

CHANGE, CHANGE, CHANGE: A STUDY OF LEADERSHIP'S ROLE IN CHANGING
AN ORGANIZATION'S CULTURE

by

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A DISSERTATION PROPOSAL

by

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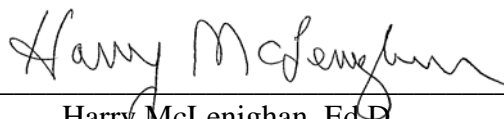
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Abstract

Transformation (pseudonym for the organization being studied, a U.S. market leader in pediatric nutritionals and a world leader in adult nutritionals) was experiencing rapid rates of change, thus providing a fertile ground for a heuristic, descriptive, ethnographic case study exploring leadership's role in changing the culture of the organization. Using a case study format with a mixed methods approach, this research study examined the relationships between leadership, culture, and change. The research questions were grounded in the literature of leadership, organizational culture, and planned change. Research results consisted of: (a) the internal and external forces driving organizational changes, (b) the unanticipated consequences of the change process, (c) the extent to which senior leadership influenced or managed the organizational change, (d) the impact of shifting from a science-based research company to a consumer packaged goods company, (e) how the practices at Transformation compared with the "best practices for change" as identified in the literature, and (e) what could be learned from this study about leadership, culture, and change.

Dedication

This dissertation would not have been possible without the support, encouragement, and love of my family! I'd like to thank my dad, Richard A. Bonheim, as the journey would not have been possible without the lessons in life that he taught me at an early age. One memorable lesson that has guided my life has been the reason that pencils have erasers. One is expected to make mistakes and it is okay to do so with one small nuance—as long as one doesn't make the same mistakes. This philosophy has stood me well over the years as it has resulted in the removal of fear of failure that appears to be suffered by so many. I knew that if something didn't turn out as expected that not only could it be fixed, but I could also learn from it.

I'd also like to thank my parents jointly, Dick and Terri, for raising me with a solid work ethic and the belief that I could achieve anything that I set my mind to and that the sky was the limit—this was of course before man made it to the moon. As a result of this belief I have a strong mind and have been able to achieve things that I might not have been able to do if this principle hadn't framed my perspective on life.

Finally, thanks must also go to my partner, Will Webb, who has supported me through this lengthy process by accepting the fact that early on I seemed to always be working on assignments; for his understanding that vacation time for the first 2 years of the program was spent attending either residencies or completing my comprehensives; followed by the fact that the past 10 months have been an endless journey towards the completion of this dissertation that

he has ensured that I maintained focus upon by asking his proverbial question, “Don’t you have school work to do?”, which then morphed into “Haven’t you finished that yet?”

Acknowledgments

I'd like to take this opportunity to thank my dissertation committee consisting of Dr. Jamie Barron, Dr. Lois Bartelme, and my mentor, Dr. Michael McGivern, for their continuing support as I navigated through the stages of this dissertation. Specifically I'd like to thank Dr. Mike for his leadership of the dissertation process and resounding encouragement; Jamie for her unique perspective and APA expertise; and Lois for her attention to detail and innate ability to provide critical feedback by identifying when things could be said more concisely.

In addition, I'd be remiss if I didn't thank the senior leadership team at Transformation for graciously participating in this research process.

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CHAPTER 1. INTRODUCTION

Organizational change is a constant in the business world today and thus plays a significant role for organizational leadership and the field of Organizational Development (OD). On a daily basis, organizations find themselves having to modify or change their cultures due to mergers, acquisitions, a change in strategy, or even a change in leadership. Kotter and Heskett (1992) found that “Effective leaders changed strategies and cultures to make their firms more competitive despite the natural tendency of cultures to resist change, despite the large size and mature environments” (p. 89).

Introduction to the Problem

Organizational Background

The problem was more easily understood when one reviewed some background on the organization. The vision of Transformation (pseudonym for the organization being studied), a U.S. market leader in pediatric nutritionals and a world leader in adult nutritionals, is to be the worldwide leader in providing superior and trusted nutritional products and related healthcare products that advance the quality of life for people.

For Transformation, science has been the core of its business. Transformation’s commitment to excellence has made it one of the world’s most respected names for nutritional and related healthcare products. As described last year on Transformation’s web site, health care professionals, parents, and health-conscious adults continue to look to Transformation for quality

products. Transformation's businesses include: adult nutrition, pediatric nutrition, healthy living, pharmaceuticals, metabolic products, and enteral devices.

Transformation traditionally operated with a silo mentality, where functional business areas maintain an internal focus, look out for their best interests, and do not communicate with the other functional business areas. This has prevented collaboration across the organization. Every department was essentially left alone to determine their own systems and processes, regardless of the impact upon the remainder of the organization. Science, thus Research & Development (R&D), ran the company and the prevailing philosophy was "build it and they will come."

In December of 2003, a new leader took over the helm of the organization.

Transformation's president stressed that while their silo mentality may have made the company successful in the past, it was detrimental to the company in recent years. The president identified that in order for the company to be successful today, significant change would be required; one of these changes was the removal of silos as well as that of the silo mentality. In mid-2004, the president, hoping to impact the current state, created three business units: pediatric, healthy living, and healthcare professional. Each of these business units consisted of teams of functional experts from every discipline. The decision surrounding reorganization has been supported in the literature. Companies today need to keep reinventing themselves, and the flexibility of a boundaryless organization is almost a prerequisite for that process. Traditional companies need to become more boundaryless to succeed in the new economy (Ashkenas, Ulrich, Jick, & Kerr, 2002, p. xxiii).

Traditional leadership approaches have not proven to be successful in the rapidly changing marketplace (Ashkenas et al., 2002; Conger, 1999; Northouse, 2004; Pascale, Millemann, & Gioja, 2000). Transformation's nontraditional president was in the early stages of transforming the company from a strictly research driven science-based company to one that leverages scientific and consumer packaged goods (CPG) expertise. "Linear information, linear thinking, and incremental strategies are no match for the turbulence of today's business climate" (Bennis & Nanus, 2003, p. 10). Transformation's president said, "We are going to grow this organization faster than it's grown in the past" (Matthews, 2005, pp. G1-G2). A consumer packaged goods company philosophy was in direct opposition to the company's old philosophy of "build it and they will come" because it required asking consumers what they wanted and then building it. Due to the need for functional experts, the president created another level of management immediately below him, the Executive Leadership Team, to more effectively lead the organization as it transformed itself. Along with this new leadership team, the organization went through various restructuring activities that resulted in the demise of some of the walls or silos. Senior leadership identified that silos were inhibiting organizational performance (e.g., lack of collaboration and sharing best practices). The removal of these silos was deemed critical to organizational success, as these silos were currently a barrier to many goals including speed-to-market, efficiencies in operations, sharing of best practices, and so forth. These various changes have also resulted in some of the company's previous leadership leaving the organization, as they chose not to or were unable to embrace the cultural shift.

The president encouraged the development of integrated or cross-functional teams and has fostered the creation of a collaborative environment that permitted these teams to be

successful. He has succeeded in laying the groundwork, but much work was needed to make this a reality. This cultural change included the new structures consisting of three business units working collaboratively, an integrated leadership team also working collaboratively, as well as a shift towards leveraging the consumer packaged goods expertise while at the same time leveraging the healthcare professional expertise. The desired culture was described by senior leadership as having the following cultural attributes: accountability, collaboration, passionate and winning spirit, innovation, and results-driven.

Gap Analysis

An organizational analysis revealed that there was a gap between desired performance and actual performance. Business results had been flat and this was no longer acceptable. More aggressive goals were set for the organization to achieve. This performance gap was a result of a combination of things including the organization's inability to meet sales and thus profitability goals due to a decrease in birthrates and an increase in mothers who breastfeed resulting in a smaller market; a decrease in Medicare/Medicaid reimbursements; and an increase in regulatory requirements, changes in state programs, and competition. This performance gap was what initially caused the organization to decide that a change in the way it conducted business was essential. The company's president said, "We have to be innovative. Each of our brands will have to have something new or different to survive in the marketplace" (Matthews, 2005, pp. G1-2). As these new organizational structures, systems, and acquisitions were launched, it became apparent that the culture had not yet embraced and supported these changes. It was business as unusual and employees just did not know how to behave in this new environment.

Statement of the Problem

Creswell (2003) stated that literature is used to frame the problem in an introduction to a study. Whereas there is a plethora of literature about organizational change and its effective implementation, research has indicated that up to 70% of change efforts do not yield the promised results. One can see how both a leader and his/her leadership team are critical for creating and sustaining a successful organization (Belasen, 2000; Bennis, 1959; Bennis & Nanus, 2003; Blanchard & Blanchard, 2005; Kotter & Heskett, 1992; Wheatley, 1998). “Organizational change is an ongoing challenge in all organizations” (Lange & Coltham, 2005, pp. 34–35).

Transformation was experiencing rapid rates of change, thus providing a fertile ground for a heuristic, descriptive, ethnographic case study exploring leadership’s role in changing the culture of the organization.

Wolcott (1994) wrote, “A researcher lacking a clear sense of purpose—the ability to set a problem—cannot narrow the research focus sufficiently to achieve any purpose at all” (p. 402). This study evaluated the impact that the new leadership team has had upon the organization. The problem to be addressed by this research was the relationships between contemporary leadership, organizational culture, and planned change. The transformation of an organization requires the transformation of the role of leaders (Ashkenas et al., 2002). “The new leader. . . is one who commits people to action, who converts followers into leaders, and who may convert leaders into agents of change”; this new leadership style is referred to as transformational leadership (Bennis & Nanus, 2003, p. 3).

Research Questions

“Leadership is what gives an organization its vision and its ability to translate that vision into a reality” (Bennis & Nanus, 2003, p. 19). This study evaluated the impact that Transformation’s new leadership team has had upon the organization. The following research questions were grounded in the literature of leadership, organizational culture, and planned change. This research looked at the following:

1. What were the internal and external forces driving organizational changes?
2. Were there any unanticipated consequences of the change process?
3. To what extent has senior leadership influenced or managed the organizational change?
4. What was the impact of shifting from a science-based research company to a consumer packaged goods company?
5. How did the practices at Transformation compare with the “best practices for change” as identified in the literature?
6. What can be learned from this study about leadership, culture and change?

Significance of the Study

Significance of the Need for Change to Transformation

Transformation, due to industry trends, needed to reassess its business and identified the need to change from a primarily research-driven science-based company to that of a consumer goods company. The organization identified a need to accelerate the growth of the business, as the current consistent 2% growth was no longer sufficient. The company wanted to adopt the following cultural attributes: innovation, adaptability, dynamic, energized, collaboration, and

risk-taking. There have been and will continue to be financial ramifications if the company's culture does not evolve to one that is performance-focused and results-based because accountability and the results the organization achieves are essential to growth and success. The organization had some clearly defined objectives (measurable outcomes) and organizational goals, strategies, and measurements (OGSMs) that were the implementation side of five key strategies. In order for the organization to maintain its health and to grow its business, these five key strategies must be known, understood, institutionalized, as well as consistently achieved.

Significance to the Researcher, the Educational Practitioner, and the HRD Field

Organizational change is a constant in the business world today and thus plays a significant role for both the educational practitioner and the field of Human Resource Development (HRD). On a daily basis, organizations find themselves having to modify or change their cultures due to mergers, acquisitions, a change in strategy, or even a change in leadership. A review of the literature has shown that although much research has been conducted on leadership and culture, not much has been conducted on the relationship between leadership's role in successfully changing the culture of an organization. In other words, a predictive equation showing correlational relationships does not exist. This study was intended to contribute to the explication of the leadership-culture-change linkage by identifying the changes in company's culture that could be transferable to future changes within the company and with other organizations. It would be ideal if this study could contribute to organizational systems theory and contribute to theory building because the knowledge or learning could be shared with

practitioners in the HRD field. This would be invaluable because HRD is an applied field and theory often trails practice.

Definition of Terms

To ensure understanding, the following definitions used in this research study are provided.

Adaptive leadership. Leadership style that permits the impossible to occur (Pascale et al., 2000).

Business units. Integrated suborganizations within Transformation (i.e., Pediatrics, Healthy Living, and Healthcare Professional).

Chaos. When patterns are indistinguishable and relationships cannot be identified or understood (Pascale et al., 2000).

Collaboration. To willingly cooperate or work together toward a common vision or goal.

Consumer package goods (CPG) company. Organization in the business of developing and manufacturing nondurable consumer products.

Culture. Commonly held values, principles, beliefs, attitudes, and norms that are derived from an organization's history that are shared by an organization's members; also referred to as the personality of the organization (Daft, 2002; Schein, 1992).

Heuristic. Case studies that increase the understanding of the phenomena being studied.

Innovation. Process of getting consumer products to market from ideation to commercialization.

Integrated teams. Cross-functional teams consisting of representatives from each functional discipline (i.e., Research & Development, Quality Assurance, Finance, Manufacturing, and Sales).

Leadership. The skills and behaviors that aid an individual in influencing people. A relationship of influence between followers and leaders with shared purpose (Daft, 2002).

Operational leadership. “Entails the exercise of authority and is an entirely appropriate response in conditions of equilibrium” (Pascale et al., 2000, p. 37).

Organization. Equivalent of business or company—relating to its structure.

Silo. “Groups of hierarchical specialty units” (Ashkenas et al., 2002, p. 110).

Silo mentality. Where functional business areas maintain an internal focus, look out for their best interests, and do not communicate with the other functional business areas.

Subject matter expert (SME). Individual who is an expert in a specific topic, process, or discipline.

Transactional leadership. Leadership approach in which an exchange between leader and follower occurs (Daft, 2002).

Transformational leadership. Leadership approach in which a leader attempts to engage individuals in the achievement of a shared vision and shared goals, which ultimately transforms the organization (Daft, 2002).

Nature of the Study

The Study

This research can be categorized as a heuristic, descriptive, ethnographic case study exploring leadership's role in changing the culture of an organization referred to as Transformation. This research applied a mixed methods approach using multiple data collection methodologies. Data collection approaches included:

1. Interviews were conducted with the president and a select group of the senior leadership team, many of whom were members of the change steering team.
2. In addition, Kouzes and Posner's Leadership Practices Inventory (LPI) was provided to the leadership team and was completed on a voluntary basis. As only five of the eight completed the inventory, the researcher decided not to include this data.
3. Extant data (documents) was reviewed to provide context on an as needed basis. Data included an employee engagement survey and subsequent pulse surveys, management forum presentations, electronic weekly newsletters, and e-updates.
4. Various leaders were observed in action to capture behaviors and assess which leadership style was being portrayed.

These data collection approaches were selected due to the information that they could provide to this case study. In addition, this mixed methods approach ensured that the respective strengths were maximized, while also ensuring that weaknesses were minimized. As previously mentioned, an employee engagement survey was electronically distributed to over 1700 divisional employees. This survey, sponsored by the senior leadership team, was successful (as the literature revealed it would be) because leadership involvement typically results in a more effective and productive survey process (Fralicx & Sanchez, 2003). The senior leadership team

played an active role in the survey design, implementation, analysis, and action planning processes.

Qualitative Research Methodology (Post Positivist, Post Modern, or Interpretive)

Denzin and Lincoln (2000) defined qualitative research as:

Multimethod in its focus, involving an interpretive, naturalistic approach to subject matter. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them. (p. 2)

Qualitative research (post positivist or post modern) is concerned with developing explanations of social phenomena; it aims to help one understand the world as well as why things are the way they are. Qualitative research is concerned with finding the answers to questions that begin with *why* or *how*. Qualitative research is concerned with the opinions, experiences and feelings of individuals, and describes social phenomena as they occur naturally. “Qualitative inquiry employs different strategies of inquiry and methods of data collection and analysis” (Creswell, 2003, p. 179).

Quantitative Research Methodology (Positivist, Modern, Scientific, or Controlled)

Quantitative research (positivist or modern) is concerned with answering questions about relationships with the ultimate “purpose of explaining, predicting and controlling phenomena” (Leedy & Ormrod, 2005, p. 94) by using systematic procedures to test and prove hypotheses. A quantitative research methodology is typically used when the researcher wishes to answer *how many*, *what*, and *where*. There are several types of quantitative research methods, including experimental, correlational, observation study, and survey research. Experimental research is a

study of randomly selected participants that “undergo researcher imposed interventions” (Leedy & Ormrod, 2005, p. 108) that are then measured to determine their effects. Correlational research is the “statistical investigation of the relationship between two or more variables” (Leedy & Ormrod, 2005, p. 108), but it does not look for causes. Observation study requires the objective, systematic observation of a defined behavior (Leedy & Ormrod, 2005). The most common quantitative approach is survey research, in which a survey is “used to describe the incidence, frequency, and distribution of certain characteristics in a population” (Leedy & Ormrod, 2005, p. 108). Survey research can be done in two ways: using structured interviews (either face-to-face or via the telephone) or written questionnaires (either computerized or paper-and-pencil based).

Triangulation—Support for a Mixed Methods Approach

“Knowledge is best advanced when a field of study uses a number of methods to address research issues, thus compensating for the limitations of any one method” (Ilgen & Klein, 1988, p. 344). The combination of various research methodologies not only impacts the credibility of results, but it “can also provide innovative approaches to study organizational issues” (Das, 1983, p. 310). Triangulation, also known as multiple operatism (Figure 1), is the process by which multiple sources of data are collected and used in combination with each other so as to incorporate their strengths. Triangulation is highly recommended in conducting cultural and leadership research studies (Amaratunga, Baldry, Sarshar, & Newton, 2002; Creswell, 2003; Johnson & Onwuegbuzie, 2004; Leedy & Ormrod, 2005; Stake, 2000). Evered and Reis (1981) believed that “researchers should explore ways of combining them [quantitative and qualitative methodologies], with the aim of securing the strengths of each while avoiding their respective

deficiencies” (p. 392). Hall and Rist (1999) wrote, “The underlying assumptions here is [*sic*] straightforward—using multiple data sources can deepen our understanding and hence is advantageous in comparison to using a single method” (p. 293).

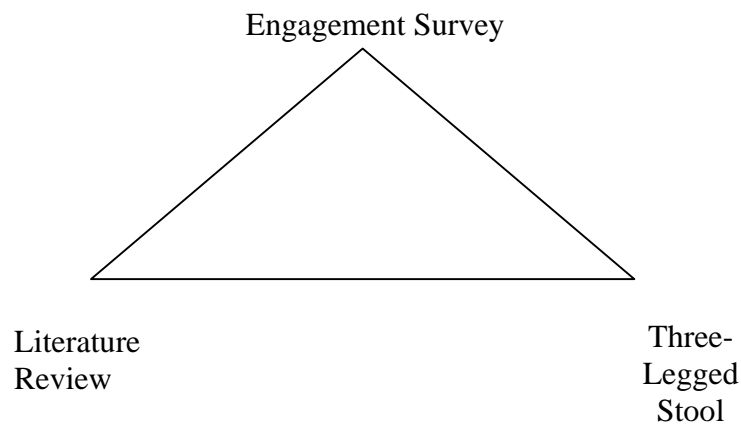


Figure 1. Triangulation.

Denzin defined triangulation as “the combination of methodologies in the study of the same phenomenon” (as cited by Jick, 1979, p. 602). Qualitative researchers must establish the credibility of their studies, of which triangulation is a primary method (Creswell & Miller, 2000). Jick recognized “that all methods have limitations, researchers felt that biases inherent in any single method could neutralize or cancel the biases of other methods” (as cited by Creswell, 2003, p. 15). The minimization of limitations and biases enhances the credibility of a study, often conducted via a process referred to as triangulation. Unfortunately, not all researchers agree. Burrell and Morgan believed qualitative and quantitative methodologies are mutually exclusive and that a mixed methods approach only succeeds in confusing the issue and in the misrepresentation of the data (as cited by Lee, 1992). Lee (1992) wrote, “No single approach has

a total view of reality. In fact, even added together, the various approaches do not possess the true view” (p. 93).

Yin (1994) stated that the interest in a mixed methods approach is due to the emphasis and value currently being placed upon triangulation. In organizational studies research, it is now quite common for qualitative results to be used to supplement quantitative data; however, the reverse is not as common (Jick, 1979). This is primarily due to the fact that quantitative studies are still seen as having more scientific rigor and thus being more credible than their qualitative counterparts.

Effectiveness of Combined Data Collection Approach for Organizational Studies

“Historically, most measurement of organizational variables has been based on questionnaires” (Price, 1997, p. 326). This poses significant risk because the foundation of organizational knowledge has come almost exclusively from one single data collection vehicle (Price, 1997). Quantitative methodology has been the primary research methodology utilized by organizational researchers, however, in recent years this methodology and its view of the external observer has come into question based upon the fact that researchers lack depth and breadth of context due to the research environment. Organizational phenomena are complex, thus the conclusion that real life must be studied in the real world (Bryman & Stephens, 1996; Conger, 1998; Lee, 1992). Morgan and Smircich (1980) recognized that although quantitative techniques are important, they only “play a partial role in the analysis and understanding of the process of social change” (p. 498).

Qualitative studies in leadership are rare due to the fact that they are complex in nature and take quite a bit of time (Conger, 1998). In addition, qualitative studies still have the stigma of not being sound, or in not having the scientific rigor typically associated with quantitative studies. As previously discussed, qualitative studies are ideal when studying complex phenomena due to the fact that they provide the researcher with the opportunity for thorough exploration, which in this case is of leadership (Conger, 1998). Bryman (2004) supported the use of qualitative research in the study of leadership: “Qualitative research on leadership has greatly enhanced our appreciation of the significance of leaders as makers of meaning, an aspect that is difficult to gain access to through quantitative investigation” (p. 762). The use of a mixed methodology will help fill a void identified by Yukl (1994) when he identified the fact that even with all of the studies that have been completed, we still lack a “general theory of leadership that explains all aspects of the process adequately” (p. 19).

Leadership consists of several dynamic characteristics that cannot be studied by quantitative methods because this methodology is insufficient when attempting to investigate dynamic phenomena (Conger, 1998) and typically provide only a single level of analysis often identified via questionnaires (Yukl, 1994) at static moments of time (Conger, 1998). In addition, Bryman and Stephens (1996) reinforced “the utility of qualitative research to the leadership researcher” (p. 370).

Quantitative methods alone fail to provide the depth and breadth of information needed for the study of such a complex phenomena. This researcher found several direct comments from reputable researchers supporting the use of an effective mixed methods approach to organizational studies, or in this case the study of leadership:

1. “Qualitative studies should be combined with quantitative methods to provide a more balanced explanation.” (Yeo, 2002, p. 113)
2. “Qualitative and quantitative methods should be viewed as complimentary, rather than rival camps.” (Jick, 1979, p. 602)
3. “Over time, it is desirable to obtain a balance across methods, samples, and settings as a field of knowledge matures.” (Ilgen & Klein, 1988, p. 344)
4. “Qualitative and quantitative approaches to the study of organizations are not mutually exclusive.” (Das, 1983, p. 302)
5. “Organizational researchers can improve the accuracy of their judgments by collecting different kinds of data bearing on the same phenomenon.” (Jick, 1979, p. 602)
6. “Our ability to grasp the breadth, depth, and richness of organizational life is hampered by allegiance to a single mode of inquiry. Our efforts to develop comprehensive pictures of organizational phenomena are handicapped when only one mode of inquiry is practiced.” (Evered & Reis, 1981, p. 393)

Research Theoretical and Conceptual Framework

The theoretical framework is nothing more than the structure of the research study (Merriam, 2001) that draws upon terminology, concepts, theories, and models derived from the literature. Merriam (2001) stated that these frames are interlocking, with the outermost frame being the existing body of literature, the next frame representing the problem statement, and the center frame describing the purpose of the study. This theoretical framework consisted of a review of the literature on change theories, the evolution of management and leadership, systems theory, collaboration, organizational culture and change, leadership and its role in managing cultural interventions, and research methodologies.

Daft (2002) defined systems thinking as “seeing patterns in the organizational whole instead of just the parts, and learning to reinforce or change system patterns. . . . Systems thinking is a mental discipline and framework for seeing patterns and interrelationships” (p. 175). Systems act upon and react to their environment (Wright, 2001), whereas Senge (1990) wrote, “Systems thinking is a conceptual framework, a body of knowledge and tools that has developed over the past 50 years, to make the full patterns clearer, and to help us see how to change them effectively” (p. 7).

This researcher reviewed many models during the literature review process to aid in the development of a viable framework. This researcher decided to place a strong focus on Kotter’s eight-step approach (1996) and Kouzes and Posner’s five practices of effective leadership (2002) because this review showed a strong similarity between the two as both models included inspiring a shared vision; enabling others to act; and creating short-term wins. Thus either model by itself would have been effective (Table 1).

This researcher recommended that Kouzes and Posner’s (2002) five practices for transforming an organization be combined with Kotter’s (1996) eight-step approach for implementing the change for the following reasons: Transformation is a mechanistic and tactical organization. Kotter’s (1996) eight-step approach addresses the need for structure and a focus on tasks that would significantly enhance the implementation process. Kouzes and Posner’s (2002) model is much more theoretical and conceptual, and would help as the organization transforms itself.

Table 1. Comparison: Five Practices of Exemplary Leadership, Eight-Stage Process of Creating Major Change, and Integrated Model for Change

Five Practices of Exemplary Leadership	Eight-Stage Process of Creating Major Change	Integrated Change Model
Model the Way	Establishing a Sense of Urgency Creating the Guiding Coalition	Create the Need for Change
Inspire a Shared Vision	Developing a Vision and Strategy	Rally Around a Shared Vision
Challenge the Process	Communicating the Change Vision	Encourage Active Participation
Enable Others to Act	Empowering Broad-Based Action	Lead the Way
Encourage the Heart	Creating Short-Term Wins Consolidating Gains and Producing More Change	

Note. The data in column 1 are from *The Leadership Challenge* (3rd ed.), by J. Kouzes and B. Posner, 2002, San Francisco: Jossey-Bass. The data in column 2 are from *Leading Change*, by J. Kotter, 1996, Boston: Harvard Business School. The data in column 3 were developed by the researcher by blending the information gathered in Chapter 2, “Literature Review.”

This new combination model—the integrated model for change (Figure 3)—consists of four steps, each consisting of several actions. These four steps were selected due to the fact that it was possible to have them include or cover the elements from both Kouzes and Posner’s (2002) and Kotter’s (1996) models. These four steps are: create the need for change; rally around a shared vision; encourage active participation; and lead the way.



Figure 2. Integrated model for change. This model was developed by the researcher by blending the information gathered in Chapter 2, “Literature Review.”

Assumptions, Delimitations, and Limitations

Assumptions

Understanding that researcher bias is always a concern, this researcher strove to accurately interpret data and report findings. Participants were assured that their feedback would remain confidential and would be reported in the aggregate. Thus it was assumed that participants trusted that their feedback would remain anonymous and thus provided honest feedback in all data collection activities (e.g., employee engagement survey, interviews, etc.).

Delimitations and Limitations

A review of the literature on change theories, the evolution of management and leadership, systems theory, collaboration, organizational culture and change, and leadership and

its role in managing cultural interventions was conducted. The framework was derived from the literature review. Because there was more literature on these subjects than one can reasonably be expected to review, varying and potentially critical perspectives might have been overlooked.

Several limitations were inherent in the case study methodology: case studies have been considered as a less desirable form of inquiry due to their lack of rigor; and they provide little basis for scientific generalization, tend to take too long, and often result in a quantity of unreadable documentation (Yin, 1994). In addition, this case study was conducted on the organization in which the researcher was employed. Although this provided access to both people and data, it could also result in the researcher allowing personal experience and feelings to affect (or potentially bias) her interpretation of data. Triangulation helped to overcome these limitations, but again these challenges are inherent in descriptive studies.

Organization of the Remainder of the Study

Chapter 1 of this study presents the context, problem statement, significance of the study, definition of terms, conceptual/theoretical framework, and assumptions and limitations. Chapter 2 of this study contains an extensive review of the relevant literature, providing a solid foundation of knowledge upon which this study was conducted.

Chapter 3 of this study presents an overview of the methodology, data collection approaches, and support for a mixed methods approach as well as the effectiveness of combined data collection approaches for organizational studies, ethical considerations, and an overview of the data analysis process.

Chapter 4 of this study presents the data collected as well as an analysis of that data. Chapter 5 of this study contains conclusions, linkages to the gurus in the literature review, implications, and recommendations for future research. Chapter 5 is followed with a comprehensive list of references utilized by this researcher during this research process. Lastly, this study concludes with appendixes containing relevant supporting documents.

CHAPTER 2. LITERATURE REVIEW

Chapter 1 provided a review of the organization, the problem, and potential research questions. This chapter will provide a detailed literature review. The literature review helped frame the initial focus of this study, as well as focus the data analysis (Swanson & Holton, 1997). Literature reviews help researchers limit the scope of their inquiry as well as act as a benchmark for comparison purposes. In addition, literature reviews provide a framework for establishing the importance of the study (Creswell, 2003). An extensive review of literature on change theories, the evolution of management and leadership, leadership, organizational change, and research methodologies was conducted by this researcher with the purpose of developing a good working knowledge of the types of research and current research, as well as to identify any potential gaps that identify the need for future research.

According to Swanson and Holton (1997), “Research is a process having a specific type of outcome. The outcome of research is new knowledge, obtained through an orderly, investigative process” (p. 10). Typically the research process begins with attempting to solve a problem, which is done by asking a question and identifying a solution or, in essence, drawing a conclusion.

Thus a review of the literature on five aspects of organizational change will be presented: planned change, the evolution of schools of management, collaboration and cooperation, organizational culture and change, and the role and evolution of leadership.

Planned Change Theories

Planned change is usually a solution to a problem, or a result of dissatisfaction with the status quo. Planned change is usually triggered by the failure of people to create continuously adaptive organizations (Dunphy, 1996). Oftentimes, planned change initiatives focus on just surface-level changes, essentially leaving organizational assumptions, values, and beliefs unexplored (Argyris & Schon, 1978). There are many change models that are used to aid practitioners in implementing change. These models can be broken into two types of change theories or approaches that organizations can use: radical and incremental. Within each of these approaches there are various models and/or processes.

Radical change approaches include, but are not limited to, six sigma, quality function deployment, and re-engineering. Radical change models are used to jump-start an organization and are also used when a culture change is required. In a traditionally Midwestern family business atmosphere, change is likely to be more heavily resisted than in other organizations because the feelings surrounding the change tend to be deeper and more intense, and previous research shows that family values, goals, and relations deeply influence strategic change in family-oriented firms (Dyer, 1994).

Incremental change approaches include, but are not limited to, Kurt Lewin's model (1951), Beckhard's change model (1997), Kotter's transformation model (1998), and the Bridges transition model (1980). Incremental change models are concerned with improving the existing system and operate within the current business model. All these models have a stage of unfreezing of the current behavior, a change being introduced, and a stage of refreezing the new

behavior, or else they begin with the identification of the current state, the desired state, and the blocks and barriers that exist between the two.

John Kotter (1996) suggests that certain conditions need to be met in order to bring about effective change. He bases these conditions on what is known to contribute to the failure of change efforts. Kotter also states that producing change is about 80% leadership (establishing direction, aligning, and motivating and inspiring people) and about 20% management (planning, budgeting, organizing, and problem-solving). In most change efforts he has studied, the percentages have been reversed! While there are some examples of successful change efforts, CEOs report in recent surveys that up to 75% of their organizational change efforts do not yield the promised results (Wheatley, 1998). Numerous studies indicate that as many as two-thirds of all change efforts fail in some way (Trahan, Burke, & Koonce, 1997). These efforts not only fail to yield desired results, but they produce a stream of unintended consequences. This means that leadership spends its time managing the unwanted impact rather than the planned results (Wheatley, 1998). Research also shows that resistance derails most change efforts, with the most notable obstacle being management behaviors not supportive of the change (O'Donovan, 2003). In a planned change effort, change agents are professionals who influence and implement the change; they are critical to the success of a change effort (Vago, 1999).

Recent studies indicate that static change models are being replaced with dynamic change models that reflect the discontinuous nature of organizational change. In other words, change does not occur at a steady rate even though in the past organizational theory has written about steady or static models. A review of the literature (Mintzberg, 1979; Senge, 1990) reflects the need for organizations to be able to continuously adjust as well as to allow for learning to take

place. “Culture change inevitably involves unlearning as well as relearning and is therefore, by definition, transformative” (Schein, 2004, p. 335), thus:

Learning leaders must be well connected to those parts of the organization that are themselves well connected to the environment—the sales organization, purchasing, marketing, public relations, legal, finance, and R&D. . . must be able to listen to disconfirming information coming from these sources and to assess the implications for the future of the organization. (Schein, 2004, p. 410)

The Evolution of Schools of Management

There are numerous management theories and schools of thought about systems management identified in the literature. Scott (2003) identified three main schools of thought: rational, natural, and open; also referred to in the literature as rationalistic and humanistic schools. Scott (2003) presented definitions associated with rational systems and natural systems perspectives: “Organizations are collectivities oriented to the pursuit of relatively specific goals and exhibiting relatively highly formalized social structures” (p. 27) and

Organizations are collectivities whose participants are pursuing multiple interests, both disparate and common, but who recognize the value of perpetuating the organization as an important resource. The informal structure of relations that develops among participants is more influential in guiding the behavior of participants than is the formal structure, respectively. (p. 28)

The theoretical constructs behind each school of thought, as well as a comparison of the underlying assumptions, will be presented.

Rationalistic School—Scientific and Classical Schools of Management

Gouldner posited that the “rational model implies a ‘mechanical model,’ in that it views the organization as a structure of manipulable parts, each of which is separately modified with a view to enhancing the efficiency of the whole” (as cited by Scott, 2003, p. 36). Morgan (1998)

supported this mechanistic view by stating that organizations “are designed like machines, and their employees are in essence expected to behave as if they were parts of machines” (p. 19), with clearly defined roles and responsibilities that contribute to the whole. This machine metaphor was common during the Industrial Revolution.

The Industrial Revolution saw an increasing trend toward mechanization in machines, human thought, and action. This classical school of thought has driven the design of organizations and management as can be seen by the fact that organizations that used machines became more and more like machines (Morgan, 1986, 1989, 1998). Much about mechanistic organizations has been learned from the military; Frederick the Great of Prussia developed the mechanistic organization prototype (Morgan, 1998). In addition, the organization as a machine metaphor is often assumed to be the proximate result of the scientific management movement pioneered by Frederick Taylor. Taylor’s premise was that a workplace that was scientifically managed was much better for workers because this resulted in them being more efficient, which in turn resulted in higher wages and thus led to increased job security (Steers, Mowday, & Shapiro, 2004; Witzel, 2005). Gantt believed that poor management typically equated with poor wages, thus the reverse that good management equaled good wages, also supported Taylor’s premise (as cited by Witzel, 2005, p. 90).

Lawley (2001) identified many associated concepts about mechanistic organizations as machines: efficiency, waste, order, clockwork, cogs in a wheel, inputs and outputs, standardization, production, assembly line, measurement, and control. McDonald’s and many other fast-food restaurants have had great success using the mechanistic model because they rely on these concepts for their success. Schlosser stated that McDonald’s has “rationalized food

preparation, depersonalized employee-customer relations, and stimulated the growth of mass production techniques in agribusiness” (as cited by Scott, 2003, p. 5). Industries and organizations where precision, safety, and accountability are critical often implement mechanistic approaches (e.g., airline maintenance, fast food restaurants, automobile assembly lines, as well as other types of manufacturing organizations).

In mechanistic organizations the focus is on control, predictability, and efficiency, not on the human element as can be seen by the following quote of a worker on the General Motors Lordstown, Ohio, assembly line:

Every day I come out of there I feel ripped off. I'm getting the ---- kicked out of me and I'm helpless to stop it. A good day's work is being tired but not exhausted. Out there all I feel is glad when it's over. I don't even feel useful now. They could replace me; I don't even feel necessary. . . . They could always find somebody stupider than me to do the job. (Morgan, 1989, p. 55)

While there are numerous classical management theories, three theories bear mentioning: Taylor's scientific management theory (F. W. Taylor, 1856–1915), Fayol's administrative theory (Henry Fayol, 1841–1925), and Weber's theory of bureaucracy (Max Weber, 1864–1925). The organization is conceived as a rational-technical system and “success requires the organization to bring together all of the conditions that make a machine work well” (Dufour, 2000, p. 4). In the classical approach, leaders control the planning and formulation processes, whereas employees were expected not to think but just do as they were told. The classical school of thought looked upon workers as replaceable parts of the greater whole. In essence, they were seen simply as cogs in a wheel. Taylor encouraged management to see their workers as specialized replaceable components (Tanz, 2003) as the benefit would be ruthless efficiency. Simply stated, if employees

are capable of effectively performing all job responsibilities, then the organization will be capable of running in an efficient and productive manner.

Freeman (1996) identified the following key points of scientific management: a cornerstone of prosperity for both employer and employee; the objective of management to ensure maximum prosperity for employer and employee; a premise that management must take on new responsibilities; a strong focus on task preparation and execution; and a focus on standardized times, not piece-rate (piece-rate was essentially one of many pay schemes). “Taylor’s theory for the division of the spoils of combined labor and management effort has never worked out as he outlined it” (Metzgar, 2004, p. 49). Nutall (2004) described the outcomes of scientific theory to be: larger output per person, higher product quality, higher wages for workers, and larger profit for the company. It is the manager’s responsibility to know and understand the limitations of each worker (Bennis, 1959). The manager is responsible for “all the thinking related to the planning and design of work, leaving the workers with the task of implementation” (Morgan, 1998, p. 23). This scientific management approach purported that a “combination of job training, pay-for-performance incentive systems, improved employee selection techniques, and job redesign” (Steers et al., 2004, p. 380).

Fayol’s administrative theory placed an emphasis on management functions and the creation of broad administrative principles constituting guidelines for rationalization of organizational activities with a focus on a top-down approach. Lastly, Weber believed humans was unpredictable and thus would let their feelings impact their judgment (Bennis, 1959). Hence there was a need to remove the human’s need to think or make decisions, resulting in the creation of bureaucratic organizations. Weber’s theory of bureaucracy posited three types of authority:

traditional, rational-legal, and charismatic. Weber's definition of bureaucracy was founded upon the rational-legal mode of authority and refers to a specific type of administrative structure.

Weber developed a list of characteristics for bureaucratic organizations:

Fixed division of labor among participants, hierarchy of offices, set of general rules that govern performance, separation of personal from official property and rights, selection of personnel on the basis of technical qualifications, and employment viewed as a career by participants. (Scott, 2003, p. 46)

Taylor, Fayol, and Weber are considered to be pioneers of formal organizational structure (Scott, 2003, p. 43).

Scott (2003) wrote, "Rationality is used in the narrow sense of technical or functional rationality and refers to the extent to which a series of actions are organized in such a way as to lead to predetermined goals with maximum efficiency" (p. 33). Rational systems imply both cognitive and motivational limitations of employees and primarily focus on the internal features of organizations. "All theorists utilizing this perspective [rational systems] focus primary attention on the normative structure of organizations: on the specificity of goals and the formalization of rules and roles" (Scott, 2003, p. 53).

Morgan (1998) wrote, "One of the most basic problems of modern management is that the mechanical way of thinking is so ingrained in our everyday conception of organizations that it is often difficult to organize in any other way" (p. 6). While the name is gone, one can see many of the elements and principles of scientific management today. In addition, these principles of scientific management are constantly reviewed in management literature today (Freeman, 1996). Many American companies find that the basic principles of scientific management are still relevant today. In fact, time and motion studies are still widely used in many organizations today and can be found in many successful warehouse, distribution, and production operations.

Scientific management has given way to softer theories such as empowerment, the belief that employees seek fulfillment rather than money. But its legacy remains in many forms because in the end productivity per person must be measured in order to improve. (Witzel, 2005, p. 91)

Halpern, Osofsky, and Peskin (1989) proposed, “One of Taylorism’s principal limitation [*sic*] was its overly economic deterministic view of the worker” (p. 22). In other words, it did not understand the psychosocial needs of workers and the result of these unmet needs. The need to consider the psychosocial needs of workers led to the human relations school and the Hawthorne Effect (experiments), which dealt with the relationship between workers’ attitudes and the influence of their attitudes on productivity (Halpern et al., 1989). The human relations school was a predecessor to the work-life balance programs currently offered by many organizations.

Human Relations or Behavioral Schools of Management—Natural System—Psychosocial Needs

Beer, Spector, Lawrence, Mills, and Walton stated that the human relations school was a “shift from the bureaucratic approach to scientific management which stifles individualism to a culture in which all employees are encouraged to take on high levels of responsibility” (as cited by Jones, 2000, p. 632). The premise behind natural systems models is that there is a set of functional needs that social systems must satisfy in order to survive. The metaphor of organizations as organisms requires a focus on understanding and managing organizational needs and environmental relations (Morgan, 1998). Dufour (2000) wrote, “In the contingency approach, change involves the form or configuration of the organization, which is determined by its relationship with its environment. . . . The organization is therefore conceived of as a living technical system, similar to an evolving organism” (p. 4). In other words, organizations are open systems that constantly undergo change in relationship to its surroundings while attempting to

achieve a good fit with the environment. Organizations are seen as living, evolving systems that exist in a wider environment; organizations are viewed as species; and each organization is seen as belonging to a specific environment. In organizations as organisms, the focus is on nurturing, growing, cultivating, harvesting, alliances, and networks. This metaphor centers attention on the processes of evolution, life stage, and adaptation.

The behavioralist school of management has its roots in psychology and anthropology, thus the focus on the social environment and worker needs. In this neoclassical school of thought, unlike the classical school of thought, people's needs are recognized. The Hawthorne Experiments dealt with employee motivation and essentially found that employees were not machines strictly motivated by wages, but rather had emotional needs that had to be met, thus the beginning of the human relations movement (Tanz, 2003). Organizations are concerned with fulfilling the needs of employees as a way to motivate them to perform on the organization's behalf, rather than by controlling their every movement as depicted in the classical approach. Lawley (2001) identified many associated concepts about organizations as organisms: living systems, environmental conditions, adaptation, life cycle, homeostasis, evolution, and survival of the fittest.

The benefit of the human relations approach was a happier worker, who in turn would be more committed as can be seen by Guest's perspective on the humanistic approach where the objective "is to create cultures in which high quality employees develop commitment through strong identification with the organization" (as cited by Jones, 2000, p. 631). While there are numerous natural systems theories (neoclassical schools of thought), three theories bear mentioning: Mayo's human relations school (Elton Mayo, 1880–1948), Barnard's cooperative

systems (Chester Barnard, 1886–1961), and James G. March’s garbage can theory. Mayo’s human relations school was based upon the following philosophy: “from the human relations perspective, leadership is conceived primarily as a mechanism for influencing the behavior of individual subordinates” (Scott, 2003, p. 63). Mayo argued that by designing more humane work environments, organizations could achieve their goals. Barnard’s cooperative system is based upon the premise that the success of an organization is dependent upon the willingness of employees to contribute, and that there are various incentives that can be used to motivate employees (Scott, 2003). Barnard saw organizations as “adaptive social systems attempting to survive in their environment” (Scott, 2004, p. 2). March’s garbage can theory was based on the fact that human beings are not rational and thus organizations run by humans could not possibly be rational. These neoclassical theorists still believed in hierarchical structures and defined roles, but believed that one needed to consider both group and individual behavior. In addition, they supported formal communication being top-down but also recognized the existence and importance of informal communication between groups.

Both commitment and motivation play a huge role in this school of thought. “Natural system analysts insist that highly centralized and formalized structures are doomed to be ineffective and irrational in that they waste the organization’s most precious resource: the intelligence and initiative of its participants” (Scott, 2003, p. 60). Neoclassical theorists do not see individuals as parts of a machine or just as a pair of hands—they recognize individuals have heads and hearts, which ultimately has led to today’s emotional intelligence and servant leadership theories (also referred to as post modern management theories).

Comparison of the Characteristics of Rationalistic School and Humanistic School

An extensive review of the literature (Belasen, 2000; Bennis, 1959; Daft, 2002; Freeman 1996; Halpern et al., 1989; Lins, 2000; Ouchi, 1980; Schein, 2004; Scott, 2003) revealed many characteristics of each system in the areas of view, foundation, communication, employees, approach, workplace, features, types of rewards, and source of power—for example, mechanistic versus organic, and stable versus dynamic. A comprehensive list of characteristics can be found in Table 2.

McGregor (as cited in Daft, 2002, and Schein, 2004) identified two sets of attitudes about how to interact with subordinates: theory X and theory Y. McGregor's theory X and theory Y depict the differences between classical or rational system management theory (theory X) and the humanistic relations approach (theory Y). Both theories are based upon a series of assumptions that can be seen in Table 3 (Daft, 2002; Schein, 2004). According to McGregor, workers fell into one of the two categories, or they fell somewhere in between and it was management's responsibility to adapt or adjust rules accordingly.

Taylor wanted to pay workers according to their productivity while at the same time create an efficient workplace. Taylor's scientific management theory proposed that one could scientifically analyze tasks to identify how to improve or enhance the procedures to determine the one best way, which would achieve maximum output with minimum input. Myers identified the shortcomings of scientific management, specifically when looking at efficiency, because people are different so there can be no "one best way" (as cited by Roper, 2001, p. 187).

Table 2. Characteristics of Rational and Natural Systems

Elements	Rational System (Scientific Management/Classical)	Natural System (Humanistic Approach/Neoclassical)
View	Mechanistic or machine	Organic
Foundation	Bureaucratic control. Organization can be easily controlled by management.	Psychosocial needs of individuals
Communication	Top-down and formal	Top-down and formal. However, informal communication between groups exists.
Employees	Workers were not expected to think. Were cogs in a wheel and were replaceable.	Workers were encouraged to participate. Giving employees greater opportunities for involvement in decision-making.
Approach	Approach is efficiency-driven. Highly efficient, but inflexible and lacking innovation.	Approach is human resources perspective of giving people a greater opportunity for involvement in decision-making and work processes. Need for flexibility.
Workplace	Control oriented ideology. Emphasis on centralization. Uses functional departments.	Not overcontrolled. Ideology centers on the individuals well being. Centralized but sees organizations and individuals as being codependent.
Features	Clear roles and responsibilities; high specialization; standardized work processed; detailed policies and procedures; formalized decision-making.	Build accountability for results through trust and confidence.
Types of Reward	Economic, physiological needs	Social and psychological needs
Source of Power	Nature of role-management	Group norms

Table 3. Assumptions of Theory X and Theory Y

Theory X	Theory Y
People dislike work and will always try to avoid it—people are essentially lazy	Most people do not dislike work—in fact the opposite is true in that they are willing to work
People must be controlled or coerced to work	Coercion and control are not the only way to get results
People like to be directed, wish to avoid responsibility, basically lack ambition, and desire security above everything else	People will seek out increased responsibility and are self-motivated, and the best rewards are aligned with self-actualization needs

Note. Daft, 2002; Schein, 2004.

As with most theories, there are limitations and benefits. The limitations of scientific management include: lack of focus of the human and social aspects within an organization, meaning little benefit to social relationships; misunderstanding about the nature of motivation; deskilling can result in inflexibility and waste due to the lack of cross-training of employees; piece work may impact output in a negative way as it does not always encourage employees to produce more; and the organization is not seen to be dynamic in nature. The benefits of scientific management include: improved processes that allows for controlled results ensuring effectiveness; an increase in productivity occurs; and ambiguity is eliminated because numerical goals or targets are set, thus employees have clear expectations.

Freeman (1996) stated the “critics of scientific management accuse Taylor of engineering the humanity out of work” (p. 36). Theoretically this was not true as Taylor proposed both management and workers putting forth joint effort and promoted collaboration between management and workers. However, in reality, management typically timed and supervised workers and collaboration never actually occurred (Freeman, 1996). Opponents of scientific

management saw Taylorism as “everything that is bad about the capitalist system: deskilling, dehumanizing, the death of the craft production system, the dominance of capital over labour, and American economic imperialism in the guise of promoting ‘one best way’ to manage” (Witzel, 2005, p. 89). In addition, the organizational structure represented by the mechanical model is hierarchical with predetermined goals set by management, which tends to suppress employees creativity and willingness to participate (Yoon & Kuchinke, 2005).

The classical approach ignores the impact of the environment, overlooks relationships, and assumes that workers share the organization’s goals and are always working towards the achievement of these goals. Maravelias (2003), in a review of the literature, determined that “the hierarchical and impersonal structures of bureaucracies are claimed to make them stale and sluggish and unable to handle contemporary market demand for constant innovation” (p. 549). The classical organizational structure has been successful where competition is limited. However, classical organizational structures are not as successful when competition exists, or where the good of the worker is the focus as classical organizations tend to ignore the human behavioral element (Lins, 2000), thus the recent change whereby organizations are shifting from the traditional classical approach of rational management that provided stability and control to a more humanistic approach where leadership recognizes the value of employee empowerment and social relationships (Daft, 2002).

Scott (2003) purported “rational systems are designed, but natural systems evolve; the former develop by conscious design, the latter by natural growth; rational systems are characterized by calculation, natural systems by spontaneity” (p. 81). Adler (2001) believed that

the flat, organic structures of post-bureaucracies allow them to be flexible and adaptable, which in turn allow them to be creative in the ways that they approach new problems.

In summary, rationalistic systems do not tend to do any of the following: grow their people, develop employees to the next level, or have subject matter experts (SMEs) making decisions. These organizations have a suppressive environment that limits creativity and employee motivation (Yoon & Kuchinke, 2005).

“Systems thinking is a conceptual framework, a body of knowledge and tools that has developed over the past 50 years, to make the full patterns clearer, and to help us see how to change them effectively” (Senge, 1990, p. 7).

Pascale et al. (2000) noted that systems thinking typically addresses linear events or effects. Principles of scientific management permit organizations to efficiently produce a standardized quality product that is cost-effective. Taylor’s principles of scientific management are at work today: work study, ergonomics, logistics, total quality management (TQM), just in time manufacturing (JIT), and business process reengineering in which the outcome is increased efficiency. Gagnon purported that time and motion studies, which were further developed by Frank and Lillian Gilbreth, are still widely used in many organizations today: “The establishment of accurate and fair time standards has become important to successful warehouse/distribution operations” (as cited by Freeman, 1996, p. 38).

Collaboration and Cooperation

Collaboration as a value is a cornerstone upon which many successful organizations are being rebuilt. During a review of the literature on collaboration and cooperation, the researcher

found that although these two terms are often used interchangeably, many authors identified a meaningful difference between the two. The researcher is using the terms *collaboration* and *cooperation* interchangeably or synonymously.

Cooperative learning refers to learning environments in which group members work together to achieve a common goal; however, the members of the group may choose to take responsibility for subtasks and work cooperatively, or they may collaborate and work together on all parts of the problem (Underwood, 2003). Cooperative learning occurs when individuals work together to maximize both their own as well as other's learning experiences. In business organizations today, teams are a popular form of job design, and work teams represent a major change in the management of organizations. Cooperative or team-based learning has gained in popularity (Siciliano, 2001). "Team learning is the process of aligning and developing the capacity of a team to create the results its members truly desire. It builds upon the discipline of developing a shared vision" (Senge, 1990, p. 236).

Communities of practice (CoPs) have been identified as playing a critical role in the promotion of learning and innovation in organizations. Communities of practice have been defined as any social group whose members share a mutual engagement, who negotiate a joint enterprise, and who have developed a shared vision (Machles, 2003). Lave and Wenger (as cited by Wenger & Snyder, 2000) wrote that a defining feature of CoP is that they are seen to emerge spontaneously from the (largely informal) networking among groups of individuals who have similar work-related activities and interests. Lesser and Everest (as cited by Wenger & Snyder, 2000) wrote that communities of practice help provided an environment where knowledge could be both created and shared to improve the following three areas: effectiveness, efficiency, and

innovation. Perry and Zender (2004) found that in 1999 the phrase “communities of practice” was just beginning to appear in business literature and that it was used to refer to a new organizational form that complemented existing structures by facilitating knowledge sharing, learning, and change.

Organizational Culture and Change

A survey of the literature on organizational culture produced many definitions on culture. Organizational culture—an organization’s values, beliefs and rules about how things get done— influences every aspect of life in corporate America (Bierma, 1996). Many referred to culture as being commonly held beliefs, attitudes, values, expectations, and norms that exist within the organization that have been derived from both its history and the external environment (Glensor & Peak, 1996; Pratt & Margaritis, 1999; Schein, 1992), while others described corporate culture as the personality of an organization (Larson, 2002; McNamara, 1997). Any organization can do a quick test of its corporate culture by looking at what it measures and what it celebrates (Larson, 2002). Culture is important when looking at continuous change because it acts as the glue for holding the multiple changes in place (Kotter & Heskett, 1992).

Mallak (2001) identified strong cultures as having a set of core values or key principles that are not only understood by all employees, but also followed. One must recognize that effective cultural change is a long-term process and does not happen overnight. While the desired culture can be captured on paper, it takes time for it to exist in reality. The challenge comes in shifting the culture of the organization. McManus (2003) stated that cultural change is possible and necessary, but argues that it is essential for people to understand and appreciate the

reasons for the desired changes. McManus (2003) mentioned that both the current beliefs and mental models, which make up the current collective culture, must be shifted for a change to occur. He explained that while training will provide an awareness of the new culture, it alone will not shift beliefs.

Larson (2002) defines the culture of an organization as nothing more than its personality as defined by the individuals that work there. Just as it is difficult for individuals to modify or change their personality, it is the same for an organization. In fact, it is compounded when looking at an organization due to all the systems, processes, and people. Schein (1992) defined organizational culture as the pattern of basic assumptions, values, norms, beliefs, and artifacts that are shared by organizational members that allows them to derive sense and meaning. Schein (2004) saw culture as a result of three sources: “The beliefs, values, and assumptions of founders of organizations; the learning experiences of group members as their organization evolves; and new beliefs, values, and assumptions brought in by new members and leaders” (p. 225).

Jick (1999) wrote, “No organization can institute change if its employees will not, at the very least, accept the change. No change will work if employees don’t help in the effort. And, change is not possible without people changing themselves” (p. 1). Jick (1999) also stated that while change can be managed externally, it would only be implemented when employees accept the change internally. Dotlich and Noel (1998) asserted, “The ability of organizations to change has become inextricably linked to the ability of individual employees to change” (p. 149). Changing the culture is not a quick process as culture is a network of embedded practices and representations that shapes every aspect of social life (Frow & Morris, 2000). Changing an

organization's culture will affect the micro (individual) and macro (organization) levels (Vago, 1999).

A majority of the literature stated that one must identify the current culture before one can determine how to change it, and that this can be accomplished by utilizing various types of culture assessment instruments (Maher, 2000). Ultimately, "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" (Schein, 2004, p. 23). Cameron and Quinn (2000) noted that most organizations do not operate within a single culture. This presents a unique dynamic when attempting to change an organization's culture. Some of literature mentioned that when referring to an organization's culture, the dominant culture, which represents the core values that are shared by most of the members, is what was being referred to (Simpson, 2001). All the literature agrees that a change only occurs when both the organization as a whole and all of its individuals are committed to the change process.

Schneider, Gunnarson, and Niles-Jolley (1994) suggest that because an organizational culture cannot be changed directly, it changes slowly. They propose that the organizational environment and climate must first have its practices, procedures, and behaviors modified before a change in culture can occur. Schein (2004) expounded upon this basis for changing an organizational culture by stating that "building an effective organization is ultimately a matter of meshing the different subcultures by encouraging the evolution of common goals, common language, and common procedures for solving problems" (p. 289).

Baker (2004) quoted Kotter from an interview: "Leadership, as much as anything, creates the culture, and culture helps shape the leadership. It's a chicken-and-egg thing" (So how do you

get these changes done? section, ¶ 2). Leaders have the responsibility to both reinforce and reshape an organization's culture (Kotter & Heskett, 1992; Schein, 2004).

The Role and Evolution of Leadership

The concept of leadership has evolved over time and can be grouped into several themes—beginning with the leaders' traits or who they are, moving to the leaders' behavior or what they do, next to the leadership situation, and lastly to leaders' character or everything for which they stand. The great man and trait theories (Daft, 2002; Rost, 1991) assumed that leaders were born not made—that leadership qualities were inherent in one's personality. In other words, one was born to lead. In the behavioral approach, behaviors could be learned. If individuals adopt the right behaviors, then they could become good leaders. Environmental leadership approaches assumed that everyone was born with a blank slate; thus leaders were a result of events that provided opportunities and could be made—the nature versus nurture paradigm. Situational approaches were based upon the premise that there was not one best way, but rather that effective leadership was based upon many situational variables. Contingency approaches linked leadership style and follower attributes, stating that effective leadership was dependent upon the situation, while contemporary leadership approaches are character-based and focus on a leader doing the right thing.

Today, leadership is understood to be a much more complex phenomenon than either the great man or great event approaches considered (Rost, 1991). Schein (2004) alleged that it was not the leader's personality, but rather the leader's learning capacity that was critical for cultural transformation. Two leadership approaches still have merit today and are widely used: situational

and contemporary. “The effectiveness of leader behavior is contingent upon organizational situations. Aptly called contingency approaches, these theories explain the relationship between leadership styles and effectiveness in specific situations” (Daft, 2002, p. 79). There are several theories that fall under the broad heading *contingency approaches* including:

1. Fiedler’s contingency model—designed to enable leaders to diagnose both leadership style and organizational situation with a leaders effectiveness dependent upon how well the leaders style fits the situation
2. Hersey and Blanchard’s situational theory—premise that subordinates vary in readiness level and thus need different leadership styles, and based upon directive and supportive dimensions
3. Goal-path theory—premise that the leader’s responsibility is to increase subordinates motivation to attain personal and organizational goals by emphasizing the relationship between the leader’s style, the subordinate’s style, and the work environment
4. Vroom-Jago model—development-driven model that permits leaders to adopt a participation style by answering diagnostic questions in sequence

These contingency approach models assumed that there was no one best approach to leadership, but rather that a leader could identify the appropriate leadership style by reflecting upon the subordinates’ capability and willingness (Daft, 2002). This was supported by Blanchard and Blanchard (2005) when they proposed, “Great leaders know how to tailor management styles to individual employees. They realize that they must understand their people well enough to give them the direction and support they need to succeed” (p. 54). In other words, leadership effectiveness must be determined by the adaptability of the leader to the follower’s situation, specifically to the skill and maturity level being displayed.

Contemporary leadership approaches tend to focus on the whole person. Several approaches fall into contemporary leadership: servant leadership, transactional leadership, and charismatic or transformational leadership. Servant leadership was based on a premise by Robert

Greenleaf that servant leaders put others' interests and needs before their own. Transactional and transformational leadership approaches have been considered to be on opposite sides of a spectrum. Transactional typically refers to an exchange process between leaders and followers in which the leader essentially manages and maintains the organization, whereas transformational refers to leaders who attempt to engage the whole person toward a shared goal whereby promoting fundamental changes that aid the organization in remaining competitive in a rapidly changing environment.

A review of the literature on leadership has shown that trait leadership has not disappeared as it can be seen in contemporary leadership approaches today (Northouse, 2004). Transformational leadership assumes a leader has influence that results in followers and ultimately an organization exceeding performance expectations (Northouse, 2004). Conger (1999) found that transformational leadership's focus was on change and empowerment that typically consisted of several components: leaders possess charisma or a strong ability to influence others; leadership is capable of inspiring others to action; leaders have strong mental or intellectual capabilities; and leaders have the ability to understand individuals and their needs. In fact, Conger (1999) explained, "At the heart of the [transformational] model is the notion that transformational leaders motivate their followers to commit to and to realize performance outcomes that exceed their expectations" (p. 149). Transformational leadership is characterized by a leader's ability to bring about significant change (Daft, 2002).

A review of the literature showed another description of leadership—adaptive versus operational. Pascale et al. (2000) defined operational leadership as occurring when a leader appropriately exercises authority during times of equilibrium, while describing adaptive

leadership as one who “makes happen what isn’t going to happen otherwise” (p. 39), with the caveat being that successful leaders will effectively balance both of these leadership styles.

Rost (1991) and Daft (2002) saw leadership as an influence relationship resulting in a mutually desired change.

You can’t get people to make an exceptional commitment to sustained great performance out of fear. . . . The only way to get people to achieve remarkable results is by being willing to show them that you genuinely and personally care about them. (Webber, 1999, p. xii)

In alignment with this view of leadership being relationship driven, Bass speculated:

That transformational leadership is most likely to appear in organic organizations where goals and structures are unclear, but where warmth and trust are high, members are highly educated and are expected to be creative. On the other hand, transactional leadership is most likely to appear in mechanistic organizations where goals and structures are clear and/or where members work under formal contracts. (as cited by Conger, 1999, Bass and Avolio: Transformational leadership section, ¶ 7)

Role of Leadership in Managing Cultural Interventions

Beer and Nohria “argue that 70% of change programs fail because of lack of strategy and vision, lack of communication and trust, lack of top management commitment, lack of resources, lack of change management skills, resistance to change, etc.” (as cited by Vakola, Tsausis, & Nikolaou, 2004, p. 88).

Leadership best practices abound in the literature (Brown, 2000; Collins, 2001; Fullan, 2001; Kouzes & Posner, 2002; Neff & Citrin, 1999; Tichy & Devanna, 1990). Several of these leadership best practices by notable individuals within the field are depicted in Table 4.

Table 4. Leadership Best Practices

Brown (2000)	Collins (2001)	Fullan (2001)	Kouzes & Posner (2002)	Neff & Citrin (1999)	Tichy & Devanna (1990)
Leaders as Heroes	Getting the Right People in the Right Jobs	Moral Purpose	Challenge the Process	Live With Integrity and Lead by Example	Change Agents
Leaders as Actors	Adhere to the Stockdale Paradox	Understand the Change Process	Inspire a Shared Vision	Develop a Winning Strategy	Courageous
Leaders as Immoralists	See the World as Hedgehogs, not Foxes	Become a Consummate Relationship Builder	Foster Environments That Enable Others to Act	Build a Great Management Team	Believe in People
Leaders as Power Brokers	Combine a Culture of Discipline With Ethic of Entrepreneurship	Create and Share Knowledge	Model the Way	Inspire Employees	Value-Driven
Leaders as Ambassadors		Coherence Making	Encourage the Heart	Create a Flexible Organization	Life-Long Learners
Leaders as Victims				Tie It Together With Reinforcing Management and Compensation Systems	Able to Deal With Complexity, Ambiguity, and Uncertainty

In addition, a review of the literature yielded a plethora of information regarding organizational best practices by organizational research experts. These best practices are summarized in Table 5. In addition to the integrated change model (Figure 3), these leadership and organizational best practices will provide a framework for evaluating the organizational change process.

Table 5. Best Practices for Organizations

Ashkenas et al.	Collins & Porras	Kotter	Manzoni
Speed	Be a Clock Builder	Establish a Sense of Urgency	Searching for Best Practices (Benchmarking)
Flexibility	Embrace the Genius of the AND	Create a Guiding Coalition	Focusing on the Targets by Studying Competitive Dynamics
Integration	Preserve the Core and Stimulate Progress	Develop a Vision and Strategy	Face the Reality Within the Organization
Innovation	Seek Consistent Alignment	Communicate the Change Vision	Collect Detailed Data From Customers and Employees to Reshape the Organization
		Empower Broad-Based Action	
		Create Short-Term Wins	
		Consolidate Gains and Produce More Change	
		Anchor New Approaches in the Culture	

Note. The data in column 1 are from *The Boundaryless Organization: Breaking the Chains of Organizational Structure*, by R. Ashkenas et al., 2002, San Francisco: Jossey-Bass. The data in column 2 are from *Built to Last*, by J. Collins and J. Porras, 1994, New York: Harper Collins. The data in column 3 are from *Leading Change*, by J. Kotter, 1996, Boston: Harvard Business School. The data in column 4 are from Manzoni as cited by Rogowski, 2005.

Model for Leadership of an Organizational Cultural Intervention

Kotter's eight-step approach to organizational change (1996) was based upon years of evaluating failed change efforts, and addresses many of the problems identified by Beer and Nohria (as cited by Vakola, Tsausis, & Nikolaou, 2004). These eight steps include:

1. Establish a sense of urgency—Create a burning platform.
2. Create a guiding coalition—Individuals who are well-respected and who are committed to the change initiative that have the power and influence to drive this change through the organization.

3. Develop the vision and strategy—This must be a relevant vision that can be clearly articulated by every employee within the organization.
4. Communicate the vision—This must be done to gain buy-in.
5. Empower employees to action—Organizations must remove barriers that prevent employees from achieving the organization’s vision.
6. Create short-term wins—So as to energize employees and build momentum necessary for the change initiative.
7. Do not let up—Change must be embedded within the organization in order to make the vision a reality.
8. Make change stick by anchoring these new approaches in the culture—Create supporting systems, processes, and structures that strengthen the culture.

Kouzes and Posner (2002) expressed that leadership was about practice, not personality.

They identified the common themes and created a model of leadership in which they identified successful leadership practices (taken from the followers’ perspective):

1. Challenge the process—Constantly ask, “Why are things being done this way?”
2. Inspire a shared vision—Share the vision so as to provide direction and meaning to engage others in its pursuit.
3. Enable others to act—Foster environments that enable others to act to produce both high task and high results accomplishments.
4. Model the way—Lead by example.
5. Encourage the heart—Recognize individuality as well as hard work and success.

As indicated by DeSimone, Werner, and Harris (2002), “Cultural changes involve a complex process of replacing an existing paradigm or way of thinking with another” (p. 594) resulting in a new set of values, systems, and processes, which can only be accomplished through effective leadership. Kotter and Heskett (1992) asserted that producing change is the primary role of leadership within an organization and that competent leadership is the primary driver of

successful organizational change, thus “Without leadership, purposeful change of any magnitude is almost impossible” (p. 99). That being said, this researcher sees no value in creating a new model for leadership of an organizational cultural intervention when several successful models are in existence today that have been built based upon failed change efforts and are fully supported by the literature. This researcher reviewed many models, with a strong focus on Kotter’s eight-step approach and Kouzes and Posner’s five practices of effective leadership. This review showed a strong similarity between the two as both models include inspiring a shared vision, enabling others to act, and creating short-term wins. Thus either model by itself would be effective.

Kotter’s eight steps might appear to be relatively simple, but that is far from the case as can be seen by the magnitude of the number of failed change efforts depicted in the literature! Schein (1992) posited that the roles of leadership and organizational culture are linked: “Change then occurs through cognitive redefinition of key concepts, and the resulting behavioral changes become frozen in the personality of the individuals and in the norms and routines of the group” (p. 312). Organizational culture is a result of an organization successfully managing these eight steps and inculcating the change.

A new combination model created by the researcher—the integrated model for change (Figure 3)—consists of four steps, each consisting of several actions. These four steps were selected due to their ability to be inclusive of the elements of both Kouzes and Posner’s and Kotter’s model. These four steps are: create the need for change; rally around a shared vision; encourage active participation; and lead the way. Step 1 requires the organization to identify the need for change while at the same time establishing the urgency behind the need. In step 2, the

organization must develop a shared vision that will inspire individuals within to change. In order for this change to occur, this vision must be clearly communicated and understood by all levels within the organization. Encouraging active participation, step 3, requires that individuals within the organization challenge existing beliefs, behaviors, processes, and systems. In addition, the leadership must enable others to act by empowering them to action by removing barriers to successful implementation of the change effort via leadership from a guiding coalition. Lead the way, step 4, requires that leadership within the organization celebrate short-term wins while maintaining a strong focus on the change effort. This step requires diligence as the change must stick or the individuals and thus the organization will revert back to old beliefs, behaviors, systems, or processes.

Dotlich and Noel (1988) stated, “The ability to turn on a dime, to create new organizational structures, cultures and mind-sets that thrive on a diet of rapid-fire change, has become critical to ongoing business success” (cover sleeve). After reviewing the current literature on change and organizational change, one must come to the realization that change is no easy feat, especially as the research indicated that up to 75% of change efforts do not yield the promised results (Wheatley, 1998). The research indicated that the success of a change effort boils down to three essential ingredients: planning, communication, and participation. In order for a cultural change to be successful, one must ensure (a) active participation in each step of the process, (b) that one has the ability to accurately assess the existing culture while defining the desired culture, (c) that one can define the gap between the two and create an effective action plan, and last but not least (d) that there is a leader who can clearly communicate and create passion around the desired change.

In summation, leaders need to build individual and organizational capacity, monitor the external and internal environment, encourage participation, and communicate by providing information, as well as listening (Schein, 2004), all of which can be accomplished by utilizing the integrated model for change, which blends Kouzes and Posner's five principles of leadership in conjunction with Kotter's eight-step process. Kotter's model addresses effective implementation, while Kouzes and Posner's five principles of leadership encourages the development of organizations that have a high level of adaptability—an essential ingredient for success in the 21st century.

CHAPTER 3. METHODOLOGY

As indicated in chapter 1, the purpose of this study was to evaluate the impact that the new leadership team at a company referred to as Transformation had on the organization. The problem addressed by this research was the relationships between contemporary leadership, organizational culture, and planned change. Chapter 2 provided a review of the relevant literature with the sole purpose of establishing a broad theoretical framework for this research study. In chapter 3, the research design and methodology utilized for this study is presented. Both the research design and methodology have been well supported by the literature. In addition, this chapter presents the data collection and analysis processes that were utilized in this study.

Research Design

Research is a systematic and methodical process of inquiry used to increase knowledge (Amaratunga et al., 2002). The terms *research methodology* and *research design* are often used interchangeably; however, they are not synonymous. Remenyi, Williams, Money, and Swartz defined research methodology as the “procedural framework within which the research is conducted” (as cited by Amaratunga et al., 2002, p. 18). Leedy and Ormrod (2005) defined research methodology as “the general approach the researcher takes in carrying out the research project; to some extent, this approach dictates the particular tools the researcher selects” (p. 12). Leedy and Ormrod believed that research design “provides the overall structure for the procedures the researcher follows, the data the researcher collects, and the data analyses the

researcher conducts” (p. 85). Simply put, research design is nothing more than the plan of a study (Schwab, 2005) and includes sample design and data collection design.

Using a case study format with a mixed methods approach, this research study examined the relationships between leadership, culture, and change. The research process included a review of documents and archival records, direct observation, interviews with the president and change steering team members, an employee engagement survey, and two follow-up employee pulse surveys measuring organizational performance and communication (Figure 3).

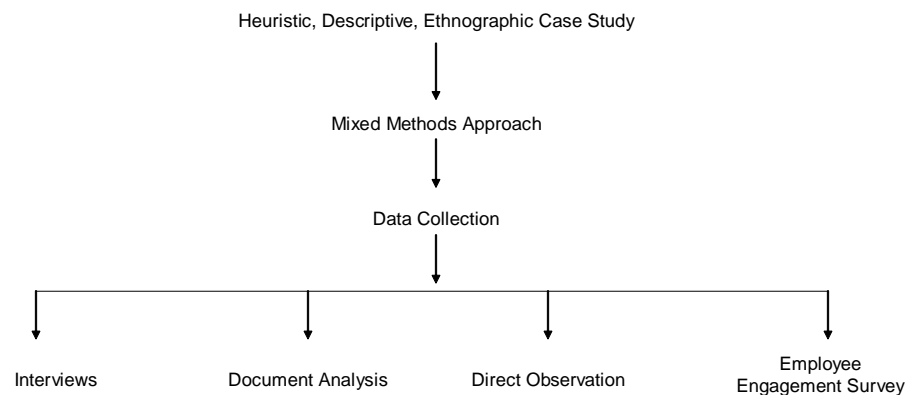


Figure 3. Research design.

Quantitative, Qualitative, and Mixed Methods Research Methodology

Initially two categories were used to classify research: quantitative and qualitative (Amaratunga et al., 2002; Leedy & Ormrod, 2005; McMillan, 2004). Over time, three approaches to research have become recognized: quantitative, qualitative, and mixed methods (Creswell, 2003; Denzin & Lincoln, 2000; Gall, Gall, & Borg, 2003; Leedy & Ormrod, 2005; McMillan, 2004). The determination made by the researcher of which approach to use is based

upon the research problem, personal experiences, and the audiences (Creswell, 2003). During the literature review process, this researcher read works and studies on the various types of qualitative (post positivist, phenomenological, or interpretive) and quantitative (positivist, scientific, or modern) research methodologies. Gall et al. (2003) stated that positivism (quantitative) is defined as the “epistemological doctrine that physical and social reality is independent of those who observe it, and that observers of this reality, if unbiased, constitute scientific knowledge” (p. 14), while post positivism (qualitative) is defined as the “epistemological doctrine that social reality is constructed and that it is constructed differently by different individuals” (p. 15).

Denzin and Lincoln (2000) wrote, “We discovered that the very term qualitative research means different things to many different people” (p. xvii). This researcher concurs and has used the terms quantitative, qualitative, and mixed to describe the overall methodology, as well as the types of data collection approaches because “data and methodology must be recognized as interdependent” (Leedy & Ormrod, 2005, p. 93). Thus any study where the researcher is external or considered to be an outsider who uses experiments in which samples and populations are studied and that objectively expresses results primarily in numbers, measurements, or statistics will be labeled quantitative or positivist research (Gall et al., 2003; Lacity & Janson, 1994; Lee, 1991; Lee, 1992; McMillan, 2004; Poggenpoel, Myburgh, & Van Der Linde, 2001). Any study that uses natural settings where the researcher is internal or considered to be an insider who studies cases and that subjectively expresses results in words, narratives, or themes will be labeled qualitative or post positivist research (Gall et al., 2003; Lacity & Janson, 1994; Lee, 1992; McMillan, 2004; Poggenpoel et al., 2001; Sanders, 1982). Studies that use both will be

labeled mixed-method research. Evered and Reis (1981) referred to these two methodologies as inquiry from the outside (quantitative or positivism) and inquiry from the inside (qualitative or post positivism). This research study utilized both methodologies.

Quantitative or “positivist research designs place a premium on the early identification and development of a research question, a set of hypotheses” (Denzin & Lincoln, 2000, p. 368), while qualitative research is “used to answer questions about the complex nature of phenomena, often with the purpose of describing and understanding the phenomena from the participants’ point of view” (Leedy & Ormrod, 2005, p. 94). In quantitative research, hypotheses are developed and tested, and are either confirmed or disconfirmed, while in qualitative research general research questions are developed and tentative answers are identified. The general questions researched in this study included:

1. What were the internal and external forces driving organizational changes?
2. Were there any unanticipated consequences of the change process?
3. To what extent has senior leadership influenced or managed the organizational change?
4. What was the impact of shifting from a science-based research company to a consumer packaged goods company?
5. How did the practices at Transformation compare with the “best practices for change” as identified in the literature?
6. What can be learned from this study about leadership, culture, and change?

Post Positivist Research Design—The Case Study

This researcher found reference to the following relevant post positivist or post modern research designs, also referred to as strategies of inquiry: phenomenology, ethnography, and case study. Phenomenology is a human research approach and is literally the study of phenomena. Phenomena may be events, situations, experiences, or concepts. “Phenomenology is the study of the world as it appears to individuals when they place themselves in a state of consciousness that reflects an effort to be free of everyday biases and beliefs” (Gall et al., 2003, p. 481). Gall et al. (2003) stated, “In doing a phenomenological study the researcher is intimately connected with the phenomena being studied” (p. 481). Ethnography has its roots in anthropology and is a methodology for descriptive studies of cultures and people. In an ethnographic study, the researcher evaluates an intact cultural group in a natural setting over a prolonged period of time by collecting primarily observational data (Creswell & Miller, 2000). In an ethnographic study, the researcher’s role is to be a participant observer. Frow and Morris (2000) state, “Changing the culture is a way of challenging the conduct of other people’s everyday working lives” (p. 315). Who better to analyze the existing culture than those within it? However, one must be careful that all can see and maintain focus on the desired outcomes of the research.

In a case study, the researcher explores a program, event, process, activity, or individual(s) in-depth (Merriam, 2001, p. 33). The case(s) are bound by time and activity, and data is collected in a variety of ways over a period of time (Stake, 1995). “In general, case studies are the preferred strategy when how or why questions are being posed. When the investigator has little control and when the focus is on a contemporary phenomenon within some real life context” (Yin, 1994, p. 1). Case study methodology is not a linear process (Cooper,

1984; Merriam, 2001; Patton, 1990; Stake, 1995; Yin, 1994). Stake (1995) claimed that case study knowledge is: more concrete, more contextual, more developed by the reader's interpretation, and based more on reference populations determined by the reader.

This case study is described as heuristic because *heuristic* refers to case studies that increase the understanding or knowledge of the phenomena being studied. It is the hope of this researcher that this study has added to the literature on leadership, organizational culture, and planned change.

An intrinsic case study is undertaken when the researcher wants a better understanding of a particular case (Stake, 1995). Stake (1995) wrote:

Previously unknown relationships and variables can be expected to emerge from case studies leading to a rethinking of the phenomenon being studied. Insights into how things get to be the way they are can be expected to result from case studies. (p. 47)

This is also an appropriate description of this research study.

Data Collection Approaches

Qualitative and Quantitative Methods of Data Collection

As previously described, there are two basic approaches to data collection: qualitative and quantitative (Amaratunga et al., 2002; Leedy & Ormrod, 2005; McMillan, 2004). Swanson, Watkins, and Marsick (1997) support the use of qualitative research: "Organizational researchers. . . are most likely to make a difference when they construct research in a manner that focuses on how organizations make meaning of events and phenomena rather than on the bare facts, devoid of context" (p. 92). In a qualitative methodology, the research takes place in the natural setting and is both emergent and interpretive in nature. These are important as it is critical

to be able to study the organization on a day-to-day basis, react to its ever-changing nature, be able to clearly identify or diagnose the existing culture, and ultimately create a plan that would encourage or foster change in the desired ways. Qualitative approaches to data collection usually involve direct interaction with people on a one-to-one basis or in group settings. Qualitative data collection methods are time consuming, thus data is typically collected from smaller groups than would be typical of a quantitative approach. This method is perfect for smaller organizations that can be fairly represented by selecting a small sample from the general population. Quantitative data collection methods include the use of both structured observation and structured surveys, and are suitable for large groups as they are not as time intensive as their qualitative counterparts. “It should be noted that a good deal of care must be exercised in forming generalization—or conclusion—based on qualitative research from a single case study” (Warzynski, 2005, p. 349).

When looking at qualitative versus quantitative methods of data collection, it is obvious that there are advantages and disadvantages associated with each methodology. By combining both quantitative and qualitative methods (a mixed methods approach), this researcher minimized the weaknesses of both. Interviews, observations, and document analysis were the primary data collection methods—referred to as the three-legged stool (Hall & Rist, 1999). A three-legged stool was created from different data collection methods, as its primary purpose is to enhance the strengths and minimize the weaknesses of each method (in essence, triangulation). Comparative analysis, an ongoing process of coding data, was utilized continuously throughout the research process. The primary data collection methods this research study utilized were: interviews, surveys, observation, and a review of extant data.

Interviews

Interviews were conducted with the president and a select group of the leadership team, some members of the change steering team, because interviews are a primary way to explore issues at the organizational level (Phillips & Holton, 1995). These types of assessments allowed the researcher to gather open-ended feedback, whereas the use of quantitative methods limited feedback to the choices being offered. Qualitative methods helped gain buy-in and were essential for dealing with the unknown conditions (Phillips & Holton, 1995). The benefit of conducting interviews was that they provided the opportunity for human interaction. Since they were conducted face-to-face, they allowed the researcher to observe both verbal and nonverbal responses. This method also provided the opportunity to discuss the topic in-depth as well as ask probing and clarifying questions. A challenge presented by this type of method was that the interviewer had to make sure she remained unbiased and that she did not influence the conversation in any way. This posed quite a challenge, as it does for most researchers. This method required quite a bit of upfront work, as a set of objectives and a script had to be created that included clear and concise questions (Gupta, 1999). Clear advantages of this methodology were: showed desire and openness in gathering information, and the ability to ask for clarification. Disadvantages of this methodology were: it can be quite expensive, one needs to have sufficient resources to conduct it, it can be quite a time-consuming process, it does not allow for anonymity, people may not be honest since its face-to-face, and the questions must be presented in the same manner, particularly if more than one person is conducting interviews (Robinson & Robinson, 1989). Fortunately this is not the case with this study as the number of interviews to be conducted is relatively small.

A semistructured interview process was utilized (Appendix A). Participants signed an informed consent agreement prior to the start of the interview; confidentiality was guaranteed. Names have not been used to ensure confidentiality was maintained. Findings have been reported in the aggregate. Interviews were tape-recorded, transcribed, and coded by the researcher. Results were analyzed by using a manual codification process.

Observation

As previously mentioned, this researcher utilized observation as a primary data collection method because it supplemented information gathered by interviews, the employee engagement survey, and two follow-up pulse surveys. The researcher kept the following advantages and disadvantages in mind when working with this data collection method. Advantages included: objective results, allows for comparisons, works well for large groups, allows for generalization, and can help prove a theory. Disadvantages included: information is representative of a single point in time, data is strictly numerical and thus cannot provide context or meaning, methods are inflexible, and it is not helpful with theory generation.

Document Analysis

A comprehensive review of quite a bit of extant data occurred, including but not limited to: press releases, internal communications, previous employee engagement surveys, and company financials. These sources of extant data were selected essentially because they provided the researcher with information on organizational performance and leadership direction and style, and a measurement to identify progress. Ethnographic content analysis was utilized as it permitted the researcher to gather quantitative and qualitative data from the various documents.

Employee Engagement Survey

This research also utilized an organizational engagement survey sponsored by the senior leadership team. This survey consisted of questions surrounding demographics, satisfaction, and perceptions using a 5-point ordinal scale. Surveys, a quantitative data collection method, are a viable data collection mechanism for organizations as they can capture feedback from employees in remote locations. Surveys are not typically open-ended so the information is easier to tabulate and report back on. However, this type of data collection vehicle does not permit one to ask for further feedback or clarification. Another crucial area is the design of the questions as they must be clear and concise in order to receive effective feedback. This method required quite a bit of upfront work as there were several stages involved: preparing, designing, developing questions, writing instructions, and pilot testing (Gupta, 1999). Advantages of this methodology were: quick, relatively inexpensive, global capability, potential for larger audience participation, and the ability to have information transfer into tabulation software. Disadvantages of this methodology were: not always popular, no anonymity, cannot ask for clarification, concern with honesty of responses, and history has shown that often nothing is done with the information, so people tend not to respond.

This engagement survey (Appendix B) was piloted with 24 employees so as to ensure clarity of questions and appropriateness of response scales. Pilot participants were informed regarding the role they would be playing. The survey was delivered via Perseus, an electronic survey software program. The survey consisted of 90 questions falling into eight categories: direction, leadership, environment, accountability, capabilities, motivation, innovation, and communication. Survey results were organized into the same eight categories. Data sorts were

conducted by race, tenure, divisional vice president, exempt versus nonexempt, position, and length of service. The survey was anonymous and reassurances were given that participants would remain anonymous. Anonymity was assured as all participants received an e-mail link with the same password for accessing the survey, and only aggregate survey results were electronically housed. The database did not maintain participant e-mail addresses, thus further ensuring confidentiality. In addition, two pulse surveys were conducted with approximately 1700 division employees to measure compliance to communication of survey results and action planning activities. In addition, two follow-up pulse surveys were sent via e-mail links to the same population as the employee engagement survey. The first pulse survey consisted of one demographic question (who is your vice president?) as well as a question asking whether or not the employee engagement survey results had been formally shared with the participant. The second pulse survey consisted of four questions that followed up on the communication and implementation both at the divisional and business unit levels: “I am aware of the survey action plans that have been established for the division”; “I am aware of additional survey action plans that have been established for my business unit or functional area”; “I believe that efforts are being made to address the findings in the employee engagement survey”; and “Within the last 30 days I have attended a presentation covering information from the latest management forum meeting.” In addition to these questions, managers were asked to answer two questions surrounding the integration into the performance excellence system as linkages to goals and core job responsibilities.

Transformation recognized the need to have an effective process for creating positive change, an effective implementation plan. In order to ensure that positive actions could be taken,

Transformation built in an action planning workshop with the senior leadership team whereby focus areas were identified. Once identified, action plan teams were launched (Figure 4).

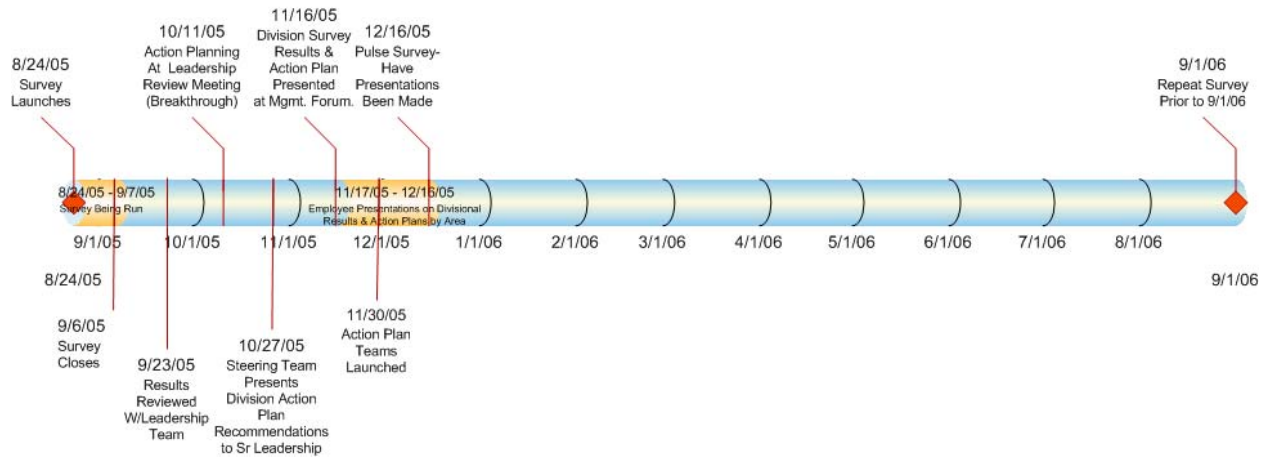


Figure 4. Employee engagement survey milestones.

Reliability, Validity, and Practicality

DeSimone, Werner, and Harris (2002) asserted that three things must be considered when selecting which data collection methods to use: reliability, validity, and practicality. These were taken into consideration. This researcher utilized all three of these in her research design:

1. Reliability—Deals with the consistency of results from a test or evaluation measure. Pilot testing helped to ensure reliability of the questions and focused more upon the dependability or consistency of the results. Survey has been adapted from one developed with an outside consulting firm for a sister division; thus its reliability is assured.
2. Validity—Critical to consider when selecting data collection methods concerned with whether the data collection method actually measures what it was intended to measure. Pilot testing helped to ensure internal validity of the instrument. In addition, an open comments section was added to the end of the survey. This data

showed that the comments supported the survey results. Interviews were used to enhance validity by allowing the researcher to gain clarification. A comparison of data, both qualitative and quantitative, helped to ensure validity of the data (triangulation).

3. Practicality—Is essential, in other words the organization must have the time, money, and resources available for that particular data collection method. Practicality was reflected in the use of an electronic-based survey.

Ethical Considerations

DeSimone, Werner, and Harris (2002) discussed five ethical considerations to data collection: confidentiality, informed consent, withholding training, use of deception, and pressure to produce results. This researcher took the following three into consideration: confidentiality, informed consent, and pressure to produce results. All information gathered and documented was done so as to maintain the anonymity and confidentiality of the participants. No names were logged during the interview and focus group processes. Data was coded to ensure anonymity. Only aggregate data was presented to the organization at the following levels: organization and division vice president. All participants and others who might be affected were asked for their permission for capturing and sharing, where applicable. Where evidence was gathered through interviews, it was discussed with the participant to ensure its accuracy and validity, and interviewees had the final say on its inclusion. In other words, interviewees had the right to have content stricken from the transcripts.

Population

The target population consisted of employees in various positions within Transformation, excluding the field sales force. Approximately 1700 division employees were invited to participate in the survey. The survey was distributed via a link embedded within a broadcast e-

mail from the president. In addition, two pulse surveys were conducted with approximately 1700 division employees to measure and evaluate the organization's commitment to improve and enhance communication at all levels of the organization. These pulse surveys focused on the organization's compliance to the expectations set for both the communication of survey results and action planning activities. Interviews were conducted with the president and seven members of the leadership team.

Data Analysis

Data analysis occurs when the researcher processes observations to draw out their meanings or where "analysis is a matter of giving meaning to first impressions, as well as to final compilation" (Stake, 1995, p. 71). Stake believed that "the nature of the study, the focus of the research questions, the curiosities of the researcher pretty well determines what analytical strategies should be followed: categorical aggregation or direct interpretation" (p. 77).

Case study research relies on two methods: direct interpretation of the individual instance, and aggregation of instances until one can see a common theme with which to connect them as a class (Stake, 1995). Stake stated, "Each researcher needs, through experience and reflection, to find the forms of analysis that work for him or her" (p. 77).

In mixed methods research, data analysis depends upon the type of research strategy chosen (Creswell, 2003). The qualitative data gathered during this study was reviewed, and comments then bucketed using theme identification. In other words, this researcher developed clusters and ultimately themes. By quantifying qualitative data, this researcher was able to compare it to quantitative results and make some comparisons and draw conclusions (Creswell,

2003). “Coding is the heart and soul of whole text analysis. Coding forces the researcher to make judgments about the meanings of contiguous blocks of text” (Ryan & Bernard, 2000, p. 780).

Ryan and Bernard (2000) believed that the process of coding required: sampling, identifying themes, building codebooks, marking texts, constructing models, and testing models.

In qualitative studies, themes are identified before, during, after, or as parallel data collection processes with initial themes being derived from the literature review (Miles & Huberman, 1994; Ryan & Bernard, 2000). Creswell (2003) identified steps involved in analyzing data from a survey that this researcher utilized:

1. Report number in sample that did and did not return the survey.
2. Discuss the method by which response bias will be determined. Response bias is the effect of nonresponses on survey estimates. . . . Bias means that if nonrespondents had responded, their responses would have substantially changed the overall results of the survey.
3. Discuss a plan to provide a descriptive analysis of data.
4. Identify the statistics and the statistical computer program for testing the major questions or hypotheses in the proposed study. . . . Provide a rationale for the choice of statistical test and mention the assumptions associated with the statistic. (pp. 160–161)

Statistical analysis of data can be a time-consuming and complex, and is often done using analysis software. However, due to the limited amount and complexity of the qualitative data, there was no need to use qualitative data analysis software in this study. Initially a survey team member manually reviewed, analyzed, sorted, and themed the data. In addition, the researcher independently reviewed, analyzed, sorted, and themed the data. The researcher then compared the two lists to identify both commonalities and differences. The researcher then focused in on the differences, incorporating those from the initial review where necessary.

The survey scale was condensed from the original 5-point ordinal scale to a 3-point ordinal scale by combining the *strongly agree* with the somewhat *agree* and the *strongly disagree* with the *somewhat disagree*. Survey results included the number of employees surveyed; the actual number of responses received; the number of people surveyed for each question and the number who responded to each question; mean scores for each question; category and profile; and frequency scores for individual survey questions. Survey results were compiled into a divisional aggregate report for each question, as well as for the previously mentioned categories. Results were also exported to Excel and PowerPoint software programs in order to create custom reports. Divisional vice presidents received results for their specific group or location and the division aggregate for comparison purposes. They did not have access to the specific results of their peers as the president wished to alleviate competition among the ranks. As previously mentioned, the survey also included an unlimited open-ended comments section—a qualitative data entry field. These comments were coded, categorized, and quantified.

Conclusion

This mixed methods research study, using a case study format, examined the relationships between leadership, culture, and change. The process included a review of the documents, direct observation, interviews with the president and change steering team members, an employee engagement survey, and two follow-up employee pulse surveys. This researcher has shown that although each research methodology has merit on its own, its true value comes when used in combination because it allows the researcher to enhance the strengths and minimize the deficiencies inherent in each methodology. The use of a mixed methods approach in the area of

organizational studies, in particular leadership, has been well supported. Mixed methods research “is an expansive and creative form of research, not a limiting form of research” (Johnson & Onwuegbuzie, 2004, p. 19).

CHAPTER 4. RESULTS

The results of this research study were examined. This chapter will begin with a detailed description of the two research populations—population 1 being those asked to complete an employee survey as well as two pulse surveys, and population 2 being the leadership team who were interviewed by the researcher. Following the description of the research populations, data analysis results will be reported in an organized manner that addresses each of the research questions presented in chapters 1 and 3 with summaries of the main findings for each question.

Research Sample Design

There were two research populations for this study. The employee engagement survey was distributed to sample 1, which consisted of 1708 divisional employees. This same population received e-mails with links and a request to complete the two follow-up pulse surveys. Sample 2 consisted of eight members of the senior leadership team who were interviewed by the researcher.

A population of 1708 divisional employees received an e-mail with a link and a request to complete; 1388 responded (an 81% response rate). A review of the literature showed that the average response rate for electronic surveys typically runs between 70% and 75% (Business Research Lab, n.d.).

Out of the 1388 survey respondents, 603 individuals provided written comments (43.4 % of respondents). The literature revealed that comments made by online participants tend to be twice as long as those made by those responding on paper (Business Research Lab, n.d.). This

was clearly the case with this survey as there were 200 single-column printed pages of comments. It was remarkable that so many employees took the time to write comments.

Demographics gathered during the survey administration included gender, ethnicity, tenure, and length of service (Table 6). Demographics are collected to see how closely the demographic distribution of respondents matches the population; the more closely the match, the more confidence one can have in the data. In this case, the demographics collected closely match the organization's population; thus there is a high level of confidence in the data (Business Research Lab, n.d.).

In addition to gender, ethnicity, tenure, and length of service, the status of the survey respondents was also collected as it was important to understand the makeup of survey respondents to determine whether or not the results could have been swayed due to disproportionate responses by key groups (Table 7). Again, the fact that the demographics of the survey respondents are so close to the population combined with the high response rate means that one can trust the survey results as truly reflecting what employees think.

Sample 2 consisted of eight members of the senior leadership team who were interviewed by the researcher (referred to as leader H through leader O). Demographics gathered about the senior leadership team during the interview process (Appendix A) included gender, ethnicity, tenure, and length of service (Table 8).

As discussed in chapter 3, the research design focuses on exploring the relationships between contemporary leadership, organizational culture, and planned change.

Table 6. Comprehensive Demographics of Survey Respondents ($N = 1388$)

Gender	Count	% Sample Answered	% Division Office Population
Male	641	47.1	48
Female	720	52.9	52
Not Answered	27		
Ethnicity	Count	% Sample Answered	% Division Office Population
White	1097	81.7	78
Black or African American	150	11.2	15
Asian/Pacific Islander	68	5.1	5
Hispanic, Native American/American Indian/Alaskan Native	28	2.1	2
Years of Service	Count	% Sample Answered	% Division Office Population
Less Than 1 Year	103	7.6	7
1–2 Years	165	12.2	14
3–9 Years	427	31.4	32
10–20 Years	493	36.3	34
Greater Than 20 Years	170	12.5	13
Not Answered	30		

Table 7. Status of Survey Respondents ($N = 1388$)

Status	Count	% Sample Answered	% Division Office Population
Exempt	977	71.6	68
Nonexempt	387	28.4	32
Not Answered	24		
Status of Exempt	Count	% Sample Answered	% Division Office Population
Individual Contributor	577	59.2	72
Supervisor/Manager	397	40.8	28
Not Answered	27		
Exempt Attending Mgmt. Forum	Count	% Sample Answered	% Division Office Population
Yes	184	18.8	13
No	797	81.2	87
Not Answered	20		

Table 8. Comprehensive Demographics of Interview Respondents ($N = 8$)

Gender	Count
Male	6
Female	2
Ethnicity	Count
White	5
Black/African American	3
Years of Service	Count
Less Than 1 Year	0
1–2 Years	4
3–9 Years	1
10–20 Years	2
Greater Than 20 Years	1

Summary of Data Analysis

The analysis of the research data concerning each of the research questions is reported in this section. These research questions explored leadership, planned change, and organizational culture variables. These research questions were developed from an extensive review of the literature and supported by the professional experience and observations of the researcher.

Research Question 1: What Were the Internal and External Forces Driving Organizational Changes?

Data for the first research question regarding the internal and external forces driving the organizational changes was generated from the interviews conducted with the leadership team, as

well as from business and industry publications. While many commonalities were found among the respondents' lists of internal and external forces driving the changes at Transformation, there were also some differences (Tables 9 and 10).

Table 9a. Internal Factors Influencing Changes at Transformation ($N = 8$)

Leader	Forces
Leader H	<ul style="list-style-type: none"> Organization not delivering required profitability Internally-focused organization Historically led by poor leaders
Leader I	<ul style="list-style-type: none"> Organization not delivering required profitability Internally-focused organization Historically had fiefdoms, more area and power-based organization Existence of silos negatively impacting organizational execution
Leader J	<ul style="list-style-type: none"> Historically the organization has not performed to expectations Parent company not happy with performance Internally-focused organization Decrease in profit margins Decision made for organization to have an external rather than internal focus
Leader K	<ul style="list-style-type: none"> Parent company made decision to hire CPG expertise to lead the organization Internally-focused organization Decision made for organization to have an external rather than internal focus Historically focused on satisfying parent company, not its consumers Inefficient organization (cost containment, unacceptable margins) Lack of clarity in direction
Leader L	<ul style="list-style-type: none"> Historically the organization has not performed to expectations Parent company not happy with performance Organization not delivering required profitability Internally-focused organization

Table 9b. Internal Factors Influencing Changes at Transformation ($N = 8$)

Leader	Forces
Leader M	Parent company not happy with performance Organization not delivering required profitability Parts of the business losing market share Inefficient systems—requiring organization to “muscle through” Existence of silos negatively impacting organizational execution Profitability declining for the past 5–10 years
Leader N	Organizational complacency Historically R&D-led Academia-focused, not shareholder-focused Missing aspect of commercialization Lacking consumers as end-user orientation
Leader O	Parent company not happy with performance Organization not delivering required profitability Profitability declining for the past 5–10 years

Table 10a. External Factors Influencing Changes at Transformation ($N = 8$)

Leader	Forces
Leader H	Increased competition Rapidly changing marketplace Eroding profit margin due to increased costs Decrease in market share due to pricing structure
Leader I	Historically there was little competition in the marketplace; no longer the case Rapidly changing marketplace Increased competition—addition of private label products Eroding profit margin due to increased costs Decrease in market share due to pricing structure

Table 10b. External Factors Influencing Changes at Transformation ($N = 8$)

Leader	Forces
Leader J	<p>Maturity in marketplace</p> <p>Rapidly changing marketplace</p> <p>Increased competition</p> <p>Emergence of competitors willing to take lower margins</p> <p>Changes in the regulatory environment, making healthcare less profitable</p>
Leader K	<p>Competitive category</p> <p>Rapidly changing marketplace</p> <p>Changes in the regulatory environment, making healthcare less profitable</p> <p>Consumers more knowledgeable</p>
Leader L	<p>Competitive environment</p> <p>Healthcare industry changes</p> <p>Changes in the regulatory environment, making healthcare less profitable</p>
Leader M	<p>Changes in the regulatory environment, making healthcare less profitable</p> <p>Maturity in marketplace</p> <p>Rapidly changing marketplace</p> <p>Increased competition</p>
Leader N	<p>Maturity in marketplace</p> <p>Increased competition</p> <p>Rapidly changing marketplace</p> <p>Emergence of competitors willing to take lower margins</p> <p>Changes in the healthcare environment</p> <p>Increased recognition of nutrition in managing health and wellness, which has created opportunities</p>
Leader O	<p>Changes in the regulatory environment, making healthcare less profitable</p> <p>Market economic impact of cost of goods (COG) had significant impact</p> <p>Inefficiencies in processes thus cost profile was no longer acceptable</p> <p>Unable to take continued price increases</p> <p>Inability to drive manufacturing cost down</p> <p>Inability to negotiate lower pricing with vendors</p>

When looking at the internal factors driving change (Tables 9a and 9b), one can see that four out of eight leaders (or 50%) identified the fact that historically the organization has not performed to expectations. Six out of eight (or 75%) leaders discussed the fact that profitability in some way has been an internal force driving change, whether it was a decrease in profit margins or market share resulting in the inability of the organization to meet required profitability goals, or the fact that over the past 5–10 years the organization has experienced declining profitability resulting in missing plan.

Six of eight (or 75%) described the organization's internal rather than external focus as an internal force driving changes at Transformation (i.e., historically focused on satisfying needs of parent company driven by increasing shareholder value rather than a focus on its consumers, and decisions being made based upon internal rather than external factors), while only one in eight (or 12.5%) mentioned historically poor leadership at the helm, lack of clarity in direction, academia or R&D-focused, lacking an end-user orientation, organizational silos focused on power-base, inefficient systems, and missing aspects of commercialization as internal forces driving changes at Transformation.

Upon review of the comments made by the leadership team during the interview process regarding external forces driving changes at Transformation (Tables 10a and 10b), one can see that six of eight leaders (or 75%) identified the rapidly changing marketplace as a major reason for change. Seven of eight (or 87.5%) mentioned that increased competition (i.e., the addition of private label as well as the emergence of competitors willing to take lower margins) was a critical force. Six of eight (or 75%) discussed the ramifications of changes in the regulatory environment resulting in healthcare becoming a less profitable business. Three of eight (37.5%)

mentioned eroding profit margins due to inefficiencies in processes resulting in an inability to drive manufacturing costs down, the inability to negotiate lower prices with vendors, or an inability to increase prices to the consumer. Only one of eight (12.5%) discussed the impact that more knowledgeable consumers were having on the industry as a whole.

Summary

Industry publications validated many of these forces driving change: global marketplace; competitive environment; greater diversity in the workforce; retiring baby boomers; healthcare costs spiraling upwards; government policies, laws, and regulations; erosion of public trust in the government and in business; continuing pressure for quality; leadership and vision; and the need to reduce costs of production (Russell & Russell, 2005).

Research Question 2: Were There Any Unanticipated Consequences of the Change Process?

Much of the data for the second research question regarding the identification of any unanticipated or unintended consequences of the change process was generated from the leadership interviews and supported with written survey comments. While the leadership had orchestrated changes in the past, they mentioned several unanticipated or unintended consequences of the changes at Transformation (Table 11).

Table 11. Unanticipated/Unintended Consequences ($N = 8$)

Leader	Consequences
Leader H	<p>Underestimated how long the change would take</p> <p>Failed to understand how entrenched the culture was</p> <p>Didn't fully understand culture/processes so difficult to understand how to get around the barriers</p> <p>Business results didn't come quickly enough, organization has to sell off parts in order to cover the gap</p>
Leader I	<p>Didn't know that employees would feel so unloved and unwanted</p> <p>Many mid-managers (leaders) just straddled the fence, so results did not meet expectations</p> <p>Fear and resistance were astounding. Change estimated at 3 months and took 6 months</p>
Leader J	<p>Underestimated how long the change would take</p> <p>Failed to understand how entrenched the culture was</p> <p>Failure to understand the business and human impact of focusing on CPG</p>
Leader K	<p>Failure to understand the business and human impact of focusing on CPG</p> <p>Changes were much more difficult to implement than expected</p>
Leader L	<p>Didn't fully understand or anticipate the impact that the changes would have on the people</p> <p>Lack of clear understanding of how the work gets done</p>
Leader M	<p>Nothing unanticipated due to having orchestrated changes in past organizations</p> <p>Underestimated the depth of the dip; surprised by the sheer tenacity of people not to change</p> <p>Change estimated at 3 months and took 6 months</p>
Leader N	<p>Failure to understand the business and human impact of focusing on CPG</p> <p>Changes were much more difficult to implement than expected</p> <p>Surprised by level of skepticism</p> <p>High level of mistrust in the organization</p>
Leader O	<p>Failure to understand the value placed upon tradition—many sacred cows</p> <p>Failure to understand the business and human impact of focusing on CPG</p>

Four of eight (or 50%) were astounded by how long the change took, which resulted in business results not coming quickly enough ultimately requiring the organization to “sell off parts in order to cover the gap” (leader H). In addition, four of eight (or 50%) remarked that they underestimated how truly entrenched the culture was, as indicated by their failure to understand the value placed on tradition and “sacred cows” (leader O). Lastly, four of eight (or 50%) members of this leadership team were truly surprised by the level of mistrust and skepticism, which contributed to resistance that significantly impacted both time and results. The fact that an organization cannot change if its employees will not change is widely supported in the literature (Dotlich & Noel, 1998; Jick, 1999)

One of eight (or 12.5%) identified how the parent company’s culture and processes created barriers to change, identified surprise that the changes resulted in so many employees feeling unloved and unwanted, and lastly indicated that there was a lack in clear understanding of how the work actually gets done in the organization.

Employee survey written comments supporting the unintended and/or unanticipated consequences of change identified by leadership during the interview process included:

1. “I wholeheartedly embrace and agree with the changes that we’re making toward becoming aligned with the consumer, shopper, and partnering with the retailer. I believe it was necessary to bring in leaders from successful CPG manufacturers to accomplish this. My concern is that we’ve developed corporate amnesia. Although it’s important to change the way we’ve been doing things all these years, many of our new leaders have not understood the importance of learning about the culture.”
2. “The layoffs were disheartening, we all feel like we are expendable.”
3. “I believe in our products, I no longer trust management.”
4. “I believe that Transformation has always held a high regard for their employees and treated them well. . . . I feel this is being diminished for various reasons.”

5. “The following major hurdle must be dealt with: the significant numbers in the workforce who hope this is just a bad dream and when they wake up, we’ll be back in 1995 and the old Transformation will be alive and well.”
6. “Overall, I believe we are headed in the right direction and there are many exciting things on the horizon. I also feel that many people are still taking a ‘wait-and-see’ approach.”
7. “Leadership is not managing the business with the understanding that employees are real people that need to be respected. . . . When employees feel like they can be thrown out.”

Summary

Even with the level of change experience of this leadership team, they failed to accurately project employee reactions and the actual impact that these reactions would have on the both the time and effectiveness of the change effort, thus underestimating the true impact upon business results.

Research Question 3: To What Extent Has Senior Leadership Influenced or Managed the Organizational Change?

The third research question explored the role of leadership, specifically to what extent senior leadership influenced or managed the organizational change. This question was explored utilizing the integrated model for change that the researcher developed, survey data, feedback from the leadership team interviews, a review of documents, as well as observations made by the researcher.

Create the Need for Change

It is essential for people to understand and appreciate the reasons for the desired change (McManus, 2003). The president of Transformation, understanding the importance of an

informed organization, communicated the fact that the organization's performance had been below expectations for years. Employees throughout the organization found out for the first time that for 7 out of the previous 11 years, the organization had failed to meet plan. Many found this hard to believe due to the fact that Transformation had always been considered a cash cow, always providing the needed cash flow to fund research and development in other parts of the parent organization.

Senior leadership implemented many changes to organizational systems, processes, and procedures, which is the groundwork for changing a culture (Schneider et al., 1994). These changes aided in employees' understanding that there was indeed a need for change as they could no longer get their work done in the ways they had in the past.

During interviews with the senior leadership team, this researcher asked about the importance of systems thinking to the organization, as well as how this approach influenced strategies and structures in the organization. Eight of eight (or 100%) responded that a systems approach was critical for any leader to understand, as it was critical that leaders look across an organization (leader M), keep the big picture in mind (leader L), and begin with the end in mind (leader J). While the importance of systems thinking was understood by all, they were aware of the fact that the work that had been done over the past year was more selective rather than systems-focused due to the major issues and gaps that faced the organization and which were significantly impacting overall performance. Senior leadership was conscious of the ramifications and consequences resulting from their decisions (leader N) and stated that these decisions were not made in a vacuum. They clearly understood that these corrections would result in the identification of major gaps and issues in other areas that would then need to be

fixed or addressed. However, due to the environment, their initial focus needed to be around how to interface more effectively externally, with a plan to fix the internal issues over time as clearly not everything could be done at once. Based upon the actions implemented over an 18-month period, leadership—through the interview process—identified that an incremental change approach was selected and implemented, and felt this to be the most effective due to the fact that the organization had to continue to operate and the cultural change would result in an improvement in the existing system. It is important to note that at the same time, all agreed that the newly implemented structures were driven by a systems approach.

Rally Around a Shared Vision

In order to provide a shared vision, senior leadership developed five key strategies (later revised and referred to as the five strategic choices) that were to provide focus and direction to the organization. These key strategies were to help identify how the organization would meet its vision for the future:

1. Grow our core nutrition brands/businesses.
2. Develop adjacent product categories.
3. Innovate products, processes, and systems.
4. Improve customer, consumer, shopper, and healthcare professional satisfaction.
5. Grow and develop our people.

The president and leadership team developed a focused cultural change strategy consisting of three elements: (a) Utilization of an outside consulting firm to provide the organization with a set of common tools supported by a common language to help achieve the shared vision (Schneider et al., 1994), (b) Design and launch of an employee culture survey to

gather employee feedback, and (c) Action planning and tracking at both the divisional and business unit levels to address critical areas identified through the survey. Over the course of a year, all managers as well as key individuals below the manager rank attended workshops in which these tools and the language were presented.

Encourage Active Participation

Leadership shifted from a more transactional approach where decisions were made in the executive office to a transformational approach whereby employees became engaged in making decisions around shared goals allowing the organization to remain competitive in its ever-changing marketplace.

Leadership implemented several changes to the organization's structure and processes:

1. A matrix organization was created included of the development of category business units as well as cross-functional business unit leadership teams whereby team members were aligned, capacity was increased, and business results were maximized (Senge, 2001).
2. Several integrated teams were created, including sales and marketing, to improve efficiency and productivity.
3. Significant improvement was made to several processes that were preventing the organization from accurately projecting and delivering upon promised results. These included business planning, sales planning, and innovation. Leadership clearly understood that to change culture, one must first change an organization's practices, procedures, and behaviors (Schneider et al., 1994).

In order to gain valuable insight and to confirm what leadership believed to be the key issues and challenges facing the organization, a decision was made to conduct an employee engagement survey as one must identify the current culture before one can decide how to change it (Maher, 2000). This was done even though the organization had gone through a significant reduction in force only a few months earlier. The survey was designed to gauge employee

attitudes toward the organization's performance and business processes. The last organizational culture survey was implemented in 1997, and according to feedback from various sources (employees and leaders who were there at the time), nothing was really done with the data. The fact that nothing was done previously put pressure on this leadership team to act upon the results if they truly desired to have an active and engaged workforce. The employee survey consisted of eight categories: direction, leadership, environment, accountability, capabilities, motivation, innovation, and communication. Transformation's sister division executed a very similar survey. In fact, Transformation used their survey as the starting point for its own as it was developed in conjunction with a major consulting firm and so had the validity that Transformation needed. The questions in each category were averaged, with the end result being a category average that could be used to gauge the performance in each of the eight categories. The sister division's results are compared to Transformation's (Table 12).

The survey allowed for the addition of written comments. This option was taken advantage of as is reflected in the fact that 603 employees (43.4%) added their thoughts. The researcher and survey team members reviewed these comments in their entirety, and common themes (categories) were identified (Table 13). Comments were both positive and critical in nature.

Table 12. Category Averages ($N = 1388$)

Category	Category Description	Transformation Category Average	Sister Division Category Average
Direction	Understand strategies, job link to strategies (9 Questions)	55%	67%
Leadership	Questions about direct supervisors and senior leadership (12 Questions)	71%	71%
Environment	How we work together, work-life balance, and resource deployment (20 Questions)	60%	60%
Accountability	Emphasis on results, goals, and ownership (9 Questions)	70%	74%
Capabilities	Skill development and career opportunities (10 Questions)	64%	67%
Motivation	Pride and passion (11 Questions)	72%	53.6%
Innovation	How business is managed, product development, and how change is handled	50%	58.2%
Communication	Flow of information and type of information desired (3 Questions)	63%	N/A

Table 13a. Summary of Employee Comment Frequency ($N = 603$)

Frequency	Category	Details/Comments
106	Business Strategies and Decisions	<p>Concerns: Many comments and questions about BU/marketing capability and direction, lack of long term planning, changing priorities. Specifically called out:</p> <ul style="list-style-type: none"> • Concern about balance of science (HCP) to consumer and losing critical advantage (14) • Questions about why we don't advertise more (13) • Questions around the strategy of high price/high margins (15) • Concerns that we always seem to follow the competition (17)
91	Communication of Vision/Strategic Direction/Tactics and Business Results	Concerns: Strategies need to be translated to actionable tactics deeper into the organization; explain what they mean; share information about the state of the business and results; push information further down into the organization; many don't know what the five strategies are.
66	Pride and Passion	For organization, job, and products
48	Middle and Lower Level Leadership	Concerns: Business information not always communicated, environment of fear, micro-management, not listened to, general leadership
48	Cross-Departmental Alignment/Silos/ Cooperation	Concerns: Still many silos—just new ones based on new structures; issues around political/personal agendas, full information not shared.
45	Hopeful About the Future	Think we are moving in the right direction; feel positive we will succeed.
40	Implementation of New Processes	While many acknowledged significant new business processes are necessary, there are many comments about poor implementation, the speed and number of processes negatively impacting implementation, and noncompliance with the processes, especially RAPIDS [innovation process]. Fourteen comments were specifically directed to the need for clarification of roles and responsibilities, handoffs, and decision and influence rights. There is a lot of confusion.
37	Promotions/Hiring Practices	Perceptions of reverse discrimination as a result of focus on diversity placement goals; favoritism and bias in internal placements.
37	Poor Morale	Remarks that morale overall is low; often in comparison to the past. Often linked to comments (21) that individuals don't feel valued by the company.

Table 13b. Summary of Employee Comment Frequency ($N = 603$)

Frequency	Category	Details/Comments
36	Internal Career Opportunities/Ability to Advance	Concerns: Perceptions that opportunities to advance are very limited. Not fully utilizing degree—can't demonstrate capabilities in current role; not given a chance to use degree earned while at Transformation; can't get opportunity without degree (but have equivalent experience).
36	Allocation of Resources/Headcount/ Workload	Distribution of workload is uneven. Some areas and individuals are working long days and weekends; some seem not to have to exert extra effort. Questions about whether headcount is deployed to the right places, especially post-RIF. Many comments about moving from one project requiring excessive time commitments to another.
36	RIF	Negative comments about the rationale and implementation of the RIF. Sixteen comments specifically about the closing of the cafeteria and the impact on productivity.
34	Positive Comments About the Survey	Appreciation for the opportunity to be heard; hope that results will be used to make things better.
25	Knowledge Management	Concerns: Need structured ways to share the knowledge that is held in pockets; requests that past experiences and knowledge are respected; mining knowledge of new employees.
23	Technology Systems	Concerns: IT/business systems are outdated, slow. Better data is required to meet current business challenges.
23	Availability and Access to Development Programs	Concerns: Insufficient time to take advantage of training; funding not available to participate; company not investing in development.
23	Compensation and Benefits	Concerns: Pay equity for minorities and women, effective use of performance excellence, benefit take-aways, nonexempt sick time parity.
19	Rewards and Recognition	Concerns: Recognition events have dwindled; need managers to provide informal and formal positive feedback; some areas reward liberally— others not at all.

Several observations were made based upon the survey results and supported by written comments. As already mentioned, the demographic composition of respondents is very close to the overall demographics in the target population. It was not surprising that the “I” questions tend to be rated higher than those asking about “Employees” (I take responsibility—92%;

Employees take responsibility—63%). In addition, the results showed that pride and passion were very strong—for the company, for the products, and for individual jobs (5 of the top 10 *agree* questions were in the motivation category with many written comments in this category). The direction and innovation categories were the most concerning as they had the lowest average category scores (4 of the top 10 *disagree* questions were in the innovation category; 5 of the top 10 *neutral* questions were in the direction category, and 3 were in the innovation category with written comments confirming concerns in these areas). Communication of strategies and business information was shown to be very weak. Management forum group scores in several direction categories were relatively low, and many written comments requested additional information on strategies, tactics to support the strategies, successes, and results. On a positive note, satisfaction with immediate managers was high overall (67–79%). There was a curious distinction within the accountability category as 92% agreed that they were held accountable to achieve results, but only 52% agreed that their managers routinely reviewed goals and discussed their progress. Perceptions of the availability and fairness of promotions was low, and written comments surfaced many concerns about the impact of diversity placement goals on internal opportunities. Employees were concerned about resources and only 53% believed Transformation had the resources to deliver the strategies, and only 29% believed that resources were deployed to areas of most need, which was reflected in the written comments about uneven workloads across different areas. Effective process implementation was one of the top 10 *disagree* questions and was mentioned often in the written comments. Concern appeared not to be about the processes themselves, but the resources required and granular implementation (clarity of roles and responsibilities, decision and influence rights, workflow, etc.).

After the survey results were compiled and analyzed, the leadership team shared a number of actions that they would take to communicate and address the results of the survey. A decision was made that the organization would initially look for those focus areas that would have the greatest positive impact on employees and on the division's performance. Leadership identified action plans that would occur at both the divisional and business unit levels. It was decided that leadership would share the survey results and action plan recommendations with their employees (Fralicx & Sanchez, 2003). Employees were expected to provide their thoughts on what they meant and what might be done to improve them going forward. These six action plans consisted of six focus areas seeking to communicate and improve areas of concern that were identified in the employee survey:

1. Expand employee communication strategy to more effectively engage employees in the vision and strategic direction, while elevating employee understanding of business performance and key drivers. Survey results clearly showed that little more than half of the respondents (55%) were satisfied with the information that he/she received from management on what was going on in the organization. In addition, while 62% of the respondents understood the five key strategies, only 51% understood their role in helping the organization meet these key strategies and less than half (45%) of respondents believed that these strategies provided them with clear direction.
2. Establish a link between the five key strategic choices and performance excellence goals. This was necessary as only half (50%) of the respondents understood how their current position fit into the key strategies.
3. Create and institutionalize processes that will ensure that the organization better anticipates the competition. This was critical as only 31% of respondents felt that the organization anticipated the competition.
4. Establish a process and database to collect and share "lessons learned" on major projects and initiatives. This was required as only 27% of respondents believed that the organization consistently learned from its mistakes.
5. Improve the introduction and promotion of new products. This was identified as an opportunity for improvement as significantly less than half (39%) of survey respondents believed the organization did a good job with new product development,

only 33% felt the organization effectively promoted new product introductions to customers/consumers, whereas only 47% agreed that the organization adapted to market and consumer demands and took advantage of new business opportunities.

6. Establish and communicate new product development success criteria. This was added due to its importance in having a pipeline of successful products. This concern was represented by the written comments of survey respondents.

There was very strong support among employees for action plan 1 and action plan 2. In addition, recommendations included: combining action plan 3 and action plan 5. Employees believed that work around goal alignment was needed before action plan 2 should be tackled. In addition, there was a strong belief that a database was not the appropriate solution to action plan 4 due to concerns around compliance. Employees also mentioned that in theory, action plan 3, action plan 5, and action plan 6 were part of the new innovation process.

Upon completion of employee discussions throughout the organization, leadership finalized the action plans and launched teams to implement them. Based upon employee feedback, leadership approved the following action plans: Action plan 1, employee communication strategy; action plan 2, performance excellence goals; action plan 3 (consisting of the original action plans 3, 5, and 6), anticipate competition, product development, and launch/promotion; and action plan 4, database for lessons learned.

Action plan 1, employee communication strategy, focused on employee communications. Public Affairs developed a communications toolkit that assisted managers in explaining the organization's vision, goals, and business priorities. The organization also held an off-site all-employees meeting. In addition, managers were required to ensure that each of their employees had an opportunity to attend at least one monthly department meeting to receive a state-of-the-business update, both divisionally and at the business unit level. The organization also drafted a

“scorecard” that would be used to communicate division business/financial performance. The president also continued to schedule his small-group brown-bag breakfasts/lunches, which had proven to be very popular. Leadership also recommended the continued use of pulse surveys to ensure compliance with communication expectations.

Improving communication was one of the survey findings that leadership set as a priority. Thus, as already mentioned, leadership decided that the survey results were to be formally presented to all employees. In a matter of 5 weeks, nearly 40 employee meetings were conducted throughout the organization to share the employee survey results. An electronic pulse survey ($N = 1132$) indicated that 95% of the respondents had received some type of formal communication about the survey results. Of the 5% who did not receive the feedback, the majority (3.4%) were aware of the meetings but were simply unable to attend due to scheduling conflicts.

A second pulse survey ($N = 1185$) was conducted to follow up on the communication and implementation divisionally and at the business unit level. All employees were asked to answer the following pulse survey questions: “I am aware of the survey action plans that have been established for the division”; “I am aware of additional survey action plans that have been established for my business unit or functional area”; “I believe that efforts are being made to address the findings in the employee survey”; and “Within the last 30 days I have attended a presentation covering information for the latest management forum meeting (i.e., business updates, strategic choice descriptions, human performance center).” Two additional questions were asked of managers: “My 2006 goals are linked to our key strategic choices” and “I have a core job responsibility for 2006 related to communicating business updates and management forum information to my team on a monthly basis.” Responses to all of these questions were

high, reflecting the commitment of leaders throughout the organization to improve communications as well as to ensure a strong linkage existed between the organization's strategic choices and individuals' goals as leadership recognized that only through employee goal achievement would the organization be successful (Table 14).

Table 14. May 2006 Pulse Survey ($N = 1185$)

Question	Total Division—Yes	Manager—Yes	Individual Contributor—Yes
I am aware of the survey action plans that have been established for the division	87%	96%	83%
I am aware of additional survey action plans that have been established for my business unit or functional area	79%	90%	75%
I believe that efforts are being made to address the findings in the employee survey	90%	95%	87%
Within the last 30 days, I have attended a presentation covering information from the latest management forum meeting (i.e., business updates, strategic choice descriptions, human performance center)	81% (7% responded unable to attend)	93% (3% responded unable to attend)	76% (9% responded unable to attend)
My 2006 goals are linked to our key strategic choices	N/A	98%	N/A
I have a core job responsibility for 2006 related to communicating business updates and management forum information to my team on a monthly basis	N/A	74%	N/A

Action plan 2, performance excellence goals, required that all managers formally link their goals to the five key strategic choices. Action plan 3 (combining the original action plans 3, 5, and 6), anticipate competition, product development, and launch/promotion, dictated that the

innovation process and the three business units' planning processes all fully captured the competitive intelligence and strategic war gaming necessary to strengthen the product development and promotion activities. A commitment was made to continuously adjust these processes to ensure continuous improvement. Action plan 4, database for lessons learned, dealt with ways of capturing and institutionalizing lessons learned. Each business unit and/or functional area committed to developing a new postmortem analysis process within the group to ensure appropriate information sharing. In addition, a decision was made to inventory all existing databases to ensure that they were then appropriately disseminated throughout the organization.

Lead the Way

Leaders have the responsibility to reinforce and reshape an organization's culture (Kotter & Heskett, 1992; Schein, 2004). When senior leadership was interviewed, the researcher posed the following question: What do you believe is a leader's role in changing the culture of an organization? Answers included the following:

1. A leader is responsible to create a culture that allows people to be successful—ensure that people can contribute in a meaningful way (leader O).
2. An organization takes on the personality of the leader. A leader is pivotal in influencing the culture of the organization—leaders must live the values. He/she is critical to setting the tone for what he/she wants the organization to become. A leader must embody the behaviors and culture he/she wishes to create (leader M).
3. Leader K stated that a leader's role is to shape the culture of the organization—the words we use, the behaviors we portray all influence the organization (Kotter & Heskett, 1992).
4. A leader is responsible for making an employee's job easier—to help employees and ultimately the organization be the best it possibly can be so that the organization is more effective and can generate better results (leader N)

5. A leader's role is to identify and model the desired behaviors, and to provide appropriate rewards (or lack thereof) aligned with expectations (leader J).
6. A leader's role is to change the organization as needed to ensure its success while leading the employees through the changes that are occurring with the least amount of disruption (leader H).

When asked to define leadership, similar answers were provided by many of those interviewed: "Leadership is influence, nothing more, nothing less" (leader M); leadership is the ability to create a vision and enroll others in that vision (leader N); a leader is someone who sets a vision and then aligns the organization behind the vision—it is finding the right people and getting out of their way (leader I). As these interviewees answered the question regarding the most important character quality of a leader, the following characteristics were identified: integrity (mentioned by four of the eight, or 50%), respect (identified by three of the eight, or 37.5%), and lastly open and caring, which ultimately leads to trust (discussed by one of the eight, or 12.5%).

Leadership recognized that during periods of continuous change that a focus on culture was critical in order to inculcate the changes (Kotter & Heskett, 1992) as indicated by the changes made to the five key strategies, now being referred to as the five strategic choices. These strategic choices were rewritten to provide better clarity and to allow the organization to better understand its focus and direction. In addition the format was changed to include more information: what each strategic choice meant and what each strategic choice did not mean (Tables 15a and 15b). The addition of what the strategic choices meant and did not mean was critical to the establishment of a shared vision, and aided leadership in ensuring active participation from all employees as they now had clear expectations that led to a clear picture of the future.

Table 15a. Five Key Strategic Choices

Strategic Choice	What It Means	What It Does Not Mean
Grow our core nutrition brands/businesses through innovation and superior execution.	Achieving profitable growth by leveraging the organization's unique, distinct competitive advantages	Avoiding acquisitions or licensing opportunities at all costs
	Creating and delivering concepts, products, and packaging that extend equity in the organization's largest most profitable brands	Resisting innovation by over-relying on existing product forms or failing to improve the value proposition of existing brands
	Focusing time, energy, and resources on a few big marketplace opportunities	Missing opportunities to introduce novel, groundbreaking discoveries
Build business in nutrition-related categories.	Capitalizing on opportunities that are strategically aligned with the existing portfolio	Work on adjacent spaces is unimportant
	Expanding our appeal to consumers, shoppers, retailers, and healthcare professional customers by offering a range of complementary products that reflects the way they make purchase decisions	Pursuing all potentially attractive growth opportunities in the name of building a "complete" suite of offerings
	Adjacent categories are important, and we believe they have significant growth potential—but they do not yet offer sufficient economies of scale to warrant priority over core brands	
Continuously improve efficiency and profitability.	Challenging entrenched processes and habits	Change for the sake of change
	Reinventing the way we do business on multiple fronts—not just product innovation—to better win in the marketplace	Excessively relying on external consultants to redesign work processes
	Constantly striving for efficiency and continuous quality improvement	Innovating only in terms of new product development
	Eliminating organizational barriers	
	Taking calculated, well-thought-out risks	
	Driving decision making and accountability down to the appropriate level in the organization	

Table 15b. Five Key Strategic Choices

Strategic Choice	What It Means	What It Does Not Mean
Delight and win customers, consumers, and shoppers.	<p>Developing superior understanding of consumers, customers, shoppers, and their needs</p> <p>External versus internal focus</p> <p>Benchmarking organizational performance against best-in-class</p> <p>Making decisions that protect or enhance the organization's external image and reputation</p>	Focusing on either consumers and retail customers or healthcare professionals at the expense of the other
Grow and develop our people and culture.	<p>Building the organization from within—promoting and rewarding people who deliver outstanding performance</p> <p>Providing robust education, training, and career pathing opportunities</p> <p>Delivering timely, honest feedback on performance—both positive and negative</p> <p>Encouraging and enabling employees to acquire new skills and to advocate for their own careers</p> <p>Working as a team—constantly learning together, teaching, and coaching</p> <p>Building the organizational capacity necessary to deliver marketplace obligations on time and in the right settings</p> <p>Acting in a manner consistent with our ethical principles and values</p>	<p>Filling all open positions with only internal candidates</p> <p>Valuing tenure over skills and results</p>

Summary

An analysis of the data indicates that Transformation's leadership played a significant role in the success of Transformation's changes. As previously discussed, leadership implemented several changes to the organization's structure and processes: cross-functional business unit leadership teams were developed whereby team members were aligned, capacity was increased, and business results were maximized (Senge, 2001); efficiency and productivity were improved via the creation of several integrated teams; and lastly significant improvement

was made to several processes that were preventing the organization from accurately projecting and delivering upon promised results. Leadership clearly understood that to change culture, one must first change an organization's practices, procedures, and behaviors (Schneider et al., 1994). In addition, employees were engaged at all levels of the organization whether through providing feedback through the employee survey process or through involvement in the completion of divisional and departmental action plans. In summation, the research reflects that when overlaying the integrated model for change to evaluate Transformation's leadership teams actions, Transformation's leadership team did an excellent job.

Research Question 4: What Was the Impact of Shifting From a Science-Based Research Company to a Consumer Packaged Goods Company?

The fourth research question was the identification of the impact of shifting from a science-based research company to a consumer packaged goods company. This question will be primarily answered from data gathered from the leadership interviews and supported by written comments made in the employee survey.

During the interview process, this researcher was made aware of the fact that this shift was not the original or desired intent, but rather that the organization intended to integrate and leverage its healthcare and consumer packaged goods expertise. However, the organizational push on CPG was so strong and disproportionate to that of the healthcare business that many (this researcher included) perceived that a true shift was being undertaken. Leadership identified many impacts of integrating healthcare and consumer packaged goods expertise (Table 16).

Table 16. Impact of Shifting From a Science-Based Company to a CPG Company ($N = 8$)

Leader	Impact
Leader H	<p>Impact just starting to be seen.</p> <p>Wasn't meant to be consumer or healthcare focused. Was meant to be consumer and healthcare focused. Just wasn't clearly articulated.</p>
Leader I	<p>Haven't really leveraged both.</p> <p>Wasn't meant to be consumer or healthcare focused. Was meant to be consumer and healthcare focused. Just wasn't clearly articulated.</p> <p>Disenfranchisement of employees as a result of the focus on CPG was purely coincidental.</p> <p>Failed to recognize that HCP has a major impact on business results.</p>
Leader J	<p>Haven't successfully leveraged both.</p> <p>Wasn't meant to be consumer or healthcare focused. Was meant to be consumer and healthcare focused. Just wasn't clearly articulated.</p>
Leader K	<p>Haven't leveraged both.</p> <p>Some believe that it was ruining the company.</p> <p>Led to uncertainty in others.</p> <p>Led to optimism in others.</p>
Leader L	<p>Financial performance short-term decreased.</p> <p>Long-term will be successful strategy as it will enhance long-term performance.</p> <p>Organization is consumer-focused.</p>
Leader M	<p>Wasn't meant to be consumer or healthcare focused, it was meant to be consumer and healthcare focused. Not done yet! Just beginning to gain momentum—seeing improved performance and progress being made.</p> <p>Initially created confusion—people questioning how they fit into the organization.</p> <p>Highlighted the strengths and weaknesses of the organization.</p>
Leader N	<p>Wasn't meant to be consumer or healthcare focused. Meant to be consumer and healthcare focused. Wasn't clearly articulated.</p> <p>Led to the belief that if you didn't come from the outside and weren't new that you had no value to the organization</p>
Leader O	<p>Initially the focus was more heavily on CPG than HCP. Swing was intentional. Done without full understanding of the value of the HCP business.</p>

Five of the eight (or 62.5%) leadership interview respondents stated in some fashion that it was not originally intended to be a shift from healthcare to consumer packaged goods but rather an integration or leveraging of the two and that the strategy just was not clearly articulated, while two of the eight (or 25%) mentioned that the shift was intentional and that it was done without full understanding of the value of the healthcare products business.

Six of eight (or 75%) respondents stated that while progress has been made, the organization has not yet truly leveraged both healthcare and consumer packaged goods expertise. Three of eight (or 37.5%) respondents mentioned the negative impact that this perceived shift had on the employees, while one of the eight (12.5%) mentioned the negative short-term impact on performance. In addition, one of eight (or 12.5%) identified how this integration highlighted the strengths and weaknesses of the organization (i.e., communication, people, systems, etc.).

Summary

As previously mentioned, it was not until this researcher conducted these leadership interviews that she uncovered the fact that this was not the original intent. She was not alone in this assumption. Written survey comments made by two employees clearly highlight the confusion around a shift versus an integration of the two:

1. “In our efforts to improve the retail (CPG) side of our business, it seems that we’ve disregarded some of the strengths and potential of the more traditional medical/institutional side. . . . We need both sides equally robust and working together and that message is NOT being clearly heard or respected across the organization.”
2. “Are we a consumer packaged goods company (priority) or are we a healthcare product company which more clearly supports [the parent company’s] vision?”

While progress has been made on leveraging both of these areas of expertise, this confusion definitely impacted the organization's ability early on.

Research Question 5: How Did the Practices at Transformation Compare With the "Best Practices For Change" as Identified in the Literature?

The fifth question required a comparison of Transformation's practices to the "best practices for change" as identified in the literature. In answering this research question, there will be a direct link between the data gathered and the literature best practices.

Leadership has implemented many of the best practices identified from the researcher's review of the literature. The president and his senior leadership team have been able to show people that they genuinely care about them (Webber, 1999) and thus have been able to make major organizational changes over time resulting in improved results. Not only was the president visible, but he was accessible as well. He conducted large employee meetings as well as small group meetings (breakfast/lunch with the president) in which he answered any question that was asked and actively listened to employees share their concerns. His senior leadership teams also held "know the business" sessions open to all employees. These sessions provided an opportunity for employees to get to know the leadership team while at the same time provided employees with the opportunity to better understand the business. Anonymous survey comments support the belief in the leadership team's ability and commitment to both the organization and its employees: (a) "The new leadership team has done a terrific job articulating strategic vision. Our new business processes and the realignment of the organization lay the groundwork for the future," (b) "Our senior leaders are driven, focused, and intense about making [Transformation] an industry leader," and (c) "Brilliant upper management team now assembled."

The president implemented many of the *Good to Great* best practices identified by Collins (2001):

1. Got the right people in the right jobs. As previously mentioned, the president made several changes to his leadership team over the first 6 months of his reign. These changes included old people moved out of current positions and new people placed in these open positions.
2. Adhered to the Stockdale paradox, whereby employees were made aware of the brutal facts of the organization's current reality of missing plan 7 out of the past 11 years, while at the same time ensuring that employees maintained faith in the future.
3. Saw the world as hedgehogs, not foxes. The leadership team developed a customized organizational version of this concept that could be easily translated and understood by the masses: our passion, we improve peoples lives; our scorecard, we drive brand profit by winning patients and consumers for life; and our purpose, we leverage healthcare and consumer products expertise to be the preferred choice for nutrition solutions.
4. Combined a culture of discipline with ethic of entrepreneurship. The organization had several innovation processes that were being used by various functions.

The president brought a disciplined, standardized approach to this process in which stages and stage gates were embedded. These stages and stage gates ensured that the organization remained objective in its decision-making regarding new products. In addition, the organization implemented a Sales & Operations Planning (S&OP) process and business planning process that permitted the organization to more effectively forecast and plan, which added an element of accountability that had been missing to this point (Table 17).

Table 17. Organizational Performance

Quarter	YTD Performance to Sales Target (%)	YTD Performance to Plan (%)
1st Quarter 2005	-2.44	-10.31
1st Quarter 2006	-2.20	-0.64

Kouzes and Posner (2002) and Kotter (1996) identified key elements for successful change. Kouzes and Posner (2002) believed that leadership identified common themes and a model of leadership that listed successful leadership practices, all of which were implemented at Transformation: (a) challenged the process, (b) inspired a shared vision, (c) fostered an environment that enables others to act, (d) modeled the way, and lastly (e) encouraged the heart.

Kotter (1996) developed an eight-step approach to organizational change that the organization must have intuitively followed as can be seen by its actions: (a) established a sense of urgency, (b) created a guiding coalition, (c) developed a vision and strategy, (d) communicated the change vision, (e) empowered broad-based action, (f) created short-term wins, (g) consolidated gains and produced more change, and lastly (h) anchored new approaches in the culture. This researcher, as discussed in chapters 2 and 3, combined both of these models into the integrated model for change and has presented a detailed description of the implementation of best practices by the senior leadership team in the response to research question 3, “To what extent has senior leadership influenced or managed the organizational change?”

Neff and Citrin (1999) researched 50 top leaders and identified six principles in how they operated, all of which—to some degree—were shared by this organization’s senior leadership:

1. Lived with integrity and led by example—The leadership team was open and honest, from openly discussing the fact that the organization had continually missed plan to modeling the expected behaviors.
2. Developed a winning strategy—The leadership team developed and adapted the five key strategies or strategic choices, and as previously presented identified what they meant and what they did not mean so as to create a clear picture for all employees.
3. Built a great team—Again, this leadership team was focused on creating the right organizational structure as well as ensuring that the right people were hired or placed in the right positions.

4. Inspired employees—The leadership team held all-employee meetings and small groups meetings, conducted an employee culture survey including two pulse surveys, implemented employee-driven action plans, and launched a robust communication plan with clear expectations and built-in accountability.
5. Created a flexible organization—As previously presented, the president and his leadership team created a new organizational structure—essentially a matrix organization that consisted of functional business units that minimized the impact of silos upon organizational flexibility.
6. Tied it together with reinforcing management systems—Previously discussed, such as the Sales & Operations Planning, business planning, innovation process, and so forth.

Lastly, leadership implemented many changes to organizational systems, processes, and procedures, which is the groundwork for changing culture (Schneider et al., 1994). Leadership hired an outside consulting firm that provided the organization with a set of common tools supported by a common language (Schneider et al., 1994). Leadership shifted from a transactional approach where decisions were made in the executive office to a transformational approach whereby employees were engaged in making decisions around shared goals that permitted the organization to remain competitive in an ever-changing marketplace.

Research Question 6: What Can Be Learned From This Study About Leadership, Culture, and Change?

Due to the nature of the sixth and final research question dealing with what could be learned from this study about leadership, culture, and change, this question will be addressed in chapter 5.

Conclusion

Chapter 4 examined the results of the research study detailing the procedures used in the data analysis. Chapter 4 began with a description of the research sample populations, followed

by the results of the data analysis organized by research question and including a summary of main findings for each question.

Chapter 5 will answer research question 6 about what can be learned from this study about leadership, culture, and change. The researcher will discuss interpretations of the findings, conclusions, as well as present recommendations for future research.

CHAPTER 5. LEARNINGS

Chapter 5 will answer research question 6 about what can be learned from this study about leadership, culture, and change through a summary of the study; will address the study's limitations; and will present recommendations for future research.

Summary and Discussion of Results

As stated in chapter 1, this study focuses on the impact that Transformation's new leadership team has had upon the organization. The problem to be addressed by this research was to the relationships between contemporary leadership, organizational culture, and planned change.

This research utilized a case study format, which provided a great opportunity for the researcher to gather data on Transformation. Being an employee made it easier for the researcher as she had access to data, documents, and opportunities for observation that would not have been possible for other researchers. While some conclusions can be made as a result of this study, inherent in all qualitative research studies is the fact that research data or results are not generalizable—they are only applicable to this study. However, the findings in this study support previous research studies related to culture, change, and leadership.

The following research questions were grounded in the literature of leadership, organizational culture, and planned change. This research looked at the following: (a) the internal and external forces driving organizational changes, (b) the unanticipated consequences of the change process, (c) the extent that senior leadership influenced or managed the

organizational change, (d) the impact of shifting from a science-based research company to a consumer packaged goods company, (e) how the practices at Transformation compared with the “best practices for change” as identified in the literature, and (f) what could be learned from this study about leadership, culture, and change.

As the research indicated in the literature review, rationalistic systems do not tend to do any of the following: grow their people, develop employees to the next level, or have subject matter experts (SMEs) making decisions. These organizations have a suppressive environment that limits creativity and employee motivation (Yoon & Kuchinke, 2005). Transformation was a rationalistic or mechanistic organization and as such had exhibited these tendencies. Until recently, all decisions were made at the executive level. Due to the change in leadership, this was no longer the case. Over an 18-month period, Transformation migrated towards becoming an organic system in which development, participation, and shared learning were integral components. The problem facing the organization was the fact that many of Transformation’s employees had not been trained or appropriately prepared for their new responsibilities. Employees were given the authority to make decisions, but many of them did not necessarily have the capability to make good decisions. This was clearly a new expectation that required the organization to behave differently. This new expectation was the result of two things: (a) the new leader deciding that it was not his role to make the day-to-day decisions (as his predecessor chose to do), but rather it was the role of his management team and their direct reports; and (b) if the organization was going to transform itself from a research driven, science-based organization to that of a consumer packaged goods company (CPG), significant changes would be necessary

in behaviors, capabilities, processes, and systems. This was a huge cultural shift for the organization!

As mentioned, many changes occurred over an 18-month period of time from organizational realignments flattening the organizational structure to leadership at the executive level being brought in from outside (not only Transformation, but the parent company as well). Several internal factors driving change at Transformation resulted in senior leadership's decision to lay off of just under 500 employees, with a majority coming from the manufacturing side of the business. Transformation has always been driven by science with the costs of science being transferred to the consumer, which has resulted in more costly products. Consumers today are looking for both price and value. In order to be competitive, the manufacturing costs needed to be brought in alignment with other CPG companies. Due to the highly competitive nature of business today and the CPG marketplace, and for the sake of survival, this company made the shift from a rationalistic to a naturalistic (organic) organization. Research showed that 75% of the leadership interviewed (six out of eight) mentioned the fact that profitability in some way was an internal force driving the changes that were made. At the same time, 87.5% (seven out of eight) of the leadership interviewed mentioned that increased competition was a driving force for the changes that were made with six out of eight (or 75%) identifying the rapidly changing marketplace. Argyris and Schon believed that organic organizations "moved towards double-loop learning" (as cited by Yoon & Kuchinke, 2005) so the organization would not just solve the problem (single-loop learning) but would actually reflect and explore ways to improve the process so as to avoid future problems (double-loop learning). This was a critical organizational capability for any company within the industry in which Transformation operated.

Transformation has been a mechanistic and tactical organization. Kotter's eight-step approach (1996) addressed the need for structure and a focus on tasks, which significantly enhanced the implementation process. Because Kouzes and Posner's model (2002) is much more theoretical and conceptual, it helped the organization transform itself. As previously mentioned, this researcher combined these two models and a new combination model was created—the integrated model for change (Figure 3)—consisting of four steps, each including of several actions. These four steps were selected due to their ability to be inclusive of the elements of both Kouzes and Posner's (2002) and Kotter's model (1996). These four steps are: create the need for change; rally around a shared vision; encourage active participation; and lead the way. Step 1 requires the organization to identify the need for change, while at the same time establishing the urgency behind the need. This was done when the president of Transformation communicated the fact that the organization had continuously failed to meet plan. In step 2, the organization must develop a shared vision that will inspire individuals within to change. In order for this change to occur, this vision must be clearly communicated and understood by all levels within the organization. The creation and later revision of the five key strategies (later known as the five strategic choices) clearly showed how leadership was inspiring employees with a common vision. Encouraging active participation, step 3, requires that individuals within the organization challenge existing beliefs, behaviors, processes, and systems. In addition, the leadership must enable others to act by empowering them to action by removing barriers to successful implementation of the change effort via leadership from a guiding coalition. This can clearly be seen in the implementation of the employee engagement survey as well as in the process of engaging all levels of the organization that leadership utilized to develop action plans to address

key issues. Lead the way, step 4, requires that leadership within the organization celebrate short-term wins, while maintaining a strong focus on the change effort. This step requires diligence as the change must stick or the individuals and thus the organization will revert back to old beliefs, behaviors, systems, or processes. As the research showed, Transformation's leadership was visible and accessible, providing monthly updates and conducting both large and small group meetings in which progress was recognized. In addition, there were several new processes and systems (creation of matrix organization, S&OP, innovation and business planning processes) implemented to ensure that these changes were inculcated. A review of the research results indicates that when overlaying the integrated model for change and evaluating leadership's actions, they did an incredible job.

The new president of Transformation is truly a transformational leader whose focus has been on change and empowerment due to the fact that he possesses the following transformational leadership qualities previously identified in the literature by Conger (1999): charismatic, intellectual, understands individuals and their needs, and motivates people to commit and deliver upon performance objectives. Employee survey comments, researcher observations, and business results support existence of the transformational leadership qualities espoused by Conger (1999). The research showed that leadership shifted to a transformational approach whereby employees became engaged in making decisions around shared goals. In addition, leadership implemented changes to the organizational structure and processes, created the five key strategic choices, surveyed employees to better understand their needs, and involved employees in developing solutions to issues. Employee engagement survey results reflected a high level of motivation (pride and passion), while pulse survey results reflected the fact that

87% of employees were not only aware of the action plans, but were actually involved in the development of these action plans.

McManus (2003) identified how critical it was for leadership to adequately communicate the reason for change. Initially, Transformation's leadership failed to adequately communicate the reason for the desired changes throughout the organization, which resulted in confusion around the shift to CPG rather than the integration or leveraging of both CPG and HCP as was reflected in the following survey comment: "Are we a consumer packaged good company (priority) or are we a healthcare product company..?" Employees were resistant to these changes, which ultimately impacted the organization's business results, and an organization's ability to change is linked to its employee's ability to change (Dotlich & Noel, 1998). Leadership recognized the need for regular communications about organizational initiatives and performance, utilizing all employee meetings, management forums, small group sessions and brown bags, team meetings, and weekly newsletters.

Schein (2004) believed that leadership needed to accurately assess an organization's culture. Unfortunately, Transformation's leadership stated that it failed to accurately assess the culture of the organization and underestimated the impact that the existing culture would have upon the change process. Research showed that four of eight (50%) remarked how they underestimated how truly entrenched the culture was. Leadership, like Kotter and Heskett (1992), recognized that during periods of continuous change, a focus on culture was critical to inculcate the changes as can be seen by the revisions made to the five key strategies (later referred to as the five strategic choices), especially the focus around the addition of culture. In addition, the development of the five key strategies was leadership's way to help employees

understand the business, its initiatives, and the direction being taken. Leadership also ensured the linkage of key strategic choices to goals via the organization's performance management system.

Collins and Porras (1994) stated that organizations should set BHAGS (big hairy audacious goals). This was indeed the case at Transformation. Leadership collaboratively set a stretch goal that would double the sales of the organization in 4 years. Employees across the organization embraced this stretch goal, which resulted in everyone being motivated to stretch further than they or the organization ever had before.

The employee engagement survey helped the organization better understand what changes were needed to create the type of culture and processes needed to achieve the organization's goals and vision. The survey will be repeated annually to measure progress. In addition to the annual survey, follow-up pulse surveys were used to measure compliance to communication action plans. Pulse surveys will continue to be used to gather specific data that will enable the organization to continue to track progress in key areas.

In summary, this research showed that leadership is capable of positively affecting an organization's culture. One can clearly see that there was indeed a relationship between organizational change, culture, and leadership. However, exactly what that relationship is has not been clearly defined. This researcher recommends that a correlational and/or cause-and-effect study be conducted so as to define the relationship between the variables organizational change, culture, and leadership.

Limitations of the Study

The format of this research study—a case study—results in a huge limitation, as case studies by design are not typically generalizable. The researcher, while hoping to remain unbiased in her interpretations, could have unintentionally allowed personal bias to influence the research. In addition, due to the number of changes being made internally within the organization and externally in the environment, it is difficult to isolate the true impact of leadership.

Due to the design of this study, a clearly defined connection between organizational change, culture, and leadership could not be determined. While a relationship can be inferred, it cannot be clearly attributed; thus this researcher recommends that a correlational and/or cause-and-effect study be conducted as only then could one truly define the relationship between organizational change, culture, and leadership.

One significant limitation of this study is the fact that it was conducted on only one organization with a domestic presence, rather than on multiple organizations that have global presence. It is also research that was conducted at a fixed point in time; a longitudinal study would enhance credibility.

Recommendations for Future Research

There were several limitations inherent in this study that impact recommendations for future research. It would be interesting to extend this study to incorporate a longitudinal design (at Transformation) so that the success of the changes could be measured in relation to true long-term business results. In addition, replication of this study in a longitudinal design at another organization so that the success of the changes could be measured in relation to true long-term

business results would be beneficial. This type of study would provide rich data that could then be combined with the findings of this particular study and thus could be considered generalizable and/or add to theory.

A recommendation for the future would be to conduct research into various hierarchical levels of leadership within an organization to see the impact that various levels of leadership would have upon a change effort. In addition, by conducting the research both as correlational and/or cause-and-effect studies, one could then truly explore the relationship between organizational change, culture, and leadership.

On another note, can the use of the integrated model for change be expanded? The researcher believes that this model is robust enough for further exploration, yet at the same time simplistic enough for individuals to understand and interpret.

It would also be great to conduct a similar study incorporating Kouzes and Posner's Leadership Practices Inventory (LPI) by having leaders complete a self-assessment while their direct reports and/or peers complete an observer's report. This would permit one to see whether leadership's perspective on themselves is aligned with others'.

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APPENDIX A
INTERVIEW QUESTIONS FOR PRESIDENT AND CHANGE STEERING TEAM

Interview Questions

Date:

Service Time:

Name of Subject:

Position:

Defining Change

1. How do you define change in an organization (transformational/transactional, process or event)?
2. What have been the internal and external factors forcing the changes over the past 14 months?
3. What were and still are Transformation's main obstacles for change?

Optional Questions

4. Would you say the changes experienced here were incremental or radical in nature?
Why?
5. How do you perceive the willingness for change from employees overall? From the employees in your functional area?

Systems Thinking

1. How important is 'systems thinking' to the organization? To your function? How does it influence strategies and structures at Transformation?
2. How successful has the company been in implementing new systems/processes?
(Innovation—RAPIDS, Business Planning, S& OP Planning)

3. What do you think continues to be the main obstacles to the effective implementation of new processes/systems?

Optional Questions

4. How important is planning to the organization?
5. How are strategies and plans developed?

Organizational Culture/Climate

1. How important are mission and values to the organization and how can they be institutionalized?
2. Please describe Transformation's key cultural attributes (values)?
 - a. How would you describe the organizational climate at Transformation?
 - b. Would you describe the organizational climate in your area any differently?
3. In your opinion, what has been the organizational impact of leveraging both healthcare and consumer products expertise?
4. What would you say has been the impact upon the organization as a result of the continuous change that has occurred over the past 14 months?
5. Has the culture shifted? If yes, what specifically has changed?
6. How do you measure the organization's overall effectiveness?
7. Are there any measures to determine whether the changes made over the past 14 months have been successful? If so, what are they?
8. In your opinion, were there any unanticipated or unintended consequences of this change process?

Leadership

1. When you think of leadership, which words come to mind? Please describe “leadership.”
 - a. How would you define leadership? (Dimensions, transactional vs. transformational).
2. In your opinion and experience, what are the key drivers, attributes, and tasks associated with leadership?
3. How would you describe your leadership style?
4. In your opinion, what is the most important character quality of a leader?
 - a. What do you see as your role with respect to leadership?
 - b. What do you see as the measure of success for a leader?
5. What do you believe is a leader’s role in changing the culture of an organization?
6. What kind of leadership do you think is needed to take Transformation into the future?

Employee Survey

1. Please share your thoughts regarding the employee engagement survey at both the organizational and functional levels.

Is there anything else that you’d like to add, or any general comment you’d like to make?

Thank you so much for allowing me to interview you for my dissertation.

APPENDIX B
EMPLOYEE ENGAGEMENT SURVEY

Electronic Divisional Survey

The purpose of this survey is to identify key organizational needs and issues related to employee engagement and cultural change. The survey contains a series of questions relating to the direction, leadership, environment, accountability, capabilities, motivation, innovation, and communication of the division. Please read all questions carefully and select the answer that best expresses your opinion. Please choose only one response per question.

Your responses will remain confidential. Results will be based on the collective answers of all participants, not on individual responses. The survey should take approximately 10-15 minutes to complete. We appreciate your time.

DIRECTION

I understand Transformation's Vision for the future

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I understand the 5 Key Strategies

Strongly Agree Somewhat Agree I Don't Know the 5 Key Strategies Somewhat Disagree
 Strongly Disagree

I believe the 5 Key Strategies will allow us to achieve our vision

Strongly Agree Somewhat Agree Not Sure Somewhat Disagree Strongly Disagree

Transformation's strategies provide me with clear direction

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe that Transformation is headed in the right direction

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I understand how my current position fits into the 5 Key Strategies

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I understand my role in helping Transformation meet the 5 Key Strategies

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation has a clear set of shared values conveyed and reinforced through communication and action

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

LEADERSHIP

The actions of our senior management (President and his direct reports) are aligned with the organization's strategies

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Our senior management's actions are aligned with their words

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to sets a tone and creates a climate where excellence can be attained

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to leads me to meet or exceed my goals

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to is honest in his/her interactions with me

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to encourages me to openly express my point of view

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to makes decisions in a timely manner

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to involves me in decisions that affect my work

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to has a positive attitude toward change

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to encourages me to suggest new ways to do my work

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to embraces changes in direction and processes

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to utilizes and recognizes the contributions of people from diverse backgrounds

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

ENVIRONMENT

There is collaboration among different parts of the division

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe our organization's resources (people, funding, systems, and processes) are deployed to the areas of most need/value

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe that Transformation consistently learns from its mistakes

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation has established a climate where I can challenge our traditional ways of doing things

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation readily considers my suggestions and innovative ideas

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I know where to send my ideas for formal consideration

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Information is freely shared with employees--both the good and bad news

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Information that is communicated to me is honest and complete

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees generally work effectively in teams

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My interactions with people from outside my work group are productive and effective

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The meetings I attend are effective

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees display a sense of urgency

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees act in an ethical manner

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees generally trust each other

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees treat each other with respect

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have the flexibility I need to balance my professional and personal needs

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to works with his/her direct reports to address work-life balance issues

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to values the expression of differing viewpoints among staff

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe that a diverse and inclusive environment is a competitive advantage for Transformation

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe that Transformation is making progress toward having a diverse and inclusive environment

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

ACCOUNTABILITY

Transformation employees look for opportunities to exceed existing expectations and act upon them

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees feel ownership for advancing their own careers

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

The person I report to sets aggressive and quantifiable goals with me

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My manager and I routinely review my goals to discuss my progress

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have sufficient authority to make the decisions necessary to get my job done

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I know what decisions I am responsible for making

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I am held accountable to achieve results

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have received a formal, written performance assessment within the last 12 months

YES NO

I have a current, written Growth Plan that has been reviewed with my manager

YES NO

CAPABILITIES

I believe Transformation has the resources (people, funding, systems, and processes) to deliver the organization's strategies

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation provides meaningful opportunities for skill development and enhancement

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My present position offers attractive career prospects within Transformation

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My present position offers attractive career prospects within our parent company

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My job exposes me to situations that further develop my skills and knowledge

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have the knowledge and skills I need to succeed in my current job

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I know what I need to do to advance my career

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have access to training and experiences that enable me to do my current job properly

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I have access to training and experiences that enable me to further develop my skills and knowledge

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I believe barriers exist that prevent employees from reaching their career goals

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

MOTIVATION

Transformation rewards outstanding performance

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Promotions in Transformation go to those who deserve them

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees are action-oriented and eager to do whatever it takes to get the job done

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees work with intensity

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees demonstrate extraordinary effort when needed

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

My contributions are valued

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I feel motivated to achieve my goals

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I feel trusted to perform my job

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I feel a sense of pride in working for Transformation

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I am passionate about my job

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I feel that the work I do is important to Transformation's success

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

INNOVATION

Transformation changes to adapt to market and consumer demands

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation creates effective plans for change (i.e. New products, processes, and systems)

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation takes advantage of new business opportunities

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation anticipates the competition

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees take responsibility for making things better

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

I take responsibility for making things better

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation identifies and resolves key business issues to increase profitability

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation continues to improve organizational efficiency (i.e. profitability, organizational structures, etc.)

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Ideas and knowledge are freely shared across functional areas

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation adjusts resources (e.g., people, funding, systems, and processes) to meet its business objectives

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation provides internal support systems and technology to get things done

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation does a good job with new product development

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation effectively promotes new product introductions to customers/consumers

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees proactively generate innovative solutions

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees generally adapt well to changes (e.g., in processes, work structures, etc.)

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

Transformation employees typically are good at implementing new things

Strongly Agree Somewhat Agree Neutral Somewhat Disagree Strongly Disagree

COMMUNICATION

I'm satisfied with the information that I receive from management on what's going on in the organization

- Strongly Agree
- Somewhat Agree
- Neutral
- Somewhat Disagree
- Strongly Disagree

I receive feedback from my boss on a frequent basis

- Strongly Agree
- Somewhat Agree
- Neutral
- Somewhat Disagree
- Strongly Disagree

I believe that an effort will be made to address the findings of this survey

- Strongly Agree
- Somewhat Agree
- Neutral
- Somewhat Disagree
- Strongly Disagree

DEMOGRAPHICS

Please indicate your gender

- Male
- Female

Please indicate your ethnicity

- White
- Black or African American
- Asian/Pacific Islander
- Native American or American Indian or Alaskan Native
- Hispanic (persons of Mexican, Puerto Rican, Cuban, Central or South American or Other Spanish Culture or Origin regardless of race)

Years of service (tenure) at Transformation

- less than 1 year
- 1-2 years
- 3-9 years
- 10-20 years
- More than 20 years

Which DVP do you report into?

- DVP A
- DVP B
- DVP C
- DVP D
- DVP E
- DVP F
- DVP G
- DVP H

Exempt (salaried) or nonexempt (hourly)

- Exempt (salaried) Nonexempt (hourly)

Type of position currently held

- Individual Contributor Supervisory/Manage Others

COMMENTS: