in spite of many competing demands on his time and energy. That he was supported, encouraged, sometimes taken to task, and held accountable by his board is also a tribute to their wisdom and vision for the organization.

Evaluation Summary

Each of these organizations was caught up in constraining organizational belief and behavior systems that, while influenced significantly by their history and environment, were continuing as self-imposed. Continuing unresolved conflict, distrust, and difficulty communicating and sharing responsibility were what they had in common before the comprehensive interventions. Each, as Argyris (1985) and Schein

(1992) would point out, had a set of defensive routines, including denial of their culpability and externalization of blame through projection onto others.

The following further assessment of these organizations from a cultural vantage evaluates alignment of culture internally and with their environment.

Case Studies: Cultural Assessments

University Research and Development Institute

URDI clearly needed to pick up the pace of innovation and adaptation. Their work was complex and unpredictable by nature. Consequently, a free flow of ideas in a fluid organic structure would have allowed researchers to form clusters of technical competencies, sharing information, and thinking together around new ideas. This type of strategy would align the organization with URDI's new, changing, and more competitive market, and would provide optimal internal design under which to change and grow through innovation. This fluidity needed also to be balanced with enough structure across disciplines in a matrix design to ensure projects were focused on agreed upon research directions and managed to completion within budget parameters and other resource constraints. This paradox between high and low formal structure, if well managed, would, have provided a sort of reciprocating order within chaos and visa versa,

allowing new patterns to emerge based on wide scale and productive interaction among highly educated and involved professionals (Bautista, 2006; Davis & Lawrence, 1977; Galbraith, 1977, 2002; Jain & Triandis, 1997; Johnson, 1996; Olson, 2006; Olson & Eoyang, 2001).

Just how much structure to provide and how it was to be applied seems to have been the *rub* that existed between the executive director and research staff, including research management. Being a professional bureaucrat by career experience, the executive director seemed to see too loose a structure and wanted to impose more. The researchers, highly educated professionals who prided themselves in knowing enough to be self-directed, saw him imposing too much structure, especially when he would not share with them any plan for where it would take them. Clearly, they were not operating in the same belief system, not even with compatible sets of assumptions. Their differing assumptions extended beyond basic organizational design and human resource strategy. It included R & D program development and marketing, and administrative support systems and staff. There appeared to be a clash of cultures between the research staff and the top management.

The executive director's notions of how to manage an R & D organization were, as suggested above, fundamentally flawed. Jain & Triandis (1997) explicated the fundamentals of an organic R & D organization design, and interestingly they also cite

survey guided OD as an organization development strategy applicable to R & D:

In an organic organization, professionals are recognized for their expertise, and not for their position in the organizational hierarchy. That means that an expert at the lowest level of the organization may be heard as much as a nonexpert at the top of the organization. The corporation is viewed as an individual/team initiative system within which ideas are bought and sold, packaged, organized and implemented. Status is based on technical competence. Top honors go to those who generate, package, and sell ideas. Management screens ideas to ensure their compatibility with overall corporate objectives. (p. 28)

So far this in some ways resembles the URDI executive director's espoused theory, though it seems diametrically opposite to his theory in use (Schein, 1992, 2006). Jain and Triandis (1997) go on:

The organic form of organization encourages every team member to be a gatekeeper. Instead of identifying gatekeepers, the organization supports the function of gatekeeping for all team members. Thus, gatekeeping is the rule, not the exception. With more gatekeepers there is a high probability of tapping broader sources of information. Information is transferred across project lines. There is relative egalitarian structure and highly participatory project management, and the emphasis is on the group's collective intelligence. (p. 28)

At URDI, the executive director approached researchers in a theory X manner. He acted as if he and those under his direct control of loyalty were the only legitimate, to be trusted gatekeepers; they were the only ones capable of truly understanding and initiating what was in the organization's best interests. He wanted most information to go up, then back down only with his *stamp of approval*. He had instituted procedures

to do just that, though he did not understand much of the information well enough to make sense of it all considering its technical nature and the sheer volume. The disconnect between the two sets of assumptions and values was pervasive. Detail on the divergent belief systems is provided in Appendix J. With these two separate belief systems at work, is it any wonder there was distrust and unhealthy conflict, as well as limited vertical communication and collaboration?

One thing the executive director and research staff shared in common was their interest in working by the numbers, though of course different numbers. He liked measuring things, especially the number of proposals written for new funding, and the ratio of written to successful proposals. He liked the many reports the administrative and marketing people put together to attempt to describe for him what was going on from a business and project standpoint. It was much easier for him as an administrator to understand the numbers than it was to understand the research staff and their work. The researchers also dealt in numbers; generating data about complex reactions was much of what they did. They lived in a world where data was used to help shape their mental models, and to report their findings to customers and colleagues.

Performing a survey where everyone would be involved seemed like an ideal means of helping them to look at the same data and develop a shared understanding of the organization.

Cocreating the survey and sharing interpretation of the data generated was appealing. The choice of the two-part Likert scale of current *now* conditions and how the respondent would *like* them to be was an opportunity for employees to help define the future they were seeking to create. The idea of creating and administering a survey was immediately popular once proposed. Consequently, the survey, combined with the multiple interventions applied, did result in needed change. However, no lasting change occurred in the management style of the executive director. He reverted to past problematic behavior under stress. Perhaps, as suggested in the case study, he simply was not the right person for the job, at least not beyond the 1st or 2nd year in a contingency view of leadership (Northouse, 2004). Had the executive director taken an approach to the organization similar to how the URDI safety and health program was designed, would his chances of success have improved? This question seems academic, however, it simply was not in his nature to do so. And the allusion of symbiosis formed between him and the chief scientist, who never became an advocate for researchers, reinforced his unreality and their codependency (Schaeff & Fassel, 1988). Being so highly defended for him was the antithesis of learning.

Why it took the board of directors so long to learn that leadership can make or break such a transformation would make an instructive study given the renewed popularity of federal

government outsourcing and privatization. Furthermore, other former federal research entities have experienced defederalization, most probably with a *whole host* of leadership, organizational and contextual differences. For example, a cursory look at a similar organization defederalized at about the same time as URDI shows a much different picture. While URDI was contracting and suffering a reduction in force under its second executive director, its counterpart was growing and breaking ground on a new showcase facility to accommodate growth achieved under a technically competent executive director recognized for his leadership abilities. More of these experiences should be studied on a comparative basis to ascertain which variables make the most difference in inhibiting or achieving success. This argument assumes the intent of federal policy is to make a positive difference for the organizations and their constituents that improves the value added by defederalization, privatization, and reorganization of former federal entities. Accountability to taxpayers and consideration for the people directly affected by such *organizational experiments* would seem to dictate more careful scrutiny of success factors and less political strategy grandstanding and political favor swapping.

*Highland County School
District*

A cultural assessment of HCSD also provided examples of cultural assumptions being sources of conflict, and highlighted the influence of leadership in shaping culture (Schein, 1992). The teachers' union and other classified staff unions affiliated with the state employees association had gained so many inroads into school district resources and administrative prerogatives that meeting student learning needs had become a distant second priority to the entitlement mentality. That their students were falling behind was not their primary concern, rather parity between the multiple bargaining units was. The teachers union, being the largest and strongest, acted as if they were entitled to be in control of the district, including the *lion's share* of district resources provided to them in compensation and benefits significantly above other school districts in the state. They espoused the belief that those resources were theirs to be distributed among them based on tenure and special negotiated or self-endowed privileges, and not based on performance or value added for students. Concerns of parents and community members were dismissed by union leadership as naiveté about what was best for students. It was perfectly okay with the teachers' union to compromise student learning through protests and slowdowns in the schools whenever they were upset with administrative or board actions.

About a third of the teaching staff were disaffected or disinterested nonmembers of the teachers' union. While among this minority were some of the most competent and committed teachers, they were excluded from involvement in leadership and committee contributions by virtue of the union having control over such appointments.

The new superintendent brought in to reform the district assumed that getting the teachers' union in check was one of his highest priorities. To him, they appeared out of control. The challenge he had accepted from the school board was to regain control and turn the district around. He had taken charge in his early months with the district, restricting the teachers' union to a limited role by *tightening the screws on a host* of rights and privileges they had been given or had taken outside of the negotiated agreement. And he began interpreting the labor agreement literally instead of accepting liberal past interpretations and practices. He looked for change leverage wherever he could find it, including in largely ignored school board policy, to rein in the teachers' union.

The superintendent was frequently out in the schools, interacting with the teachers and principals, observing what was going on and listening to them and their concerns about the district. He applied a strategy in concert with the HRIC (human Resource internal consultant) of being assertive with the union leadership and considerate with union members. While he kept

the pressure on, he empowered and supported the HRIC and the IBB team members to engage each other in a whole new way of bargaining. He sanctioned and supported the IBB initiative even though there were risks involved. IBB was at that time considered risky business by many educational leaders, as a gimmick by teacher unions to gain even more control in the *tug of war* over school district affairs. Yet he took the risk, placing his confidence in the HRIC as a nontraditional education reformer and change agent, demonstrating his confidence also in the IBB team. He was a resource to the HRIC when needed, fending off opposition and backing him up with every strategic move they conceived in a close teaming relationship. At times this involved diverging from the preferred course of other members of his cabinet and the administrators in the schools. He informed the HRIC and engaged him in planning means of overcoming resistance to change. He modeled risk taking and stated confidently that things were going to change because all district employees owed that to students. His focus on the district's mission of educating students was clear and was repeated over and again in his words and actions.

The superintendent was more comfortable with action than deliberation, yet he accepted that everyone does not learn in the same way. One of his favorite sayings was that he would rather ask for forgiveness than permission. He was okay with consensus if it did not take too long, and he clearly exuded a

sense of urgency. While he disliked teachers' unions, he accepted their presence as a given, not a barrier or hurdle so great that he could blame them for a lack of change. This superintendent was in many respects what Schwahn and Spady (1998) described as a *total leader*, or accepting contingency theories of leadership (Northouse, 2004) was the right leader at the right time, applying the right balance of competing values (Quinn, 1988).

To their credit, the school board also supported this significant departure from tradition, although they were unable to agree among themselves regarding just what this departure from the past meant or how it should occur. Their lack of cohesion combined with political ambition by a board member and selected administrators threatened success towards the conclusion of the IBB negotiations. Fortunately, the wisdom of the majority of board members and their yearning for change prevailed.

The teacher's union leadership was willing and ready to engage in the IBB process. They were open to trusting the other members of the IBB team, including the HRIC, an outsider of sorts to public education. They were comfortable taking risks of offending many of their constituents by changing the protections they had previously gained in contract negotiations, and they were willing to step out in front and lead change rather than resisting. Clearly, without the courage,

creativity, and collaboration of the teachers' union leadership, the paradigm shift changes in key contract provisions that refocused attention on meeting student learning needs would not have occurred.

IBB provided a means for the teachers' union to become involved in a new way, a way that was highly engaging, legitimized their shared influence on school district strategy, and challenged them to refocus on why they chose education as a career, to engage students in their learning. By agreeing to include nonunion member teachers and classified staff on the high involvement decision-making teams at the schools, they agreed to stop competing with these people and treat them as colleagues. They extended similar consideration to parents and the community, viewing them as partners in the education of their children and future citizens.

Another advantage was that the NEA's then new president, Bob Chase, was actively promoting reform unionism (Koppich, 2006; Chase, 1997; NEA, 1998). Chase had recently made a speech at the National Press Club where he stressed the need for the NEA and affiliates to emphasize teaming rather than competing with administrators to help provide a quality teacher in every classroom in America. In naming his approach *new unionism*,

Chase called for re-creating the NEA as a "champion of quality teaching and quality education". . . In a burst of frankness, Chase acknowledged the NEA as a traditional, narrowly focused union that spent its time "butting heads with management over 'bread and butter'" issues of

salaries, benefits, and working conditions. He declared this focus utterly inadequate to the needs of contemporary education and called for higher academic standards, less bureaucracy, schools better connected to parents and communities, and a *collective bargaining system focused on school and teacher quality* [emphasis added].

At the NEA convention in the summer of 1997, at Chase's urging, the NEA abandoned its long-standing opposition to peer review. This action broke an organizational logjam, making it safe to talk in the NEA about formerly "undiscussable" topics and giving a tacit green light to NEA locals who were on the cusp of negotiating reform-oriented contracts. (Koppich, 2006, p. 210)

Bob Chase's bold speech before the National Press Club drew the attention of the HRIC, among many other education reformers, because it was so aligned with what had been identified as needed at the HCSD. The HRIC presented the IBB team with copies of an article detailing much of the text of Chase's speech, expressing his feeling that Chase had given clear guidance regarding the challenge and opportunity before the IBB team. The IBB team members obviously took Chase's message to heart. The highly reform-oriented contract changes developed during IBB preceded the NEA summer meeting, thus placing the HCSD teachers union out in front in terms of reform leadership.

For a number of weeks during the early IBB negotiations, the HRIC was a lone voice in advocating significant change in the teachers' contract as essential to meeting student learning needs. However, he consistently and persistently applied the principles enumerated previously regarding group dynamics and

minority influence (Forsyth, 2006). Another advantage was that he had recently completed a major initiative as consultant in change through high involvement strategic planning interventions with a number of state agencies, most in the same community. The highly engaging idea generation and decision-making methods applied to group planning retreats were similar to the IBB process.

The HRIC's most recent work had been with a high school in a nearby district where he assisted the principal and participating teachers to become successful with site-based management and parent involvement. He had also participated in educator in-service, professional development conferences, and spoke as an educator advocate at public hearings on a statewide legislative initiative to reform funding for public education. His reputation as an advocate for students, and consequently teachers and educational leaders, preceded him. Early dialogue with HCS D teachers' union leaders and administrators was at times focused on exploring shared values and goals based on apparent intrigue with why a *nontraditional educator* who had never been a classroom teacher would invest the time and effort to help transform the labor climate and culture in a school district. Perhaps because the HRIC was not a product of the public education system he was better able to see and share possibilities for change that would better serve students and

the adult learners in the school district. After all, that was part of the justification for the *experiment*.

IBB combined with the other HR-HRD-OD interventions provided an overall change initiative that offered a significant improvement opportunity, which the school district and its people embraced after years of resistance to change. Yet there remained an element of resistance to change and a resumption of *old guard* control once the three new reform administrators moved on, all three nudged out through a combination of *old guard* politicking and their own limitations in the face of resistance to leaders who had not grown up in that organization. Though one of the strongest opponents of IBB at the time of introduction to the district later resumed the position of superintendent, IBB stuck and interest-based collaborative decision making spread through the school site-based teams.

An offer to take a more careful look at IBB over the decade since introduction in the district (as an update to this case study) was enthusiastically received by the now assistant superintendent for human resources, a valued colleague of the HRIC from the time of IBB introduction in the Highland district. However, the current superintendent denied that opportunity. Given that superintendent has recently left the district, such an opportunity may yet exist and would make a valuable follow-on study.

There is clearly a need for more research on the impact of IBB in public education and other organizational settings. A factor limiting applied research on the efficacy of IBB in improving educational performance may be that educators are simply too busy, consumed with providing the best opportunities possible for students under the current, burdensome systems with limited resources. Perhaps they have little time left to contribute to knowledge creation about alternatives that better empower teachers and students, as well as administrators.

It is not that concern about the need is absent. The impact of teacher unionism has been hotly debated with critics lining up *on both sides of the aisle* regarding whether teacher unionism has been good or bad for public education and ultimately student learning, and whether it is impeding true educational reform. Controversy has included debate as to the relevance or reality of reform unionism or reform bargaining (Koppich, 2006).

How much the master teacher contract and concessions on administrative prerogatives have added to the bureaucratic, command and control, heavily regulated, overly politicized, mass production structure of public education in inhibiting innovation and student-focused teaching and learning is anyone's guess. And whether collaborative collective bargaining and reform unionism can become part of the solution to strained labor-management relations, limited school system change and

performance improvement, and ultimately gaps in student learning, is likewise questioned. There seems to be a plethora of conflicting opinions, innuendo, and prognostications, though limited research that gets at the heart of the matter (Cresswell & Murphy, 1980; Dolan, 1994; Elberts, 2007; Haar, 1998; Hannaway & Rotherham, 2006; Kerchner et al., 1997; NEA, 1998; Peterson, 1997; Rethinking Schools, 1994; Stern, 1997, U.S. Department of Labor, Bureau of Labor-Management Relations and Cooperative Programs, 1990).

Elberts (2007) reported that studies of the difference between unionized and nonunionized schools regarding student performance show small differences that form an inverted U shape. Positive effects of unionization have been shown on student achievement for average students, while negative effects were found on high and low performing students, including school dropout rates, which were found to be higher in unionized schools. In proffering an explanation based on further research findings, Elberts asserted,

Disparities in the way unions affect students of varying ability can be explained in part by the standardizing effect of unions on schools. As noted, unionized schools rely to a greater extent on traditional classroom instruction and less on specialized modes of instruction. Because standard methods are likely to work best for the average student and specialized modes to work best for atypical students, one might expect the effects to differ by student ability. . . What is known with some certainty is that the productivity gains of unionization, if any, do not match the increase in cost, upward of 15 percent, that unions place on education through higher compensation and

their influence on resource allocation within schools.
(p. 185)

Survey and case studies have provided testimonial and anecdotal evidence for the preferability of IBB in improving relationships between labor and management, and improving the negotiations process and outcomes. However, broader empirical support regarding the impact of IBB on school district performance seems lacking, whether of case study or quasiexperimental design (Bach, 1994; Brod, 1994; Elberts, 2007; Kelso, 1996; Straut, 1998; Zulmara & Necochea, 1997).

Bach (1994) pointed out that some proponents of IBB contend that it is not designed to address substantive issues, but rather is limited to improving processes and relationships. However, he asserted that IBB will likely bring about substantive changes, focusing primarily on organizational structure. His observation from careful study of one large district was:

The model did succeed in focusing attention on building 'better' process amid improved relationships. These 'better' processes and 'better' working relationships should be viewed as the means by which to improve schools for children and to improve performance of those who serve children. . . . [IBB] . . . training needs to advocate expanding contracts to address non traditional collective bargaining issues, such as providing for a wide range of flexibility in making job assignments and in implementing creative educational ventures. Similarly, parties must be free to consider implementation of flexible work assignments, flexible hours, sliding scale salaries depending on special competencies of teachers and incentives based on standard achievement. (pp. 296-297)

Other initiatives designed to improve teacher and school performance are being scrutinized under the veil of education reform. Skill-based pay, alternate evaluation systems such as peer review and support, career ladders, and portable benefits allowing teachers to move more freely between district employers are among policy and labor contract changes being considered. Other changes include new salary structures, increased teaching staff involvement, teacher mentoring, and accountability measures tied to standards. Some districts and their teacher unions have completely restructured contracts to emphasize limited district centralization, thus allowing freedom to be innovative at the school level. (Elberts, 2007; Hannaway & Rotherham, 2006; Kerchner et al., 1997). It is interesting to note that many of these proposed changes are contemporary human resource program design features that could be coupled with or enabled through an IBB intervention consistent with the convergence of HR, HRD and OD. In the HCSD case, another outcome of the IBB negotiations was an agreement to explore alternate pay systems outside the negotiations process by a joint ad hoc team. Another agreement was to phase out the limit on the salary schedule for experience credit given to newly hired teachers.

Elberts (2007) has also pointed out that while the NEA and AFT have advocated reform measures, it is primarily local union affiliates that have actually initiated reform measures, often

with resistance from their parent organizations. One group of *reform-minded* NEA and AFT affiliates formed the Teachers Union Reform Network (TURN) funded from grants and private foundations, independent of their national unions. Recently credited with better than 20 school district members, TURN has pursued reform initiatives to improve the quality of teaching and expand the scope of collective bargaining to further include instructional and professional issues. From the TURN Web site:

The TURN Mission Statement recognizes that the past adversarial relationship among union leaders, teachers, and administrators must be replaced with a compact that says "we are all in this together." Everyone recognizes that this will be difficult, but, succeeding in this new and unpredictable environment can only be assured by the mutual effort of administrators, union leaders and teachers, and the creation of a new social framework to hold it together. (Teacher Union Reform Network, 2007, p. 1)

Perhaps TURN and its members can become a force for more careful application and critical evaluation of the potential of IBB, which seems consistent with their mission.

The NEA commissioned a thorough study of IBB research and practices by Klingel (2003) of the School of Industrial and Labor Relations at Cornell University. The study method included numerous interviews with IBB practitioners representing all constituents, in addition to a thorough survey of the literature. Among the findings and conclusions were that negotiators who tried IBB prefer it to traditional negotiations and felt it improved the process of negotiations, especially

with regard to trust, morale, and a cooperative atmosphere. Regarding producing better outcomes, Klingel concluded "Clearly, IBB can improve the relationship in particular instances, but there has been little empirical research on the outcomes of IBB and whether it changes or improves the content of the agreements" (p. 11). Regarding the subjects of bargaining, including reform measures, some school districts have used IBB to expand bargaining outside historic wages, benefits, and working conditions to include educational policy. Others have limited application of IBB to changing "the tenor of the discourse in bargaining" (p. 12).

Klingel (2003) found the following activities to be supportive of IBB success:

1. Orientation sessions to promote awareness and commitment among broad constituents;
2. Thorough training on concepts, techniques, and skills for bargaining teams;
3. Clear ground rules for protocols and behavior;
4. The use of facilitators to help create these conditions and engage in bargaining;
5. Clear processes for identifying, obtaining, and analyzing information;
6. Clear processes for focusing on issues, presenting, and prioritizing them during negotiations; and

7. Extension of the IBB principles and processes to constituents after negotiations through training to "institutionalize both the agreements and the problem-solving process" (p. 14).

Recommendations for dealing with trust issues in use of IBB cited by Klingel (2003) included making commitments to not use the press as a power tactic, not communicating to constituents outside of the bargaining table, and not attacking the legitimacy of the other party's needs. (Interesting is that these recommendations are consistent with the principles and agreements applied in the successful use of IBB detailed in the HCSD case discussed above.

From her survey of the literature, Klingel (2003) reported that clear conclusions have not been supported for the improved effectiveness of IBB over traditional negotiations in achieving the goals of bargainers.

However, it is clear that IBB cannot, as a single intervention, transform the labor-management relationship. The successful use of IBB to change the labor-management relationship appears to be dependent on situational supporting factors or concurrent changes in other organizational systems, structures, and relationships. IBB can provide the catalyst for transforming these organizational processes, or it can be a powerful, complementary tool. (p. 16)

And based on interviews with practitioners, Klingel further concluded:

IBB can have a profound effect on the labor-management relationship in instances where there has been enough discord or poor bargaining experience to motivate the

parties to do something different. However, there is strong agreement from practitioner experience that the use of IBB in one negotiation cannot, by itself, salvage a particularly acrimonious relationship between bargaining parties. (p. 22)

Some practitioners also assess readiness for success with IBB, and they advise against use of IBB if they do not feel the necessary conditions exist. Others apprise the parties of missing conditions and assist them in dealing with potential problems or limitations (Klingel, 2003).

A word of caution is that IBB may not be successfully implemented in a vacuum or in a dysfunctional environment without supporting interventions. And IBB may take many shapes and forms that seem to be preferred given different situational and contextual factors. Leadership commitment and support, reasonable and improving trust levels, transparency in motives and goals, and shared values around responsibility and collaboration to improve seem to be highly relevant to success (Fisher & Ury, 1991; Hannaway & Rotherham, 2006; Klingel, 2003; 2006; U.S. Department of Labor, 1990).

Wilson (1999) stressed that school environment and culture, leadership and governance are among the factors that affect students' opportunities to learn. Based on the HCSD case and others, perhaps a culture of collaboration as both a prelude to and product of IBB can provide a virtuous cycle of continuous improvement (Lawler, 2003). Such a virtuous cycle of trust and collaboration could potentially gain sufficient momentum and

result in the paradigm shift change needed to produce high performance schools and school districts.

Implications for further research are many. The ultimate support for IBB would be studies demonstrating a link between improved collaboration through IBB and improvement in student learning. Obviously there are a number of concurrent and intervening variables impacting student learning that make such research challenging. Many are postulated as coincident with, if not a direct product of teacher unionism and collective bargaining (Wilson, 1999), forming three clusters:

1. Classroom policy, including (a) class size, (b) academic freedom, (c) preparation time, (d) grading, (e) workday and work year, (f) student contact time;

2. Teacher quality, including (a) evaluation, (b) discipline, (c) dismissal, (d) reduction in force, (e) tuition reimbursement, (f) inservice training, (g) vacancies and transfers; and

3. Compensation, including (a) salary, (b) insurance benefits, (c) extra duty, (d) extended contracts, and (e) curriculum work.

As advocated by Wilson, these variables all provide opportunities for "transforming collective bargaining agreements to enhance and support student achievement" (p. 7).

Another means of leveraging collaboration through IBB to improve student achievement is educational program integration.

The Northwest Regional Educational Laboratory (NWREL, 1997) created an initiative for program integration through collaboration, stressing the *three Cs* of coordination, cooperation, and collaboration to provide improved integration across and among the many subprograms driven by federal education program funding. NWREL also provided an assessment instrument to gauge the extent of program integration and to identify strengths and weaknesses based on the size of gaps between *preferred* and *actual* conditions in the following dimensions: vision, partnership, organizational structure, ownership, communication, leadership, decision-making authority, accountability, and resources. As suggested in the previous discourse, many collectively bargained contract provisions could be evaluated and changed collaboratively to align them with best practices supporting program integration. IBB and interest-based decision making among school teams and program specialists may provide cost-effective means to do so.

In fact, though beyond the scope of the HCSD case study, such collaborative means of program integration, applied at the same time as the newly negotiated and trained interest-based decisionmaking teams, was effective at HCSD. Shared planning and team building among Title I school-wide program principals facilitated by the HRIC, coupled with the restructuring at the schools, did seem to produce improved student achievement among 10 elementary schools. While the relationship between the two

initiatives is difficult to establish, the climate of trust and collaboration clearly became infectious and helped create a culture conducive to beneficial change. Changes in Title I program implementation by school teams lead by a cohesive team of principals and empowered by interest-based decision making in the collaborative site-based decision-making teams seemed to transcend the *inverted-U-shape* impact of unionization on underprivileged student achievement reported by Elberts (2007). All 10 schools met adequate yearly progress benchmarks, setting a 100% success record in the school district and the state.

The writer found no studies demonstrating the impact of IBB directly or indirectly on student achievement. Clearly, more research seems needed to establish if, when, how, and why IBB works better than traditional negotiations, and how it can contribute to transforming our educational systems to better meet student and societal needs.

In summary, the beauty of IBB, in this writer's view, is that it seems to offer a potential opportunity to eliminate the *blame game*, including the finger pointing and externalization of blame by administration, school boards, teachers' unions, other special interest groups, and policy makers, and can replace it with collaboration and innovation. IBB can make all direct parties to negotiations responsible and empowered to improve the negotiation process and outcomes. While not a *quick fix* or *cure all*, IBB seems to have the potential, when applied well in the

right context, for the right reasons, with a complement of other interventions, to affect lasting beneficial change. If reform bargaining, with new, creative models for public education, is ever to work, IBB may be an important reform method that helps spare public education and teacher unionism from further erosion of public if not self-confidence. The implications for other unionized settings, both private and public sector, seem formative in today's highly competitive, rapidly changing global context.

Petland County SPCA

It is a bit early to draw many hard and fast conclusions from this case because the interventions are so recent. However, the results to date are encouraging. The PCSPCA executive director was concerned that the previous organizational assessment nearly 2 years earlier was not representative of the views of PCSPCA employees due to self-selection of participants. He felt it was biased in the direction of people with a gripe, especially a group of newer employees who turned out to be *bad eggs* and were subsequently terminated or quit under pressure to perform.

The executive director was interested in administering a more comprehensive survey and ideally getting all employees to participate. He actively communicated with employees, encouraging them to participate in both the interview if

invited, and the survey, stressing they were to respond honestly, *no holds barred*, as he would never see their individual responses. He stressed that he sincerely wanted to know what they thought and felt about working at the PCSPCA, using the consultant and the OD process as an additional means of getting information from them to him. Better than 80% of employees completed the survey, most demonstrating strong interest in the process and appreciation for the opportunity. The feedback meetings were well received by employees and seemed productive in beginning new forms of communication and dialogue. In addition to feeding back their data, the meetings were planned to provide learning opportunities through employee discovery about themselves and the PCSPCA culture. This form of learning obviously occurred. How well this learning transferred into changed belief and behavior systems that benefit the PCSPCA remains to be seen, however the opportunity was clearly there.

The data largely speaks for itself, and is accompanied by a set of recommendations in the case study analysis. From a cultural view, the PCSPCA had a strong and rather cohesive culture centered around caring and advocating for animals, including service and social responsibility for the humans involved. However, included in the culture as a part of the espoused family atmosphere are tacit competing subcultures and theories in use (Schein, 1999a) involving aspects of a dysfunctional family and defensive routines. Employees did not

like the dysfunctional dynamics, and were open about identifying distrust, interdepartmental conflict, and the rumor mill as disconcerting aspects of worklife at the PCSPCA. While *predictably bad* was not liked, it was at least predictable and excusable because, as with most dysfunctional families, they pulled together in a crisis. Crisis seemed all too common, however, perhaps because it was the way to coexist in what some employees characterized as *love-hate* relationships.

Fortunately, improvement is evident. And the PCSPCA is now dealing openly with the paradox of an organizational role involving both protecting and destroying animals, and how this intrapersonal conflict may be contributing to dysfunctional interpersonal and intergroup conflict.

The consultant and executive director selected the three timeframe survey design of past, present, and future to foster appreciation for how the organization had come a ways, yet still had a ways to go. Employees took advantage of this feature, and their organizational and self-assessment seemed honest and accurate. The low and undesirable means shown in Figure 7, and high gap scores shown in Figure 8 gave them something to focus improvement efforts on.

Case, Theory, and Intervention Convergence

In all three cases, the respective cultures and related leadership dynamics were quiet influential. Leadership

commitment and support seemed crucial, as it has been demonstrated to most successful organizational change and performance improvement initiatives, as well as viability over time (Moss Kanter, 2003; Northouse, 2004; Sathe, 1983). A synopsis of leadership theory was not attempted considering its broad reach beyond the scope of this study. However, Quinn's (1988) competing values framework seemed to add meaning regarding alignment of leadership behaviors with contextual conditions in the case study organizations, and consequently was used to help reflect on leadership efficacy.

In each case, an organizational assessment was combined with a form of HR audit. These assessments led to a complement of HRM-HRD-OD interventions that clearly comprised critical mass for change, or at least in the latter case appeared to have offered such an opportunity pending further action.

A complement of qualitative and quantitative approaches was used in the cases, particularly for Case 1 and Case 3 with respect to quantitative assessment. As discussed in the individual cases, prefaced by the literature review, multiple theories and interventions were applied to foster understanding and effective action.

As an example, the use of IBB in case 2 bridged sociotechnical systems theory with the creation of a new parallel learning structure for bargaining designed to help transform the culture through significant change in belief and

behavior systems. The form of IBB applied effectively merged features of the nominal group technique, shared problem-solving, team building, dialogue, and team and action learning, with a minimum of traditional distributive bargaining.

Looking at the process and impact of IBB through a complexity theory lens (Morgan, 1997; Olson & Eoyang, 2001) can also help explain what occurred. The much increased interaction among IBB team members in a *safe container* that was defined, facilitated, and protected through ground rules and prescribed methods, surfaced numerous significant differences and led to transformational exchanges among the IBB team members as agents. The container size was reduced through the IBB teams' temporary isolation during the actual negotiations, and the exchanges were stimulated by the IBB process, thus speeding the potential pace of change. These free flowing exchanges of interests and ideas led ultimately to selected new attractor patterns for key organizational systems. Teacher discipline and discharge, a collaborative and workable class-size reduction initiative, and meaningful shared involvement in school-site decisionmaking by a broad-based team of stakeholders, were all created through a new form of collective bargaining. The IBB team became a self-organizing system, and while the HRIC, HCTA president, and IBB facilitator provided strong shared leadership, all team members became change agents, following the principles and adopted methods of IBB (Olson, 2006).

Another theoretical view of what occurred in Case 2 at HCSD is that of multiple paradoxes or polarities (Bushe & Shani, 1991; Johnson, 1996; Olson & Eoyang, 2001; Quinn, 1988; Smith & Berg, 1997; Walton & McKersie, 1991). According to Johnson, many organizational conditions typically thought of as problems to be solved are in reality interdependent opposites or opposing forces in a dynamic interrelationship, paradoxes or polarities that must be managed because they are unsolvable.

Polarities to manage are sets of opposites which can't function well independently. Because the two sides of a polarity are interdependent, you cannot choose one as a "solution" and neglect the other. The objective of the Polarity Management™ perspective is to get the best of both opposites while avoiding the limits of each. (p. xvii)

On a broader scale in the HCSD case, polarities of stability-change, management control-union control, customer focus-employee focus, competition-cooperation, and individual-group or team were managed better through the IBB process in contrast to the traditional *tug of war* and *power plays* characteristic of the school district's history with traditional negotiations. Within negotiations, the polarity between the bargaining subprocesses of integrative and distributive bargaining and the polarity of intraorganizational bargaining with constituents and actual party (union-management) bargaining were well managed. Furthermore, the polarities of positively restructuring attitudes and relationships while also being appropriately assertive in articulating critical issues was well

managed during integrative bargaining. Lastly, maintaining positive attitudes and relationships while being appropriately assertive in distributive bargaining over economic issues, given the school district's limited resources, was handled well. At times it became necessary to simply agree to disagree regarding the district's financial ability to meet salary increase expectations. All these polarities came into play and were managed well among IBB negotiators.

Agreements on process, methods, ground rules, and standards, in the context of shared agreement on values and a higher purpose, all seemed to foster the balance needed to replace *either-or* with *both-and* thinking (Johnson, 1996). That balance provided advantages by allowing the IBB team to understand and accept all points of view as valid. It fostered dialogue and eventual shared meaning allowing the team to reach agreements and remain on the upside of both poles. It empowered the joint team to realize the higher purpose of an agreement focused on student success (Johnson, 1996) through growing power from the IBB process (Fisher & Ury, 1991).

In Case 1 at URDI, the stability-change, centralization-decentralization of control, basic research-applied research, functional organization-project organization in matrix design, creative work for discovery-project focused work on milestone and deliverables, servicing existing customers-obtaining new customers, and other polarities all came into play. The

research professionals seemed to have a growing sense for balancing these opposing, yet interdependent forces as they increasingly pursued new R & D programs and technology in new markets, though the executive director seemed overwhelmed with it all and inclined to simplify things as black or white, we or they, with me or against me. He did not like complexity, including researchers who were often complex, and he often asserted the keep it simple stupid (KISS) principle as justifying his dismissiveness of complex concepts and concerns. He tried to eliminate the inherent complexity of an R & D organization through over control rather than allowing an optimal level of self-organizing by empowered professionals. His approach to unsolvable problems or polarities was not to find balance but to force his solution based on the authority of his position, only to have the *problems* continually resurface. His greatest problem with the research staff was that they wanted to think for themselves, without which their effectiveness in R & D would be questionable.

While needing to ply all of the four quadrants of competing values espoused by Quinn (1988), he seemed stuck in the lower left quadrant, creating stability and control through bureaucratic administrative procedures with top down management authority, often moving into the negative zone of "*trivial rigor*" and "*habitual perpetuation*," thus holding the organization hostage in a "*frozen bureaucracy*" (p. 70, refer to

Figure 9). Though he made erratic excursions into the opposite innovative and adaptive quadrant, these ventures seemed impulsive and not well aligned with institute research capabilities, what Quinn characterized as "*premature responsiveness, disastrous experimentation, [and] unprincipled opportunism,*" (p. 70). Rather than balancing these competing values, he seemed to vacillate between extremes, while largely ignoring the need to also consider the human element and have a reasonably clear, shared sense of strategic direction that would guide goal directed accomplishment, Quinn's upper left and lower right quadrants. His often-stated strategy and goal was "to survive," and he justified his failure to plan or engage others in planning by claiming there was too much uncertainty (Van Lente, 1993).

At the HCSD, the second case, the superintendent seemed adept at working competing values (Quinn, 1988). While tightening controls on teachers' union leader conduct that he viewed as contrary to the district's interests, he demonstrated a sincere caring for and accessibility to teachers in the schools (Quinn's lower and upper left quadrants). He innovated and took some calculated risk in bringing in the HRIC from outside of public education to help reform the district, especially the labor climate, and he was very parent and community focused (Quinn's upper right quadrant). He developed goals with the principals at each school, and tracked student

performance, displayed in graphs in the executive conference room (Quinn's lower right quadrant). By empowering the IBB team to create negotiated reforms based on a set of interests defined through wide spread administrator and school board input and full engagement with the teachers' union, he effectively plied all four quadrants in the appropriate balance at various stages of the negotiations. The IBB team was allowed to innovate, within parameters, applying a well defined process that featured high engagement in pursuit of shared goals and objectives, subject ultimately to school board approval. Innovation, including tapping key new resources (the HRIC and IBB facilitator), consideration for people through high involvement, goal directedness with accountability, and control through the IBB process and school board approval were all present in balanced measure.

At the PCSPCA (Case 3), animal protection and advocacy through quality care, adoption programs, humane enforcement, community education, and socialization training was pitted against their role in animal control, largely through capture and euthanasia of difficult to socialize, less healthy, and excess population animals by the thousands. While cognitively resolving this paradox as a necessary evil, most employees who came to work at the PCSPCA because of their love of animals were having difficulty resolving it affectively, especially in the face of community and animal rights group criticism. Conflict

also resulted from individual and group differences regarding how to handle this balance of logic and emotions. Another paradox that created challenges was between the informality of the past small *family* organization atmosphere and the need for greater formalization of a growing organization, in many respects the differentiation-integration paradox characteristic of most larger organizations. Creating the centralized HR function was but one adaptation to achieve a balance of differentiation and integration, while intergroup conflict and competition continued to pose integration challenges.

The CCSPCA Executive Director seemed to favor Quinn's (1988) upper left quadrant with an over emphasis on keeping everyone happy and cared for, though not terribly goal-directed or accountable and lacking formalization and consequently consistency of policy and management decisions, Quinn's lower quadrants. He and the organization had been innovative in expanding services by obtaining city and county contracts, and leveraging additional external support (Quinn's upper right quadrant). This innovativeness is what led to the rapid growth to which the organization was adjusting. A stronger goal orientation with supporting policy applied consistently would have taken better advantage of the lower quadrants. Committing to the survey and listening to employees through this medium was another form of consideration. However, it will not be fully advantageous if not followed by a commitment to improvement

goals and enough structure, with some group process innovation and risk taking, to achieve those goals.

Yin (1994) asserted that theory convergence and explanation building based on theory demonstrate the validity of qualitative enquiry in case study research. The preceding discourse seems to support the validity of observations, particularly in the HCSD case. Support was similarly provided in the other two cases where there was more reliance upon descriptive quantitative and qualitative data obtained through the employee surveys, demonstrating both construct and content validity (Kerlinger, 1973; Whitley, 1996). Obviously, the impact of leadership and culture was significant in all three organizations. That similar dynamics existed in such diverse organizations seems to support the soundness of the theory applied to these cases and the case study method (Yin, 1994).

While all three of the cases demonstrated the efficacy of a convergence of HRM-HRD-OD with multiple reinforcing interventions, this sample of three organizations is small. Consistent with case study principles, one is an adequate sample. However, there is more data available in the writer's experience. A much larger sample of cases is shown in Appendix K with a comparison of success ratings to those published by Golembiewski and Luo (2001) provided in Appendix L. This meta-analysis seemed prudent to support the in-depth case analysis. That comparison in Appendix L, demonstrated overall success

rates with multiple OD, HRD and HRM interventions, though from a much smaller sample, are somewhat better than Golembiewski's findings.

In making this comparison without detail about the cases Golembiewski studied, the writer was conservative in making judgments between the two categories of successful interventions. And with more time it is expected that some of the interventions categorized by the writer as a definite balance of positive and intended effects would move up into the highly positive category. Additionally the comparison was limited by a lack of knowledge about other HRM and HRD interventions that may have been applied with the OD interventions included in Golembiewski's study. These data along with the three case studies provided an answer to the fundamental research question: Can a comprehensive complement of OD (organization development), HRD (human resource development), and HRM (human resource management) interventions that are well-aligned and reciprocally reinforcing consistently produce planned beneficial change in complex organizational systems? The answer seems unequivocal: Yes it can!

Summary and Conclusions

The purpose of this study was to retrospectively and prospectively learn from pursuit of HRM-HRD-OD interventions by linking past and present change experiences with plural

paradigms of theory and practice. The case study method, combined with participant observation, was the research design of choice enabling depth of understanding of a limited sample of cases. A variety of both qualitative and quantitative assessments applying multiple models across diverse disciplines was applied as allowed by the case study method. This approach was consistent with the actual change strategies applied in the cases.

The three cases were diverse and offered opportunities for generalization to other organizations. Yet despite their diversity, they had much in common. Similar and diverse interventions were applied in the cases in the context of diverse organization theory, including the combined disciplines of HRM-HRD-OD. An effort was made to link theory and practice together through common themes. Consistent with much of organizational learning, this balance of similarity and diversity provided optimal learning experiences for the writer. It is hope the same holds true for all readers.

In conclusion, an HRM-HRD-OD consultant and change agent cannot force an organization or its members to learn. However with the right set of resources and intentions, she or he can provide high expectations, guidance, and facilitation for organizational and subgroup structure and process, and planning policy and program development that all contribute to beneficial change. He or she can help leadership create shared meaning and

aspirations; clarify roles, goals, responsibilities, and expectations; develop core competencies; design and implement recognition and rewards systems; ensure accountability; and provide a variety of focused and engaging learning experiences.

The consultant, teaming with leadership and organization members, can even help recreate (or perhaps rediscover), a comprehensive belief system with appreciation for what most creates meaning, gives life, and shapes learning and growth leading to sustained success. This phenomenon may occur through predominantly *positive, generative* OD interventions, such as appreciative inquiry (Cooperrider, et al. 2000). And it can occur as a result of a complement of problem solving OD, HRD and HRM initiatives with an element of positive affirmation at learning moments and celebrations of success, (past and present with an eye for the future). Having an applicable theory may be a necessary condition to planned beneficial change, however having multiple theories and skillfully executing a critical mass of interventions that converge will more often provide sufficient conditions for lasting change. Together, consultants and clients who are well informed and well-intentioned can offer opportunities for beneficial change not otherwise available to an organization or its members through chance, environmentally imposed adaptations, or even enlightened management. In pursuit of beneficial change, organization members, supported by internal or external consultants and strong leaders, can choose

not to remain stuck in their past. Through shared learning they can often recreate their own culture, influencing their internal and external environments, and in essence cocreating their desired future.

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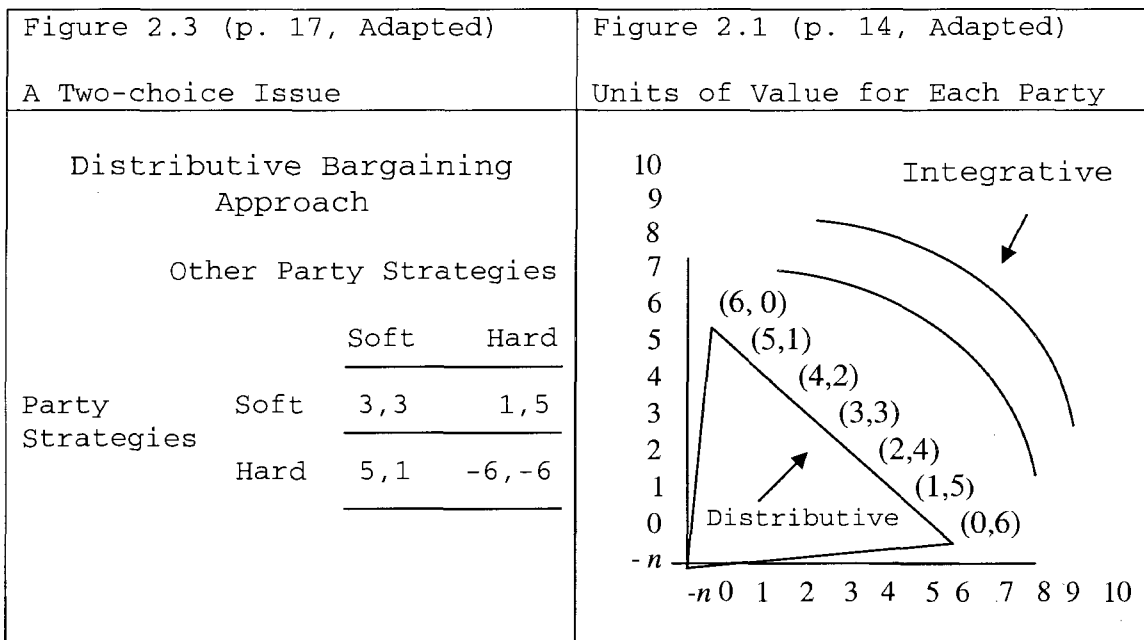
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APPENDIX A

DISTRIBUTIVE VERSUS INTEGRATIVE BARGAINING

Comparison of Distributive and Integrative Bargaining



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APPENDIX B
EMPLOYEE SURVEY USED IN CASES 1, URDI
WITH OVERALL MEAN RESPONSES

UNIVERSITY RESEARCH & DEVELOPMENT INSTITUTE

Employee Survey

Introduction

The URDI employee survey has been designed to help improve the performance and work climate of the URDI organization. The survey provides employees with an additional means of communicating their observations and feelings on a variety of important subjects. Anonymity is provided so that employees will feel free to be completely candid in their responses to the survey questions. Your confidentiality is protected. No one at URDI will see your completed questionnaire. Your responses, along with those of other URDI employees, will be tabulated and returned to URDI in summary report form only.

The survey results will be evaluated by the consultant, who will make recommendations to Management. The results will also be shared with you, as will Management's action plan in response to the survey information.

Instructions

Complete the two questions on employee characteristics by circling the number above the correct response. This information will be valuable in evaluating the responses of various sub-groups. It is not intended and will not be used to attempt to identify you individually.

Then complete the survey questionnaire, answering questions openly and honestly based on your personal observations, impressions or feelings. Please make an effort to respond to all the questions, including those which may not seem to apply directly to you. If you cannot answer a question, it may be skipped.

For each survey question circle the number on the "N" line which you feel describes University Research & Development Institute at the present time (N=Now). Then circle the number on the L line which describes how you would like URDI to be (L=Like). If for example on the first question you feel that there is "Quite a Bit" of cooperative teamwork, circle numbers 5 or 6. Circle 5 if you think the situation is closer to "Some", or circle 6 if you think it is closer to "A Great Deal". Do the same for the "L" line, indicating how you would like things to be. After completing the questions, make up to three recommendations as explained on the last page of the survey. When you have completed the survey, place it in the envelope.

How much cooperative teamwork exists at URDI?

		Very Little		Some		Quite a Bit		A Great Deal	
1	N	1	2	3	4 Δ	5	6	7	8
2	L	1	2	3	4	5	6	7 Δ	8

How often are employees' ideas sought and used constructively?

		Rarely		Sometimes		Often		Very Frequently	
3	N	1	2	3	4 Δ	5	6	7	8
4	L	1	2	3	4	5	6	7 Δ	8

How aware are you of URDI's current marketing strategy?

		Unaware		Somewhat Aware		Quite Aware		Very Aware	
5	N	1	2	3	4 Δ	5	6	7	8
6	L	1	2	3	4	5	6	7 Δ	8

How well have newly hired employees been accepted and utilized in the URDI organization?

		Not Well		Somewhat		Quite Well		Very Well	
7	N	1	2	3	4	5 Δ	6	7	8
8	L	1	2	3	4	5	6	7 Δ	8

How often do researchers help other researchers who ask for advice?

		Almost Never		Occasionally		Generally		Almost Always	
9	N	1	2	3	4	5	6 Δ	7	8
10	L	1	2	3	4	5	6	7 Δ	8

How "trapped" do you feel in your job at URDI? (because you prefer not to leave the community)?

		Very Trapped		Quite Trapped		Somewhat Trapped		Not Very Trapped	
		1	2	3	4	5	6	7	8
11	N					5 Δ			
12	L							7 Δ	

How concentrated are review and control functions at URDI?

		Very Concentrated At Top		Quite Concentrated At Top		Moderately Delegated at Lower Levels		Widely Shared	
		1	2	3	4	5	6	7	8
13	N			3 Δ					
14	L						6 Δ		

How much is your individual contribution to URDI appreciated by management?

		Not Much Appreciated		Somewhat Appreciated		Quite Appreciated		Very Much Appreciated	
		1	2	3	4	5	6	7	8
15	N				4 Δ				
16	L							7 Δ	

In motivating employees at URDI is predominant use made of 1) fear, 2) threats, 3) punishment, 4) rewards, 5) involvement?

		1,2,3, Occasionally 4		4, With Some 3		Mainly 4, with Some 3 & 5		4 & 5, Primarily Based on Group-set Goals	
		1	2	3	4	5	6	7	8
17	N				4 Δ				
18	L							7 Δ	

How well do the different divisions (e.g., administration, engineering, applied sciences) cooperate among one another?

		Not Well		Somewhat		Quite Well		Very Well	
		1	2	3	4	5	6	7	8
19	N	1	2	3	4 △	5	6	7	8
20	L	1	2	3	4	5	6	7 △	8

How is goal setting usually done

		Orders Issued		Orders, some Comments Invited		After Discussion by orders		Generally by Group Discussion	
		1	2	3	4	5	6	7	8
21	N	1	2	3	4 △	5	6	7	8
22	L	1	2	3	4	5	6 △	7	8

How confident are you that URDI will provide you with a long term career future?

		Not Very Confident		Somewhat Confident		Quite Confident		Very Confident	
		1	2	3	4	5	6	7	8
23	N	1	2	3 △	4	5	6	7	8
24	L	1	2	3	4	5	6	7 △	8

How positive an impression does management make on prospective new clients/customers?

		Not Very Positive		Somewhat Positive		Quite Positive		Very Positive	
		1	2	3	4	5	6	7	8
25	N	1	2	3	4 △	5	6	7	8
26	L	1	2	3	4	5	6	7 △	8

How often have you felt a negative status differential between clerical and scientific staffs?

		Almost Always		Quite Often		Occasionally		Almost Never	
		1	2	3	4	5	6	7	8
27	N	1	2	3	4	5 △	6	7	8
28	L	1	2	3	4	5	6	7 △	8

How responsive is management to new ideas of employees?

		Not Very Responsive		Somewhat Responsive		Quite Responsive		Very Responsive	
		1	2	3	4	5	6	7	8
29	N				△				
30	L							△	

How would you rate the procurement system at URDI?

		Very Slow and Cumbersome		Somewhat Slow and Cumbersome		Quite Efficient & Effective		Very Efficient and Effective	
		1	2	3	4	5	6	7	8
31	N					△			
32	L								△

How prevalent is "we/they" conflict at URDI? (e.g., management v. employees, scientists v. nonscientists, etc).

		Very Prevalent		Quite Prevalent		Somewhat Prevalent		Not Very Prevalent	
		1	2	3	4	5	6	7	8
33	N				△				
34	L								△

Do you work on applied research more than you work on basic research?

		Almost Never Applied Research		Occasionally Applied Research		Often Applied Research		Almost Always Applied Research	
		1	2	3	4	5	6	7	8
35	N						△		
36	L					△			

How effective is the Marketing function in seeking out and promoting new business opportunities for URDI?

		Very Ineffective		Somewhat Ineffective		Quite Effective		Very Effective	
37	N	1	2	3	4 Δ	5	6	7	8
38	L	1	2	3	4	5	6	7	8 Δ

How much true commitment to URDI do you feel?

		Not Very Committed		Somewhat Committed		Quite Committed		Very Committed	
39	N	1	2	3	4	5	6 Δ	7	8
40	L	1	2	3	4	5	6	7	8 Δ

How much follow through and change for the better has resulted from top management communication efforts (such as general employee meetings)?

		Very Little		Some		Quite a Bit		A Great Deal	
41	N	1	2	3	4 Δ	5	6	7	8
42	L	1	2	3	4	5	6	7	8 Δ

How well does upper management communicate the strategic (long range) direction of URDI?

		Not Well		Somewhat		Quite Well		Very Well	
43	N	1	2	3	4 Δ	5	6	7	8
44	L	1	2	3	4	5	6	7	8 Δ

How trusting are the relationships between peers/colleagues at URDI?

		Not Very Trusting		Somewhat Trusting		Quite Trusting		Very Trusting	
45	N	1	2	3	4 Δ	5	6	7	8
46	L	1	2	3	4	5	6	7	8 Δ

How positive an impression do employees make on prospective new clients/customers?

		Not Very Positive		Somewhat Positive		Quite Positive		Very Positive		
47	N	1	2	3	4	△	5	6	7	8
48	L	1	2	3	4		5	6	7	△

How much emphasis is placed on safety at URDI?

		Very Little		Some		Quite a Bit		A Great Deal		
49	N	1	2	3	4	5	△	6	7	8
50	L	1	2	3	4	5	6		△	7

How often are URDI staff allowed opportunities to publish and participate in professional meetings?

		Very Infrequently		Somewhat Infrequently		Quite Frequently		Very Frequently		
51	N	1	2	3	4	△	5	6	7	8
52	L	1	2	3	4	5	6	△	7	8

How much communication as "equals" is there within URDI?

		Very Little		Little		Quite a Bit		Very Much		
53	N	1	2	3	4	△	5	6	7	8
54	L	1	2	3	4	5	6		△	7

Are working hours at URDI sufficiently flexible?

		Too Inflexible		Somewhat Flexible		Quite Flexible		Very Flexible		
55	N	1	2	3	4	5	6	△	7	8
56	L	1	2	3	4	5	6		△	7

How well coordinated are decisions among management on projects, purchasing, personnel, etc?

		Not Well Coordinated		Somewhat Well Coordinated		Quite Well Coordinated		Very Well Coordinated	
67	N	1	2	3	4 Δ	5	6	7	8
68	L	1	2	3	4	5	6	7 Δ	8

How adequate is the present retirement program at URDI?

		Not Very Adequate		Somewhat Adequate		Quite Adequate		Very Adequate	
69	N	1	2	3	4	5 Δ	6	7	8
70	L	1	2	3	4	5	6	7 Δ	8

How comfortable do you feel in expressing concerns to your division director?

		Not Very Comfortable		Somewhat Comfortable		Quite Comfortable		Very Comfortable	
71	N	1	2	3	4	5 Δ	6	7	8
72	L	1	2	3	4	5	6	7 Δ	8

How much of a federal government orientation is prevalent in employee behavior at URDI?

		Very Prevalent		Quite Prevalent		Somewhat Prevalent		Not Very Prevalent	
73	N	1	2	3	4 Δ	5	6	7	8
74	L	1	2	3	4	5	6	7 Δ	8

How often have you attended internal seminars for discussion of ongoing research?

		Rarely		Sometimes		Often		Very Frequently	
75	N	1	2 Δ	3	4	5	6	7	8
76	L	1	2	3	4	5 Δ	6	7	8

How appropriately aligned have the Marketing efforts been with URDI's capabilities?

		Very Inappropriate		Somewhat Inappropriate		Generally Appropriate		Very Appropriate	
		1	2	3	4	5	6	7	8
77	N	1	2	3	4 △	5	6	7	8
78	L	1	2	3	4	5	6	7 △	8

How often have your ideas been "stolen" by one of your peers/colleagues?

		Very Frequently		Often		Rarely		Never	
		1	2	3	4	5	6	7	8
79	N	1	2	3	4	5	6 △	7	8
80	L	1	2	3	4	5	6	7 △	8

What are cost, schedule, and other control data used for?

		Policing Punishment		Reward and Punishment		Reward, Some Self-Guidance		Group Guidance and Problem Solving	
		1	2	3	4	5	6	7	8
81	N	1	2	3	4	5 △	6	7	8
82	L	1	2	3	4	5	6	7 △	8

Overall, how would you rate research project accomplishments at URDI?

		Not So Good		Somewhat Good		Quite Good		Very Good	
		1	2	3	4	5	6	7	8
83	N	1	2	3	4 △	5	6	7	8
84	L	1	2	3	4	5	6	7 △	8

What percentage of complaints which you hear among your fellow employees at URDI would you classify as insignificant (petty, griping)?

		Very High Percentage		High Percentage		Low Percentage		Very Low Percentage	
		1	2	3	4	5	6	7	8
85	N	1	2	3	4 △	5	6	7	8
86	L	1	2	3	4	5 △	6	7	8

How much of a "research service type" (versus, purely scientific) organization is URDI?

		Not Very Service Type		Somewhat Service Type		Quite Service Type		Very Service Type	
87	N	1	2	3	4	5	6	7	8
88	L	1	2	3	4	△ 5	6	7	8
						△			

How is downward communication accepted?

		With Distrust		Often with Suspicion		Usually with Trust		A Great Deal of Trust	
89	N	1	2	3	4	5	6	7	8
90	L	1	2	3	4	5	6	7	8
								△	

Does your immediate manager listen to your ideas and concerns?

		Almost Never Listens		Occasionally Listens		Generally Listens		Almost Always Listens	
91	N	1	2	3	4	5	6	7	8
92	L	1	2	3	4	5	6	7	8
								△	

How much respect for the individual employee is evidenced by management?

		Very Little		Some		Quite a Bit		A Great Deal	
93	N	1	2	3	4	5	6	7	8
94	L	1	2	3	4	5	6	7	8
								△	

Overall, how effective are division level managers at URDI?

		Not Very Effective		Somewhat Effective		Quite Effective		Very Effective	
95	N	1	2	3	4	5	6	7	8
96	L	1	2	3	4	5	6	7	8
						△		△	

What is the usual direction of information flow?

		Downward		Mostly Downward		Down and Up		Down, Up, and Sideways	
97	N	1	2	3	4 Δ	5	6	7	8
98	L	1	2	3	4	5	6	7 Δ	8

How timely (efficient) is the hiring process at URDI?

		Not Very Efficient		Somewhat Efficient		Quite Efficient		Very Efficient	
99	N	1	2	3	4 Δ	5	6	7	8
100	L	1	2	3	4	5	6	7 Δ	8

How effectively does URDI provide you with opportunities for achievement of personal goals?

		Not Very Effectively		Somewhat Effectively		Quite Effectively		Very Effectively	
101	N	1	2	3	4 Δ	5	6	7	8
102	L	1	2	3	4	5	6	7 Δ	8

Where is responsibility felt for achieving high performance?

		Mostly at Top		Top and Middle		Fairly Widespread		At All Levels	
103	N	1	2	3	4	5 Δ	6	7	8
104	L	1	2	3	4	5	6	7 Δ	8

If a comparable job to your position at URDI were to be offered you in Laramie, what is the probability that you would leave URDI?

		Very Probable		Quite Probable		Somewhat Probable		Not Very Probable	
105	N	1	2	3	4	5 Δ	6	7	8
106	N	1	2	3	4	5	6	7 Δ	8

How much confidence and trust is shown in employees?

		Very Little		Some		Quite a Bit		A Great Deal	
		1	2	3	4	5	6	7	8
107	N	1	2	3	4 [△]	5	6	7	8
108	L	1	2	3	4	5	6	7 [△]	8

How free do employees feel to talk to supervisors about their work?

		Not Very Free		Somewhat Free		Quite Free		Very Free	
		1	2	3	4	5	6	7	8
109	N	1	2	3	4	5 [△]	6	7	8
110	L	1	2	3	4	5	6	7 [△]	8

How accurate is upward communication?

		Usually Inaccurate		Occasionally Inaccurate		Often Accurate		Almost Always Accurate	
		1	2	3	4	5	6	7	8
111	N	1	2	3	4	5 [△]	6	7	8
112	L	1	2	3	4	5	6	7 [△]	8

How well does URDI provide you with opportunities for professional development?

		Not Very Well		Somewhat		Quite Well		Very Well	
		1	2	3	4	5	6	7	8
113	N	1	2	3	4	5 [△]	6	7	8
114	L	1	2	3	4	5	6	7 [△]	8

How comfortable do you feel in expressing concerns to the executive director or chief scientist?

		Not Very Comfortable		Somewhat Comfortable		Quite Comfortable		Very Comfortable	
		1	2	3	4	5	6	7	8
115	N	1	2	3	4 [△]	5	6	7	8
116	L	1	2	3	4	5	6	7 [△]	8

How often are employees involved in decisions related to their work?

		Almost Never		Occasionally Consulted		Generally Consulted		Fully Involved	
		1	2	3	4	5	6	7	8
127	N	1	2	3	4 Δ	5	6	7	8
128	L	1	2	3	4	5	6	7 Δ	8

How well do supervisors know problems faced by employees?

		Not Well		Somewhat		Quite Well		Very Well	
		1	2	3	4	5	6	7	8
129	N	1	2	3	4 Δ	5	6	7	8
130	L	1	2	3	4	5	6	7 Δ	8

In research projects do you work as a team or as an "isolated" researcher?

		Almost Never Work in Team Setting		Occasionally Work in Team Setting		Often Work in Team Setting		Almost always work in Team Setting	
		1	2	3	4	5	6	7	8
131	N	1	2	3	4 Δ	5	6	7	8
132	L	1	2	3	4	5 Δ	6	7	8

Please make up to three recommendations as to how URDI can become a more successful and better organization in which to work. Place your recommendations in order of priority and be as succinct as possible (long responses are difficult for the consultant to consolidate and tabulate, thus limiting their effectiveness).

1. _____

2. _____

3. _____

APPENDIX C

HIGHLAND COUNTY SCHOOL DISTRICT ISSUES AND INTERESTS

FOR INTEREST-BASED BARGAINING

Highland County Teachers Association
 Highland County School District
 Interest Based Bargaining
 District Interests

Problem or Issue	Why or Interest
1. There has historically been a lack of trust between the Association and Administration.	<ul style="list-style-type: none"> ◆ The distrust, competition for control, poor school climate, and wasted energies have interfered with professional educators doing the best they can do for students and their learning. ◆ It has also interfered with a positive learning and working environment for our teachers and administrators.
2. The negotiated agreement has evolved over time and needs to be carefully examined for efficacy in contemporary context of public education.	<ul style="list-style-type: none"> ◆ There are contract articles that do not contribute to the best interests of students, teachers and the District. ◆ Some articles as applied cause dysfunction that undermines a positive school climate and learning environment.
3. Collaboration between the District and Teacher's Association is seriously limited at best.	<ul style="list-style-type: none"> ◆ There are tremendous missed opportunities to advance student learning, regain public confidence, and promote career growth opportunities for our professional educators.
4. Though we have many TRULY OUTSTANDING TEACHERS , we do not have: " ... a quality teacher in every classroom." Bob Chase, President, NEA.	<ul style="list-style-type: none"> ◆ Some students' learning and emotional development needs are compromised by teachers who do not have the necessary skills or interested in teaching. ◆ Our best teachers and administrators find themselves spending precious time and energy addressing the deficiencies of professionals in the system, rather than achieving excellence for our students.
5. Our compensation system rewards tenure and accumulated credits, but not necessarily teacher performance in advancing student learning.	<ul style="list-style-type: none"> ◆ An excellent teacher is paid the same as a mediocre teacher if they are at the same place on the schedule. ◆ There is limited incentive for teachers to improve their teaching or help improve their school.

APPENDIX D

EMPLOYEE SURVEY USED IN CASE 3, PETLAND COUNTY SPCA WITH MEAN
RESPONSE AND REPRESENTATIVE WRITE-IN RESPONSES

Petland County SPCA Employee Survey

The purpose of this survey is to gather information about the SPCA that will be used to help improve effectiveness as an organization. All responses are anonymous because only the survey consultant will see your individual survey. The consultant will compile your responses and combine them with those of others completing the survey. The consultant will provide averages and other statistics, and summaries with samples of write-in responses, but not the individual surveys. Please respond to each of the statements below by placing an "N" below the one number that best indicates how you see the SPCA as being Now. Then place a "B" under the number indicating how it has Been in the past, and an "L" under the number indicating how you would Like the SPCA to be in the future. You may place more than one letter (N, B, and L) under the same number. And you may add comments to explain your response and give ideas for improvement after each statement. At the end of the survey, there is space to add more comments and ideas and provide information that will be helpful. See the following example.

EXAMPLE Statement about CCSPCA	Very Much	Much	Some	No Opinion	Little	Very Little	Not at All
The people I work with here have good taste in music.	7	6 L	5	4	3 N	2	1 B
Comments/Ideas: I wish they wouldn't listen to so much pop music. I prefer country. At least the rap stopped ☺ How about if we rotate days, one day pop, next day country, third day rock music, etc?							
SURVEY (N = now, B = been, L = like) Statement about SPCA	Very Much	Much	Some	No Opinion	Little	Very Little	Not at All
1. There is a clear mission that gives meaning and direction to our work.	7 L	6 N	5 B	4	3	2	1
Comments/Ideas: We save lives every day. We have always had a clear mission to prevent cruelty to animals. I would like it to be understood by everyone. Those of us who are here for the animals have that direction.							
2. Pay raises are based on how well each employee does their job, helping the SPCA achieve its goals.	7 L	6	5	4 N	3 B	2	1
Comments/Ideas: Raises are according to seniority. I believe that if you don't perform as well as others they don't deserve the same percentage of raise. Need's to look at what staff "member" does, not everyone get a raise.							
3. I am allowed to make the decisions needed to do my job well.	7 L	6 L	5 N B	4	3	2	1
Comments/Ideas: My boss asks me how I can best do my job and gives me the opportunity to do so. Everything I do is very clearly watched and criticized, so I have to be exactly like everybody else.							
4. There is good communication between employees and their supervisors.	7 L	6	5 N	4 B	3	2	1
Comments/Ideas: My supervisor now is pretty good, could be better.... The only problem is time factor. ..they only talk to me when I've done something wrong. I have always been able to communicate with my supervisors.							
5. Overall goals of the SPCA are made clear to employees.	7 L	6 N	5	4 B	3	2	1
Comments/Ideas: The goals are made clear to all employees - whether they adhere to those goals or not depends on their individual level of commitment to that goal. It has become better over time. Need more involvement.							
6. The SPCA has a good reputation in the community.	7 L	6	5 N	4 B	3	2	1
Comments/Ideas: The education is helping very much with this and getting across to the community what it is that we are here fore. The public will always see us as the "kill" shelter. It has improved 100% in the last 2-3 years.							
7. I receive the training needed to do my job well.	7 L	6	5 N	4 B	3	2	1
Comments/Ideas: One day of training is not enough. I believe all of us supervisors can improve on training. I was trained by an employee who had only been at the job a month longer than myself. I received excellent training.							

SURVEY (N = now, B = been, L = like) Statement about SPCA	Very Much	Much	Some	No Opinion	Little	Very Little	Not at All
8. The Executive Director provides strong leadership of our organization.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: I have seen a lot of positive growth under Mr. ___'s leadership. He has a wealth of knowledge, expects our best, and has open door policy. Has too much to do by himself. Is not as available to employees.							
9. Volunteers are used effectively to help accomplish our goals.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: There are some that are amazing, but quite a few need more directions. Volunteers are a big part of my job, and couldn't do what I do without them. Volunteers are used more effectively now. Some work great.							
10. Employees who work here get along well with each other.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: ...if there was more help between adoptions & strays. There are lots of employees who are friendly to each other, but only if they work in the same department. There are many unneeded hard feelings							
11. There are opportunities to get ahead and advance my career at the SPCA.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: I started as a part time employee, became a Kennel person, and now I am management. I have no idea where I can go from here. Sometimes wanting to get to another position is stifled. I can advance my career..							
12. My pay is about as good as other jobs available to me in the Petland area.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: The pay is OK but could be better. The pay is fair. No its not, but I would not be here if pay was the driving factor. Pay is only a little more, but do like the benefits and comp days. It needs to improve ...							
13. My supervisor makes expectations about my job clear to me.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: Most of the time. I appreciate openness and knowing what is expected of me. Supervisors need to check on work to see if understand. Supervisor is pretty clear what she would like me to do. More training ..							
14. The benefits (insurance, vacation, 401k, etc.) are as good as other jobs available to me in the Petland area.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: SPCA is looking out for their employees. They are better than other jobs I have found. It may not be the best, but it is better than nothing. Benefits are great here! Understandable though, SPCA is a non-profit.							
15. There is strong teamwork in my department or group.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: We work very hard as a team. Teamwork only exists among friends, unless people are told to work together. We all help one another in the care and well being of animals and each other. ...no one has time...							
16. Roles and responsibilities are clear at the SPCA.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: They may be clear, but still most act like they don't know what to do. Depends on the department or the supervisor. I have a better understanding now. In my area with my boss, yes. ...too many breaks.							
17. My supervisor listens and responds when I express ideas or concerns.	7	6	5	4	3	2	1
		L	N	B			
Comment/Ideas: He's great at listening when I need to talk. He is a great listener and expresses his concerns to us and things going on around us. I hold back potential because supervisor feels threatened. When he has time.							
18. There is good teamwork between the various departments or groups.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: The "us & them" attitude is still around. I still hear a lot of "us & them" comments between departments. Both Strays and Available seem to be at WAR! We need to work together to save lives.							
19. New employees are given the training they need to perform well.	7	6	5	4	3	2	1
		L	N	B			
Comments/Ideas: One day following staff around is not adequate training. Definitely thrown into tasks without enough training or supervision in kennels. I don't feel I was trained efficiently. It has improved since I started.							

SURVEY (N = now, B = been, L = like) Statement about SPCA	Very Much	Much	Some	No Opinion	Little	Very Little	Not at All
20. The community understands and accepts our multiple roles in animal protection and control.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: Not yet, but they are learning. Public opinion is coming up. Some public still call us killers and murderers to our face, while others are grateful. Not enough public education. All depends on who you talk to.							
21. There is unhealthy conflict that causes problems here at the SPCA.	7	6	5	4	3	2	1
			NB			L	
Comments/Ideas: It gets to the point where I dread coming to work. Available/Strays seem to be encouraged to fight rather than get along. Not much communication and everyone wants to blame someone else. Playing favorites.							
22. Policies and procedures are clear and are followed consistently.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: For the most part. Need to be more consistent with policy throughout. .. policies/procedures are being followed more now. Each supervisor explains things a different way...clear, but not followed consistently.							
23. Employees at the SPCA really care about our mission.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: We have a staff dedicated to animals. I know if I try my best, I can and will make a difference. Getting better! Not all. Not enough employees are passionate about their job. A majority honestly cares.							
24. The family atmosphere helps the SPCA and employees.	7	6	5	4	3	2	1
		L		N	B		
Comments/Ideas: I think the closeness is beneficial. As long as there are no favorites. There is NO family atmosphere. Too much family means people fall outside discipline and rules. ...are divorced....in the custody fight							
25. Overall, our services are effective in the community.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: We try our best to reach out and educate and make it safe for our community as well as to protect the animals. It's getting better. It's going to take time. Less animals come in every year. ...more outreach...							
26. My annual review by my supervisor lets me know how well I am doing my job and how I can improve.	7	6	5	4	3	2	1
		L		N	B		
Comments/Ideas: Haven't had one of these in seven years. Only had it once; useless. ..when I get an annual review, I'll have an opinion. I've heard verbal reviews but no official one. What annual review? Help me a lot.							
27. There is acceptance of people from different cultures or ethnicity.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: Diversity is great. I have never heard racist ANYTHING . I think everything is fine. I haven't heard any bad comments. That's the one area where there's no problems. Hear racial remarks.							
28. I am looking for a new job so that I can leave the SPCA.	7	6	5	4	3	2	1
						N	L B
Comments/Ideas: I'm not going anywhere. I am very happy with my job. I like it here. I love my job, and plan to succeed and retire here. I'm satisfied with my current employment. Stress is way too high. I have little choice.							
29. Employee safety, including safety training, is made a high priority.	7	6	5	4	3	2	1
	L		N	B			
Comments/Ideas: Our safety is always a priority. Safety is an issue, and more training is a must. In my department, yes. .. needs to improve in other departments. Twice a month my supervisor has a safety meeting.							
30. Employees here distrust each other or distrust other groups.	7	6	5	4	3	2	1
				N		L	
Comments/Ideas: Trust between co-workers is needed in order to work together ... to get the job done. Trust factor has improved. Quite a few people get along just fine. Others don't trust anyone as far as they can throw them.							
31. Employees are held accountable for what they do or don't do.	7	6	5	4	3	2	1
		L		N	B		
Comments/Ideas: Not enough of either. Different department supervisors handle their employees differently. Some departments yes, others: The people get away with murder because they're "friends" with their supervisor.							

SURVEY (N = now, B = been, L = like) Statement about SPCA	Very Much	Much	Some	No Opinion	Little	Very Little	Not at All
32. I recommend the SPCA to others as a good place to work.	7	6 L	5 N	4 B	3	2	1
Comments/Ideas: If they love animals. Usually no, most people have too much heart or no heart. Too much drama and favoritism. SPCA is a great place to work. Depending on position. I tell people the benefits are good.							
33. Alcohol or drug abuse is interfering with some employees' performance.	7	6	5 B	4 N	3	2 L	1
Comments/Ideas: More so in the past, not as much now. Yes, with some people it's fairly obvious. Drug testing is a good idea. I BELIEVE SPCA SHOULD DRUG TEST. Hell yes!!! Need drug testing. If so I'm not aware.							
34. I understand and appreciate the Board of Directors' role in the SPCA	7	6 L	5 N	4 B	3	2	1
Comments/Ideas: No clue what they do. Not enough of the board spend time in the shelter. I appreciate them but don't completely understand their role. I don't know them or what they do. Great bunch of people. Always looking..							
35. There is consistency between the various managers and supervisors.	7	6 L	5	4 N	3 B	2	1
Comments/Ideas: Not as much as there should be. They need to be on the same page. The supervisors' meetings are really helping. No way. Heck no! Some supervisors are not always consistent with their answers ..play favorites.							
36. Everyone tries equally hard to get the work done and achieve our goals.	7	6 L	5	4 N	3 B	2	1
Comments/Ideas: Some more than others. Only the few carry the many. I would like to see everyone give 100%. People do their job, but are always eager to pass it on to other people... do it long enough till they pass probation							
37. The rumor mill here is active with gossip about employees.	7	6 B	5 N	4	3	2 L	1
Comments/Ideas: Leave them out of the workplace. Unfortunately, that statement is very true. It would be nice if it wasn't, but There is more drama than on daytime TV. Again, I've never worked anywhere this bad ...							
38. I believe the information in this survey will be used to help us improve and be more effective.	7	6 L	5 N	4 B	3	2	1
Comments/Ideas: I really hope so. Yea!! I think this survey is wonderful. I will believe it when I see it. I can only hope. Nothing ever comes from expressing concerns here. Hopefully supervisors can see where we can improve.							
39. Both women and men are treated fairly according to their contribution.	7	6 L	5 N	4 B	3	2	1
Comments/Ideas: With my boss it is. I think so. I have never seen any unjust behavior...any sexist actions. I think women are viewed as being weaker because we cry more. Women aren't even allowed to work at night.							
40. Overall, I like working here at the SPCA.	7	6 L	5 N	4	3	2	1
Comments/Ideas:___ Wouldn't work anywhere else. The SPCA is a nice place to work if you stay out of the gossip. I love what I contribute to where we are headed. I feel privileged to be a part of this organization,...							

Additional Comments/Ideas: When we have separate departments and they do not communicate with each other, it creates problems, lack of understanding and in some cases departments attacking departments. We should all support each other and jump in to help each other, not point fingers. We have come a long way and have a long way to go ... honestly, they would have to agree that the SPCA is a great career choice. It takes a strong person to do the work we do year in and year out, but this work is very rewarding. We should remain progressive in our methods, i.e. medicine, cleaning, moving or not moving animals for health etc. I really appreciate all of my fellow co-workers. I want to express that I enjoy coming to work every single day.

Please help the consultant better understand responses by checking the following optional information:
How long at SPCA? less than a year___, 1 to 5 yrs___, 5 to 10 yrs___, more than 10 yrs___; supervisor or manager? No___ Yes___; For non-superv./mngnr. I work in kennels___, field services (drivers)___, hospital___, other (dispatch, front desk, etc.)___?

Thank you for completing the survey and sharing your views and ideas!

APPENDIX E

URDI EXECUTIVE DIRECTOR EMPLOYEE
NEWSLETTER ARTICLE REGARDING SURVEY

URDI Employee Newsletter Article

FROM THE EXECUTIVE DIRECTOR

URDI Management Team Reviews Employee Survey

The URDI management team has carefully reviewed the results of the employee survey to identify specific actions for internal improvement. Based on the survey, most employees are generally satisfied with many job factors such as working conditions, safety programs, and pay and benefits. Consequently, the management team has focused attention on employee comments relating to management, marketing and communications.

Nearly 20 official communication channels are currently established to exchange information within URDI. Formal communication channels range from weekly meetings within divisions to semi-annual meetings of all URDI employees. There are also a variety of less formal opportunities to exchange ideas and information. These current communication channels do not exclude any identifiable type of communication. Each research director is responsible for assuring that the current communication channels are used effectively and that employees are encouraged to ask questions or seek resolutions if there are issues which require clarification.

URDI management is planning some specific actions to strengthen our organization efforts. A management seminar is being scheduled for all URDI managers. Following this seminar, a detailed discussion on the application of these management principles is planned for the next regularly scheduled meeting of all URDI managers. A mission statement and strategic business plan are being formulated for communication to all employees so everyone can have a common understanding of the basis for management decisions. Each director is responsible for delegating authorities commensurate with responsibilities for implementing the management decisions.

Specific marketing actions have been identified to pursue aggressively the development of new applications for URDI research talents. Many URDI research talents have been matched with current market demands, and individual engineers or scientists are assigned to develop specific marketing contacts. In other cases, the strategy for defining a marketing opportunity has been developed, and specific individuals are assigned to gather additional information for a marketing decision.

APPENDIX F

PCSPCA REPORT AND PROPOSAL FOR HR/OD CONSULTING SERVICES

Report and Proposal to
Petland County Society for the
Prevention of Cruelty to Animals

By:

Bill Van Lente

Doctoral Student with

Alliant International University

Marshall Goldsmith School of Management

March 14, 2006

Introduction

This report is intended to summarize prior work by Alliant students and faculty and set the stage for the PCSPCA and Alliant to go forward with Phase II of their collaborative work together. The shared purpose of this initiative is to foster improvement of SPCA's human resource and organization management in support of its mission while affording further learning opportunities for Alliant through service to the SPCA and it's people.

The SPCA has undergone significant growth in animal care and control programs and resulting employment levels during recent months. The SPCA organization has been challenged to keep up with that growth in terms of human resource and organization development. The SPCA organization has reached a size where these functions can stand to be taken more seriously; where such investments in people will help enable continuing and expanded services to the community through responsible and responsive care of its animal population. In the following, after summarizing Phase I, a proposed plan is presented for Phase II and III of the SPCA and Alliant's work together.

Background and Prior Work in Phase I

Alliant students and faculty performed an initial assessment by interviewing and surveying a sample of SPCA employees, including the Director, and about half of the board members. The assessment resulted in a set of observations, conclusions and recommendations, presented in a previous report. In addition, Alliant students designed and delivered selected training that was designed to address expressed and felt needs. The course of this effort transpired as follows:

- Early February 2005 - 37 employees, including supervisors were interviewed in confidence, and another 20 employees responded to an employee survey. This total of 57 employees providing information to the consulting team comprised the majority of employees at that time, though employment has since increased and there has been turnover, most likely some involving employees who responded to the interviews and surveys. Such a strong response to the interviews and surveys suggests that there was much interest in the process, and that the views expressed were representative of employees at that time. Board members were also interviewed, and five board members completed surveys.

- The information was themed by Alliant based on groupings of similar expressions by those people interviewed, and the survey responses were tabulated and average or mean responses calculated.
- The information was fed back to employees in mid February, and to the Board in early March.
- A report was prepared and presented, also in early March. The report highlighted a variety of apparent strengths and opportunities to improve. In brief, much pride, commitment and satisfaction was expressed in the work of the SPCA. However, concerns were expressed over insufficient training to meet the challenges and demands of the work, about high demands of the work, limited recognition and rewards, especially compensation, and confusion or inconsistency regarding policy, roles and responsibilities, as well as employee discipline. Concerns were also expressed about community image. The level of teamwork, communication and pay were rated quite low in the survey, at about 3 on a 6 point scale.
- Consulting team recommendations included hiring a Human Resources Manager, hiring a Training Coordinator and an Assistant Manager.
- Alliant students prepared and provided training during subsequent months to address needs in Stress Management, Dealing with Difficult Customers, Time and Organization Management, and Conflict Management.

This summary is sketchy by design. For further detail, refer to the complete report provided in March 05.

Phase II

In response to key conclusions and recommendations in Phase I, the Alliant Marshall Goldsmith School of Management (MGSM) Program Director and doctoral student Bill Van Lente, who has an extensive professional background in Human Resource Management, met with the Executive Director and two Board members in mid January, 06. An understanding was reached to pursue further work focused on:

- Evaluating the best approach to meeting growing needs in Human Resource Management, including performing an HR audit of sorts, and evaluating the need for a full-time Human Resource professional as a key member of management.

- Assuming the decision is to hire a full-time HR manager, assisting the SPCA in defining the role and recruiting such an individual.
- Repeating an employee survey to more carefully assess current needs and opportunities, considering there are many new employees and there have been improvement efforts following the initial assessment in Phase I.

Later in January, Bill returned and was given a tour of the SPCA facilities along with an overview of programs by the Executive Director and one of the Kennel Supervisors. The passion displayed for the work of the SPCA was quite evident, as was the pride in facilities and staff.

In late February Bill returned again and spent the better part of the day with the Executive Secretary-Office Manager and Executive Director reviewing the human resources functions in brief, discussing the need for a human resources professional as manager, reviewing overall SPCA strategy with which to align the development of a formal HR function, and carefully reviewing an outline of the approach being detailed in this report and proposal. Bill also had the pleasure of meeting and visiting with the previous now retired Executive Director, and learning much about the history of the shelter.

Current Condition

Without a doubt, the PCSPCA is experiencing growing pains. It can be difficult to add to a workforce and organization at the rate experienced by the SPCA in the recent past without creating some confusion, and it takes time to integrate new people into the culture of the organization. Developing the leadership needed for a larger organization can also take time. Organizational structure and defined roles and responsibilities generally need to become more formal in larger organizations. All of these factors may be contributing to a sense that the SPCA organization is pulling apart some at the seams.

Growth in size and employment levels is projected to continue, consequently learning how better to grow; including developing the competencies of employees, leadership, and the organization as a whole, is an important priority. Decisions made now about human resources management, especially human resource development and organization development, can help position the SPCA to create its desired future.

The CPCA has a dual role, to protect animals from mistreatment and to protect the public regarding animals that may be a threat

to public safety. These roles, especially in the eyes of the SPCA's many publics, are not always aligned and may even be contradictory, creating somewhat of a paradox or dilemma. This dilemma cannot be solved, and will continue to require careful and sensitive management to balance potentially conflicting interests. Helping all employees of the SPCA to understand this phenomenon may add meaning to their work and help them make optimal decisions as they carry out their work.

Compensation levels, especially for entry-level employees, have historically been below market. Fortunately, there has been significant improvement in the recent past. A more careful analysis of competitive compensation levels for all positions would aid in formulating compensation strategy and managing the impact of compensation levels on employee confidence, commitment, retention and turnover, not to mention the impact of all these factors on organizational performance.

Human Resources Needs, Opportunities and Plans

Larger organizations, especially when growing, place greater demands on the human resource functions. At present within the SPCA those functions are not centralized in one core department or person, but are splintered and shared among the Executive Secretary, Director and the various supervisors. This seems to have worked reasonably well in the past when the SPCA was smaller. However, for a variety of reasons it now leaves much to be desired. Included among these reasons are the growing demands of a larger organization and the ever increasing complexity and demands being placed on employers, such as employment and safety regulations, the high cost of health care and workers compensation, the greater need for formal employee training, competition in the labor market, the potential of litigation, and the expectations of a more educated workforce.

A rule of thumb within Human Resource Management is that once an organization is approaching or has reached 100 employees, it takes one full-time Human Resources person to meet needs. Beyond 100 employees, ratios of 1 HR staff member for each 100 to 150 employees seems to work well, though much larger organizations can achieve economies of scale that allow them to have higher ratios. Some very large and very successful organization who have defined excellence in Human Resources as their competitive strategy continue to maintain low ratios of about 1 Human Resources staff member per 100 employees.

Beyond the typical Human Resources functions such as recruiting, compensation and benefits, policy, etc., the Training Program and Employee Safety & Health Program are also not the primary,

continuing responsibility of a designated individual. Though supervisors and managers will continue to be primarily responsible for their staff members, including HR practices, training and safety, centralized program administration can be very helpful to supervisors and quite effective in ensuring the commitment and capability necessary to effective performance of these essential functions.

Simply the need to manage risks from potential claims of unfair/illegal employment actions and workplace safety & health failures could be sufficient to justify adding a full-time professional HR Manager to the SPCA management team. More important, however are the opportunities investments in Human Resources programs can create by improving all of the functions that impact the quality of employees and employment opportunities at the SPCA, and the impact of allowing all those people who currently share the HR role to focus more on their core responsibilities. These two factors combined offer significant potential to improve overall performance and success in fulfilling the mission of the SPCA.

The recommendation in Phase I to add a full-time Human Resources professional, as a key member of management seems clearly justified, and there seems to be a consensus or near consensus among those who share responsibility for creating this key role within the SPCA. Consequently, it should be acted upon now.

To support a stronger commitment to Human Resources, it is recommended the SPCA consider also creating a Human Resources Committee of the Board of Directors, along with clarification and definition of an optimal role for this new Committee.

Proposed Actions by SPCA with Support from Alliant

- Hire a Human Resource Manager/Director
 - Communicate actively with employees regarding the decision to formalize HR and add an HR Manager/Director, with updates regarding progress and the final selection and introduction
 - Appoint recruitment/search team of optimal size and diverse involvement (probably 3 - 5 individuals)
 - Define position with qualifications, requirements, compensation range and budget; position to include:

- Human Resource Management
- Employee Training and Development/Organization Development
- Occupational Safety & Health
- Initiate recruitment measures, such as Internet listings, college placement office, networking, local add
- Create office space, secure computer
- Screen resumes, select candidates for and conduct interviews, check references and make selection and offer
- Begin employment of new HR Manager/Director
- Perform a Human Resource/Organization Audit
 - Define responsibility - Recommend Executive Director and an HR Taskforce with Alliant support, bringing new HR Manager/Director into the process once hired
 - Evaluate HR strategy, functions, and systems:
 - Key question to be addressed: continue family atmosphere without dysfunctions, or formulate another model/strategy
 - Ensure alignment with SPCA vision, mission and goals
 - Create internal alignment of HR/Training/Safety plans and functions to achieve synergy and competitive advantage
 - Include a repeat organizational/cultural assessment
 - Methods:
 - Interview key staff regarding needs and opportunities
 - Records/documents/data review (e.g., personnel files, absenteeism and turnover,

accident reports)

- Possible focus group involvement
- Repeat enhanced employee survey

➤ Proposed Action Planning and Timing

- Begin Recruitment of HR Manager/Director and HR Audit concurrently - March/April 06
- Consider creating an HR Committee of the Board - discuss pros and cons, advantages and potential disadvantages of various forms of involvement in HR strategy, policy and practices/actions - clarify role and responsibilities - April/May 06
- New HR Manager/Director hired and begins involvement in HR/Organization audit, assumes responsibility for HR Management, with Training and Safety phased in over time - May/June 06
- HR Audit report with recommendations on comprehensive HR strategy and systems - July 06

➤ Current and Future Resources

- SPCA Director, new HR Manager/Director once hired, HR Task Force and other SPCA staff and/or volunteers
- Alliant Faculty and Students
 - Bill Van Lente
 - Previously involved students
 - MGSM Program Director
 - Other students and faculty as proposed by Alliant and approved by SPCA

Phase III

After completion of the audit and hiring of the HR Manager/Director, definite planned actions must be taken to use the information learned to further improve the SPCA organization, including human resource, employee, leadership and organization development strategy and initiatives. Repeating the survey

annually with adjustments made to the survey as new information and understanding informs new stages of development is highly recommended. Such a practice can be a stimulus and can help guide continuous learning and improvement, and serve as a measure of improvement. Additional work in Phase III could also include assistance developing key human resource systems, such as performance management, compensation, recruitment and selection, and the safety program, while also providing mentoring and guiding professional development of the new HR Manager/Director.

Contractual Terms and Conditions

It will be understood and agreed that Alliant student and faculty time is pro-bono in exchange for learning opportunities and the ability to publish information on these initiatives in professional journal articles, books and/or to present information at professional meetings in the field of human resources/organization development, with confidences respected as requested by the SPCA.

Expenses of performing the work for the client SPCA will be borne by the SPCA with prior approval of the Director.

The SPCA will assume all responsibility for employment practices liability and will hold Alliant, its faculty and students harmless and defend them should any claim be made against them relating to this work with the SPCA.

Modifications to this plan and agreement may be made by agreement between the SPCA and Alliant, with administrative responsibility for such changes vested in the PCSPCA Executive Director and MGSM Program Director, after discussion with Bill.

Either the SPCA or Alliant may terminate the agreement and initiative at any time at a face-to-face conference where the reasons for termination are openly discussed.

APPENDIX G
PETLAND COUNTY SPCA EMPLOYEE CONFIDENTIAL
INTERVIEW QUESTIONS

Petland County SPCA Employee Confidential Interview Questions

1. What is it like to work here at the SPCA? How do you feel about the family atmosphere?
2. How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA:

Top management:

Middle management and supervisors:

General employees:

Board members:

Volunteers:
3. How clear are employee's roles and responsibilities, what they are expected to do and not do?
4. How well are employees being trained within the PCSPCA to do their jobs well, considering both new and continuing employees?
5. How would you describe teamwork at the SPCA:

Within your group or department?

Overall teamwork at the SPCA?
6. How clearly have the purpose and future direction of the PCSPCA been communicated?
7. How would you describe the SPCA's relationships within the community (with the People you serve)? How satisfied with the SPCA are people in the community (your customers)?
8. What are the PCSPCA 's greatest challenges for the present and future? What strengths does the SPCA have to meet those and other challenges? What most needs to be improved?
9. Can you tell me briefly about one of the high points you have experienced during your employment with the PCSPCA?

10. What do you think about the plan to add a Human Resources manager to the SPCA leadership? What would you expect or want from that person? How would it help the SPCA?

Other comments or ideas:

APPENDIX H
ANALYSIS OF PCSPCA CONFIDENTIAL INTERVIEWS

Petland County SPCA Employee Interview Content Analysis

(Note: "+" sign means positive response, no sign means neutral or mixed, and "-" sign means negative response, by topic)

No	Topic	% *	#	Questions and Characteristic Responses
1.1	What is it like to work here at the SPCA?			
1.1	Animals+	9%	4	Animals have always been a part of my life; work with animals; Big part is love of animals; Got to love animals.
1.1	Job+	27%	12	Wow, very rewarding. Love job; At end of day I feel good about it. Look forward to coming to work; Like no other job, great job; Good security, Interesting, every day is different; Amazing, constantly learning, very interesting, very rewarding.
1.1	Job	16%	7	Can be rewarding but also very stressful. Just so much stress; Can be happy, sad, confusing, annoying, Love job and hate at some times; Rewarding. Help people find animals. Frustrating. Get yelled at daily, but still rewarding no matter how tough; If we could stick to what we are here for, the animals, things would be good.
1.1	Job-	0%	0	(No employee interviewed said they absolutely disliked their job or working at the SPCA.)
1.1	Mission Service+	7%	3	Rewarding, not the pay – see animals get well, get homes, letters from people saying how well the animals are doing; I'm real committed to mission. One of first here, last to leave.
1.1	Mission Service	9%	4	Positive is when adopt out, down is when realizing we euthanized every day; Very emotional at times regarding animals put down, and very satisfying when we heal an animal, adopt out, so both positive and negative emotions. Feel good about the amount of spay and neutering, controlling animal population in the community.
1.1	Mission Service-	2%	1	But bad things have to do with euthanasia; Knowing animals are euthanized just due to space. I go home and cry. It is hard.
1.1	People+	16%	7	Relationships built are incredible; Get along well with everyone; Feel welcome; Like support from everyone, to learn to do the job; Everybody helpful to get what I need; Strong teamwork.
1.1	People	9%	4	People like each other, but a lot of gossip, little stuff.; Some are here only for paycheck, others here whenever needed, will volunteer to do extra work; Certain individuals that are team players, motivated. But ½ are not, and are hard to weed out because they are well liked.
1.1	People-	2%	1	Are issues with different people... now falling apart, due to people
1.1	Customers	4%	2	Get yelled at daily; In strays is harder than adoptions; Dealing with the public can be hard; though most are good.
1.2	How do you feel about the family atmosphere?			
1.2	Family +	31%	8	Enjoy and appreciate family atmosphere. Think it important to have since dealing with families regarding animals. Furry friends are family members too; Think everyone within reason gets along. Close to others, do things together as a family, internal and outside of work.; I'm comfortable with this; Employees like sisters and brothers, mostly get along fine, other times not; Pretty good family atmosphere. Care for one another, do sibling thing, but when someone ill or dies, we feel sad. We get together socially, like having brothers and sisters.

1.2	Family	42 %	11	Ya, pretty much people get along; Family literally or figuratively? It is OK for actual family members, but not in other ways. Small family respect is good, sometimes there is favoritism, not good; Lot of relatives. Good – know each other. Bad – because people treat relatives better. Was favoritism, better now; Hard feelings by some.
1.2	Family-	23 %	6	Like siblings at each other all the time; Prefer a professional atmosphere;. Some employees live, party and call in sick together; Dysfunctional, love them but it is a dysfunctional family; As one big happy family, don't see it.
1.2	Family No	4%	1	Generally good atmosphere but don't think a family atmosphere.
2.1	How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA: Top Management?			
2.1	Effective-ness+	11 %	6	Obviously doing job really well; He is the best, does best can do with what given, doesn't take any BS; He seems to hold it all together really well; I look to his experience for good judgment; Has brought the SPCA leaps and bounds; Delegates and organized; Like the vision that top management has completely, respect the values.
2.1	Effective-ness	4%	2	So So, meetings all the time, but wonder about outcomes; Does job fairly well.
2.1	Effective-ness-	6%	3	Would like to see more assertiveness when go to deal with a situation, instead of saying I'll take care of it; Sometimes when he is brought a problem it appears he does not know what is going on in the shelter. A lot that is needed does not get done.
2.1	Commitment Effort+	21 %	11	Loves this place; Is incredibly busy with a lot on his shoulders; He is doing more and more; Really busy with work; Busy; Know he is here a lot early in morning; He is completely committed.
2.1	Commitment Effort-	0		(No employees seemed to question the commitment or effort expended by top management)
2.1	Responsive-ness to Employees +	32 %	17	Willing to help, good; Always seems to listen and respond; Gets along fine with people; Pushes for everybody together, not leave anyone behind; Always there when need to get support; Great person, open door policy, awesome; Came to me on my first day, asked what I liked, if had any questions, gave information on the history, encouraged me to come see him as needed; Went to him with problems, he resolved; Very understanding for employees and their needs; Bends over backwards to help employees; Can go to with any problem I have, need equipment, what I need I get.
2.1	Responsive-ness to Employees -	8%	4	Should be more consideration of what employees have to say to make jobs better. More input from employees, and more consideration from management instead of just blowing it off; I talk to top management, but nothing is done, Have gone to Executive Director and nothing changes.
2.1	General Confidence +	9%	5	Would not trade for any other top management; Really like top management, really good; Decent fellow, nice; Like him, he is down to earth, communicates with employees, is friendly.
2.1	Don't know	9%	5	No idea; Really don't know what he does; Do not deal with much. Don't think bad, just wonder. Would like to know more.

2.2	How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA: Middle Management and Supervisors?			
2.2	Responsive -ness to Employees +	10 %	5	Supervisor is very willing to listen, help us resolve; Supervisors can take concerns we have to meeting; If a problem, always willing to help get it fixed; Tell you when doing something wrong. Give chance to fix, listen, get what needed; Went over everything needed, comfortable asking him questions. Is available when I need him, comes over if needed.
2.2	Responsive -ness to Employees	8%	4	Has a lot on shoulders. Deals with clashing people. Some think s/he is mean, but s/he is just being honest, not too critical, just doing job.
2.2	Responsive -ness to Employees -	6%	3	Others are hard to find and reach; Some are harsh and abrasive, need people skills; Non-responsive. They see a need, but do not take care of it well. Do not help employees.
2.2	Commit- ment Perfor- mance+	10 %	5	My supervisor is awesome. He is a part of a team; They take on multiple roles, have to jump in and do work, deal with angry customers; Do have some real good supervisors - they work to simplify, get done right. Good training. My supervisor, great. Cannot say anything bad about him. Makes people feel good; Most here long time, dedicated. No complaints if doing what supposed to.
2.2	Commit- ment Perfor- mance	17 %	8	Ups and downs, all around good people, but at times in my opinion they do not handle things correctly; Some, a couple very good, and some don't do anything about what you tell them is needed; Pretty good. Try to be as creative and consistent as can, stay on top of things. (See also consistency)
2.2	Commit- ment Perfor- mance-	6%	3	Other supervisors play on the internet, get involved with politics; Some have very low commitment, concern just for own needs, some could be higher commitment, don't put forward 100%; ___ supervisors need more hands-on supervision, they over delegate, especially to new employees; ___ a good supervisor to a certain extent, but the way he asks, not proper to ask or tell someone, people quit over it. Based on what is happening in personal life. Know when something bothering based on how acts, how treats people.
2.2	Consis- tency+	2%	1	As supervisors/managers, we scramble to do the best we can to help keep things out of Executive Director's hair.
	Consis- tency	8%	4	They are different; It varies how we each handle people problems.
2.2	Consis- tency-	15 %	7	Some, a couple very good, and some don't do anything about what you tell them is needed; Some are better on some things than others and vv. Depends on who you are, as each has favorites; So, good ones and not so good ones. The other ___ are wishy washy, depending on their mood for day. Sometimes good, sometimes not. Wish they were more consistent regarding issues important to me; Some show favoritism, which I frown on; But how sides (shelters) are run, like night and day. Other manager perpetuating stone age, employees not working, kennels not clean, kids on eternal breaks. Big inconsistencies, two sides going different ways, not how it is supposed to be; Some supervisors do well, are there for employees, and one does not do, pawns off on another employee.

2.2	Conflict Among-	4%	2	Other supervisors do not communicate with each other; Has been a sense of competition between ___ and ___, at each other.
2.2	Change+	4%	2	Executive Director and all supervisors, better communication now, improved. Will take time, has come a long way in short time. Need more strides, difficult to change something that has been that way for a long time; Better communication, having regular meetings helps.
2.2	Roles & Responsibilities	2%	1	Need to do better, relaying to staff and informing them of their roles and responsibilities, holding them to higher levels of expectations.
2.2	Training	2%	1	None of us have been trained in how to supervise and manage.
2.2	No opinion	4%	2	Not much contact
2.3	How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA: <u>General Employees?</u>			
2.3	Commitment+	7%	3	Most are here because they want to be; not because of money, as it does not pay much. Are here because they love animals, if not they leave; A hard job, I admire them. To be everything for the animals.
2.3	Commitment	19%	8	Many do care, however they also get frustrated, so their attitude changes, or they leave. About half care, the other half are there just for a paycheck; Some long term, been here for a long time, are dedicated to animals, then others who could care less; Many, about 20% don't care; Mixed bag, some here for right reasons, others can't get a job doing anything else.
2.3	Commitment-	2%	1	A good portion are there for check, and do not care about the animals.
2.3	Performance+	9%	4	A few are excellent, go above and beyond. And pick up slack for those who don't; Overall, are the best employees we have had ever; 90% of time extremely awesome, dedicated to shelter and goals.
2.3	Performance	19%	8	Some are more slack than others; Handful do only what have to for pay check; are some who shouldn't be here, can't get paperwork right, jams things and they don't run smooth;.
	Performance-	5%	2	Management is too lenient. Some employees just walk around, tend not to do their job, are there just to get paid. About 80% don't care. Especially in kennels, just standing around, complaining, not working; Problem of some employees taking credit where not due and badmouthing to public, misinformation.
2.3	Inconsistency-	5%	2	Two sides, available and stray side, one better than the other side, i.e. available better, is a matter of leadership; Management inconsistency impacts employees.
2.3	Absences Discipline Standards-	5%	2	Look at record – 20 sick days. People call in sick, other people get frustrated and quit. Can solve, Need rules – 3 days without Dr. excuse, terminated. Have to break cycle of taking 6 extra days call in absence, another 6 days of vacation. System is broken. No standard, if a system that allows, people will abuse. Think majority of employees would respond to higher expectations and standards.
2.3	Inter-personal Group Relationships+	7%	3	Almost anyone and everyone willing to help if needed; Get along with every body; I get along with every single employee here. Talk with off work hours. Really good people,

2.3	Intergroup Relationships-	14 %	6	Some don't care, and are only interested in their area, won't help others; Feel we still have a big split. Communication between groups needs to be better; Are a lot of rumors that fly around; Employees talk about each other, complain they don't do anything;
2.3	Quality Qualifications-	5%	2	Could be low starting wages, many are not qualified to be here. Need quality to avoid getting hurt or causing a lawsuit. Lot of unqualified people in the field, the organization is desperate so picks them up anywhere
2.3	Training	2%	1	When they know their work, good. But when they don't know, are not trained fully, it makes it harder on everyone else.
2.3	No opinion	2%	1	Don't get to associate with them much.
2.4	How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA: Board Members?			
2.4	Confident	24 %	7	Appreciate very much. Hope for more involvement; Know some well, been around a long time. Make good decisions; Committed, gratis work for them. Have made exceptionally good changes, more needed. We have to work with the board. They do a great job.
2.4	Mixed Confidence	21 %	6	Met a few, are friendly, open, mindful, but not really know what goes on; The board is not getting employees all the tools they need to make their jobs easier (tools meant generally, such as leadership, working conditions, training); Have improved benefits for employees. Appear committed. Question if they know their role. Can improve commitment to animals and employees. Hard working new board members, but just don't pull together enough, can't get by distractions. Some ideas good, others not forward thinking enough. Some but heads with Executive Director, and then they meet in the middle. Are investing in SPCA.
2.4	Not Confident	3%	1	Not involved, many do not even try, do not own a pet, should they volunteer to be on the board? Not active enough, may care, should be at shelter.
2.4	Don't Know	48 %	14	No opinion; Don't hear much about; Not met any or know their purpose. What they do; Not much exposure other than Christmas party and other functions, so cannot say too much; Don't see a lot except one, she does a lot. Lot of employees don't know.
2.4	Respect Ex. Dir. Role	3%	1	I go through Executive Director, to deal with items that need to go to the board.
2.5	How would you describe the people who work at the SPCA, their roles, responsibilities, how well they do their jobs, and their level of commitment to the SPCA: Volunteers?			
2.5	Appreciate	47 %	16	All volunteers are excellent; Great, ya its great, anyone who volunteers without pay is a wonderful person. They are constantly on the go; The more the better; Got to love them for helping out; They support and help us, really appreciate them; Are awesome, help us a lot, saves us hours. Gives animals more attention than we can; Are amazing, so much help; Lot that go above and beyond.

2.5	Mixed	21 %	7	Sometimes volunteers not old enough; Volunteer supervisor needs to be here on a daily basis. We need more supervision of volunteers; But harder to use on our side with aggressive animals, too risky; Have few volunteers in area, but some it feels like baby sitting to protect around hazards. Some are helpful, and some a hindrance.
2.5	Strong Program	6%	2	Volunteer coordinator does a good job of explaining, so they know what to expect; Long list of volunteers; Solid program results; Volunteer Coordinator excellent +++.
2.5	Employee Children	9%	3	Have some issues of volunteers not being supervised, especially employees having children here. There are issues of young kids here without supervision whose parents are employees. Kids not working, playing; a lot who are seasonal-summer, children of employees, do a lot of playing around.
2.5	No Opinion	9%	3	No volunteers in strays.
2.5	Better than Employees	6%	2	Situation is reversed, volunteers who work hard and employees who hardly work, just a job; Some are better than employees.
2.5	Treat Better	3%	1	Employees need to treat them better, with more respect.
3.0	How clear are employee's roles and responsibilities, what they are expected to do and not do?			
3.0	Clear	30 %	12	I'm given clear expectations, pretty clear. I know and if I don't know, feel free to ask. All are given policies and procedures when they start out, only management can change, pretty clear-cut. I set expectations for staff; "Crystal Clear." Unless there is something new, then we are informed ASAP. It is clear; there are no excuses.
3.0	Mixed	25 %	10	Very clear, but not understood; A lot of employees know what they are supposed to do and do it, some do not; Clearer than were before, but still room for improvement; To me they seem very clear. Others see gray, or make their own; Use daily log sheets.
3.0	Unclear	13 %	5	On a 1 to 10, in a 4. Not real clear, From managers, clean, food and water. Others, everyone wants it done a different way. It would be easier if there were a uniform way of doing each job.
3.0	Not Followed	10 %	4	A lot of it is that they just don't care.
3.0	Inconsistencies	23 %	9	It depends on supervisor; One person is constantly late, comes in whenever wants, makes us mad, we would get written up; We make very clear, but if never written up or reprimanded, no consequence, will just keep doing whatever they want or not.
4.0	How well are employees being trained within the PCSPCA to do their jobs well, considering both new and continuing employees?			
4.0	Sufficient Training	25 %	1	Employees trained by other employees, newer by more experienced employees, not by manager. But trained quite well. Seems newer employees train better than longer service employees.
4.0	Mixed	25 %	1	Comes to a split, in certain areas much better than every before, in some areas, lack of training.
4.0	Insufficient Training	50 %	2	Don't think we get enough, most of us get OJT, can be dangerous, not enough training; Not trained as well as should be.

4.1	New Employees Sufficient	25 %	8	Have trained many. Observe, answer questions, tell them right way, not see others train, but get job done; I have been trained for a week with others, then was able to go on my own. Most of it was OJT. It depends on the individual; All were helpful, wanting me to not get hurt by an animal; Presently, really good. When first started, showed only part of the job.
4.1	New Employees Mixed	25 %	9	The way I was trained was good. But some of the new employees are not trained as good, instead of helping them, people yell at them. It is hard to work under those conditions; Front desk and kennel staff, are trained well, but when new drivers are hired, shown few things, then sent out without sufficient training; Hospital, do one-on-one. Prefer 1 month of training, but get 1 to 2 weeks; works for most; Not enough. Need a week. They don't get that; Depends on who does training. If someone new doing training of someone new, like the blind leading the blind.
4.1	New Employees Insufficient	50 %	6	More training needed. Graveyard was really fast, went with other employee one week, thru me on graveyards. Had to figure out by myself; New employees are just thrown in, maybe trained for a day; They need more adequate training; New employees are not well trained, not trained enough to prevent infection, not on order of cleaning and not touching ill animals then well.
4.2	Individuals	35 %	1	People who stuck with it, got it, and stayed.
4.2	Continuing Employees Mixed	39 %	3	There is not enough on diseases. Front desk training is good. But shelter, questionable. Dr. ___ tried to promote disease training/awareness, but kennel supervisors were not responsive. We learn every day here, go for continuing education credits. Need to offer further, sometimes become stagnant, nothing new. However, usually things new, and whoever goes shares with the others.
4.2	Continuing Employees Insufficient	26 %	6	People work their way up, are good at what they do, make supervisor, but have had no training on how to manage; Room for improvement; Would like to keep skills up better. Reps have conferences in various subjects; would like to go to.
5.1	How would you describe teamwork at the SPCA: Within your group or department?			
5.1	Good	76 %	19	120%, excellent. When person had a problem in community with dogs, ten of us showed up in 5 minutes, and got all the dogs. (Proud of that response); We work well within our group; Our team, good, all there to help each other; Partner jumps right in, taking what I cannot handle; Good, really good, great; Our department, teamwork is really good. If someone calls in sick, help out, be there for each other. When call for help, respond; Our department, really good. Got teamwork down. When person needs help, on break, we jump in.

5.1	Mixed	8%	2	It depends on which employees, some help others, some do not. When the end of the day comes, people who are done clock out, and do not offer to help others; We pull together when it comes to the nitty-gritty, get done what is needed, grumble but it gets done.
5.1	Poor	16%	4	Poor – 3 of us on team, have new person and supervisor not an actual team player; Seems sub-groups are against each other: surgery, desk, pharmacy, it is slim to none; Lot of butting of heads, not accepting new things, but once over the turmoil is OK. Like three sections, reception, pharmacy, surgery, surgery works well but helping across sub-units is not welcomed. We are criticized for leaving our post, instead of appreciating being helpful; Don't see teamwork in hospital. Have a couple of team players, but the rest stay in their area; don't go outside it. Surgery people get "big heads" and do not help others.
5.2	How would you describe teamwork at the SPCA: Overall teamwork at the SPCA?			
5.2	Good	30%	6	Pretty strong, we pull together and get it done. Have staff that care, not just a job; Drivers do excellent job in community. Get out what put in; When a load of animal food came in, all jumped in to help unload; Lot of people who are friends, work better with others, best among friends; Good, really good to great working with each other.
5.2	Mixed	35%	7	So, so, depends on who working with; OK, could be better but OK; Hit and miss, think we work well at times, don't at other times; Hear stuff, problems, but people seem to solve; They have regular meetings on conflict to get resolved. We have to meet to work out problems; Think it is better than other organizations. Depending on circumstances, we pull together in a crisis, but otherwise, want only to focus on their own job; They have theirs and we have ours.
5.2	Poor	35%	7	Room for improvement – plenty of room, is much needed; There are clicks in the kennel staff, act like a 4 th grade crowd. People who do not like some, don't provide training, support. Some report, some don't. If we could get new people to stay longer, will be fine. Lot of new people find it hard to take; Needs improvement. Kennel staff do not understand the drivers responsibilities. Consequently, they are not as likely to help as other drivers; Always seems to be a rivalry between sides, feel each does better job than the other. Lot of drama, like high school. People not liking each other.
6	How clearly have the purpose and future direction of the PCSPCA been communicated?			
6	Clear	50%	14	Definitely clear; Here for animals, not about us. That is made clear; How we have grown. Can come in and study history, how new laws affect all of us. Why expanding. Three new building in years I have been here; Have stated directive, eventually become "no kill" shelter; Crystal clear, save as many as can, spay and neuter.

6	Somewhat Clear	43 %	12	Fair to OK. Lot of education on future progress, things happening to help the organization; Try to instill in employees what we want, regarding changes, how change, future direction, get on board – or not; We are reminded of purpose and why we are here, but not much on further plans. We get information on new laws; Purpose yes, but future direction, don't think communicated enough, no.
6	Not Real Clear	7%	2	Question if there is a long-term plan; Not that great, could be better Need to communicate a little more with employees. Supervisors should share more with employees. More on bulletin boards to read, about programs, strategy; newsletter, could do more.
7.0	How would you describe the SPCA's relationships within the community (with the People you serve)? How satisfied with the SPCA are people in the community (your customers)?			
7.0	Good	38 %	11	Vastly improved; as teamwork keeps expanding, extended to community, are turning around will come. It is good to hear positive feedback. Leaps and bounds in short time; Excellent, we do our best on PR, is really good. We really try to go out in public, education department, officers.
7.0	Mixed	52 %	15	Fairly decent relationship, I think, but I deal with them if they have a beef. We do get positive feedback, thanks. Public expectations are not always realistic on response time. We deal with public and customer concerns. They are more confrontive at the stray building than at the front desk. Some pretty satisfied, others start yelling at us when they see us; don't like us.
7.0	Poor	10 %	3	Most don't know we are here. The community is fairly uneducated. Not enough programs for low income people who cannot do what they should for their animals. Community not highly satisfied, we turn away a lot of stuff – only one vet during the week; This is very hard on some employees, lack of response from public .
8.1	What are the PCSPCA 's greatest challenges for the present and future?			
8.1	Public Education	45 %	12	People do not understand what we do. Protection and control; Public relations, education. Letting people know that we are here to help them and improve the situation; Getting people educated regarding spay and neutering, tagging, micro-chipping, ID.
8.1	Employee & Team Development and Performance	33 %	9	People's attitudes, being lax at times. Also relates to being here, attendance. Training supervisors; Getting everyone on the same page; do the job the same way. Try to satisfy everybody, to improve upon our abilities. Make our employees better to serve the community better; Getting current employees to do their job, and finding better employees; Are better ways of dealing with stress than smoking and drinking; Getting rid of separation, buildings, department, needs to be one entire team, on same page, know goals.

8.1	Control Animal Population through Expanded Services	22 %	6	SPCA is moving. No such thing as “no kill” but we are trying to move from “high kill” to “no kill” shelter; Continually growing population, so more animals, need more kennels, more drives. Leash law, so more activity; Reducing population of unwanted animals; Effective animal control by dealing with repeat offenders; Keeping animals contained; Leash law. Keeping up with growth in the community; Biggest challenge is that we cannot screen for adoptions to make sure animals are going to good homes.
8.2	What strengths does the SPCA have to meet those and other challenges?			
8.2	Success with Existing Programs and Services	24 %	5	Have a lot that is working; We have come a long way, with leash law, more drivers; Open 24-7. Whenever people need, can bring in animals; Off site adoptions, our image re people not look at us as just the pound. Simply being diligent in what we are doing; Communicating with total community, for example, communicating with the Hispanic community, asking for help.
8.2	Employees, Teams	48 %	10	Communication and teamwork. We have it, just needs to get better; Now have more people in positions that will facilitate teamwork and collaboration, efforts to improve; People are our strength; Individual people here, relate to customers, all add as customers spread word of mouth; No racism, acceptance of cultural differences; Most people here like what they do, so when a lot of work, they work harder.
8.2	Public Education & Visibility	19 %	4	Been on TV. Dog and cat of week. Good to tell public of consequences of not doing spay and neutering; Excellent education programs. – start with kids. Mobile unit; Spay and neuter program, including help for low income. On TV to make public aware. Our positive relationship with rescue organizations; In last year, better education department and more dedicated volunteers.
8.2	Strong Leadership with a Vision	10 %	2	Board and Executive Director have a direction. The board is following recommendations, such as your (consultant’s) involvement; Some strong leaders.
8.3	What most needs to be improved?			
8.3	Change through Employee, Team, and Leadership Development	64 %	21	Teamwork, have to have with all. All come together as one, not just their section. People are very intelligent, if given guidelines, can do as supposed to be done; Better compensation - Changes to be better prepared for challenges, ability to adopt needed changes; How we tell customers what goes on. We take a lot from people, need to learn how to handle, have to be polite, cannot tell how feel, respect public; Stronger leadership, and consequences for not leading. Improve employee work ethic and morale; End favoritism. Some supervisors favor people who do not do their job, based on friendships; Personnel’s attitudes about their jobs, responsibility, and fellow employees. Time management. Yes, now have 90 people, however not if not all here, both literally and figuratively. Need to break the cycle of apathy, give change a chance, get on board; All employees need to step up to the plate, do things better. <i>Offered an idea, have the good people pick the new hires.</i>
8.3	Public Relations Education	24 %	8	More events to win hearts of public to save animals, will help also bring in money. It is a cycle; Public education is a priority, on all aspects of what we do, protection and control; Lot more programs. More with kids, they will get to parents.

8.3	Improved Expanded Services	6%	2	More spay, neuter, vaccination; We are improving daily, try new things, work to keep up, use continual improvement. We will advance and do what is needed.
8.3	Funding	6%	2	Money. For us to operate the way needed, need more funding; County no fee, city yes
9	Can you tell me briefly about one of the high points you have experienced during your employment with the PCSPCA?			
9	Adoption and Reunite Animal with Family	38%	6	That's easy; having children come in with good support of parents, to pick up or retrieve a dog. Seeing the expressions of the child, warms my heart; Being able to help all animals, knowing they are getting good homes, see every day; We get a lot of high points. For example, the story of Mr. Jingles in the newsletter article. There are lots of positive stories; Old cat, at risk of being euthanized, adopted by two elderly women; Re-uniting a woman with her cat after an extended period of time.
9	Healed	13%	2	When we get an abused or neglected animal back to health and find them a home through adoption; Helping injured strays – injured and not reclaimed, for example a broken leg, fire burned, fixing up and finding a home
9	Advocate/Protect	13%	2	Investigation and prosecutions; Convicted a repeat animal abuser. Can no longer own horses or dogs. They were living in poor conditions and starving.
9	Public Promotion	6%	1	Latest speaking before chamber of commerce, seeing eyes lit up, sharing goals for future, improvements, feedback from people, recognize and apparent improvement in image.
9	People here	6%	1	And working with people I do, love to work with them
9	Trained Socialized	6%	1	Take dogs to training yard and develop adoptability. One in particular, the fence job, dog that would not interact with other dogs, but when took time to introduce to their dog, no high pressure, dog got adopted.
9	Rescue	6%	1	Animal rescues. Done almost everything, rescue from canal, trees, horses, cows out of wells, etc
9	Recognition	6%	1	Awards and stuff I have received are nice. But was just doing my job. Two awards.
9	Team Response	6%	1	The call a few days ago, lady was being mauled, we all responded right now, city call but we all responded.
Note: The above is a sample, most everyone had a story or favorite aspect of their work life.				
10	What do you think about the plan to add a Human Resources manager to the SPCA leadership? What would you expect or want from that person? How would it help the SPCA? (See Graphs)			
Other comments or ideas:				
	Drug Testing	13%	2	Need to drug test. People here who use drugs, affects job performance. It is a problem here. People come in late, are absent, show up wasted; One thing should do is drug testing employees.
	Optimistic about future	19%	3	Everything now is on track. I enjoy working here, great; Excited about future; PCSPCA can be the best organization in the valley, with proper tools and proper personnel.
	Concern about climate.	6%	1	Sometimes don't know who is in charge, complicated by family relations. We have a lot of people leave in the first six months; lose a lot of possibly good employees because of the tension and conflict.

	Concern about pay and benefits and new building.	13 %	2	Are benefits inequities, benefits not kept up. Have to pay for family health care. No match on 401k. More consistency needed and equity with wages and benefits with city and county. Invest in people, not building, new offices. Question value of new building; Pay inequities – new people come in same as long service. Pay needs to be better. Benefits need to be better.
	Need more volunteers	6%	1	Need more volunteers for animal exercise.
	Good Job and Organization	31 %	5	Great organization, tremendous potential, keep going in direction headed; Good place to work, good for me, really can't complain, been really good to me. Love it, good place to work. A lot of people with their hearts in the right place, who believe in what doing; Good pay, benefits, holidays, but a lot of inner problems;
	Frustration with public	6%	1	Educating the public. Leash law does not prosecute, stopping violations is hard. Having to deal with people abusing animals is a challenge. So many are not fixed, are being abused or neglected.
	Regarding HR	6%	1	Got to have an ear to listen, shoulder to cry on. Seek help through professional advice, not just vent. A college degreed professional. Think HR would downshift problems, help everyone do better job.

** % is that portion of responses to each question, or sub-question, thus topic responses/total responses for the question or sub-question.*

APPENDIX I

PCSPCA OUTLINE OF EMPLOYEE FEEDBACK MEETING PRESENTATION

SPCA Employee Survey

Survey Process

- Confidential Interviews
- Content Analysis of Interviews
- Customized Survey Development
- Administer Survey
- Tabulate & Analyze Survey Responses
- Feedback Survey Information
- Action Planning and Implementation

Interviews Key Points

- Strong employee identity with and commitment to the mission of SPCA
- Strong confidence in the Executive Director
- Concern about community understanding of SPCA mission and services, though improving through visibility, outreach and education
- Concern about internal relationships, intergroup conflict, inconsistency, distrust and the rumor mill

PCSPCA Mission: Our MISSION is to Prevent Cruelty to Animals and Promote the Quality of Life of all Creatures through Rescue, Protection, Placement, Education, Leadership and Good Example.

Sample Questions & Responses (per survey sample question and response design)

Gap & Improvement Scores

- By asking how you see things **Now**, and how you would **Like** them to be

- Gap scores are calculated as the difference between Like and Now (i.e., $L - N = \text{Gap}$)
- And also asking how things have Been in the past gives an improvement score (i.e., $N - B = \text{Improvement}$)

Data Graphs

SPCA Strengths

- Employee identity with mission
- Strong employee commitment to remaining at SPCA
- Strong confidence in Executive Director
- Feeling that things have improved and continue to improve in SPCA effectiveness and community confidence, as well as internal management, with desire for further improvement

Improvement Opportunities

- Interpersonal and interdepartmental communication, problem solving, trust and teamwork (curtail the rumor mill at last)
- Link pay to performance/employee value
- Improve quality and training of new-hires
- Provide quality HR services to SPCA employees and organization

Interesting Contradictions

- While many of you expressed the feeling that there are a lot of employees at the SPCA who just don't care and are not committed, I really didn't see that in the interviews or survey responses, in fact, I saw a wide majority who do care and are committed.
- While the wide majority of you seem bothered by the rumor mill, if next to no one were participating in

it, there wouldn't be much of a rumor mill.

More Contradictions

- While the survey and interviews show that you are uncomfortable with the extent of interdepartmental conflict and see it as unhealthy for the SPCA, it continues to go on.
- While many of you appreciate the family atmosphere and feel it has good aspects, many of you also reported bad aspects, some calling it a "dysfunctional family," sometimes involving "love-hate" relationships.

Consultant Recommendations

- Develop SPCA Organization
- Cultural Intervention with high employee involvement and responsibility for improvement including:
 - Conflict management
 - Interdepartmental teambuilding (Total SPCA)
 - Trust
- Provide Leadership Consultation and Coaching
- Repeat Survey in 1 to 2 years
- Training and Development
 - Supervisor Development
 - Performance Management
 - New Employee Training
 - Other Training based on Needs Assessment
- Questions, Comments

APPENDIX J

DIVERGENT CULTURAL ASSUMPTIONS FOR URDI

URDI Divergent Cultural Assumptions

Executive Director's Assumptions:

1. The research staff were not motivated to change what they were doing, to adapt what they knew and could do to marketable commercial applications, nor were they motivated to get out and sell it.
2. The way to get the work out into the market was to expedite selling it, to strong sell the ability to do things that were underdeveloped, then adapt it once sold.
3. The time horizon was short and fast.
4. The more people worked at selling as many ideas to as many potential clients as they could, the better their "kill" (of landed contracts) would be. This became what the research staff called a "shot gun" approach to marketing, which they abhorred as a waste of valuable time, resources, and their reputations.
5. Quality of the current work for the feds was not important as it eventually was going away, and it was OK to be creative in project management and cost allocation in order to spend the time on other work for which they were not yet being paid. A cartoon about creative accounting being the secret to financial success in R& D was passed around as validation of this concept.
6. Command and control leadership and tight administrative controls and procedures would allow him to force them to do what he determined was needed.
7. Because the administrative staff were loyal to him and the research staff were not, it was OK to have a double standard in terms of work ethic, adaptability to change, and accountability. Complaints about administrative bureaucracy and excess administrative burden were only excuses for not doing what was expected.

Research Staff Assumptions:

1. Those researchers who chose to stay after defederalization, and those new who joined the organization thereafter were attracted to the unique challenge. They were motivated to make a success of the institute by supporting whatever changes were necessary

in the work performed, how it was done, and how they would market it, which they felt best suited to determine with competent marketing help, but not dominance.

2. The best way to get the work out was to carefully adapt what they had done for years and were good at to commercial applications through applied R & D. This approach would allow them to confidently and credibly market it through their networks, with technically competent marketing help.
3. Marketing needed to be focused on work they had the present or strong potential capability of doing well, not everything and anything that superficially seemed related or in demand. Using their own analogy, as well as some of their favorite sport, it needed to be based on careful aim of a long distance rifle (probably 350 to 500 yards) not shotgun at close range.
4. Maintaining the quality of existing work was a necessary bridge to quality and marketable new applied work, as well as maintaining the confidence of current federal customers, who would not go away, but would transition with URDI in partnerships with industry.
5. The time horizon was not short, but rather medium to long, given the nature of research; and given the nature of the federal funding agreement, there was time built in by design.
6. Intentionally charging to one client's account while working on another's, was unethical and a violation of trust with existing customers, as well as a contract violation, if not fraud.
7. If the executive director wanted to support researchers in creating new opportunities, why didn't he cut the excessive administrative bureaucracy; after all, the Institute was not the federal government any longer. Administrators kept researchers bogged down with unnecessary paperwork, ate up budget creating unnecessary procedures and reports, and wasted funding driving up already high overhead rates to support indirect functions that were not contributing to the research. High overhead expense was cutting into the money available to do good research, and making the Institute unattractive to prospective clients.

APPENDIX K
ASSESSMENT AND INTERVENTION METHODS
APPLIED IN DIVERSE ORGANIZATIONAL SETTINGS

MULTIPLE HRM-HRD-OD INTERVENTIONS IN DIVERSE ORGANIZATIONS

Organization Type	Manufacturing Firm	R & D - Environmental Services	K - 12 Education	State Government	Financial Services	Community Service	Family System
Intervention							
OD-Process Consultation	1	1*	3*	9	1	2*	1
OD-Executive Coaching	1	1*	3*	2	1	2*	
OD-Confidential Interview-Feedback	1	1*	4*		1	2*	1
OD-Survey Guided Development	1	1*	1*		1	1*	1
OD-Strategic Planning		1*		10	1	1	
OD-Third Party Interventions	1	1*	1*	1	1	1	1
HR-LR-OD-Interest-Based Bargaining	1		1*				
OD-Brainstorming NG Technique			1*	10	1		
OD-Group Teambuilding	2	1*	3*	3	1	1	1
OD-Facilitated Dialogue	1	1*	3*	10	1	2	1
OD-Large Group Interventions			1	3	1		
OD-Structural Interventions	1	1*	3*	1		2	
HR-Performance Management	2	1*			1		
HR-Reward-Incentive Systems	1	1*			1		
HR-OD-LR-Grievance Procedures	1	1*	1*				
HR-OD Focus Groups	2	1*	2		1		
HR-OD-LR Employee Involvement Program	2		3*		1		
HRD-Training & Development	1	2*	2*		1		
HRD-Career Development		1*			1		
HR-Employee Assistance Program	2		1		1		
HR-Strategic Recruiting Systems		1*	1*		1	2*	
HR-HR & Diversity Policy Development	2	2*	1		1		

Note: the entry in the cell indicates the number of organizations where interventions of that type were used in each organization type. An * denotes interventions that occurred in the in-depth cases studied.

APPENDIX L

COMPARISON OF OD WITH HRM-HRD-OD SUCCESS RATES

Comparison of Van Lente Associates HRM-HRD-OD Success Rates with Golembiewski OD Success Rates (1990, 2001) Survey N = 574					
	Public Sector		Business Sector		Non-profit Sector
Success Category	Survey	VLA N = 14	Survey	VLA N = 4	VLA N = 3
Highly positive and intended effects	41%	93%	40%	75%	67%
Definite balance of positive and intended effects	43%	7%	49%	25%	33%
No appreciable effects	7%		5%		
Negative effects	9%		6%		
Subtotal Positive	84%	100%	89%	100%	100%

Definitions of Success Rates

- *Highly positive and intended effects* on the efficacy and effectiveness of some relatively discrete system, as in improving the ability of individuals to hear one another, without distortion, or in reducing the degree of hostility between conflicting actors or units;
- *Definite balance of positive and intended effects*, defined in terms of mixed but generally favorable effects - e.g., most but not all intended effects are achieved on a number of variables, or major positive effects occur in one system, while some negative but not counterbalancing effects occur in another system;
- *No appreciable effect*:
- *Negative effects*, or a case in which substantial reductions occur in the efficiency and effectiveness of some subsystem or of some broader system of which it is a part. (Golembiewski, 1990, p. 22)

APPENDIX M
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The article is also on the NAEN website:

<http://www.naen.org/CB%20Systems/The%20Life%20Cycle%20of%20Labor%20Management%20Relations.pdf>

Let me know if you need anything else.

Ron

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