

An Organization in Transition: An Ethnographic Case Study of Structural and Cultural Change

by

Dick Loveless, Jr.

A dissertation submitted to the faculty of
Wilmington University in partial fulfillment
of the requirements for the degree of
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in
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by

Dick Loveless, Jr.

I certify that I have read this dissertation and that in my opinion it meets the academic and professional standards required by Wilmington University as a dissertation for the degree of Doctor of Education in Innovation and Leadership.

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Abstract

Any kind of change is done in a response to needs for growth or survival. Deciding to change can also come out of reflection, humility, and a desire for something new. It comes down to evolve and change, or stay in the present state, stagnate and possibly become extinct. This dissertation study used an ethnographic case study that featured a manufacturing organization that embarked on a transformational change journey (Holden, 2007). This case study examined the transformational change journey of the manufacturing organization that was attempting to accomplish a dual bottom-line business model that valued not only improving the bottom line, but fully releasing human possibility of those employed by the organization. Goals of this study were to illuminate how people were reacting to and using what they learned from being on the transformational change journey. It helps shed light on how interventions they designed and executed affected employees and the organization, specifically their work team formation called, Remove Obstacles Promote Engagement (ROPE) teams, and their transformational change workshops. This study described the consequences of being on a transformational change journey. In the end, the manufacturing organization achieved a form of transformational change that impacted employees and the organization in a dual bottom-line way, both from a financial perspective and fully releasing human possibility in the manufacturing organization.

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Chapter I

Introduction

A Transformational Change Journey

Organizational change is a journey full of challenges and defining moments. Change is a huge topic and concern in businesses and organizations today with the rate of change and growth in the marketplace happening so fast, that many companies are unable to adapt and survive, like Kodak, Blockbuster, Sears, and, recently, Toys “R” Us. William L. Sparks, Ph.D., who serves as the Dennis Thompson Chair, professor of leadership at McColl School of Business at Queens University of Charlotte, with more than twenty years of high-level organizational development and consulting experience and implementation, defines transformational change as a, “dramatic change in someone or something’s form or appearance” (2015, p. 1). Transforming in any sense is complicated, dynamic, eye-opening, and extremely hard work.

The researcher did field work in the manufacturing organization featured in this dissertation study prior to undertaking this case study. While doing field work in the manufacturing organization, the researcher heard stories from people inside the organizations that the old structural form was very hierarchical, characterized by rigidity and people stuck in silos. As time passed and the global marketplace became ever more competitive, it became apparent to the organization’s leadership that changes were needed for the organization to learn, grow, and remain profitable. Hanlan (2004) underscored the need for organizations to anticipate and adapt to marketplace changes if the organizations wanted to stay relevant and viable in today’s economic landscape. This study focused on a manufacturing organization that was going through a transformational change as it attempted to become more productive, learning-oriented, anticipatory, and nimble. The manufacturing organization was a part of a larger American

industrial conglomerate that was comprised of six operating companies. The vision for the transformational change came from the conglomerate's CEO and was unprecedented in a manufacturing setting that was characterized by a traditional, hierarchical business culture, and a financial model of success.

The new organizational vision was fueled by a belief that fully releasing the human possibilities within the organization would eventually lead to performance excellence, greater innovation, growth and increased financial success. Phase one of this cultural and environmental transformational change started with the concept of the dual bottom-line business model which was introduced in January 2011 across all six operating companies. The idea and plan for the dual bottom-line was conceived by the CEO of the larger conglomerate that owns the manufacturing company featured in this case study, along with outside thought partners that helped sharpen the idea and implementation. Phase two of the organization's transformational vision focused on leadership development throughout the organization. Transformational change/leadership workshops were rolled out for senior leadership and management, then for middle level managers, and eventually to the shop floor level. Accompanying Phase I and Phase II of the transformational change was an increased focus on collaborative problem-solving, continuous improvement, and innovation.

Dual bottom-line. The dual bottom-line was a progressive business model focusing not only on fiscal performance, but also on each individual member's personal and professional growth, and expansion of their world view. Overarching goals were set by the organization or individual leader, and how the goals were realized is left to the individual, in the pursuit of fully releasing human possibility in the manufacturing organization. Individual colleagues could also pursue additional projects and learning if motivated to do so. The freedom to choose goals had

stipulations, in that employees' goals and dreams must align with business objectives and the manufacturing organization's vision and mission. The focus on individual development was not a license for people inside the organization to do whatever they pleased, rather it was about figuring out how to maximize human possibility within the organization in a manner that serves both individual and organizational productivity and continued growth. The manufacturing organization provided learning and coaching to employees to help expand their world view, generate energy, and follow through on effectively releasing their human possibilities.

The dual bottom-line approach was unprecedented for a simple but complex reason. It tied the success of the business directly to the learning and growth of the organization's employees. This can be problematic in the sense that learning and growth differs for each individual. Also, in the manufacturing world it was unusual for companies to care about people to the same degree they pay attention to the bottom-line, especially not to the level of caring about the growth of employees as a defining measurement of the success and failure of the business. The case study organization literally defines success by more than how much money they make. Further, personal and community development were also key to the organization's success. The leadership team created a standard of growing the business through the growth and development of the organization's people, and this idea continued to permeate throughout the phases of their transformational journey.

Transformational change and the leadership development program. The next phase of the cultural and environmental transformational change started in September 2014 with a leadership development program focused on actualized leadership for leadership personnel to ignite and drive the transformational change movement within the organization. The leadership development program was innovatively and collaboratively created, infused with the basic

materials pulled from Dr. Sparks Actualized Leadership Profile (ALP). It started in the USA, and it was appropriately adapted to the country participating in the transformational change workshop. Over time, this included, Europe, Asia, and South America. They used the adapted assessment tool to replace a 360-feedback tool they had been using. The manufacturing organization's leadership found that using a tool where every individual does their own self-assessment was very effective and yielded a lower cost. Being able to create a cost-effective leadership assessment model would allow them to reach a much broader group of their 6500 employees and colleagues. Before developing the adapted leadership assessment, they were only able to reach 50 leaders a year. This new approach allowed them to engage 250 leaders across the entire conglomerate in the first year enacting the plan. This then led to the hiring of Dr. Sparks into their corporate staff where he worked for two years before returning to academia.

The leadership development program focused on helping the manufacturing organization improve corporate performance, employee engagement and growth, and overall effectiveness and profitability. The leadership development program designed for the manufacturing organization was unique and was based on understanding the underlying issues and challenges facing the organization. This targeted program was designed and implemented with the intent of achieving measurable results in areas of safety, people, quality, delivery, and cost, along with communication, collaborative problem-solving, better connection between individuals, and fully releasing human possibility inside the organization.

The objective of the workshop was diverse, with projects that included leadership and change management, enhancing employee engagement and retention, facilitating corporate creativity and innovation, as well as leadership and team development. The philosophy of collaborative inclusion and everyone having a voice was important because it meant the

manufacturing organization did not undertake this difficult transformational change by itself. The focus of the manufacturing organization's transformational change leadership development program was simple. It aimed at improving organizational performance while enhancing the motivation of individuals to learn, solve organizational problems, and offered innovative ideas for organizational growth and development, thereby creating greater satisfaction among all employees and enhancing organizational performance.

Dr. Sparks in collaboration and creation of the organization's leadership development program developed two proprietary assessments for improving individual, team and, organizational performance that were used within the transformational change leadership development plan for the manufacturing organization. The first assessment, the Actualized Leader Profile (ALP) was based on the seminal works of Abraham Maslow and David McClelland (Sparks, 2011a). Abraham Maslow played an important historical role in psychology, and his most relevant and famous publications was *A Theory of Human Motivation* (1943), and David McClelland was an American psychologist noted for his work on motivation "Need to Achieve Theory" with one of his most pertinent works being his book *The Achieving Society* (1961). The ALP is a 77-item self-assessment that measures leadership style based on individual motivation. Identifying an individual's dominant motive need, the ALP operates under the principle that once a need is satisfied, that need no longer serves as a motivator, and only one need is dominant at a given time and place.

This self-assessment was based on Maslow's hierarchy of needs and corresponds with one's leadership style. The ALP measured the degree of self-actualization that is demonstrated in one's current leadership style. A customized, full color, and confidential report identifies the strengths and limitations in one's current leadership approach. Subsequently, a separate section

provided an overview of one's score as it relates to the nine attributes of actualized leadership, including suggested tips and proven strategies for one's own professional development and improvement.

The Group Culture Profile (GCP) was another assessment that accompanies the ALP (Sparks, 2011b). It was a 20-item self-assessment designed to measure the culture or "personality" of a work group, team, or organization. Dr. Sparks explained that the GCP assessment was based on the seminal works of Wilfred Bion and Jerry B. Harvey. Wilfred Bion was a pioneering contributor to the fields of psychoanalysis and group dynamics, and one of the relevant studies he conducted was *Transformations: Change from learning to growth* (1965), and Jerry B. Harvey is the well-known author of *The Abilene Paradox and Other Meditations on Management* (1988). The GCP measured the underlying emotionality or "EQ" of a group. At the time of the study the GCP assessment was given during the transformational change workshop, which often included participants from different teams throughout the organization. Entire departments and teams inside the manufacturing organization had not all yet gone through the transformational change workshops, and it was unknown at the time if that was even a long-term plan to have everyone eventually go through transformational change workshops.

The results of a team or organizational members GCP were combined into a customized, full color report that identifies the teams and workshop participants unique strengths and relative weaknesses. Proven strategies for group development and team process improvement were provided with the report. Each team was given a customized report with the team's strengths and weaknesses, while also providing a detailed overall picture of the makeup of each team. In addition, each team was given strategies for their group development and team process improvement.

The ALP and the GCP were the assessment tools used in the transformational change workshops offered by the manufacturing organization in this study. Leaders and employees often took the ALP and GCP multiple times throughout the transformational change journey, with them showing growth and movement in their leadership profiles over time on an individual level and group level. These assessments allowed for better understanding of leadership development, personality changes, group synergy and dynamics, and metrics on both the individual and team level.

Collaborative teams. Other core components that fueled and aided in the organization's effort to fully release the human possibility among its' employees and aid in the transformational change process are the manufacturing organization's innovative and creative team formations. The first team formations created in the manufacturing organization to help initiate and fuel the transformational change process were called CORE teams. CORE teams were comprised of people gathered from all the departments tasked with driving business problem solutions. In early 2014, as the transformational change process was getting underway, CORE teams were tasked with driving business problem solutions. In hindsight these CORE teams were an early version of ROPE teams.

The CORE teams were initially used among senior leadership and then ROPE teams were implemented that included senior leadership all the way to midlevel and ground floor leadership. ROPE stands for – Remove Obstacles and Promote Engagement. Both iterations of the team systems were structured and functioned similarly, involving key players from all departments of the business, or selected departments, that could help solve a problem, create an opportunity, and essentially drive the business in a more productive and financially successful way. ROPE teams were an evolution of CORE teams, being more defined, refined, and larger in scope and scale.

ROPE team results were shared throughout the organization, to help break down the silos in the company, bring everyone together to run the business, address problems the business faces, and generate opportunities for innovation. Ideally, these new flexible team structures and processes were expected to create a workforce that is mobile, agile, learning, growing, and dynamic. ROPE teams were formed based on problems and needs, and are very much a driving force of identifying issues, developing solutions, and implementing those solutions.

These team formations and structures were fairly new to most organizational members and had been operational for less than a year at the manufacturing facility at the time the case study was conducted. These team structures were just another tool to create a learning organization and achieve personal and financial growth. How teams were selected, the expectations, complexity level, and purpose are explained next.

Team selection, participation, and guidelines for operation. Rope teams were organized to solve specific problems or address specific opportunities based on the following guidelines:

- Participation is based on: knowledge, authority, skill, learning opportunity, and resource pull
- Commitment to solve issues or realize results
- Membership is not permanent/team sets guidelines
- Follow established meeting guidelines
- Participation is voluntary
- Community building done first
- Focused on problem, not group dynamic. Team is not built on affinity
- Cadence of report out varies. The more urgent the issue, the more frequent report out

- Rotational facilitator from within the team

These guidelines were created by the manufacturing organization and provided an initial framework for assembling and operating ROPE teams.

Expected outcomes. The expected outcomes associated with all collaborative efforts reflect the organization's dual bottom-line vision: learning and financial impact.

Problem complexity and level vary. The problems or opportunities addressed in ROPE teams varied in complexity and source or driver. The driver may come from the top leadership in the organization, from a cross-functional need or from within a work team.

- Top down direction - Team is formed because leadership identifies a challenge to be resolved.
- Problem centered (cross-functional) - Team is formed because problems are identified across different areas and disciplines.
- Work cells (teams that currently work together daily) - Work cell members recognize a basic operational problem that needs to be addressed.

Team effectiveness correlates with leader capabilities. Teams will be effective to the extent that all members have leadership talent/skills.

- Direction needed for initial formation.
- Evolves to self-governance.
- Best functioning teams call in help themselves.

Need based on solving business problem. The need for organizing a ROPE team comes directly from the business objectives and plan, which included specific business problems objectives, and opportunities.

- Get group unstuck

- Addresses gaps in knowledge and provide tools and education
- Separate from leader
- May need to be from outside the organization
- Use of inquiry to help solve problems

Eight step problem solving process. The teams that were formed to run and push the business forward will typically follow an eight-step problem solving process (See Appendix A). This eight-step problem solving process comes directly from the manufacturing organizations materials and is embedded in the team building process and the culture. The manufacturing organization also had a unique view of what the leaders and people within the organization look like on the team formations that grow people and drive business success as illustrated in Table 1.

Table 1

Manufacturing Organization’s Description of Leadership Levels, Roles, Responsibilities, and Targeted Groups

Level	Role	Purpose	Targeted / Training Knowledge	Targeted Groups
Senior Leadership	Coach and Mentor	<ul style="list-style-type: none"> - Select & assign the Problem-Solving Leader/Team - Ask the right questions - Create Problem Solving culture by driving correct approaches /behaviors - Coach and mentor Level II’s - Ensure alignment of priorities - Drive Lean Thinking & Quality Culture - Challenge the process & progress - Improve observation skills 	<ul style="list-style-type: none"> - 8 Step Process - Cultural requirements - Leadership responsibilities to support problem solving - Coaching & Mentoring through questioning - Assignment of Cause Category - Approve root cause confirmation test results 	<ul style="list-style-type: none"> - Directors, Managers and Supporting Staffs - Plant Teams - Supply Chain - Purchasing - Quality - Engineering - Sales & Marketing - Accounting & Finance

(continued)

Table 1

Manufacturing Organization's Description of Leadership Levels, Roles, Responsibilities, and Targeted Groups

Level	Role	Purpose	Targeted / Training Knowledge	Targeted Groups
Senior Leadership	Coach and Mentor	<ul style="list-style-type: none"> - Support Root Cause focus - Leadership provides confirmation and approval 		
Level I	Problem Solver	<ul style="list-style-type: none"> - Daily Zone Control Issues - Direct Cause - Basic problems across enterprise - Non-defective part issues - Connectivity / Transactional Issues 	<ul style="list-style-type: none"> - 8 Step Process - Basic Data Collection - 4 W (what, where, when, who) / 4 M (man, machine, material, method) 	<ul style="list-style-type: none"> - Direct Labor - Maintenance - Zone Leaders - Salary staff
Level II	Lead Problem Solver	<ul style="list-style-type: none"> - Unresolved Level I Issues - Complex Zone Control Issues - Direct Cause, Systemic, Reoccurring - Quality Issues - Problems requiring more facts & evidence to achieve root cause 	<ul style="list-style-type: none"> - Problem Solving Process - Facts & Evidence Collection - 2 W (What & Where) and 4M - Cause Category Focus - Structure, Evidence & Leverage - Contrast Focus-Is/Is Not Thinking 	<ul style="list-style-type: none"> - Plant Engineers - Supervisors - Team Leaders - Quality Team - Lean Leaders
Level III	Technical Problem Solver	<ul style="list-style-type: none"> - Unresolved Level II Issues - Complex Quality Issues - Major Process or Variations Issues - Unknown Root Cause - Project Development 	<ul style="list-style-type: none"> - Advanced Problem-Solving Tools: Six Sigma (DOE, Regression, MSA) - Nine Cause Application - Dorian Shainin (Problem Solving) 	<ul style="list-style-type: none"> - Senior / Principal Engineers - Technical Managers - Quality Engineers - Six Sigma Black belts - Lean Leaders

Note. The table was acquired from several organizational materials distributed to teams.

The transformational change taking place in the manufacturing organization as reflected in the descriptions of phases, steps, procedures, and ideas continued to grow and evolve. Transformational change was focused on recognizing and changing individual behaviors that limit the ability of an employee to meet their full potential. As individuals developed and opened their awareness and capacity to learn and grow, they would increase their effectiveness within the organization. As might be expected, this transformational change process had issues and problems as the “new” organizational structures and new ways of doing business replaced the old, more familiar organizational structures and ways of conducting business.

Internship Discovery

The researcher became aware of the manufacturing organization and their unique dual bottom-line vision and mission through immersion in the form of an internship. Through relationship building and innovative internship/work practices, the researcher noticed certain effects this change process was having on the culture and structure of the manufacturing organization. Through observations, participating on various projects, and conducting interviews, the researcher gathered information and was able to establish a possible need to better understand the effects of the transformational change on the culture, structure, and financial gain of the manufacturing organization. While going through the internship experience the researcher noticed resistance, and varying opinions when it came to the dual bottom-line business model, transformational change workshops, ROPE teams, and how the culture was changing. The researcher presented the idea of studying the changing culture to key leadership personnel resulting in this ethnographic case study.

The researchers’ background, education, and unique passion for helping others learn spawned the idea for studying the manufacturing organization through the lens of an

ethnographic case study. The internship allowed the researcher to participate in many different areas of the organization, outside of its politics, uninfluenced by its history, and provided opportunities to build rapport and trust with employees. With the combination of rapport, established trust, and being in awe of what the manufacturing organization was trying to do, granted the researcher access to opportunities where he could hear and understand how employees felt about being on a transformational change journey. In looking back on the internship experience it was a perfect storm, an opportunity to conduct research, and being in the right environment to demonstrate skillsets and passion for understanding people.

Statement of the Problem

Due to the aforementioned internship experience the researcher was positioned to observe the implementation of the leadership development program and the new ROPE teaming structures in the host organization. Through observations and candid conversations during the internship process, the researcher came to the realization that while as visionary and heartfelt the transformational change initiative was, there were real challenges to effectively realize the dual bottom-line business model. This case study addresses four unknowns: What participants thought about being on a transformational change journey, how people reacted to and used what they learned from being on the transformational change journey, how ROPE teams and transformational change workshops were affecting people and the organization, what some of the consequences of being on a transformational change journey was for the manufacturing organization and its employees.

Purpose of the Study

The study aimed to paint a clear picture of how the transformational change process that occurred in the manufacturing organization was experienced by employees of the organization as

it got underway. The transformational change leadership development workshops and the ROPE teams were the key elements in this transformation change process. This ethnographic case study intended to provide insights regarding the following areas: How the transformational change process has impacted people inside the manufacturing organization. How employees were experiencing the two elements of the transformational change process undertaken by the manufacturing organization. What employee's attitudes were toward the transformational change initiative and what they learned. What were employees' perspectives on the ROPE teams and their value in achieving business outcomes, along with the perceived consequences of the change initiative.

Need for The Study

The researcher presented the idea of the case study to the president of the manufacturing organization and received official approval for the study. The need to understand employee perceptions, use of the transformational change workshops and ROPE teams, as well as the observed effects can help tell the story of how these change initiatives are impacting the people and the culture. Early in the case study process and during a conversation with the president of the entire manufacturing company, it was noted that there seemed to be a lack of accountability and personal responsibility among employees for their behavior and actions. Furthermore, it appeared employees accepted mediocrity rather than striving for excellence, which seemed to be associated with a decline in performance and financial gain. This study can help understand the employees' perspective and provide evidence regarding the accuracy of the president's observations and concerns.

The feedback collected during this case study will illuminate and illustrate the consequences of undergoing such a dynamic transformational change and shed some light on

how the changes impacted the people, and the culture, in one specific manufacturing location, with the division having 8 total locations. This ethnographic case study was needed because it outlines the story of the implemented changes from the people's perspective and gives insight into what was happening inside the organization as this transformational change took effect.

Research Questions

The guiding questions for this ethnographic case study were:

1. What do employees of the manufacturing organization think about the transformational process?
2. How are the employees of the manufacturing organization reacting to and using what they learn from the transformational change workshops?
3. How are ROPE teams affecting people and business outcomes inside the organization?
4. What are the consequences of going through a transformational change for the organization and its' employees?

Answering the research questions will provide a revelatory picture of the perceived feelings of the people who experienced the transformational change undertaken by the organization.

Key Terms and Definitions

Several key terms used throughout this case study are defined next. They provide a language and definitions that help the reader to understand and comprehend how the transformational change workshops and ROPE teams are affecting the participants in the study.

Actualized Leader Profile (ALP). This assessment is described as a 57-item self-assessment that measures leadership style based on the seminal works of Abraham Maslow

(1943) and David McClelland (1961). The ALP measured the degree of self-actualization that is demonstrated in one's current leadership style (Sparks, 2011a).

American industrial conglomerate. A conglomerate is a combination of multiple smaller companies, organizations, or corporations engaged in different or unrelated business that are housed under the umbrella of one bigger corporate group or entity (Nolen, 2010). Usually multiple industries and subsidiaries are involved in the configuration of the conglomerate. A conglomerate is comprised of smaller organizational entities that are grouped together to form a whole, but the smaller entities remain distinct (Nolen, 2010).

Dual bottom-line. The dual bottom-line is a business model gives equal weight to fiscal performance, as well as each individual's learning and development, which the manufacturing describes as fully releasing human possibility (Technetics Group, 2019). The dual bottom-line gives equal weight to growing and developing people and financial wins. The dual bottom-line business model gives employees the freedom to learn and take on challenges that develop their business acumen (Technetics Group, 2019). Larger strategic goals are set, and employees are encouraged and challenged to figure out how to reach the goals versus being told what to do and how to do it, in the pursuit of fully releasing human possibility (Technetics Group, 2019). This definition was paraphrased directly from the manufacturing organization's company website, and from the larger American industrial conglomerate of which the organization is a part of. The manufacturing organization published an article on the dual bottom-line, but requested to stay anonymous, therefore the researcher was not able to cite the place of origin for the definition.

Group Culture Profile (GCP). The GCP is an assessment used in combination with the ALP. This 20-item self-assessment measures the emotional intelligence and resulting "culture" of teams and organizations (Sparks, 2011b). The GCP is designed to measure how individuals

perceive the culture or “personality” of a work group, team, or organization. Based on the seminal works of Wilfred Bion (1965) and Jerry B. Harvey (1988), the GCP measures “the underlying emotionality or “EQ” of a group (Sparks, 2011b, para. 1).

Manufacturing organization. A manufacturing organization is one that “converts raw materials, components, or parts into finished goods” that meet a customer’s expectations and specifications (Webster’s II New University Dictionary, 1984, para. 1). Manufacturing organizations are commonly employed in a man-machine setup with division of labor on a certain scale of production.

Maslow’s hierarchy of needs. Maslow’s (1987) hierarchy of needs is a motivational theory in psychology comprising a five-tier pyramid model of human needs. Starting from the bottom of the hierarchy to the top, the needs are: *Physiological, Safety, Love and Belonging, Esteem, and Self-Actualization* (Maslow, 1987). Needs lower down in the hierarchy must be satisfied before individuals can ascend to the next level. The model is divided into deficiency needs and growth needs. The first four levels are often referred to as the deficiency needs, and the top level is known as the growth need (Maslow, 1987). Deficiency needs are caused by a lack of fulfillment, and motivate people when they are unmet. The motivation to fulfill unmet needs will become stronger the longer the duration they are denied (Maslow, 1987).

Mindset. Sparks (2015) defined mindset as the paradigm or filter someone uses consciously and unconsciously that helps form their perception of the world and, as a result molds and impacts thoughts, emotions, and behaviors. This is essentially because it forms a schema and lens someone uses to see and view the world. Transformation may occur as a process over a lifetime, or in a specific moment of insight and awareness, and people can only experience a dramatic and lasting shift when they are willing to examine and change their

mindset (Sparks, 2015). Becoming self-aware and developing self-awareness is not easy at all, very difficult, and often a painful process.

Organizational culture. The Society for Human Resource Management's (SHRM) "Understanding and Developing Organizational Culture" (2018) defines organizational culture as follows:

Culture basically defines the proper way to behave within an organization.

Organizational culture consists of shared beliefs and values established by leaders and then communicated and reinforced through various methods, ultimately shaping employee perceptions, behaviors and understanding. Organizational culture sets the context for everything an enterprise does. Because industries and situations vary significantly, there is not a one-size-fits-all culture template that meets the needs of all organizations. (SHRM, 2018, "Background," para. 1)

Organizational development. Kondalkar (2009) describes organizational development as a long-term behavioral philosophy initiated by leadership and/or top management (p. 4). It utilizes the latest in technologies and organizational processes to affect planned change by establishing cultural framework that is based on a specific vision, mission, empowerment, and employee well-being that leads to an achieved state of work life and organizational effectiveness.

Organizational structures. Using Laloux's (2014) framework, the researcher defined organizational structures as the mental and physical arrangement of people inside the organization that dictate the flow of information, ideas, energy, and production.

Transformational change. The name "Transformational Change Workshop" was given to the work inside the American industrial conglomerate and manufacturing organization in April 2014, with Sparks (2015) adopting and using the definition of transformational change as being,

“expansive, not incremental; revolutionary, not evolutionary” (para. 3). This definition can apply to many things: people, organizations, political institutions, economies, and many more. To be more specific, transformational change is defined as, “a significant shift or change in a person’s mindset” caused by a philosophical understanding and awareness (Sparks, 2015, para. 4).

Anderson and Anderson (2010) described transformational change as being extremely challenging, unknown, and completely different. When the organization decides to transform, the future state is unknown when they begin. The road to transformational change is laid one brick at a time and progress is determined through trial and error. This makes it extremely difficult to plan and manage for a change of this magnitude. It is smart and essential to have a strategy in place to change, but the actual process is developed as the people go through the transformational journey. As the organization embarks on a transformational change journey they will be working in the shadows of fears and the unknown (Anderson & Anderson, 2010, p. 2).

Anderson and Anderson (2010) believed a change on this grand scale creates an environment and future so different than the current one in the organization, that the people and culture must change and adapt to get to the end destination. Transformational changes create unpredictable environments to be in, where emotional control, ego suppression, and stress management are paramount. Behaviors must change, mindsets and perspectives must be shifted, and expanded, and mindfulness along with the ability to self-manage are key tools and components that help this work. If an organization does not shift core values, mindsets, and their cultural soul, then the external implementation of new systems, structures, technologies, and

processes, will fall short of its intended purpose and the anticipated return on investment (Anderson & Anderson, 2010, p. 2).

Transformational leadership. Burns (1978) coined the term transforming leadership which he described as a process in which leaders and employees help each other to advance to a higher level of morale and motivation. He established the concept as "transforming leadership", and defined it as an approach that creates substantial changes in the life and operation of employees and the organization. It unearths and redesigns perceptions and values, and changes expectations and ambitions of employees. There are numerous variations of the definition of transformational leadership, but using Burns (1978) as a start, along with the researchers experience of this dissertation, transformational leadership will be defined as a leadership approach that causes significant change in employees, social systems, structure, and philosophy. Driven correctly it helps develop people into leaders, and enhances the motivation, morale and performance of people inside the organization through a variety of innovative mechanisms. In an ideal situation any organization going through a transformational change, should employ some type of transformational leadership, among other leadership typed, to drive the change effectively. Throughout this dissertation study, the reader will see transformational change and transformational leadership intertwined and impacting one another.

Summary

The researchers' internship experience and the unique relationships that were built during the internship process, made this ethnographic case study possible. The transformational change process that occurred in the manufacturing organization was so dynamic and gutsy, that it merited a closer and systematic review at how the change process was being experienced by the members of the organization. This ethnographic case study provided insight into how an

innovative and risky transformational change initiative played out during the early stage of its implementation. The researcher attempted to create a clear picture of how this transformation change initiative was experienced on the front lines. By answering the research questions posed in this study, it was expected that the manufacturing organizations will gain a new understanding of how to modify its model to better achieve the desired dual bottom-line outcomes: a healthier bottom-line and a workforce that accepts responsibility for learning that will enhance their individual growth and that of the organization.

In Chapter two key concepts are examined through the relevant empirical literature related to transformational change and teaming in organizations to provide context for the transformational change process described in this case study.

Chapter II

Literature Review

Introduction

There is a wide range of research about organizational development, transformational change, and leadership. Various forms of leadership and the nature of planned organizational change have been studied using a variety of theories and methodologies. To date, the ethnographic research performed on specific companies and organizations undergoing transformational, cultural, and structural change is diverse, controversial, and relatively young in the business and organizational development fields. Relevant and innovative empirical literature that describes the organizational transformational change processes depicted in published research is examined in this review.

Search strategy and inclusion criteria. The overall goal of this literature review is to identify pertinent empirical literature, innovative theories and ideas, along with diverse perspectives on the topic of organizations in transition. Of particular interest are ethnographic case studies that are focused on describing structural and cultural changes associated with transformational change. A thorough search for pertinent research was completed using the search engines WorldCat and Google Scholar, as well as databases, such as SAGE, Business Source Complete, Education Source, and SocINDEX. For the purpose of this study, the following keywords and phrases were used to search for information: *transformational change, organizational change, case study, ethnography, ethnographic case study, organizational leadership, organizational culture change, organizational development, dual bottom-line, teaming, teams, self-managing teams and innovation*. Keywords, when used independently and combined, proved to be very helpful in finding appropriate and relevant empirical research and

other useful materials. This strategy and inclusion criteria proved to be extremely effective in obtaining innovative and meaningful research that serves as the foundation for this case study of transformational change.

Organization of the review. This literature review focuses on key literature on organizations in transitions. Specifically, key research, studies, theories, ideas, and literature on companies making a transformational change to their culture and organizational structures are explored, along with the theories and stories that support why a company would undergo such a difficult change and transition. The review weaves theoretical and empirical research to describe and support the manufacturing organization's innovative transformational change.

The literature review begins with a description of transformational organizational change. Why organizations undertake transformational change, the drivers of an effective transformational change are identified, as well as the barriers and roadblock to achieving transformational change. The literature review then covers the role of teams in organizations and describe the concepts of a variety of teams to include collaborative work groups or teaming, self-managing teams, high-performance teams, problem solving teams, as well as a description of cross functional teams. Next the review discusses organizational innovation, which is broken down into organizational development and evolution. A summary concludes the literature review and transitions to Chapter III.

Transformational Organizational Change

Any kind of change is done in a response to needs for growth or survival. Deciding to change can also come out of reflection, humility, and a desire for something new. It comes down to evolve and change, or stay in the present state, stagnate and possibly become extinct. So, when organizational leaders decide they want to make a transformational change, it is a result of

necessity, fear, or a desire to grow, all of which are filled with emotions and expectations. Moving forward in this discussion of transformation change, the literature reviewed focuses on what transformation change means and why an organization chooses the path of a transformational change. Organizational change is a dual journey. The strategic initiative must go hand-in-hand with deep and lasting personal change in leaders. Whether you are trying to find a new way to fight a counter insurgency war or attempting to create a more inclusive and innovative culture in a manufacturing plant, the learning culture you create hinges on the individual mindset of leaders (Holden, 2007).

What is transformational change? Gass (2010) described transformational change as a holistic and systematic approach to achieving change, which is fueled and driven by cultivating the hearts and minds of its people, combined with attention to human behavior, and the social systems and structures in which they occur. Known for leading cutting-edge research in human consciousness and organizational change for over thirty years, Gass (2010) synthesized an unusually diverse background in social change, humanistic psychology, organizational behavior, music, and spiritual studies. He further described a transformational change as being multi-disciplinary with many diverse facets to it. A transformational change is integrated with a variety of approaches and methodologies operating in a holistic way that involves elements of humanity and objectives that are to be organic and, hopefully, helpful during the journey. Transformational change is defined by major breakthroughs. Obstacles become opportunities and the very way of how people think, react, and operate morph into something new and different. It is about individuals having the power to make decisions and having a voice in the change (Gass, 2010).

Gass (2010) further described transformational change as being positively charged and constantly balancing command and control with letting go and being free to make decisions and facilitate changes, based on environmental threats, both internal and external. Transformational change in organizations assumes a team mentality, in that organizational change cannot be done alone, and requires a collaborative effort to achieve a change in organizational culture. The transformational change process embraces the team mentality and rests on the understanding that collaborative rather than singular efforts are required for an organization to transform and achieve a new vision and mission.

A transformational change initiative is not just conceived and developed through critical thinking, facts, and analysis, it also involves the heart, soul, and emotions of the people who must implement the change. This type of change in organizations scoffs at the old adage of “It’s just business.... Not personal.” It is not based just on logic and facts, but expanded and fueled by emotions and personalities that create a perceived need for change or a threat to organizational survival (Gass, 2010).

Kezar and Eckel (2002) conducted an empirical study that supports Gass’ (2010) description of transformational change and the perceived need for such change. These researchers set forth a transformational change framework that was theoretically and empirically grounded, and provided the basis for case studies of transformational change in six higher educational institutions over a four-year period. The researchers used qualitative research techniques, including interviews, participant observation, site visits, and document analysis. Three key findings emerged with the first being five core strategies for transformational change, which were senior administrative support, collaborative leadership, strong design, staff development, and visible action. The importance of sensemaking emerged as second key

finding. Sensemaking is the process by which people understand and give meaning to their collective experiences and actions, effectively comprehending what exactly is going on and why the change is happening.

The third and final major finding was that the five core strategies are connected to one another and to a set of secondary strategies and transpire together. Secondary strategies included: connections and synergy, working within and challenging the culture, outside perspectives, external factors, staff and faculty development opportunities, take visible actions, opportunities to influence results, invited participation, moderated momentum, setting and holding people accountable to new expectations, changes in governance and administrative processes, new ways old groups relate, putting local change in a broad context of change. The two major conclusions of the study advocated for efficacy in combining multiple conceptual models for understanding the transformational change processes, and that sensemaking and social cognition models are important factors to consider for future studies of transformational change (Kezar & Eckel, 2002). Kezar and Eckel's (2002) study affirms Gass' (2010) description of transformational change and shows the importance of people fully understanding the change that is being undertaken, as well as the implementation strategies necessary to make the change. There is a need for balance, inclusion, and that employees understand the perceived need for change.

Why go through a transformational change? Whelan-Berry and Somerville (2010) assert that the pace of change is greater than ever before and that scholars and practitioners agree that change processes are increasingly complex and challenging for organizations to undertake. Although much has been written about transformational change in organizations, there is not much empirical research about specific reasons why organizations have undertaken a

transformational change process, nor the overall or continued effectiveness of implementing transformational changes. With transformational change being very much a continuous journey and not a singular destination, the possibilities are endless as to why an organization would decide to upend and abandon essentially everything to go in a decidedly different direction. Essentially, more information is needed to link specific reasons regarding why transformational change is needed and/or to identify the drivers for transformational change.

Of course, external and internal threats top the list of triggers that compel a company to undertake a transformational change, but these threats are specific to each organization. Externally it could be changing global markets, or a need for new technology. Internally it could be a need for improved process, cultural change, systems improvement, or leadership development. Other factors that have arisen triggering the desire or need for a transformational change are legacy perception, carbon footprint, social responsibility, and environmental responsibility to name a few. In the end, people and organizations decide to go on a transformational change journey because they fear extinction and/or defined success is imminently in danger (Whelan-Berry & Somerville, 2010). The next section discusses the leaders and drivers of transformational change relevant to the manufacturing organization in this dissertation study, allowing more specific analysis of the effect of the change drivers.

Leaders and Drivers of Transformational Change

Whelan-Berry and Somerville (2010) published a theory-building article that advances prior research related to change drivers and organizational change process. The researchers identified the most frequent steps in the organizational change process and summarized the literature related to change drivers, which included illustrating each driver and linking each change driver to the most frequently identified steps in the organizational change process.

Change drivers are described as being events, activities, or behaviors that facilitate the implementation of change.

Transformational change requires development and collaboration with people inside and outside of the organization to drive and lead the change process. Kotter (1996) observed countless leaders and organizations as they were trying to transform or execute their change strategies. He identified and extracted the success factors and combined them into a methodology, which included an award-winning eight-step process for leading change. This eight-step process was designed to guide leaders as they attempt to implement change. These steps include: established sense of urgency, recruit and construct a strong guiding coalition, develop a vision and strategy, effectively communicate the change vision, empower employees for action, generate short term wins, consolidate gains to produce momentum for more change, and anchor new approaches in the organizational culture (Kotter, 1996). How movements of change succeed, businesses are driven, and whether or not organizations are fully releasing human possibility within the organization depends on the people inside the organization and how well equipped they are for the changes required to achieve a new and different way of operating or doing business.

The ideas of the change process held by the leadership of the manufacturing organization can be further explained by Collins' (2001) research and concepts. Collins (2001) supports Kotter's (1996) eight step process for leading organizational change, especially the idea of assembling the right people for executing the mission to change the current mission of the organizational culture and structures. Collins' research reiterates the importance of surrounding yourself with the right people. In essence, it is crucial to assemble the right people and then get them to take the north bound train, which is a metaphor meaning that everyone is moving in the

same direction towards an understood destination based on a shared vision and mission for the organization (Collins, 2001). The leadership of the manufacturing organization featured in this dissertation study echoed a similar concept and findings to Kotter's (1996) eight steps of leading change and Collins' (2001) research on companies transforming from being good to being great.

The manufacturing organization also shared similarities to Kotter's (1996) and Collins (2001) conceptual ideas for achieving transformational change with having to develop new goals, ways of thinking, operations, and executing actions in order to move forward in their transformational change journey. Even some of the organizations featured in these seminal on organizational leadership, behavior, and innovation have now vanished from the organizational landscaping, including Fannie Mae, Circuit City, and Pitney Bowes, which illustrates how fast and difficult it is to maintain the business success cycle is in today's climate.

Larson, Latham, Appleby, and Harshman (2012) backup the theory and conclusions discussed by Kotter (1996) and Collins (2001). Larson et al. (2012) argue that doing your research on the past, examining past strategies, activities, and performance is a crucial part of fostering collaboration, innovation, change, and creating an effective new organizational vision. Larson et al. (2012) reached this conclusion by conducting a study that compared the motivational and attitudinal patterns of CEOs who organizations won a Baldrige award for performance excellence with those CEOs whose organizations had not won a Baldrige award. The researchers conducted an exploratory three-phase, mixed-methods, and multiple case study, which relied on ex-post-facto quantitative data from a survey questionnaire gathered from fourteen CEOs of organizations that received a Baldrige Award for performance excellence. The aforementioned CEOs were then compared to a group of successful CEOs who had not received a Baldrige award. Six motivational and attitudinal patterns distinguished the award-

winning Baldrige CEOs from the other successful CEOs. The award-winning Baldrige CEOs motivations and attitudes were evolutionary, which means these CEOs were more likely to change, evolve, and drive continuous improvement than those executives whose organizations were not award winning (Larson et al., 2012).

A systems focus was also common, which meant the Baldrige CEOs were strongly motivated to work with systems and processes. These CEOs embraced a shared responsibility approach to change rather than assuming continuous improvement was the sole responsibility of the CEO. Learning from the past was also a shared pattern, which meant the Baldrige CEOs studied the past and used their own and others experience in making decisions. Furthermore, a focus on information was also important, meaning these CEOs were strongly motivated to work with facts, knowledge, and information. Intolerance was the last motivational and attitude pattern identified.

The researchers found the Baldrige CEOs were more likely to be intolerant of the beliefs and actions of others when they differed from their own or were not consistent across the workforce; that is, they were not very motivated to deal with people who had beliefs and rules different than their own. In general, the Baldrige CEOs were less likely to tolerate employees who were resistant to changes being implemented to improve organizational performance. Implications of these findings also serve as a rationale and facilitator for the creation and growth of leaders and drivers of performance excellence, as well as suggested future research guidelines (Larson et al., 2012).

de Holan and Phillips (2002) also supported the theory and conclusions discussed by Kotter (1996) and Collins (2001) in a study conducted over a three-year period of MagoTaplan, a Cuban based manufacturing company. Despite the catastrophic state of the Cuban economy at

the time, MagoTaplan continued to manufacture quality goods and steadily increased overall production and efficiency. The study, ultimately, found that MagoTaplan found success through three interdependent managerial processes, with one being an interdependent managerial process that helped with success in response to the dynamic changes. The managerial process helped make sense of the fast changes occurring and helped managers in the organization develop collaborative solutions to problems. The managerial process aided in being able to manage and lead changes in organizational structures and practices, and implement innovative and careful management strategies. Second, at an organizational level, the profound changes demanded equally thoughtful internal developments, like changes in organizational structure, practices, and culture. Third, at an institutional level, changing ideological structures to account for organizational change to legitimize fusion of Western management practices and communist ideology (de Holan & Phillips, 2002). The de Holan and Phillips (2002) study displayed some of Kotter (1996) and Collins (2001) methodologies and theories, especially the idea and importance of assembling the right people for executing the change mission of the culture and structure.

The researcher wondered how the leadership of the manufacturing organization presented in this dissertation study moved forward with the conviction to morph into a dual bottom-line company concerned not only with succeeding financially, but also developing its people into creative contributors and leaders of changes required for continuous improvement and innovation. Matthew (2009) investigated this concept to see if creativity and personal attributes played an important role in leading change in organizations. She conducted two correlational studies using samples of West Point cadets and early-to-mid career captains in the U.S. Army. Both studies were conducted in organizational environments where the effect of factors, like mission, leadership principles, and culture, were consistent and controlled. Matthew (2009)

tested hypotheses: (1) indicating that creativity would be a positive and significant predictor of the capacity to lead change, and (2) indicating that social-emotional competency would be a positive and significant predictor of the capacity to lead change. These two hypotheses were tested on multiple levels inside the Army leadership that allowed the researcher to draw inferences about the proposed construct of relationships while controlling for differences in experience and organizational knowledge.

Matthew's (2009) findings demonstrated the role of creativity in leading change in organizations, while also showing that social-emotional competency is important because organizational change occurs primarily within established social structures. Social-emotional competency, a significant predictor of leading change, is a positive and significant predictor of the capacity to lead change while creativity was important but less powerful as a predictor of the ability to lead change. Finally, the combination of social emotional competency and creativity significantly increased the predictive power of the capacity to lead change. According to the researchers' findings, change required leaders who are willing to declare freedom from the organizational procedures as they currently stand. Leaders must have the ability to create a new resolve that is custom-made to achieving the articulated organizational goals. Lastly, the change strategy needs to focus on changing existing company policies to accommodate changes being made (Matthew, 2009).

In summary, transformation change is not an arbitrary process and does not occur on its own. Certain factors drive and contribute to the leadership of the change process (i.e. events, activities, behaviors, etc.) coupled with the right people and leaders to change the mission, vision, and culture of the organization. A willingness to forego old polices to create new ones can also drive change. New ways of thinking, collaborative solutions, and buy-in from internal

and external supporters are also key factors for a successful transformation. Adaptability in the face of the uncertainty of change, with being able to identify the obstacles, design solutions, and execute them using a collective and concrete plan (Collins 2001; de Holan & Phillips, 2002; Kotter, 1996; Larson et al., 2012; Matthew, 2009; Whelan-Berry & Somerville, 2010).

Components of effective transformational change. Successful transformational change has a sense of urgency and cadence to it, that requires strong personal relationships that are made up of powerful and dynamic people. Strong relationships help give employees confidence, a belief in change process, that can help spur the will to actually act and change. Everyone must be involved and feel empowered in order to foster transformational change in an organization. Stanleigh (2013) discussed the need to create urgency, get people involved, and to engage employees in planning for change. Stanleigh (2013), CEO of Business Improvement Architects and a recognized management consultant stressed the need to ask employees for their suggestions, ideas, and insights throughout the process from establishing the need for change to embracing the modifications in structures, processes, culture, and products/services needed to transform the organization. Leaders play a big role in transformational change and change management strategies, because of the complex psychological and cognitive challenges that are inherently built into an organizational change of this magnitude (Stanleigh, 2013). He maintains that the leadership team must develop and engage the right people in implementing different aspects of organizational change, with Eckel (2002) and de Holan and Phillips (2002) studies supporting aspects of Stanleigh's above assertions.

Stanleigh (2013), Kezar and Eckel (2002), Gass (2010), and de Holan and Phillips (2002) agree that leaders of successful transformational change form powerful teams with the right personnel to ensure that all employees are engaged. All of those researchers support that

developing a successful change process is predicated on being able to form powerful teams comprised of the right people, that will better allow for adaptation to fast occurring changes. With the leadership and managers in those studies were able to develop collaborative solutions, manage and lead organizational structures and practices, and implement innovative and careful management practices to account for the dynamic organizational changes facing them. Kezar and Eckel (2002), Gass (2010), and de Holan and Phillips (2002) also support Stanleigh's (2013) statement that transformational change is littered with complex psychological and cognitive challenges that are inherently built into making transformational changes, and require well developed leaders and teams.

Sense of urgency. When a sense of urgency is created to drive the change, it creates energy in the people and engages them in the process. The game plan for energizing people is paramount and outlined by Blanchard and Bowles (1998) in *Gung Ho!* The idea of a driving urgency may have relevance for the manufacturing organization in this case study, as it drives forward with the implementation of the dual bottom-line philosophy. One of the goals is to get to a place where trust abounds, telling the truth is the modus operandi, and people are rewarded for challenging the status quo and generating new ideas for business success. Blanchard and Bowles (1998) advise that organizations should make sure employees feel engaged in worthwhile work, feel in control of achieving goals they have established, and collaboratively and enthusiastically acknowledge each other's achievements.

Embracing a life of learning, having an open mindset, and a commitment to the people inside the organization takes time and *Gung Ho* is not a quick fix. The organization must consistently, deliberately, and systematically live a life of *Gung Ho* (Blanchard & Bowles, 1998), or in the case of the manufacturing organization, the dual bottom-line. The road blocks

and barriers the manufacturing organization featured in this dissertation study faced, may be tied to mindset and a lack of belief and trust in one another. *Gung Ho* is relevant because it shows a real case of completely going against the established culture and demonstrated just how nuanced, deliberate, and relentless leadership must be to have any chance of persuading people to embrace the transformational change journey.

An established sense of urgency and an energized base of people is a great start to developing and creating buy-in for transformational change. Using creativity and leading creatively to spur a sense of energy and ignite passion can foster the catalyst that encourage employees to generate ideas or products that are relatively novel, useful, adaptive, and high in quality, as well as gain social acceptance from those you wish to lead (Blanchard & Bowles, 1998; Collins, 2001; Kotter, 1996; Matthew, 2009; Suarez & Oliva, 2005). These outcomes can lead to other needs emerging, such as establishing a belief, gaining buy-in from people, and assisting in being able to make sense of the change, so it is adopted and diffused throughout the organization. A big component of creating effective transformational change is employee buy-in which helps fuel the adoption or acceptance of needed change. One person cannot create change on their own and being able to understand this transformational process is vital. Consequently, this understanding allows people to enlist powerful constituents within the organization to help bring others along, especially those individuals that are skeptical and resistant to the change (Blanchard & Bowles, 1998; Collins, 2001; Kotter, 1996; Matthew, 2009; Suarez & Oliva, 2005).

Collectively, there is support for organizations to cease old practices, change hierarchical structures, eliminate middle managers, and revise and restructure organizational charts and job descriptions. Making future promotions based on merit, not conforming to a mold, and really

creating a sense of urgency regarding buy-in into the transformational organizational changes, can result in radical environmental changes being underway (Suarez & Oliva (2005). In essence, organizations need to re-create themselves to overcome challenges they are going through. This re-creation within organizations involves reflective shifts in strategy, power dispersal, internal construction, and commitment to the organization's core values and beliefs, which in part creates energy inside the organization to believe in the change and forge ahead (Blanchard & Bowles, 1998; Collins, 2001; Kotter, 1996; Matthew, 2009; Stanleigh, 2013; Suarez & Oliva, 2005). Therefore, creating the sense of urgency is a key factor needed to drive transformational change.

It has to make sense. Sensemaking is defined as understanding the change and making it meaningful for stakeholders, which helps intensify the use of the new strategies and work processes. Making sense of the changes underway is important throughout the process of the transformational change. Achieving sensemaking allows for and causes the creation and morphing of current structures, increases the ability to overcome barriers, and helps create effective coaches and facilitators (Kezar, 2013). The impact and importance of sense-making/sense-giving in transformational change processes was illuminated in Kezar's (2013) case study of higher education institutions attempting a transformational change that focused on shifting toward interdisciplinary work in higher education. Kezar investigated how people were able to make sense of the change and their ability to communicate that sense of a new reality within the organization. This study also demonstrated the relationship of sensemaking/sensegiving is more than an isolated phenomenon and was connected to facilitating key change activities during the transformational change process within the higher education institutions (Kezar, 2013).

Organizations need to build momentum and inspire others, in order to develop and implement a clear vision for innovation and change. Momentum helps energize people and their engagement and when infused with feedback and dialogue, helps to create a shared vision. Momentum happens through understanding and making sense of the changes occurring within the organization. Kouzes and Posner (2012) described how leaders help with understanding changes and inspire others to make amazing things happen in an organization, like embarking on a transformational change journey. The book *The Leadership Challenge*, by Kouzes and Posner (2012) is based on evidence gathered with the Leadership Practices Inventory (LPI). Over 1,000,000 responses were gathered from leaders and managers at all levels in organizations for over three decades from commercial and nonprofit health care and government. These organizations incorporated the LPI Self instrument (completed by the leader) and the LPI observer which gathered important insight from bosses, co-workers, direct reports, and others who have direct experience in a leadership role. According to Kouzes and Posner (2012), successful companies today give people a voice and a say in what the vision should be. Creating a shared organizational vision requires input from multiple constituents. This establishes a common purpose and aids in creating buy-in from employees (Kouzes & Posner, 2012).

Like Kouzes and Posner (2012), Yukl and Lepsinger (2006) believe organizations must create understanding and sensemaking in order to create positive momentum in propelling the transformational change process forward, while also capturing and sustaining that momentum, which will assist with effectively communicating the vision for the change. Yukl and Lepsinger (2006) offer a comprehensive theory of how the best leaders are able to effectively motivate and influence three determinants of organizational performance, which are adaptation, efficiency, and optimal use of human resources. Leaders can effectively enhance the bottom-line

performance of their organizations through adaptation, which is defined as changes made to survive threats and to leverage opportunities created by new technology, changing markets, and the shifting needs and expectations of people. Companies also need to keep employees constantly present, engaged, and reminded of relevant values (Yukl & Lepsinger, 2006). These values include flexibility, continuous improvement, initiative, and energy to fuel the quest for excellence. Further, these values keep people aware of not only what is going on around them but encourage people to be prone to learning and change. Instead of viewing the change vision as an irrational reaction to a negative perception, it is better to view it as a continuous process that involves a combination of many and frequent improvements and major changes (Yukl & Lepsinger, 2006).

Kezar and Eckel (2002), de Holan and Phillips (2002), and Suarez and Oliva (2005) are all studies that focused on organizations and institutions that effectively adapted to threats that led to the design and execution of successful transformational change efforts, with people understanding the dynamics of the changes being vital. These studies also examined the importance of dynamic leaders in driving the design and execution of needed changes to address the threats and opportunities in the environment, thus align with and support Yukl and Lepsinger's (2006) comprehensive theory of how the best leaders are able to effectively influence three determinants of organizational performance. The studies conducted by Kezar and Eckel (2002), de Holan and Phillips (2002), and Suarez and Oliva (2005) help show the need for leadership during change efforts to exhibit flexibility, focus on continuous improvement, show initiative, creativity, ability to learn, and be able to create energy to fuel and propel the change effort forward.

Motivation is achieved by building relationships, having employees make sense of what is going on in their environment, and utilizing data and research to create and facilitate presentations, seminars, recognitions, and team building exercises to ensure that the new change vision will be seen and realized. Ultimately, motivating and inspiring people is hard to accomplish and the leadership must be aware of the challenges and understand the battles facing their people, to truly drive and motivate the people inside the organization to believe in the new change. Leaders and managers need to genuinely care about their employees and they must be considerate of their followers when introducing organizational changes (Urhuogo & Williams, 2011).

Urhuogo and Williams (2011) discuss the role of ethics and its responsibilities in leading innovation and change, while introducing the concept of lifting where employees stand. These researchers analyzed and evaluated the challenges that can occur when leading and managing innovative changes. They argue that leaders must be aware of the psychological and psychosocial challenges that get in the way of motivating employees while going through a change or innovation. It is further suggested that leaders push, drive, and are responsible for employee's performance. Building proper cohesion within creative teams that are expected to drive innovation is also the leaders' responsibility. Innovating for the sake of innovating is not smart, and the different talents that employees may bring and possess to projects are also worth exploring. Leaders and employees are crucial in growing and moving organizations forward (Urhuogo & Williams, 2011).

These principles and practices, ultimately, view organizations as learning institutions and employees as productive members of society. This mindset of caring more for employees and not just the leaders, provides those who wish to lead with a new perspective and knowledge into

how to lead their respective organizations. Instead of egos fueling processes or making self-centered decisions, leaders can find themselves developing empathy, selflessness, and genuine thoughts and caring for employees. Urhuogo and Williams (2011) believe some leaders do not support employee's development and in fact, some leaders focus more on enhancing their own skills, rather the developing the skills and capabilities of employees which has negative effects on the organization.

Tvedt, Saksvik, and Nytrø (2009) conducted a study that investigated whether the harmful effects of organizational change on the psychosocial work environment are reduced by the "healthiness" of change processes followed the management team. The researchers operationally defined "healthiness" by using The Healthy Change Process Index (HCPI) that measured four dimensions of a healthy change process rated on five-point Likert-type scales. These four dimensions were: awareness of diversity, manager availability, constructive conflicts, role clarification. The researchers presented two studies, with the first study having used a randomized sample of the Norwegian working population ($N = 2389$). Results from their first study exhibited direct and indirect positive relationships between organizational change and stress, and job demands as an intermediary. The second study involved using (HCPI) on data from seven Norwegian enterprises undergoing change ($N = 561$), with it showing that the healthiness of the change process was negatively correlated to stress, and positively correlated to control and support, but not to job demands.

Overall, Tvedt et al.'s (2009) findings support the idea that a healthy process as measured by the HCPI may not reduce the additional demands produced by organizational change. However, a healthy process may still be able to reduce the experience of stress and facilitate coping with stress associated with increased demands through enhancing the psychosocial work

environment. A healthy process empowers individuals rather than making them doubtful and distrustful. Thus, healthy change involves a change process that promotes the psychological health of the employees of an organization through concrete participation practices. Dealing constructively with conflicts when they arise is positively related to a healthy process by reducing the conflict level of the process.

In the demand-control-support model, high levels of stress are predicted by high levels of demands and low levels of control and support. Further, it is often assumed that demands and control (and later support) interact, such that the levels of stress are highest for high-demand, low-control (and low-support) jobs. Tvedt et al.'s (2009) model of a healthy change process is contrasted with the demand-control-support process that typically accompanies change, where there are high levels of demands and low levels of control or support that causes high levels of stress in the psychosocial work environment. The overall findings of these studies support the idea that a healthy process may not reduce the additional demands produced by organizational change, but a healthy process can still reduce stress and help cope with the psychological and physical demands produced by enhancing the psychosocial work environment (Tvedt et al., 2009). In summary, organizations evolve beyond structure and business operations.

Organizations must also consider psychological and social change as well, that can result in the development of emotional intelligence to be successful.

Emotional intelligence. Another component of effective transformational change that is supported by the literature is emotional intelligence. Issah (2018) discussed the ever-increasing pressure on organizations to change in order to survive and maintain their relevance in this era of globalization. Consequently, leaders today have enormous responsibility to lead change in their organizations. The change process involves emotions, resistance to change, love for the status

quo or wanting to never give-up value (Issah, 2018). In the face of these challenges, leaders will have to find a way to achieve transformation change and research suggests the need for greater emotional intelligence in organizational leaders.

Change always involves some form of emotions and causes discomfort. Change disrupts comfort and, in the process creates situations filled with anxiety, nerves, and uncertainty among those embarking on change journeys. Resistance is natural in the face of change. It affects people's assumptions, values, beliefs, and identities, making those who are experiencing the changes reluctant to accept the proposed changes. Issah (2018) characterizes emotional intelligence as the ability to perceive emotions, use those emotions to facilitate thought and perspective, understand and comprehend emotions, and manage emotions to promote emotional and intellectual growth. Emotional intelligence becomes an important skill set when leading and involves components of self-awareness, self-regulation, self-motivation, empathy, and social skill. Leaders need to be able to change and adapt, as well and leaders cannot expect others to change if they are not also willing to change. By displaying adaptability, self-confidence, innovation, initiative, and actually be the change, leaders will be able to demonstrate a willingness to change and invite others to do so through actions and not just words. If leaders can set this type of example, they can gain credibility with those they wish to lead, which is crucial for gaining inspired and motivated followers (Issah, 2018).

Neil, Wagstaff, Weller, and Lewis (2016) support Issah's (2018) assertions and concepts of emotional intelligence. These researchers believe in order for organizations to survive and grow, they must be aware of how to implement changes employees will embrace. Dynamic change management processes are vital for accomplishing sustainable competitive advantages in today's turbulent global business environment. Neil et al. (2016) presented three studies

exploring the relationship between performance psychology variables and organizational performance within a UK Government Executive Agency during transformational organizational change. The first study observed relationships between transformational leadership behaviors, emotional intelligence (EI), cohesion, and team performance. The second study involved interviews with team members on EI and leadership behaviors, and specifically how they influenced cohesion and performance during the change. The third study interviewed the head and deputy head of the leaders from previous studies, and focused on how the researcher's findings had been received, viewed, and utilized. The findings from the three studies offer an in-depth view into the behaviors and mindset of team leaders within the UK Government Executive Agency, highlighting perceived importance of effective leadership behaviors and EI creating effective team member cohesion and performance (Neil et al., 2016).

Scott-Ladd and Chan (2004) also argued that organizational learning is more effective if done by emotionally intelligent employees. Organizational learning was viewed through Senge's (1990) conceptualization of five elements: personal mastery, mental models, shared vision, team learning and systems thinking, which together facilitate an organization's ability to learn, adapt, and change. Emotional intelligence was viewed as promoting emotional knowledge, perceptions, as well as general intelligence. With a caveat, emotional intelligence has to be harnessed to contribute to the organization's success. Scott-Ladd and Chan's model describes how emotional intelligence, organizational learning, and participation in decision-making can be synthesized to improve an organization's capacity to manage change and improve performance.

Employees with higher levels of emotional knowledge, perception, regulation and general intelligence will contribute more effectively to organizational learning. Higher emotional intelligence will encourage personal mastery, shared mental models, a shared vision, team

learning, and systems thinking (Scott-Ladd & Chan, 2004). This outcome is most likely to be affected by the role and level of employee participation in the decision-making process. Additionally, unique organizational context, along with management philosophy require serious consideration as they help define the level and role of participation in the decision-making processes (Scott-Ladd & Chan, 2004). Interestingly enough, Scott-Ladd and Chan's (2004) model helps explain Neil et al.'s (2016) themes and responses, regarding the information they received from both the head and deputy of their section of the agency on the identified benefits from their studies one and two. In closing, emotional intelligence helps understand and drive transformational and organizational changes, as well as promotes the formation of strong relationship.

The importance of relationships. Organizational change has become a necessity for organizations to survive and prosper in today's highly competitive global and knowledge-based economy. Organizational change does not just affect the people at the top or those in leadership positions, but impacts employees on the ground level of organizations as well. Carter, Armenakis, Feild, and Mossholder (2013) collected data from two service organizations in China that employed work teams in their business processes. Work teams were defined as being made up of members with codependent work connections and shared responsibilities, with the drive and purpose to achieve common goals. The researchers investigated transformational leadership and change, by examining relationships between transformational leadership and explicit change reactions (i.e., relationship quality), change frequency, and change consequences (i.e. task performance and organizational citizenship behavior [OCB]). These observations occurred during continuous incremental organizational changes that occurred at lower levels within organizations, rather than examining the hierarchal pyramid on leadership and managerial levels.

Carter et al.'s (2013) sample population included two hundred and fifty-one (251) employees and their seventy-eight (78) managers. Analyses indicated that the quality of relationships between leaders and employees influenced the impact of change on employees, including their task performance and OCB. Results of this study indicated that the frequency with which changes occurred on the teams, moderated the connection between relationship quality and performance. The nature of this moderation effect showed that relationships and performance were actually stronger when change frequency was high. In the end, the results demonstrated that lower level managers can provide transformational leadership during continuous incremental organizational change process. Because of the close contact, camaraderie, and trust managers are capable of building relationships with employees in such change contexts. Transformational leadership also allows organizations and cultures to generate beneficial relationships with employees that help improve production, attitude, and pride in organizational citizenship. In addition, it was noted that the more frequently change occurs, the more demand there is for quality relationships between leaders and employees at all levels. In the end, relationships matter and they are important components of effective organizational change (Carter et al., 2013).

Madsen, Miller, and John (2005) noted that businesses are confronted by continuous and unpredictable changes. For organizations to assist employees in being motivated and prepared for change, it is essential that managers, leaders, and organizations develop professionals that are capable of understanding the factors that can influence and impact an individual's ability to change. The purpose of the research study was to investigate the relationship between readiness for change and two of these possible factors: organizational commitment and social relationships in the workplace. A quantitative survey was administered to a sample of employees from four

companies during a correlation relational study. The target population included numbers of local employees ranging from approximately two hundred (200) to over two thousand (2000). These organizations four hundred sixty-four surveys (464) were returned from full-time employees in four companies in two northern Utah counties. These organizations varied greatly in industries, products, and services (hospital, call center, technological support, and health product manufacturer).

The findings indicate significant relationships between readiness for change, organizational commitment, and social relationships. Slight relationships were also found between readiness for change and number of children, social relationships, organization commitment, employee age, educational level, and gender (Madsen et al., 2005). The results of this study provided evidence that employees' commitment to the organization may be an important factor when successfully implementing change. Interventions aimed at increasing commitment may also assist employees in being ready to change. It becomes important to design and implement interventions in order to produce effective and continuous change and having the interventions geared toward facilitating and enhancing positive social relationships in the organizations. Madsen et al. (2005) concluded that, although employees perceived themselves as being open and prepared for change, many organizational leaders struggle with successful change interventions. Those who put forth time, effort, focus, educational opportunities, capital, and other resources toward gearing employees up for change efforts will see the benefits (Madsen et al., 2005). Strong leader-employee relationships go hand-in-hand with the importance of teams in carrying out and achieving transformational change.

Establishing teams. One of the ways to be adept and successful in embarking on a transformational change journey, is to form and cultivate teams that will help overcome obstacles along the way. Goodman and Loh (2011) make the following case for creating work teams:

Organizations are in a constant state of change, though the degree and rate of change will vary from organization to organization. It is important to recognize that all change involves people: what they do, and/or how they do it. Although this article is titled ‘Organizational change’, it is the people within the organization who actually change. One essential point to ensure team effectiveness is sustained during periods of change, is to recognize that engagement of the team throughout the process is crucial. As Peter Senge (1993) said, ‘People don’t resist change. They resist being changed’. We believe that it is the uncertainty associated with change that can be so difficult and painful to cope with; everyone needs to feel that they have some sort of control over their situation. (p. 242)

Teams are paramount for any organization going through a transformational change, very much like the ROPE teams in the manufacturing organization featured in this dissertation study.

Furthermore, on a more practical level, the role of managers and leaders enacting and developing change predominantly happens within the teams they are part of, or the teams they are driving.

Whelan-Berry, Gordon, and Hinings (2003) also believe teams form a crucial part of transformational organizational change being a means to initiate, create, and implement change. Teams are also subsequently an important level of analysis to understand organizational change. The relationships between the change process at the organizational level and how the change processes unfold at the individual and group levels were explored in Whelan-Berry et al.’s case study of a corporate audit department in a U.S. bank. Two research questions guided the case

study: (1) What constitutes a comprehensive change process as initiatives move from the organizational level to the group and individual levels of implementation? and (2) What does an analysis of the individual and group change processes in large scale organizational change add to our understanding of organizational change processes?

The study explored the change process for four separate, but related change initiatives in the Corporate Audit department of FBC, a pseudonym for one of the twenty largest banks in the United States. The researchers suggested the pace of change across levels of analysis, the transition between levels of analysis, and the interplay of the change processes at the three levels are extremely important, dynamic, and understudied aspects of organizational change processes (Whelan-Berry et al., 2003). Based on their findings, Whelan-Berry et al. suggested there is a need to rethink how traditional organizations have allocated resources in the execution of organizational change. Change can happen more quickly when appropriate resources are specifically focused on the group- and individual-level change processes. Further, this study helped illustrate the importance, complexity, and need to better understand how establishing teams to achieve and drive transformational change can be integrated into the culture of the organization (Whelan-Berry et al., 2003).

Organizational culture. Organizations that embark on transformational change journeys experience consequences and breakthroughs along the way that challenge the way the people in the organization think and operate. Transformational change can lead to organizational evolution. Cameron and Quinn (2005) underlined the tenant that the success of organizations is not only determined by specific external conditions but is much more abstract and nuanced. It is argued that the remarkable and sustained success of companies, especially with global reach and aspirations, has less to do with market forces than company values or organizational culture

(Cameron & Quinn, 2005). Dauber, Fink, and Yolles (2012) also maintained that organizations need to know how their cultural models are affecting their people and should be able to show and explain how different variables change over time to provide meaningful, comprehensive, and accurate conclusions of what their culture is and how it is impacting organizational performance. In order to effectively address the external threats to the organization, an organization must understand and map out internal processes and challenges. Figure 1 illustrates the organizational transformational model described by Dauber et al. (2012).

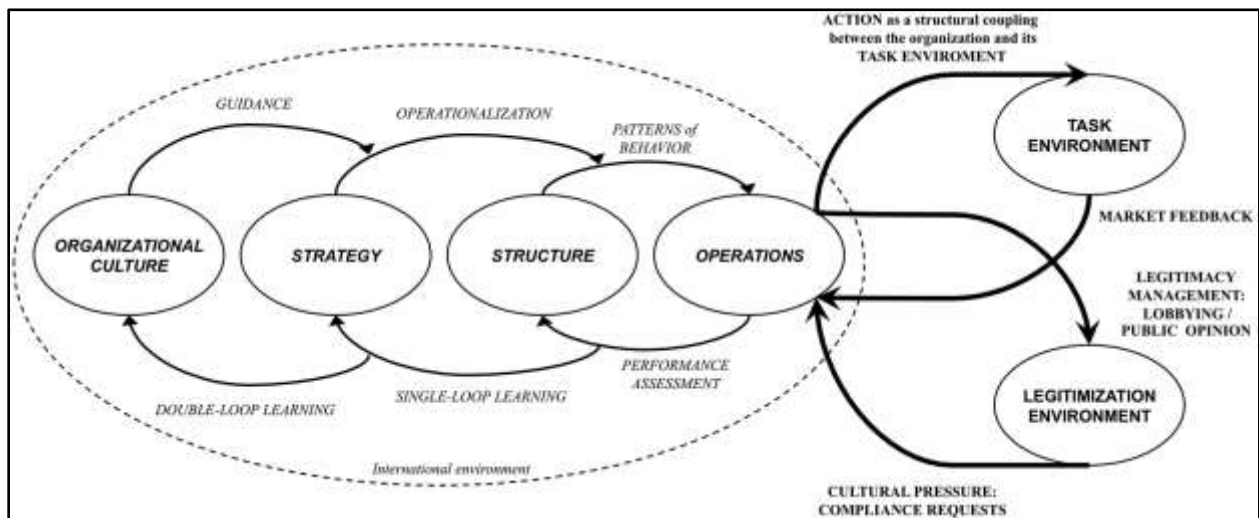


Figure 1. Configuration model of organizational culture: Internal and external environment. Adapted from “A Configuration Model of Organizational Culture,” by D. Dauber, G. Fink, and M. Yolles, 2012, *SAGE Open*, 2(1), p. 11, Figure 8.

Dauber et al. (2012) believe their configuration model of organizational culture emphasizes the need to understand the complex processes and domains in play to fully grasp the nature of how organizational culture and its dynamics influence the change process. Change is very much a process and a journey. This configuration model is to be understood as a step toward a more holistic and dynamic approach to an organizational culture that accounts for change over time. The researchers’ aim was extending knowledge about organizational cultures,

strategies, structures, and operations by introducing meaningful relationships. The researchers effectively build on commonly recognized models in the field of organizational culture, with a call for new models, which are able to explain and enable the exploration of the empirical difficulty that organizations face today.

Dulek (2015) conducted a case study in an organization in which representatives of a major international manufacturer sought assistance in implementing a strategic and cultural change program developed at its corporate headquarters, that echoed ideas of Cameron and Quinn (2005) and Dauber et al. (2012). The goal of the program was to create a leadership culture, encouraging leadership in all employees, as well as increasing employees' sense of empowerment. Some key observations made were that change, culture, and communication were linked throughout the deployment of the change program, and for change to be effective the purpose of the change and the details needed to be communicated clearly. Communication was the driving force of the desired cultural change of the manufacturing organization, which was achieved by performing a GAP analysis comparing actual performance with potential or desired performance. Further having constant meetings, trainings, preparing reports, bridging communication gaps by closing feedback loops, and facilitating debriefings were also beneficial (Dulek, 2015).

Lewis (1999) conducted a study on the importance of communication in the implementation process. Lewis focused on the implementers of planned organizational changes and studied the way they formally introduced, communicated and supported the planned organizational changes. The implementers of eighty-nine planned change efforts across a wide variety of geographic and business sectors served as respondents for the study. They were faced with potential problems of designing structures, trainings, resource allocation, reward systems,

and politics, and had to execute basic communication tasks focused on educating, informing, persuading, and overcoming resistance to the changes. The implementers used communicative strategies for introducing the desired change. Eight hundred and forty-eight (848) questionnaires were sent out to potential respondents, who were paid staff at the organizations. Eighty-nine (89) usable questionnaires returned. Seventy-six (76) questionnaires were returned by respondents, who were paid staff at the organizations, twelve non-staff (ex. consultants), and one volunteer (Lewis, 1999).

Respondents were asked to describe the planned organizational change effort that they helped implement within the past five years in their own organizations, or in another organization. Planned changes included self-directed work teams, strategic management, transformational management, work task analyses, reorganization of client services as a division of one company into three, computer system, on-the-job training program, financial or accounting procedures, benchmarking, restructuring, customer relations program, reengineered production method, merger, quality programs, electronic system, volunteer recruitment process, reward systems, software installation, goal-setting efforts, production technologies, consolidation of regional offices, reallocation of staff, voice response technology, computer system conversion, database management system, and downsizing.

The study found that implementers were using multiple ways to communicate the planned change in their organizations. The researcher's data suggested that implementers tended to use small informal discussions, established feedback loops, and general meetings in disseminating information about the planned change. Lewis' (1999) findings underscored the importance of developing and establishing ways of communicating information about the change vision suited to the organization.

The changes that can occur during a transformational change often can affect organizations in regards to the people and its culture establishing honest lines of communication. Part of the vision for the transformational change being undertaken by the manufacturing organization featured in this study was increased autonomy and accountability for its teams and employees which is almost diametrically opposed to the old command and control culture in place at the start of the case study. This is an example of opposing new and old customs clashing and overlapping. The clash of cultures created obstacles and challenges in the transformational change journey, in regards to creating and dealing with autonomy to make decisions, as well as defusing new ideas and ways of operating throughout the company. Therefore, it is important to not underestimate the complexity of the transformational change journey, and recognize the necessity to design the desired behavior and communication, as well as being able to analyze them both.

Landau (2005) conducted a case study that revealed the unique experience of a defense research and development (R&D) organization during its efforts to implement a transformational change process, due to challenges in their operating environment, declining demand for their business, and a desire of governments to rid themselves of the financial burden of research and development. Problems encountered during the drastic transformational change process included frustrations with the structure, low morale, poor communication, disengaged employees, and lack of understanding of the vision and mission. This prompted the organization to use a more holistic approach for addressing inside and outside factors influencing the business, making specific goals to improve organizational flexibility, increasing transparency, removing barriers and bureaucratic restrictions, and expanding market and professional proficiency (Landau, 2005).

Landau (2005) illustrated how the R&D organization deconstructed the hierarchy, removed silos, and established teams to drive the business. The company instilled leads and ground level employees with decision making power and authority in all areas of the business from operations, sales, and all the way to human resources. Increased responsibilities created a surge of empowerment to create, lead, and innovate inside and outside of the organization. Employees were given permission to develop the business in ways that they felt grew the vision and mission. They were given power to change administrative and operational units to increase integration and build synergy within teams. This method effectively eliminated layers of authority and resulted in empowering people to make decisions in real time without having to go through bureaucratic levels of red tape (Landau, 2005).

Landau (2005) showed that, although the transformational change was implemented, it was met with heavy resistance and major obstacles. The researcher described the top-down, steering board approach used by the R&D organization. The effort and plans of the steering board were strictly administrative and they used standard managerial tactics such as memos, announcements, hierarchical mandates, schedules, timelines, new job descriptions, basic communications, etc. to drive the change. The R&D organization did not take a transformative collaborative approach to achieve a new vision for the organization. The researcher concluded that because the leadership team of the R&D organization did not realize how the change approach effort was affecting its people in negative ways, the desired results took longer to realize than they should have. People immersed in the change were not getting emotional support, nor did they understand the reason for the change, the expectations associated with the change or the desired outcomes. Resistance from older employees occurred because people were not clear about the vision, which, in turn caused lack of belief and buy-in from the people.

Landau illustrated how older employees stuck in old ways of operating and thinking can cause problems, as they grapple with the residual effects of how the company used to think and operate. All of this may have been prevented if the company had developed trainings and clear expectations of the new behaviors and skill sets that were required to create the future of the organization. The R&D organization underestimated the human, cognitive, emotional, and personal side of transformational organizational change (Landau, 2005).

Marshak (2004), a respected global consultant with over thirty years' experience helping organizations plan changes, develop new strategies and structures, challenge limiting mindsets, work cross culturally, and build more effective teamwork, maintained that transformational change creates major and dynamic shifts in the organizational culture, effectively erasing the old culture and growing a new environment, with new ways of working together to achieve personal and organizational goals. He emphasized the need for new concepts that help address the constant change culture of the twenty-first century. Marshak argued that leaders, managers, consultants, and employees need to develop conscious mindsets that embrace change as the norm. A change mindset is open to new ideas and welcomes the notion of flexibility, with stability and certainty becoming an afterthought. Developing a proper mindset helps set appropriate expectations to ensure perceptions of the transformational change are in a positive light. If an organization does not have a change mindset and aligned perceptions, there is a risk of people not understanding the reasoning behind and the need for change and what the new culture and structure looks and operates like, which can and will cause confusion, push-back, and rejection from employees (Marshak, 2004).

Allen, Jimmieson, Bordia, and Irmer's (2007) empirical study of managing perceptions regarding planned change through communication supports the theories and declarations of

Marshak (2004). Allen et al. (2007) described two studies that examined the role that different sources of communication play in addressing change-related uncertainty for employees. First, a qualitative study involving twenty-five participants recruited from six organizations that had recently undergone change. The organizations represented in the qualitative study consisted of private, non-for-profit, and government organizations. The goal of the qualitative study was to examine how employees managed change-related doubts. Findings suggested that direct supervisors are the ideal sources of implementation-related and job-relevant information during a change process, while senior management typically provides more tactical information. The qualitative study also showed that trust influences which sources employees sought information from and how they evaluated the information they received. Other responses revealed that specific change-related doubts can be best addressed by diverse sources of communication.

A second quantitative field study conducted in a large government department that was in the process of undergoing a reorganization of its corporate and human services departments was also reported. This follow-up study was designed to deliver a partial examination of the relationships acknowledged in the first qualitative study. The combined results specified that employees who received quality change communication reported being more open toward the change. Quality communication of the change verified a positive bond in regards to employees' being receptive to change. Very little research has been done on the conditions that are likely to influence how communication provided during organizational change is evaluated by employees. The results confirmed that the delivery of information is important in employees accepting change, as well as the quality of the information employees receive, which is also critical in influencing employees' openness to change. An organization implementing a change process often gives rise to a high degree of disjunction and distraction in organizational work methods,

relationships, and roles. Planned change in an organization involves much more than the presence of new procedures, ideas, people, and machinery. It requires creating trust and constant communication during the roll-out, and strong leadership relationships with the employees that are going through the change process (Allen et al., 2007).

Problems and discord can arise when people do not understand what is happening when change(s) are undertaken. When transparency is low, misunderstanding is high, this can create uncertainty and ambiguity, which can lead to a lack of trust that erodes feelings of safety or confidence. Sinek (2014) illustrated this point in his TED talk discussing the relationships, leadership, and conditions inside the organization being huge challenges to establishing a successful organization in our ever-changing world of business. Sinek stresses the importance of getting the environment right and establishing trust and cooperation. An organization must figure out how to create and earn trust, cooperation, and how to form positive relationships among their people and the work they do. When you have trust and cooperation, people feel safe and they can then combine their talents to overcome the challenges outside of the organization. Without trust people expend all their energy protecting themselves from each other (Sinek, 2014).

Agote, Aramburu, and Lines (2016) supported the points made by Sinek (2014). Agote et al. (2016) conducted a study demonstrating how perceptions of authentic leadership (AL) can influence followers' trust and emotions. The researchers gathered and analyzed experiences of one hundred and two Spanish human resource managers. They found that perceived AL is directly and positively related to followers' trust in the leader and the experience of positive emotions. Researchers also found that trust positively impacts the relationship between AL perception and the experience of negative emotions. Based on these findings, some real-world

implications were proposed. Like the implementation of training initiatives that provide human resource managers with a better understanding of the AL concept and how to facilitate different actions that could be implemented by managers, so they can contribute to building trust, confidence, and safety in their organizations (Agote et al., 2016).

In his book, *Synchronicity: The Inner Path of Leadership*, Jaworski (2011) discussed the trap of dependency and inauthentic communication and lack of psychological safety. Jaworski emphasizes that the trap of dependency comes from employees feeling too dependent on other people, needing approval for everything, and feeling everything will fall apart without that element. As dependency develops it may cause doubt, fear, and compromises the vision, mission, and ultimate dream of the organization. The fear of failure develops and starts to undermine the aspirations that fuel and drive the organization. People become hesitant to be honest, they deny and avoid real issues and feelings, instead of speaking from places of truth and honesty. Creating platforms and mechanism's for information to flow and for employees to be honest in an organization, has to be valued, and has everything to do with establishing trust, removing fears, and encouraging people inside the organization to feel responsible and not depend on others for approval (Jaworski, 2011).

Bstieler and Hemmert (2010) conducted research that developed and tested a model of factors that increase both learning and time efficiency on interorganizational (I-O) new product teams. Specific behaviors like (caring), beliefs (psychological safety), task-related processes (shared problem solving), and governance mechanisms (clear management direction) create a positive climate that increases learning and time efficiency. The data were gathered using structured questionnaires from I-O project teams in the South Korean machinery industry to test the hypotheses associated with their model. After a thorough screening process to ensure only

appropriate organizations were participating in the study, data were collected from fifty collaborative new product development projects. The final results showed that shared problem solving and caring behavior support both learning and time efficiency on I-O teams. Teams psychological safety was positively connected to learning. Direction of management is positively related with time efficiency. Lastly, shared problem solving is more strongly interrelated with both performance dimensions learning and time efficiency than the other factors of caring, psychological safety, and clear management direction (Bstieler & Hemmert, 2010).

Transformational organizational change as described by Robinson and Griffiths (2005) can be a significant life event for employees within the organization and can be very stressful. This study looked at transformational change in a department of the British government that employed roughly three hundred and ninety people. The department had undergone a number of significant changes during the past twenty years. A radical organization-wide change program occurred in response to increasing competition, poor financial performance, and a long-term objective to increase customer orientation.

Robinson and Griffiths (2005) used an open-ended interview methodology in order to explore why change was stressful, and how individuals used coping responses to deal with it. The sample for this study was selected to give representation to all levels of the organization, with participants being interviewed. Five sources of change stress were found that included: increased workload, uncertainty/ambiguity, interpersonal conflict, perceived unfairness, and perceived loss. Fifteen coping responses were identified in the data analysis, and were categorized into four types of coping strategies: task-centered coping, emotion-focused coping, cognitive coping, and social support coping. The five stressors were related to the use of certain coping types as illustrated in Figure 2.

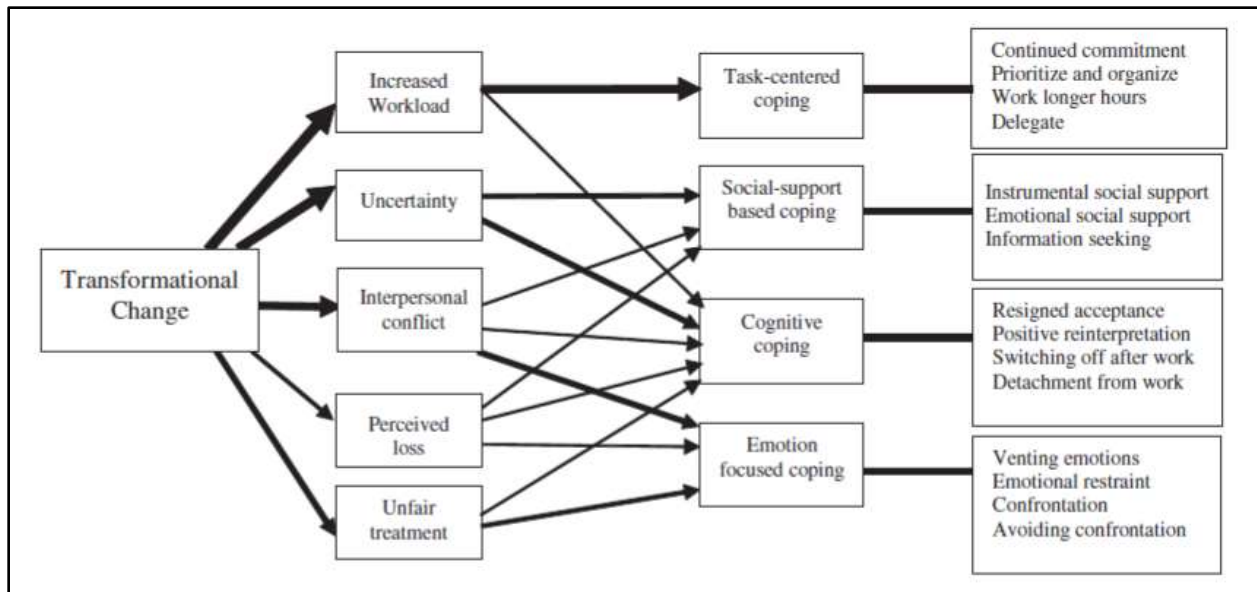


Figure 2. A process model of stressors, coping types, and coping responses in the context of transformational change. Adapted from “Coping with the Stress of Transformational Change in a Government Department,” by O. Robinson and A. Griffiths, 2005, *Journal of Applied Behavioral Science*, 41(2), p. 218, Figure 1.

This study suggested that transformational change, one of the most challenging levels of corporate change, is not necessarily a psycho-social hazard. Robinson and Griffiths (2005) found only 40% of events related to the changes were considered stressful. They also found that transformational change can aggravate certain work stressors, which are not unique to transformational change, such as: increased workload, uncertainty/ambiguity, interpersonal conflict, unfairness, and loss. The results of this study also showed that coping strategies that were used to deal with changes are indeed cognitive and behavioral strategies that are used in many different contexts other than during transformational changes. Robinson and Griffiths concluded transformational change can be a source of opportunity and growth, and can be coped

with successfully. The next section of the literature review highlights more case studies of organizations that embarked on a transformational change journey.

Case studies of organizational transformational change. Hurley (1998), Hurley, Baum, and van Eyk (2004), and Landau (2005) focused on how different companies experienced a transformational change. Hurley (1998) focused on transformational change in sales organizations, using qualitative case study and ethnographic methods, and a review of the sales management and change literature, that offer a series of propositions describing critical factors for managing change in sales organizations. Hurley et al. (2004) presented a case study of a project known as “Designing Better Health Care in the South” that attempted to transform four separately incorporated health services into a single regional health service. Landau (2005) conducted a case study that described the unique experience of a defense R&D organization during its efforts to implement a transformational change. The findings of these studies suggest establishing internal and external communication processes, such as feedback loops, and developing information systems for sharing information bode well for a successful transformational change journey. Further, organizations can benefit from a fear-free culture that creates positive energy, clear responsibilities, employee buy-in, active engagement, and accessibility of learning and development of knowledge.

Moreover, Hurley (1998), Hurley et al. (2004), and Landau (2005), are just some examples of the challenges and difficulties of embarking on a transformational change. They also underline the importance of developing and implementing adaptable structures that fit the changing processes, coupled with transformational and servant leadership development, can lead and define effective management and leadership. Organizations invoking a transformational change process need the development and utilization of proper technologies that aid the change

process. Lastly, the development of psychological awareness can aid in the transformational change journey. This includes developing and cultivating emotional control skills, organizational consciousness, self-awareness, mindfulness, ego-checking, transparency, dynamic and proper planning that all help create cooperation and building of synergy between teams and one another. The aforementioned elements are just some of the components that can help drive transformational change. Transformational change journeys are all different and pose organic challenges and roadblocks. Obstacles can and will emerge that organizations must be prepared for if they want to survive the transformational change process. Barriers and roadblocks that arise during an organizations transformational change journey are discussed next.

The studies and findings in the above sections were associated with the many dynamics of creating an organizational culture conducive to achieving transformational change, can inform other organizations about effective management and leadership practices and underscore the challenges organizations must confront marked by continual change. As such, one of the solutions to overcoming barriers of transformational change is teaming together, and forming and establishing dynamic work teams to better deal with challenges and navigate the transformational change journey.

Teams

The current focus of organizational change literature is largely focused on the organization as a whole, the effects and contributions of the individuals within the organization. The role teams play in organizational change are often overlooked and underdeveloped. At odds with organizational change programs that relying heavily on teams and teamwork, organizations must tackle the diverse challenges of teamwork in organizations looking to more collaborative work structures to achieve organizational success. Case in point, the manufacturing organization

featured in this study is moving in an innovative and human centered direction and is focused on developing high-performance teams to not only drive the business, but also play a huge role in driving new cultural and structural development in the organization.

Nature of teams. The burgeoning focus on teams is very much in response to globalization and rapid and growing technological innovation world-wide (van Veelen & Ufkes, 2019), along with a myriad of other external and internal threats and opportunities. Team design, make-up, and dynamics require diversity, key psychological aspects (e.g. empathy, self-awareness), and unique structures, so they can drive and maintain continued organizational improvement and innovation.

van Veelen and Ufkes (2019) believe teams have the potential to solve problems and perform complex and dynamic tasks, but need to be agile and flexible units. Changing demographics of the workforce pool has resulted in growing heterogeneity in the workforce, which means greater diversity in age, gender, nationality, and ethnicity in organizations and their work teams. Such team diversity has the potential to drive high quality performance through the various perspectives, knowledges, and expertise that these diverse team members with different backgrounds bring. However, van Veelen and Ufkes (2019) assert that being able to profit from increasing team diversity is a tall task.

A cross-sectional study which relied on self-reported measures, databases, and external performance assessments was conducted among seventy-two project teams, which demonstrated demographic diversity positively affects both objective and subjective team performance, when a strong collective team identification exists. Collective team identification was measured with eight items, on a 5-point Likert-type scale (1 = not at all, 5 = completely). van Veelen and Ufkes (2019) noted that, in order to reap the benefits of team diversity, team members must find

common ground to gain a shared sense of unity. With shared unity diverse teams can profit from the dynamic contributions of one another, which could also translate into improved performance. Through team learning, obtaining a collective confidence on teams, and developing team efficacy, a positive impact on performance can occur. Subsequently, socio-psychological aspects, like safety, empathy, or trust, are crucial for teams in today's organizations trying to obtain high performance and transformational change. More specifically, the development of feeling safe amongst one another, being able open up, and permission to be vulnerable impacts the pursuit of production, performance, and growth (van Veelen & Ufkes, 2019).

Psychological safety. Edmondson (1999) presents a model of team learning and tests it in a multimethod field study, that introduced the construct of team psychological safety. Edmondson defines team psychological safety as a shared belief held by members of a team that the team is safe for interpersonal risk taking. Edmondson modeled the effects of team psychological safety and team efficacy on learning and performance in organizational work teams. Feeling safe allows for vulnerability that fosters interpersonal risk taking, including advancing new ideas. In this study, fifty-one (51) work teams in a manufacturing company were observed and interviewed on antecedent factors, process, and outcome variables, that showed team psychological safety is associated with learning behavior, but team efficacy necessarily was not, when controlling for team psychological safety.

Edmondson's (1999) study predicted and was able to demonstrate that learning behavior mediates between team psychological safety and team performance. This study reinforced an integrative outlook, in which structural and interpersonal characteristics impact learning and performance in teams. Results displayed that psychological safety is a mechanism/attribute that helps explain how previously studied structural factors, such as context support and team leader

coaching, impact behavior and performance. Study results also supported the integration of team structures, like context support and team leader coaching, helping to enhance shared beliefs and create a sense of safety, which enable organizations to influence team outcomes and performance (Edmondson, 1999).

Frazier, Fainshmidt, Klinger, Pezeshkan, and Vracheva (2017) help solidify Edmonson's (1999) discussion and findings on the importance of psychological safety for teams and their performance. Psychological safety research has thrived in recent years, but despite the empirical support for the important role of psychological safety in the workplace. According to Frazier et al. (2017), several critical questions remain. In order to address these questions, the researchers aggregated theoretical and empirical works, and draw on one hundred and thirty-six (136) independent samples representing over twenty-two thousand (22,000) individuals and almost five thousand (5,000) groups. They conducted a comprehensive meta-analysis on the antecedents and outcomes of psychological safety. They presented the nomological network of psychological safety, and also extend their research in four important ways. One, they compared effect sizes to determine the relative effectiveness of antecedents to psychological safety. Two, they examined the extent to which psychological safety influences task performance and organizational citizenship behaviors. Three, they observed whether research design characteristics and national culture altered strengths within the nomological network, which helped illustrate a richer understanding of psychological safety. Finally, they tested the homology hypothesis by comparing the effect sizes of antecedents and outcomes of psychological safety across individual and group levels of analysis.

Frazier et al. (2017) utilized a combination of theory-driven and data-driven approaches to create a categorization scheme for coding articles. They drew from theoretical frameworks of

psychological safety to create broad, ordered lists of antecedents and outcomes of psychological safety. Their results demonstrated that whether it be a gain in performance, increased learning, engagement, information sharing, or improved satisfaction and commitment, their results demonstrate that psychological safety impacts important organizational outcomes across a broad spectrum. Their results also show that there are personality traits that are positively related to psychological safety, making a strong case for organizations to find value in selecting people that are primed to create and/or believe a work environment is psychologically safe. Their results demonstrated that psychological safety is a very crucial construct at the individual and group level of study (Frazier et al., 2017).

The role of teams in organizational change. Teams have become a focal point in the study of change in today's organizations. Teams are viewed as drivers of innovate ideas and performance improvements. Douglas, Martin, and Krapels (2006) highlighted the importance of teams in today's businesses. Using data collected over an eighteen-month period from a manufacturing firm, the Douglas et al. study examined employees' perceptions of managerial communication used prior to and during the implementation of self-directed work teams (SDWTs), also known as autonomous work teams, while also looking at the effects of team and organizational communication on team members' participation.

Adopting SDWTs presents an array of challenges, as this study noted in examining subordinates' perceptions of managers' influence strategies and how they affect the success of change within organizations (Douglas et al., 2006). The researchers focused on the use of "soft" and "hard" influence tactics with examples of the hard influence tactics being described as legitimizing, pressure, and coalition blocking while examples of the three soft influence tactics being inspirational appeals, consultation, and rational persuasion. Douglas et al.'s (2006) results

indicated that managers who communicated persuasively using “soft” influence tactics in the team development process were perceived to be more effective than managers who used “hard” influence techniques. Team communication was also found to have a significant positive effect on team members’ participation. Overall, the findings provided strong support for use of soft influence tactics in managerial communications when implementing SDWTs. These findings indicated that according to the team members’ perceptions moving from hierarchal/command-and-control to team-based/matrix management and leadership helped stimulate team leaders to use a communication style that was more conducive to success of the new team-based structure. The relationship between structural change and communication style received empirical support, with managers becoming team leaders, and the way information was communicated and presented to employees was perceived to change as the decision making changed (Douglas et al., 2006). Teams not only drive businesses now, but they also have the power to change behavior that can impact cultural and transformational change.

When initializing and going through a transformational change, people and teams matter in today’s business climate. Allan et al. (2014) looked at the experiences of power and motivation during organizational transformational change for managers, leaders, and staff. The study involved three primary care settings in England in 2006–2008, with data collection involving three group interviews with thirty-two service users, individual interviews with thirty-two managers, and fifty-six frontline professionals in three sites. Creating and driving new teams to work effectively is a slow arduous process, especially if structures in place do not acknowledge the challenges and painful feelings involved in a transformational change, and at the same time do not support employees during difficult times (Allan et al., 2014).

Allan et al. (2014) concluded that integrating new teams is a slow and a difficult process. Structures must be put in place to support staff throughout out the change process. Support mechanisms in the form of supervision, mental health help and interventions for teams and individuals must be present. Cost and time constraints that already put people driving and making the change under tremendous amounts of pressure are one of continuing problems associated with charting new directions for the organization. The Allan et al.'s study illuminated the need to incorporate emotional support, as well as structural and systematic supports when implementing organization-wide transformational change. The study also suggested that the role of emotions and relationships within new business operations and structures lacked an appreciation for the impact it has on the bigger change picture. Leaders and managers inside organizations need to take these factors seriously in leading and managing change, while heightening the need to prepare and give a voice and power to people when implementing system-wide changes (Allan et al., 2014).

Douglas et al. (2006) and Allan et al. (2014) paint a clearer picture of the role's teams play in not only businesses, but also in implementing and supporting transformational changes. Teams drive organizational performance, capacity for change, help evolve cultures inside organizations, and are essential cogs in the business operations of today's organizations. Further, increased reliance on self-directed teams creates many obstacles and challenges, with teams being asked to assume responsibilities for driving improvement and innovation, which are essential to surviving in today's global and knowledge-based economy (Allan et al., 2014; Douglas et al., 2006).

Moving forward, this review examines the literature on the main purpose of dynamic teams in today's business environments, which happens to be their ability to solve problems and

generate innovations. The influence of team structures on the ability of teams to engaging in continuous performance improvement, learning and innovation is considered next.

Team structures. Even with diversity and key socio-psychological components achieved on work teams, unique structures are still needed for guidance, cultivation, and to provide direction and spur performance improvements and growth. Bunderson and Boumgarden (2010) took a closer look at the effect of team structure on team engagement in learning and continuous improvement. Data were obtained from self-managed production teams in a Fortune one hundred high-technology firm. Each of the teams in their sample was responsible for a specific task within the firm's overall production process. The tasks differed, but all of the tasks required team members to work together to receive inputs, apply a transformation process to those inputs using highly sophisticated pieces of equipment, and forward outputs to the next station.

In self-managed teams with steady and well-developed tasks, stable team structures (i.e., preeminent levels of specialization, formalization, and hierarchy) actually help encourage learning by sharing information, reducing conflict, and fostering a climate of psychological safety. The researchers examined a mediated model in which the effect of structure on learning and improvement in teams was facilitated by psychological safety, information sharing, and frequency of conflict. Bunderson and Boumgarden (2010) developed and tested hypotheses that in self-managed teams dealing with stable tasks, superior team structure, higher levels of specialization, formalization, and hierarchy, would promote learning through enabling sharing of information, conflict reduction, and fostering a climate of psychological safety.

Bunderson and Boumgarden's (2010) hypotheses were largely supported. They even showed that higher structure was also connected with productivity enhancements among a subsample of the self-managed teams. These results further bolstered the understanding of team

learning and drove home the importance and need of structures in teams, and how that can impact the team's processes and performance (Bunderson & Boumgarden, 2010). Teams and their structures are an important part of not only production and performance inside organizations, but they play a role in the transformational change process.

Mathieu, Hollenbeck, van Knippenberg, and Ilgen (2017) suggested that work groups are a vital link between individuals and organizations. The authors reviewed the evolution of team research over the past century with a particular focus on that which illustrated the shift in focus on individuals within teams, individual versus team comparisons, and on the team itself and larger systems of teams. They describe the major outcomes studied within the literature and how it relates to the nature of team tasks and structures. The authors looked at the roles of team members' characteristics and composition, and team dynamics in terms of processes and emergent states.

Mathieu et al. (2017) concluded that significant changes are needed in order to advance the science and understanding of teamwork. Changes that include the incorporation of temporal issues. Nearly every variable in team effectiveness models changes over time, and for a plethora of reasons relationships may fluctuate over time. Combine that with the fact that few variables are uniform throughout team dynamics, and theoretical, methodological, empirical, and application developments will all be a necessity moving forward into the 21st century. There is a need to revisit the fundamental fluctuating nature of team evolution and dynamics. Researchers must go beyond qualitative approaches, looking at social network analysis as a powerful avenue for the future research. Organizations and research on teams must forge beyond independent and stand-alone teams as the formal unit of analysis for organizing work. For example, individual job designs gave way to team-based designs as the scale and difficulty of work increased, so it is

very likely that additional increases in scope and complexity of the very nature of work may require a level of skill diversity that goes beyond what can be accomplished by a single team.

Mathieu et al. (2017) declared that team configuration will remain a key topic of interest in the future. The field of team configuration will benefit if the focus on configuration as a static influence and as an independent variable, is supplemented with a more dynamic focus on configuration very much changing over time and being extremely fluid. Organizations are more demographically diverse and team work has shifted into more intricate knowledge work that requires cross-functional teams. Organizations must not simply adopt what holds true for cross-sectional assessments of more versus less diverse teams. Organizations must learn how to respect the unknown nature of team formations, and realize that how they form and drive teams is unique to their environment. Organizations must find ways to innovatively design and learn about team formations and how to implement them. The authors believe the time is now for such advancement, with new and unique methods of measurement and analyses rapidly developing that can enable the necessary work to solve problems and drive businesses forward. Data alone will not yield the needed insights without focused theoretical advancements (Mathieu et al., 2017).

Teams are essential in organizations today, and they are extremely difficult to design, implement, and allow to evolve. Creating the right team is difficult, and very much a trial-and-error process. Moving forward in this section on teams, certain team formations will be discussed that directly influenced the methodology and design of the ROPE teams that the manufacturing organization featured in this dissertation employed in the attempt to achieve a transformational change. The following research delves deeper into team formations, focusing on high-performance teams, that greatly shaped and impacted the team formations, leadership,

and transformational change journey of the manufacturing organization featured in this dissertation study.

High-performance teams. Drawing from over 25 years of experience with high-performance teams (HPTs), Hanlan (2004) traces the history of high-performance teams in a wide variety of industries, describes the key factors that contribute to success and failure of HPTs, and offers a comprehensive guide to building and managing them. HPTs very simply are teams that achieve high performance results. The assembly of HPTs is very complex and transformational in its own right, which goes hand-in-hand with the overall transformational change of the manufacturing organization. Hanlan (2004) describes a six-stage team process that characterizes high functioning teams, which includes calibration, compliance, consent, commitment, creativity, and culture change. The relationships of people and their relationships with their work is the underlying key to HPTs and successfully maneuvering through the six stages outlined by Hanlan (2004). It should be noted that Marc Hanlan has worked with teams in a leader, consultant, member, and observer capacity, and is a senior partner of High-Performance Work Team Consulting, LLC. *High Performance Teams: How to Make Them Work* by Hanlan (2004) is a book that was chosen to be included in this literature review, because it was hand-picked by leadership of the manufacturing organization featured in this dissertation study. The book had and has a significant influence on their transformational change process and journey.

There are other studies to support Hanlan's (2004) assertions and theories, such as the case study conducted by Daniel and Davis (2009) at IBM that studied managers who led high-performance teams in highly competitive industries. This study focused on how high-performance teams figured out how to balance the complex personal relationships with organizational expectations and quality standards. Study findings illuminated how much

subjected competitive pressure, which is manufactured pressure outside the imbedded challenges of producing results in high-performance teams, affected teams' production and functionality. This kind of pressure created high expectations for the leaders to drive, deliver, and produce, which counter-intuitively more often produces detrimental outcomes than the desired high-quality output. Dynamic and insightful management of a diverse team of high-performing inter-organizational professionals requires operational latitude for diverse teams to come together and be effective. It bodes well if the organization focuses on cultivating and refining techniques that enable the commitment and community essential for top team performance and successful product delivery. Among the techniques or variables identified by Daniel and Davis (2009) as having an impact on team performance and delivery were: operational latitude, clear goals and shared common vision, convinced leadership, information sharing platforms, interpersonal relationships formed, constructive interactions, cooperative engagement, functional group delineation, role allocation, and expertise alignment.

Daniel and Davis (2009) used case narrative and iterative interviewing as an exploratory tool to provide evidence for inductive theory building of success factors for high-performance teams. Using this method allowed the researchers to explain how the interactions occurring with events in a specific context contributed to observable outcomes which are described next. Establishing the importance of having and creating a sense of community, and feelings of commitment in managing and leading the human dynamics, and technical imperatives of a high-performance team was identified. Conditions, prerequisites, enablers, and principles for the management of high-performance teams were another outcome identified, that included the following: clear goals and a shared, common vision, convincing leadership, group engagement in development process, shared ownership, collective achievement valued, information sharing and

communication, and a strong platform of understanding and knowledge, challenging tasks and resilience to setbacks, professionally meaningful projects, interpersonal relationships formed, constructive interactions that acknowledge group diversity and analytical expertise, cooperative engagement, problem solving and learning from individuals' experiences. Leadership must also be trusted, convincing, and confident and must have high levels of group engagement during the team developmental processes.

Another observed outcome in the Daniel and Davis study was that teams must have a sense of shared ownership and collective achievement, which creates a sense of ownership and the feeling of being valued. Information sharing and communication are paramount for performance and there must be strong platforms and mechanisms occurring for ensuring understanding and building knowledge. Additionally, teams must have meaningful and challenging projects and build grit and resilience to be able to effectively deal with roadblocks and setbacks. There must be cohesion and strong interpersonal relationships formed, with constructive interactions acknowledging diversity, personalities, egos, and expertise was identified as another outcome. Lastly, high-performing teams must possess the abilities to be cooperative, engaged, problem solve, and learn from their mistakes and experiences (Daniel & Davis, 2009).

The manufacturing organization featured in this study uses their ROPE teams as high-performing teams with the desire to create and drive autonomous cross-functional teams. These types of teams come with distinct attributes that they must possess in order to be productive and dynamic. Luther (2000) conducted a study involving one hundred fourteen (114) high-performance team members within a single department who completed the Hogan Personality Inventory (HPI), with the aim of seeing how integrity plays into the outcomes of high-

performance teams. Luther defines integrity as the ability one possesses to be dishonest or honest in work behavior and life situations. Integrity tests have exhibited robust validity for predicting performance, which is relatively untested and with organizations having shifted to self-managed autonomous work teams the relationship between integrity and performance is unknown (Luther, 2000).

Luther (2000) used the HPI Reliability scale as the integrity measure. The job performance of study participants was evaluated by their team leaders. The performance ratings were modified to equalize ratings across the teams. “Results indicate that integrity was related to the transformed performance ratings ($r = .25$) within a high-performance team environment” (p. 19). The relationship between integrity, measured by the HPI Reliability scale and job performance was positive and statistically significant, although very modest. The zero-order correlation between integrity and job performance was significant and well within the range of predictive validities for performance criteria. This finding is encouraging and makes the case for the importance of establishing an environment where people feel comfortable saying and expressing what needs to be said and not necessarily what people want to hear. The currency of truthfulness, and, ultimately, integrity becomes premium in high performance teams. This study comes with some limitations, but the results indicate that focusing on integrity may be a useful addition to talent acquisition within high performance work teams (Luther, 2000). The modest correlation between integrity and team performance suggests that other independent variables must be included to enhance one’s ability to predict the performance of HPTs.

High-performance teams require many things to be successful and coaching is one of those requirements. Kets de Vries (2005) conducted a case study involving eight individuals on an executive committee of an information technology firm. This study found that although one-

on-one coaching is very effective, the benefits of leadership coaching in a group setting can also be very real. The researcher found durable changes in leadership behavior were more likely to occur in group settings than in one-on-one settings and translates into better results for the organization. Leadership group coaching helps establish a foundation of trust, makes for constructive conflict resolution, leads to greater commitment, and contributes to accountability.

Further, leadership coaching in a group promotes and translates into better performance and results for organizations. The study puts forth coaching as credible intervention to fighting organizational silos and helping break down boundaries and road blocks in organizations. It is advantageous for future and current leaders to learn coaching skills, and complete clinical trainings, to help prepare them for the catastrophic psychological and sociological problems that can upend the leadership development process in high-performance teams. This study also explored the similarities between leadership coaching and psychotherapy, highlighting the scale and scope of the mental pressures that high-performance teams experience, which are most certainly drivers of transformational change processes (Kets de Vries, 2005).

Putting together and driving high-performance teams is a challenge all in itself. Elder (2010) conducted an internal self-reported case study in a college setting on what it takes when recruiting, training, and retaining high-performance teams. His reflections and thoughts stressed the importance of setting a compelling vision with big distinct goals and involving people who have a need to be part of something bigger than themselves. The researcher recommended being clear and distinct about priorities and how they are set for the teams. Further, high-performance teams must be provided with the proper training and provided with the proper tools to achieve success.

How you measure progress and success is vital, with clear metrics that provide accurate feedback on team performance being essential. Creating an open environment where employees have a voice and are encouraged to coach and be coached, can improve their skills and ability. High-performance teams must also be assembled and chosen wisely and allowed to grow and build synergy (Elder, 2010). The combination of people on a team can determine whether or not they will succeed or fall apart. Silos must be broken down and autonomy given to teams. Autonomy allows for people to have power to solve problems and ask questions, while taking ownership and building meaningful relationships amongst one another. These developments are extremely helpful when creating and driving high-performance teams and helping to push and drive transformational change (Elder, 2010).

Singer and Duvall (2000) conducted a case study on the Harley-Davidson organization that was experiencing rising levels of customer and employee dissatisfaction because the organization couldn't keep up with product demand. Harley Davidson was facing constant pressure to improve performance and sustained pressure to examine their processes, patterns, structures, and practices. The manufacturer decided to turn to high-performance work systems as a solution to transforming their business operations. So, the manufacturer introduced self-managed work teams, a work system integration of design and process implementation strategies.

Results of the study found that collaboration, cooperation between self-managed work teams, organizational leadership, and management raise nuanced and complex issues. The changes at Harley-Davidson represented and created a new process engineering management environment significantly different from what the organization used in the past. Employees in the manufacturing organization came from very diverse backgrounds and most were steeped in

traditional hierarchical work structures. Throughout the early stages of this change effort, employees received and went through training on expectations, skills development, and knowledge required to support a self-managed team structure and system. This intense training continued to make this new culture successful and became cemented into the organization, with it being well known throughout the manufacturing organization that this transformational change initiative, vision, and mission were vital to the company's long-term competitiveness and survival (Singer & Duvall, 2000).

Team processes focusing on self-managed teams and the development of different leadership styles were investigated by Solansky (2008). Solansky specifically studied two leadership styles: shared leadership and single leadership. The scope and scale of the study involved twenty work teams, with team members being students in an undergraduate management class at a large university in the Southwestern United States. Evidence was provided that a work team can find a stronger sense of competence, efficacy, and a stronger transactive memory system when leadership is shared. Further findings suggested that teams with shared leadership have certain advantages. Specifically, motivational and cognitive advantages over teams that chose the traditional approach of depending on a single leader (Solansky, 2008). This study showed the potential of developing self-managing teams and how shared leadership influences team performance and development.

Researchers Wilson and Whittington (2001) conducted a case study of teamwork in several different manufacturing companies that drew on a retrospective analysis of cases of self-managed team implementation in United Kingdom manufacturing organizations. They found there were benefits of introducing self-managed teams in a manufacturing setting when organizations have a clear picture of the challenges and accept the need to align other aspects of

organizational design and culture to facilitate working in self-managed teams. This case study suggested that there is a sense of consistency and rationale dealing with successful organizational change programs, and any changes to the way an organization was designed and run should be positively reinforced rather than undermined in the course of shifting toward a teamworking culture.

Wilson and Whittington (2001) found key preparations for the transition to self-managed teams were: establishing the preconditions for change, deciding on the approaches taken to change, and establishing the environment and culture for change. Effective implementation strategies that came out of the study were designing the team to include tasks, boundaries and leadership. Establishing and supporting the change process by developing strategies for onboarding new members to the team, and encouraging and rewarding sharing of information within and across teams. That allows for best practices to be easily identified and dispersed across workgroups along that applies constant upkeep and measurement in the pursuit to effectively implement the change vision and mission. The researchers were also able to collect the consensus recognition from participants that true teamwork and development takes time to deliver and produce results. The researchers concluded significant changes are very much a journey (Wilson & Whittington, 2001).

Problem-solving teams. The ability to solve problems in business and inside organizations is nothing new. Traditionally, solving problems involved a handful of individuals in positions of power compared to problem solving in today's organizations where teams are being given autonomy, ownership, and expectations for solving problems in innovative and dynamic ways. Hung (2013) discussed and echoed the role of teams in today's business and their ability to solve problems. Further arguing that in today's organizations much of the

problem solving is done by teams, rather than by individuals. The complexity and volume of today's problems has exceeded the cognitive capacity of any individual and now requires teams to have any kind of chance to successfully address these challenges. Team success and the ability to solve complex problems relies not only on individual team members who possess diverse levels of expertise and capabilities but also a team's ability to identify, analyze and solve problems.

Hung (2013) who is a professor and graduate director of the Instructional Design and Technology Program (Department of Teaching and Learning) at the University of North Dakota studies problem-based learning (PBL), complex problem solving, types and difficulty levels of problems, systems thinking and modeling, concept mapping and formation, and creativity. Hung (2013) described the types of cognitive processing that are involved in what is called team-based problem solving (TBPS). TBPS is described as a mechanism for individual cognition to transcend into emergent collective cognition, which in laymen's terms is how teams form synergy to be able work and think as a single unit, and not as individuals. Hung further discussed the cognitive properties involved in a TBPS system. These cognitive properties include coordination, transactive memory, situational awareness, and communications (Hung, 2013).

Studying TBPS was challenging due to the difficulty of capturing and measuring team dynamics properly, due to the complex emergent state of cognitive processing, as well as the lengthy duration of the process. Hung was able to see what effect attributes like, configuration, functioning, or adaption have in determining and predicting the team performance, and how teams decision-making processes evolves. This can help organizations identify when and what the most critical state is that affects the team's success or failure and how that may correlate to

the team's performance. How teams solve problems and how their decision-making process impacts a team's cognition, is one of the next frontiers in organizational development, and is a vast uncharted research territory awaiting further exploration. It is crucial to understand how important teams have become in today's organizations and just how complex they can be to measure and understand. As teams move forward, understanding how they function will play a huge role in organizational success and survival (Hung, 2013).

It should also be noted that with teams being major drivers in businesses and organizations and layered with increased responsibilities, it becomes necessary to better understand properties, prioritization, collaboration, and productivity in team settings. As an example, Dailey (1978) conducted a study that examined how task certainty, task interdependence, team size and team cohesiveness influenced collaborative problem solving, and team productivity. These relationships were examined in forty-five (45) project groups working in fifteen (15) public and private research organizations located in the Western United States. The results indicated that team cohesiveness and the certainty of the task were strong predictors of teams collaborative problem-solving ability and productivity. Looking at productivity, Dailey found that collaborative problem solving did not have a linear relationship, but rather are a more complex relationship centered around collaborative problem solving and the team's productivity, with sensitivities to high and low levels of each of the four predictors (task certainty, task interdependence, team size and team cohesiveness) used in the research design (1978).

Dailey's (1978) analysis using collaborative problem solving as a dependent variable established the importance of team cohesion and synergy as predictors of problem-solving success. Second, the nature of the task also had an impact on collaborative problem-solving processes for teams, with these two effects also being noted for other types of work groups and

in laboratory research on groups. Studies that were performed on task characteristics and cohesiveness in other settings were able to be generalized across different kinds of settings. Going a step further, this research was fortified by examining the relationship between affective group atmospheres/climates and experienced levels of emotional involvement, cohesiveness, synergy in teams, collaborative problem-solving processes, and team productivity. A positive relationship between team cohesiveness, collaborative problem solving and team productivity was revealed. These findings helped to solidify the importance and role of teams in business and organizations, along with the value of teams in illuminating and solving problems. For this process to be successful it must involve strong rapport, synergy, and collective cognitive ability to establish and cultivate problem solving centered teams to push production and transformational change. Along with these complexities, teams must also be cross-functional in nature, collaborative, and multi-faceted (Dailey, 1978).

With teamwork becoming a stronger element in organizational performance, Jordan and Troth (2004) examined the role of emotional intelligence in team problem solving. This study examined the utility of emotional intelligence for predicting individual performance, team performance, and conflict resolution styles. Three-hundred-and-fifty (350) university students working in one hundred and eight (108) teams enrolled an introductory management course, were administered a self-report measure of team members' emotional intelligence. Participants then completed a problem-solving task individually and as a team member, and afterwards participated in a reflection on the conflict resolution tactics used to achieve the desired team outcome (Jordan & Troth, 2004). Emotional intelligence indicators were positively linked with team performance, problem solving, and conflict resolutions. Additionally, emotional intelligence made little difference in individual decision making and production, but emotional

intelligence was a strong predictor of group performance. These results demonstrated a correlation between Dailey (1978) and Hung's (2013) assertions and findings of team cohesiveness, cross-functional, and collaboration being significant factors in problem solving success in teams. Jordan and Troth's (2004) insertion of emotional intelligence as a factor impacting teams' performance and decision making added to our understanding of the variables that need to be considered in designing workplace teams. Similarly, there was a correlation between emotional intelligence a team's ability to understand and communicate with one another. Emotional intelligence played a key factor in helping with team synergy and cohesion to attain dynamic problem-solving abilities (Jordan & Troth, 2004).

Cross-functional teams. Cross-functional teams figure prominently in the businesses and organizational literature of the late 20th and early 21st century, usually with lofty and dynamic expectations of improving organizational problem solving, growth, and performance. The creation of cross-functional teams and their implementation has outpaced the understanding of how and why they work or don't work, what they do, and what capabilities and necessary for effective team performance. Jassawalla and Sashittal (1999) conducted a case study of ten mid-to-large sized high-technology industrial organizations implementing cross-functional teams, which involved interviewing forty managers from research and development, production, and marketing functions in the ten firms. This study showed that cross-functional teams were able to improve new product processes in many organizations, but not all are created equal or ran properly. All of the managers verified having struggles with functional-hierarchical and structural designs, unyielding perceptual and spatial boundaries among the cross functional teams, and difficulties with differences in prioritization and scheduling. These challenges

resulted in protective combative behaviors, errors, redoing of work, consistent cost escalations, and badly missed deadlines and goals (Jassawalla & Sashittal, 1999).

These findings demonstrated showed that collaborative behaviors are extremely difficult to learn and seldom result from just being on a team. Some teams adopt collaborative behaviors and accelerate new product development processes and production output, while other teams are challenged by difficult interpersonal interactions and lack of collaboration skills. Transforming behavior and cognitive ability needs to be accounted for and built into cross-functional teams, can improve the ability to share and disseminate information (Jassawalla & Sashittal, 1999). Transforming behavior and cognitive ability to achieve change can also improve cooperation in implementing new product designs and problem-solving strategies. In addition, building collaborative planning and early involvement to create buy-in resulting in ownership in production and innovation is another benefit. Similarly, improved planning, coordination, and deployment of activities and actions cause other positive outcomes. Like the development of *at-stakeness* in teams, which is a condition where participants commit equally to the team's decisions due to caring equally and are equally invested in the team's outcomes. Lastly, it was essential for cross-functional teams to develop, measure, and foster transparency, mindfulness, and the ability to check egos while building team synergy (Jassawalla & Sashittal, 1999).

When cross-functional teams use ideation methods in an optimal way they have the potential to increase the number of ideas, which in turn fuels and allows a team to contribute during the theoretical phase of product development in an industry (Pettersson & Lundberg, 2018). Pettersson and Lundberg (2018) used an ideation method called action design research (ADR) to study a deregulated railway market of six participants, through adjacent contact between researchers and engineers in a real-world situation. Action design research (ADR)

consists of four stages: (1) problem formulation; (2) building, intervention, and evaluation; (3) reflection and learning; and (4) formalization of learning. Petersson and Lundberg's (2018) method was tested and advanced in a cross-functional inter-organizational group comprised of participants from different players in the railway sector. Qualitative and quantitative test results were gathered and detailed opinions of the participants were considered. As a result, the learning derived from this specific case was formalized into a number of design principles for ideation methods to be used in cross-functional inter-organizational groups. Using ideation methods in an optimal way had a great potential to increase the number of useful ideas, which a cross-functional team generates. The participants on the cross-functional inter-organizational group found the method to be more useful and to generate more ideas that could be used in practice, in comparison to the established ideation methods that the teams had already tried (Petersson & Lundberg, 2018).

The participants reported that the developed cross-functional method was the best method that they had tried. They found it more useful, in that it allowed for the generation of more ideas that could be used in real-life-practice. The participants did not report having and were not observed having difficulties understanding and executing the method. Most of what was discussed verbally in the cross-functional team was used to elaborate ideas, and the distribution of spoken words between participants became more equal when taking turns to speak was put in as a procedure and implemented. Measurably more ideas were generated during the cross-functional team method and the developed method outperformed the other methods that they had previously practiced (Petersson & Lundberg, 2018).

Much like the cross-functional ROPE teams that the manufacturing organization designed and enacted in this dissertation study, the cross-functional teams observed in the Petersson and

Lundberg (2018) study, were focused on generating ideas to solve problems. Solving these problems allowed for achieved success in the organization, but each team has its own specific purpose, needs, design, cadence, and implementation. Teams of a cross-functional nature are extremely innovative, highly complex, and specifically individualized based on the organizational environment. This leads us to our next section of organizational innovation and how teams can play a crucial part in an organization's survival and growth in today's global and complex business environment.

The role of cross-functional teams in organizational innovation. Whether it be teams, businesses, and organizations, one cannot escape innovation. Innovation might very well be the most important attribute to develop and cultivate an organization for the 21st century. When it comes to cross-functional teams, they do not thrive without innovation. Sethi, Smith, and Park (2001) reported that multiple studies have found that the primary determinant of new product failure and production is an absence of innovativeness. Sethi et al. (2001) examined how innovativeness is affected by various characteristics of cross-functional teams and their relative influences on the team. The study consisted of one hundred and forty-one (141) cross-functional product development teams and found that innovativeness is positively related to the strength of team identity, encouragement to take risk, customers' influence, and active monitoring of the project by senior management and leadership. The ability to develop cohesion, synergy, taking risks, and feeling comfortable to take risks, and social cohesion affected innovativeness (Sethi et al., 2001).

Sethi et al. (2001) were able to show the complexity of cross-functional teams with intrateam relations, the psychological bond, management and leadership identity, creating an organizational identity, and functional diversity all having effects on the teams' ability to

innovate, implement, and produce. In the end, this research also reinforced and highlighted the importance of a culture that encourages risk taking, trusting one another, synergy and cohesion during new product development processes and production output. Risk taking combined with unity in cross-functional teams, boosts innovation and productivity (Sethi et al., 2001).

In a similar study, Ehrhardt, Miller, Freeman, and Hom (2014) conducted research that tested a model positing both antecedents and consequences of project commitment for members of cross-functional teams. Primary data were collected from one hundred and forty-two (142) team members and thirty-one (31) team leaders across twenty-four (24) cross-functional product development teams housed within six manufacturing organizations in the United States and Canada. Study findings suggested that project commitment among team members is an important driver of team performance as rated by the team leader. Ehrhardt et al. (2014) also found that other factors contributed toward shaping project commitment, comradery, and synergy among cross-functional team members.

These factors included the team leaders' encouragement of self-expectations, and team members' perceptions of an organization's support for the teams and their projects. Cross-functional teams are challenged with completing projects that decide profitability, growth, evolution, and survival of organizations. This is highlighted by the researchers being able to show that commitment to the team and project is a telling predictor of team performance. Leaders and managers within organizations can draw insights from this study as to developing and exposing actions that possess the ability to promote the development of synergy and commitment among members of a cross-functional team (Ehrhardt et al., 2014).

Organizational Innovation

Wineman, Kabo, and Davis (2009) defined and discussed “Innovation” as a concept studied in many contexts and areas, that led to a plethora of definitions from different disciplines, including psychology, sociology, social psychology, and economics. The author’s defined innovation as something that it is related to that which is new. Innovation is very much taking something that is existing, improving or revolutionizing it, in order to create something entirely different and new. This transformational process its self is routed in innovation, and favors radical change over incremental change. It is about creating something (processes, products, service, and technology) which is new, and implementing it successfully (Wineman et al., 2009). Organizational innovation plays a crucial part in the transformational change effort being undertaken in the manufacturing organization featured in this study, along with all the previous research studies used in this dissertation that involved any kind of large scale transformational or organizational change.

Organizational development. Whether minute or enormous, like the transformational change focused on in this study, change is complex and often painful. It is a developmental process and very much a journey filled with uncertainty and doubt. Piotrowski and Armstrong (2004) echoed these very sentiments when discussing change in organizations and businesses. They argued that transformational change falls under the umbrella of organizational development (OD). It is important to understand what the field of OD is and looks like. OD is split in two, with one side focused on social action and the other rooted in scientific inquiry. OD researchers examine how organizational cultures influence human behavior in organizations. This is not without consequences with human nature being very much developmental and abstract, and OD covering a wide array of topics. Observing topics such as, the methods of how organizations

change, why they change, the effects of change, and what influences the changes needed to spur organizational growth and developmental (Piotrowski & Armstrong, 2004). Additionally, OD researchers investigate changes to an organization's structure, strategy, process, culture, values, and much more depending on what factors exist in the organizations' climate and business market.

Planned change needs to be fluid and adaptive to the challenging internal and external forces that are impacting the organization's growth and effectiveness. Organizational leaders decide to embark on transformational change mainly for survival, growth, longevity, and legacy, but transformational change is more than just improving the bottom-line or efficiency. Transformational change is about altering a state of mind and consciousness of an organization's culture and soul, which makes the journey to a new organizational culture uncertain and dynamic (Cummings & Worley, 2005).

Cummings and Worley (2005), Gass (2010), and Piotrowski and Armstrong (2004) discuss organizational development and transformational change and agree that at the heart of these processes, is the introduction of something new that is going to move and influence the way employees operate, think, and feel in the future. The change is in response to something fascinating that usually can be broken down to growth, survival, legacy, or a combination of these factors. Typically, the desire for change comes from a response to threat(s) which someone of authority and power in the organization sees fit to address. The instigator of the change then gathers individuals they believe will help drive the change.

Once the change leadership team is in place and the vision for change is introduced, a change strategy is implemented with both intended and unintended consequences for the people employed by the organization. It should also be noted that with change comes with growing

pains, and the organization must have a plan to manage those. Managing those growing pains is crucial for large scale dynamic changes, like a transformational change, because that type of change goes beyond just improving production and making money. Transformational change has the potential to challenge and uproot the soul and very fabric of organizational culture and its people. At times organizational leaders can lose sight of the psychological challenges associated with transformational change and this can spell disaster for the organization and its survival (Cummings & Worley, 2005; Gass, 2010; Piotrowski & Armstrong, 2004).

Gass (2010) assertions and findings are supported by Piotrowski and Armstrong (2004) and Cummings and Worley (2005), in that transformational change is in response to a threat, and a change of this magnitude is going to move and influence the way employees operate, think, and feel in the future. The research conducted by de Holan and Phillips (2002), reviewed earlier, identified three interdependent managerial processes that allowed the organization studied to be successful despite economic upheaval in Cuba at the time. The first dealt with sense making and making sure that people could understand the dramatic changes that were happening. The second interdependent managerial process included making contextual changes, which equally demanded philosophical and internal changes as well. MagoTaplan (the organization studied) was able to thrive by successfully developing solutions and managing organizational structures and practices that support fast-paced change. The last interdependent managerial processes that allowed the organization to adapt to rapid changes, was made at an institutional level, which involved changing conceptual structures. This change demanded innovative and careful management to account for the organizational changes that were being executed in order to validate their synthesis of Western management practices and communist ideology (de Holan & Phillips, 2002). de Holan and Phillips (2002) showed that in response to a threat the

manufacturing organization introduced changes that moved and influenced the way employees operated, thought, and felt, and those changes came about in response to growth, survival, and, ultimately, impacted their legacy. As companies evolve throughout their transformational journey, this change can present challenges and cause discomfort and fear of the unknown.

Organizational evolution. Organizational development and innovation very much need an evolution to occur to come to fruition. Laloux (2014) highlights how organizations evolve to a new level of “organizational consciousness” via breakthroughs in communication, collaboration, rapport, and synergy. Laloux describes five levels of organizational development as organizations move toward the TEAL level of organizational development. These levels include RED organizations which are defined by power dynamics, are highly reactive, short term in focus, and very chaotic, which are much like gangs or the mafia. AMBER organizations are characterized by hierarchical pyramidal structures with set positions and roles. These organizations are top-down, command and control, stability over process, and focus on repetition as the key to success. ORANGE organizations are grounded by a beat the competition model and achieving profitability and growth. Further, having the ability to be innovative and staying ahead of competition is key to survival while management is moved through objectives by controlling the “What” with freedom on the “How”. GREEN organizations operate in a classic pyramid structure and focus on culture, empowerment, autonomy, and employee motivation. The leadership styles that best fit in this state are consensus oriented, participative, and service leadership styles. Lastly, is the journey to a TEAL organizational state, which is defined by the characteristics of self-management replacing hierarchical pyramid. Organizations are viewed and seen as a living entity with their own creative potential and evolutionary purpose. Best fitting leadership styles in a TEAL state are distributed leadership, with the development of inner

moral compass and purpose as primary motivators (Laloux, 2014). As companies change and evolve throughout their transformational journey, discomfort and fear of the unknown is prevalent.

Getting to a TEAL state of organizational development is the next level on the organizational journey to achieving an organizational state similar to Maslow's self-actualization for the individual. Effectively achieving this transcendent level of growth and consciousness is an incredibly dynamic challenge for any organization, not to mention once that type of growth is achieved it must be maintained. Laloux (2014) described the process of becoming a TEAL organization as an evolutionary journey in not only how a company operates, but also in consciousness and behavior. Such a shift initiates a need to examine the egotistical traits of people and figuring out how to actively address individual egos in order to gain a broader perspective and improve fluid exchange of ideas and information. As egos are addressed, organizations must then focus on the development of an internal compass of right and wrong that focuses on whether or not the decisions being made are right in a moral sense. This process results in various questions being asked such as, are the people and the company staying true to themselves? Is it in line with who we want to become, and are we servicing the world in the bigger picture? Thus, the TEAL stage allows a person to view life as an unfolding journey and laying the path ahead one brick at a time. This then shapes the journey with driving themes in the search of inner rightness and spurs soul searching to find purpose in actions. Next, a consciousness is developed to push for authenticity, honor heritages, professions, and service to humanity and the world. Becoming a TEAL organization involves developing the organizational ability to hone and build on strengths, while dealing with and adapting to adversity in an elegant manner (Laloux, 2014).

Laloux (2014) asserts ultimately, companies must develop the structural and psychological capacity to evolve into a TEAL organization, maintain it, and drive it forward into the future. To qualify as a TEAL, an organization has to employ a minimum of one hundred people and has to have been operating for a minimum of five years in ways that were consistent with the characteristics of a TEAL stage of human development. After screening a great number of organizations, he discussed twelve organizations based on access and selected them as examples of TEAL organizations for being advanced in reinventing management structures and practices. These twelve organizations included the following:

- **Buurtzorg:** Netherlands-based healthcare nonprofit.
- **ESBZ:** Publicly financed school in Berlin covered grades seven to twelve, which has attracted international attention for its innovative curriculum and organizational model.
- **FAVI:** Brass foundry in France, which produces a variety of products including gearbox forks for the automotive industry and has about 500 employees.
- **Heiligenfeld:** Six hundred employee mental health hospital system based in central Germany, which applies a holistic approach to patient care.
- **Morning Star:** United States based tomato processing company with four hundred to two thousand and four hundred employees (depending on the season) and a thirty to forty percent share of the North American market.
- **Patagonia:** United States \$540 million manufacturer of climbing gear and outdoor apparel based in California and employing one thousand three hundred people It is dedicated to being a positive influence on the natural environment.

- **Resources for Human Development (RHD):** Four thousand employee non-profit social services agency operating in fourteen states in the United States and providing services related to addiction recovery, homelessness, and mental disabilities.
- **Sounds True:** Publisher of multimedia offerings related to spirituality and personal development with ninety employees in the United States.
- **Sun Hydraulics:** Maker of hydraulic cartridge valves and manifolds with factories in the United States, the United Kingdom, Germany, and Korea employing about nine hundred people.
- **Holacracy:** Management system first developed at the Philadelphia-based software company Ternary, which has been adopted by a few hundred profit and not-for-profit organizations around the world and, most famously, by Zappos.
- **AES:** Global for-profit fortune 500 company that generates and distributes electrical power, focused on the energy sector with around forty thousand employees.
- **BSO/Origin:** Global for-profit organization focused on IT consulting with around ten thousand employees.

Based on Laloux's (2014) theory and definition of TEAL organizations and the criteria for discussing the previous twelve organizations, the previously mentioned studies of Kezar and Eckel (2002), de Holan and Phillips (2002), Tvedt et al. (2009), Suarez and Oliva (2005), Hurley (1998), Hurley et al. (2004), and Landau (2005) all give examples and lend empirical evidence, and tell the stories of organizations going through a significant change process, which is very relatable to becoming a TEAL organization. All the studies telling stories of originations and institutions being under a specific threat and having to develop and undergo a transformational change or TEAL level type of evolution. All the aforementioned studies underline in some form

or fashion evolving into something they were not in order to survive, grow, and keep their doors open for business.

Transformational change is a call for reinvention. An organization morphs from one state into another. Laloux (2014) discusses reinventing organizations and how organizations evolve in consciousness, function and operations. As described earlier in this section, he describes the evolution of organizations from RED to TEAL organizations, which correspond with Maslow's "self-actualizing" level of hierarchy of needs. Self-management replaces the hierarchical pyramid, top-down, authoritarian style of management. With this replacement the organization is seen as a living entity, with its own creative potential and evolutionary purpose, involving distributed leadership with inner rightness and purpose as primary motivator and measuring stick. The description of the TEAL organization corresponds directly with the literature and research behind the development of the transformational change process and the dual bottom-line vision for the manufacturing organization in this study.

Summary

Organizations decide to undergo a transformational change for many reasons, but the main one is very much survival and future relevance. The change process is often times riddled with complication, feelings of discomfort, and uncertainty. These types of changes are difficult because companies uproot cultures, structures, and expectations when they choose to embark on large scale transformational change journeys. Development of teams is a vital process of transformational changes inside companies that help enhance performance, growth, cultural development, and innovation capabilities. With concepts and examples of what transformational change is and how it is constructed, as well as components and definitions of teams, this chapter

has set the foundation for the reader moving forward to understand the methodology of this research project and how it was implemented.

Chapter III

Methodology

Introduction

Yin (2014) asserts that research has a specific layout, a tactical plan for getting from one place to the other. The researcher starts out with ideas, the initial set of questions to be answered and a final destination being some set of conclusions about the original ideas and questions (Yin, 2014, p. 27). Selecting an appropriate research design was absolutely crucial to drawing out meaningful findings and painting an accurate picture of the phenomenon under study.

Researchers need to be able to align guiding questions with a suitable research design. This research design will then allow a researcher to gain answers to pending questions and ideas and reduce ambiguity (de Vaus, 2001, p. 9), which in-turn helps provide a higher level of internal validity.

To evaluate and draw out the employed individuals' perceptions of the manufacturing organization's transformational change process; the researcher chose to conduct an ethnographic case study. Eriksson and Kovalainen (2008) describe an ethnographic case study as a research process that uses techniques, such as fieldwork, site documents, field notes, observations, interviews, and analysis of documents to discover cultural knowledge that people hold in their minds, and how this knowledge is employed in social interactions and the consequences of these interactions. This type of research allows you to take cultural lens to study people's lives within their communities (Eriksson & Kovalainen, 2008). This methodology is believed to enable the researcher to thoroughly examine how various stakeholders in the manufacturing organization were experiencing the current transformational change process and how they viewed the value of this approach to the business/work of the organization. The resulting richly detailed picture was

thought to be useful to both the organization being studied and to other organizations attempting similar transformational changes.

Research Approach - Ethnographic Case Study

Yin (2014), a recognized expert on case study research design and methods, explains, “Case study research is used in many situations, to contribute to our knowledge of individual, group, organizational, social, political, and related phenomena” (p. 3). The particular phenomena focused on in this case study is the transformational change process that is occurring within the manufacturing organization with the introduction of a new approach to leadership development and a more collaborative approach to managing the organization’s work, problem-solving, and opportunity identification within the organization. The leadership articulated the goal and aspiration of creating an autonomous and dynamic workforce that is able to solve problems and excel in today’s fast-paced global economy. They also had the desire to better capitalize on the organization’s talent by allowing employees to enhance their skills, grow, and develop more fully which in turn would benefit the organization. A case study looks deep into a focused phenomenon to better understand the phenomenon being studied from a number of different angles within a specific setting or environment.

Yin (2014) suggests that case study research, in fact, has a shared component of research in psychology and related fields for a long time. Furthermore, case studies are done with frequency due to their ability to explore, which is to collect data and determine whether a topic is indeed worthy of further investigation and if the research questions or hypotheses are worthy of further research. Case studies allow for description and explanation of a phenomenon (Yin, 2014). Ultimately, using the case study method will lend understanding of how change has and

is affecting the manufacturing organization, which can be critical to its effective operation, growth, and future development.

Marshall and Rossman (2011) back up Yin's (2014) definition of a case study, with the main focus being on a human group as the seat of the phenomenon being studied. Moreover, with the main objective to seek and understand how said human group has collectively formed and maintained its culture. Culture is the key focal point in ethnographic research and the transformational change being undertaken in the host organization required changing the established organizational culture. Ethnographers specifically attempt to map out a culture through the rigorous study of an organization or group of people over an extended period of time by immersing themselves in the environment to describe the culture in detail (Marshall & Rossman, 2011). A yearlong investigation enabled the researcher to map the culture of the manufacturing organization and how the transformational change process affected individuals, teams and the overall organizational culture.

As part of launching and implementing the transformational change, the manufacturing organization introduced new procedures, organizational structures, and strategies for addressing problems and identifying problem-solving and business opportunities. In addition, to setting the transformational change process in motion, organizations need to pay attention to what happens with employees as they grapple with changing their mindsets and behaviors to adapt to the new ideas embedded in the transformational change in organizational culture. By focusing on the transformational change being undertaken in the organization, the researcher was able to capture the complexity of trying to shift the basic operating mindsets of various stakeholders involved in a cultural re-invention.

Rationale for ethnographic case study choice. The ethnographic case study approach is appropriate for examining and characterizing the transition of an organization from one culture with its accompanying structures to a dramatically different culture with different operating norms and organizational structures. Marshal and Rossman (2011) support the use of ethnographic interviews when trying to understand how members' cultural views change during a specific time frame. They describe ethnographic interviewing as:

...grounded in the genera of cognitive anthropology, ethnographic interviewing elicits the cognitive structures guiding participants' worldviews. Described in the classic work of Spradley (1979) as "a particular kind of speech event" (p. 18), ethnographic questions are used by the researcher to gather cultural data. Ethnographic interviewing is an elaborate system, or a series of interviews structured to elicit participants' cultural knowledge. (p. 146)

Through an ethnographic case study approach and the use of ethnographic interviewing, the researcher is able to extract perceptions and feelings regarding how the transformational change process is affecting the people, their communication with one another, perceptions of the culture and structures, and processes inside the manufacturing organization. The sources of information that were tapped into for this dissertation study were candid and personal qualitative data collected through periodic interviews, observations, field notes, and analysis of organizational documents and publicly available information from the organization's website. These sources of information allowed the researcher to provide a rich description of how people's understanding of the cultural transformation shifted during the transition from one manufacturing culture to another and provides readers with a deeper understanding of the transformational change phenomenon underway in the organization.

Weaknesses of the ethnographic case study approach. An ethnographic case study, while most appropriate for examining how the change initiative is affecting employees, has limitations and potential traps. Marshall and Rossman (2011) point out some dangers of taking an ethnographic journey. First and foremost, the views and values of the researcher may possibly skew the questioning and interpretation of the data. Members interviewed or the sample taken, may not be truly representative of the organization and its multifaceted culture. A researcher may become too involved in the process and become a part of the culture effectively becoming a native, which can also skew the interpretation and collection of the data (Marshall & Rossman, 2011, p. 148).

Much like any type of qualitative research study, the ethnographic case study depends on the researcher's interpersonal skills, ethical intelligence, and ability to remove as much bias as possible. The researcher addressed the issue of bias by first having his internship experience end before undertaking the study, which minimized the effects of being a participant observer in the process. The researcher also leveraged the outside expertise of his dissertation committee that consisted of one member being a part of the manufacturing organization, and the other two members being outside of it. The researcher also sought insight and assistance from other outside professionals familiar with the parameters of the study, to read over and critique the entire formation and process of the study.

The Phenomenon Being Studied

The manufacturing organization in this study is a part of a larger American industrial conglomerate that is comprised of six operating companies. The organization launched a transformational change initiative to support the idea of the dual bottom-line. The dual bottom-line is a progressive business model focusing not only on the financial bottom-line performance

of the organization, but on the personal development and growth of the persons working for the organization. The dual bottom-line was designed in the hopes of giving employees the ability to expand their world view, learn, grow and achieve more than they ever thought possible in order to achieve the full release of their human possibility, while at the same time, helping the organization remain productive, competitive, and ahead of the curve on improvements and innovations. If employees were able to achieve the dual bottom-line, it was believed that it would enable the organization to develop the capacity to deal with disruptive change in the business world of increasing technology, artificial intelligence (AI), and cultivate the ability to think deeply, learn and grow, which is a critical adaptive skill for workers. If organizational leaders adopted the approach of seeing and treating people as fellow human beings and not just assets or tools in a big profit-making machine. In the dual bottom-line model, the focus is not just on performance and achieving the business vision of the organization, but also on expanding mutual respect, finding ways to fuel and allow the full release of human possibility of all organizational members.

The researcher derived this definition and essence of the dual bottom-line in the grander scheme of the transformational change initiative from direct interactions, analysis of organizational documents, and through immersion into the culture and daily operations of the manufacturing organization during the researcher's internship experience. The researcher was fortunate to be able to attend numerous Transformational Change Workshops that allowed for a better understanding of what the organization was actually trying to do and accomplish with this change initiative. Layered into this transformational change is the manufacturing organization's realization that respect thrives in the diversity and differences among their employees and requires the ability to be an active and open learner. This comes with the understanding that

when employees are focused on development, both personal and organizational, they will then pursue excellence. When employees start and are allowed to pursuing excellence, more opportunity for increased financial and personal earnings is possible. With the researcher hearing about a change of this magnitude, coupled with being a part of and feeling a sample of the shift, the researcher experienced the energy of cultural revolution happening inside the manufacturing in the forms of transformational change workshops and ROPE teams.

Sources of Data

This ethnographic case study used a qualitative research methods approach in gathering data from employees through structured ethnographic interviews and keeping field notes from visits to the organization. The researcher decided to interview people only on ROPE teams with those employees being the most steeped in the transformational change journey, and the fact that ROPE teams were more exposed to the transformational change workshops. ROPE teams were viewed as a huge driver of the dual bottom-line approach by the organizational leadership and the researcher at the working level. The first wave of implementing the dual bottom-line was with executive leadership and took 3 to 4 years to implement across the entire organization. Those leaders who did not believe in the dual bottom-line left due to incongruence between their own beliefs and how the company intended to operate.

Participants. The participant population in this study was comprised of employees organized into six ROPE teams, five established teams and one developing team within the manufacturing organization's U.S. location. The teams were created and evolved since the end of 2014, and they continue to multiply and grow as this case study is being written. Additionally, new teams are being created based on the needs and opportunities that arise while being in the transformational change journey. On average, ROPE teams had about ten members

including managers, supervisors, team leaders, specialists, and leaders on the shop floor. Areas of the organization that were represented in the study and throughout the ROPE team were human resources, engineering, quality assurance, sales, customer service, shipping, leadership, and the manufacturing floor.

Participants interviewed. The interviews utilized a sample of individuals within the manufacturing organization from six different ROPE teams, who voluntarily participated in the case study research. These participants represented key leadership and stakeholders from senior leadership all the way down to organizational members who worked on the shop floor. The sample population encompassed a diverse range of organizational citizens that contribute to the success of the manufacturing organization, and the larger American industrial conglomerate. Three separate sets of interviews were conducted during the case study. Approximately twenty-seven (27) people were interviewed during the first set of interviews, twenty-four (24) people during the second interviews, and twenty-three (23) people were interviewed for the third and final round of interviews. Over the course of the study, four (4) people in total were not able to participate in all three rounds of data collection due to various reasons including leaving the organization.

Instrumentation

Three interview instruments (see Appendices B, C, & D) were utilized to collect the open-ended qualitative data regarding participants' perceptions of the changes that were underway and how well the ROPE teams were accomplishing their purpose. The interviews collected basic professional information on respondents including their name, how many years they had been employed at the manufacturing organization, the ROPE team(s) they were currently on, how long they had been on the ROPE team(s), and their views about the

Transformational Workshops and ROPE teams. The interview protocols and open-ended questions were created and inspired by initially approved/buy-in interviews and presentations from key leadership within the organization. Through these initial discussions, themes were extracted and used as the basis for the open-ended questions that comprised the initial interview instrument. The interview protocols for the second and third round of interviews were formed by the themes that emerged from the previous round of interviews. Topics that were broached and assessed over the course of the three interviews conducted during the yearlong study, began with what the mindset of each participant was coming into work at the manufacturing organization at the time of the interview.

The rest of the questions were broken down into two basic categories dealing with Transformational Change and ROPE teams. Questions in the Transformational Change section established if the participant had been to a Transformational Change workshop. Followed by understanding the context and meaning of Transformational Change. What and how each participant felt about the changes underway and what they had learned from the Transformational Change initiative. The interview delved into how interviewees had changed personally and how the transformation change process has impacted the manufacturing organization as a whole. Questions in the ROPE section probed the perceived purpose of the ROPE teams, as well as the feelings, and perceptions about working on the ROPE teams. Other topics explored included the ROPE team's construction, cadence, operations, and how they evolved over time. The interview then turned to how ROPE Teams had impacted the members of the team and the manufacturing organization as a whole. The interviews ended with a series of questions aimed at finding out how transformational change and the ROPE teams have impacted the dual bottom-line, the people, the culture, and what advice or ideas participants

might have for improving the transformation change process or the ROPE teams moving forward (see Appendices B, C, and D for more details).

Data Collection Procedures

The initial base-line interviews were conducted in August/September of 2016. Twenty-seven (27) in-person interviews were conducted. The second round of interviews occurred during April/May of 2017 and twenty-three (23) in-person interviews were conducted. The third and final round of interviews occurred during August/September of 2017. Twenty-three (23) interviews were conducted in the final round, with five being conducted over the phone, and four people in total not being able to finish the study due to leaving the organization.

Appointments were coordinated and scheduled through the manufacturing organization's human resource department. The in-person interviews were conducted at the manufacturing facility in a secure office and over the phone interviews were conducted at the researchers' home office. Each interview was recorded, coded, and stored on the researchers' laptop and external hard drive as a backup. The members of the ROPE teams were provided with a choice of how they wanted to be interviewed including in person, over the phone, virtually through an online platform or through direct e-mail. Twenty-three (23) participants were interviewed three times over the year of data collection.

Data Analysis

The researcher took a somewhat creative approach to the data analysis. Interviews were recorded by the researcher and then transcribed by the researcher through a process of slowing down the recordings and then the researcher would speak word-for-word the interviews back into a word recognition software. This reading back of the interview's recording allowed the researcher to enjoy the storytelling aspects of the interviews. The researcher was able to

experience the tone, mood, and anticipation of responses by echoing them back into the word recognition software. With each interview fully transcribed, the researcher read over the data meticulously for themes, ideas, and latent content. This analysis process allowed for the researcher to not only hear and listen to employees' stories, but also encouraged and created a space for honesty and authenticity. Participants made it known to the researcher they felt comfortable enough to truthfully say what they needed to say. This caught the researcher slightly off guard. Participants seemed to feel open and relaxed. The read-back process used by the researcher seemed a better process for fully understanding what interviewees were sharing than having some outside service transcribe the interviews, then reading through those transcripts.

Data analysis procedures. Through the three separate interviews, field notes, analysis of organizational documents, direct observations during the internship visits, and the rounds of interviews, the researcher aimed to utilize and understand the participants' perceptions. Given the participants' perceptions, the researcher was able to paint a detailed story of the effects of the transformational change process taking place in the manufacturing organization, as well as the cultural and structural shift, which was being fueled by the vision to fully release human possibility. Qualitative word and sentence classifications were coded, tallied, and then analyzed to determine overarching categories. Specifically, certain words, phrases, ideas, and concepts that were repeated across individual interviews with any kind of frequency or significance were taken into consideration, analyzed, and slotted into certain categories that either emerged or were dictated by the interview questions. The following categories resulted from the available analysis: mindset, Transformational Change initiatives impact on participants and the organization, ROPE teams' impact on participants and the organization, what participants have

learned from both ROPE teams and transformational change, how both can be improved, and how the transformational change and ROPE teams affect the dual bottom-line and the company as a whole.

Validity and Reliability in Case Study Research

According to Yin (2014), the following validity and reliability measures allow the researcher to ensure the accuracy of conclusions drawn from the qualitative data collected and analyzed during the case study.

- **Construct validity:** Identifying correct operational measures for the concepts being studied.
- **Internal validity:** Seeking to establish a causal relationship, whereby certain conditions are believed to lead to other conditions, as distinguished from spurious relationships.
- **External validity:** Defining the domain to which a study's findings can be generalized.
- **Reliability:** Demonstrating that the operations of a study – such as the data collection procedures – can be repeated, with the same results. (Yin, 2014, p. 44)

The researcher ensured construct validity by collecting sources of evidence over a year's period of time through structured ethnographic interviews. The researcher was able to ensure that the data collected and conclusions drawn from the interviews were of substance, based on research, experience, and the approval of the research and design of the questions and interview protocol by the president of the organization. The president was steeped in the case study process and one of the architects of the transformational change. This allowed for confidence

that the questioning would be able to extract the information needed to answer the research questions.

With sound precautions and planning, it is still difficult to ensure internal and external validity, reliability, and replication within a case study design. There is a constant risk of external elements threatening internal validity, such as residual psychological components from previous cultures in the organization. Also, were the participants selected for the study a representative sample population of the organization capable of providing valid data that would answer the research questions, and how did the natural maturation process of the ROPE teams and transformational change workshops impact internal validity? To avoid these potential threats to internal validity, it was necessary to grasp and paint an image of the organizational culture in this study. Due to the nature of ethnographic case study research, external validity and the generalization of findings will always be questionable, as organizational cultures are unique and the circumstances in which transformational change journeys occur vary with the socio-economic and marketplace contexts in which they occur.

This design permitted an in-depth analysis, perspective and understanding of this particular organization's transformational change circumstances, which does not necessarily warrant generalization of the research findings to other organizations, but it may be possible for an ethnographic case study to provide some theoretical generalizations as opposed to statistical generalization. Thus, allowing the research to determine what a specific case reveals about a given theory or approach.

The researcher's approach focused on participant's perceptions, feelings, and interpretations. Marshall and Rossman (2011) support the researcher's approach with categories, themes, and information that come to light, and coding being done. Then the researcher starts to

piece together an integrative interpretation to paint and illuminate the stories the interviewees are telling (p. 219). In regard to the qualitative interview data reliability and validity, they were both determined through the evaluation and justification of the interviews themselves. This is achieved by strict delivery and documentation of the interview responses, coupled with rigorous and thorough data-analysis, that will uphold the level of ethical and scientific standards.

Internal validity. Internal validity is the presence of causal relationships between variables and results and is mainly a concern of explanatory case studies or those trying to explain what is going on within a given setting (Yin, 2014, p. 46). Within case study research, inferences are at the heart of concerns over internal validity (Yin, 2014). Yin makes us consider the following questions to ensure we have made all necessary accommodations to prevent threats to internal validity:

Is the inference correct? Have all the rival explanations and possibilities been considered? Is the evidence convergent? Does it appear to be airtight? A research design that has anticipated these questions has begun to deal with the overall problem of making inferences and therefore the specific problem of internal validity. (Yin, 2014, p. 47)

In relation to this study, several threats to internal validity were present, starting with personal biases that the researcher faced of confirmation bias and culture bias. Yin (2014) discusses confirmation bias as occurring when a researcher forms an opinion, hypothesis, belief, or idea and uses information to confirm them. It is very much in the moment as researchers' judge and cement responses that bode well for their positions as real, relevant and reliable. All the while dismissing evidence that doesn't support a hypothesis. It can extend into analysis, and is deeply seated in the natural predispositions people use to understand and screen information.

To minimize confirmation bias, the researcher continuously reevaluated imprints of respondents and challenged preexisting assumptions and beliefs by using the researchers' dissertation chair and outside readers as sounding boards.

The researcher also had to account for culture bias assumptions that were based on the researchers' cultural lens that was created by the researchers' initial internship experience at the manufacturing organization and doctoral background. To minimize culture bias, the researcher moved toward cultural realism by feedback from the researchers' dissertation board, showing unconditional positive regard, and being aware of their own cultural traditions (Yin, 2014, pp. 76-77). The researcher's observations and in-depth internship experience and relationships built with employees created both biases and advantages. Biases in the sense that the researcher could have formed a certain lens based on this experience and personal feelings built on the relationships and experiences they built and formulated during the internship experience. Advantages came in the form of participant trust that allowed interviewees to be honest and open. The researcher was able to sense and determined this through candid feedback from participants in the study describing feelings of comfort and trust. This was derived from the researchers' ability and background in psychology and interviewing to read and assess people's tones, delivery, body language, and energy. Thus, this observation played a factor in collection, analysis, and discernment of the information from this study.

The researcher experienced people expressing frustration and anger over the transformational change process and the ROPE teams. A sense that the people were uncomfortable and unsure of the direction and purpose of the change and ROPE teams was validated through intense and candid conversations, and cemented by experiences and activities the researcher participated in. People often expressed concerns about the politics at hand in the

organization, hidden agendas, disingenuous intentions. They described feelings of fear and doubt of where the company was headed, and what the changes meant for themselves, and the culture around them was the cause of the lack of comfortability.

The researcher sensed many were on edge and could feel the tension in the office, the shop floor, and in team meetings. Things were changing inside of the organization and the culture, and it made people uneasy and uncomfortable. At times frustrations boiled over into production and performance. Unreasonable discord was ever present, and dissension amongst the ranks was evident throughout the organization in regards to transformational change and the ROPE teams, especially early in the process. Being inside the manufacturing organization during the internship process, which occurred early in the transformational change process, allowed the researcher to observe the discomfort people were having inside the organization from the change that was occurring, which spurred curiosity and the idea for this study.

External validity. External validity is commonly also referred to as generalizability. Yin (2009) discusses that it is founded in the instinctive belief that theories must be shown for interpretation of a phenomena and not just in their own setting but also in other settings as well. Neither single nor multiple case studies allow for statistical generalization. Yin supported this idea by saying that external validity “deals with the problem of knowing whether a study’s findings are generalizable beyond the immediate case study” (pp. 46-47).

The sample population in this study encouraged and created a platform and environment that allowed for the ability of participants to provide candid information in response to the interview’s various delivery methods. Individuals from the ROPE teams were given the opportunity to participate in the survey. For this reason, there is a representation of the general population involved in the ROPE teams and the transformational change, therefore, may hold

responses and ideas that could be generalized to the larger population in the manufacturing organization. In regards to generalizing to other organizations would be a leap to far for the researcher to endorse, due to the unpredictability in diversity in employees and the already established cultures. In regards to the entire process the researcher used, that could be reproduced, and over time in enough organizational environments may render some generalizable themes and ideas. At this stage though, the researcher would warn against generalizing the findings.

Ethical Concerns

Ethical concerns in this ethnographic case study design mirror that of other research methods. Voluntary participation is a huge issue. Participants in the study must not feel forced to participate in the study or remain in the study. In addition to voluntary participation, it is essential to ensure informed consent, confidentiality, and privacy in an ethnographic case study as well. While these ensure ethical research is being conducted, they may result in a loss of validity within the study (de Vaus, 2001), as the interviewees may not be representative of the organization's employees.

To protect and respect the privacy of individuals and the organization involved in the study, all individuals interviewed were asked, but not pressured, to participate in the study. Individuals who did not agree to participate in the interview protocol or observations were not included in any of the analyzed data. Voluntary completion of the interviews was an indication of consent, along with constant reminders to interviewees throughout the interviews that their participation was voluntary, and they could decline to answer any questions that they did not wish to answer. Correspondingly, no individual, company, organizations, or conglomerates has been identified by name in this research study (see Appendix E). Participants that left the

company and could not finish the study were thanked for their participation and were not included in the rest of the study.

Protection of data and organizational confidentiality. The raw data are stored under lock and key inside the researcher's home office. This ethnographic case study was approved by the organization and signed off by the president of the manufacturing organization (see Appendix F). Once approved by the president of the manufacturing organization, the study was then approved by Wilmington University Human Subjects Review Committee (HSRC). These two approvals then gave the researcher the final approval to legally, ethically, and officially start the ethnographic case study inside the manufacturing organization.

Summary

In summation this chapter lays out the reasoning for the study, with the manufacturing organization undergoing a transformational change that is uprooting previously established structures and cultures. This is causing resistant and discomfort from employees and an ethnographic case study being a tool that can illuminate what people are going through and experiencing during this change process. This kind of study has the capability gain access to feelings and perceptions of employees inside the change and offer reasons and potential solutions to problems and issues people are having with the change process the manufacturing company is undergoing. Next in chapter four the researcher will describe the results from the ethnographic interviews conducted over the term of this study and paint the picture of the themes and growth over the three interviews that were conducted over a year time period.

Chapter IV

Results

Introduction

This chapter describes the results of an ethnographic case study of transformational change underway in a manufacturing organization. At the time of the study new processes, procedures, and structures were being introduced and implemented. The guiding questions for this year-long ethnographic case study were:

1. What do people think about the transformational journey undertaken by the organization?
2. How people are reacting to and using what they learn from being on the transformational change journey?
3. How are ROPE teams and transformational change workshops affecting people and the organization?
4. What are some of the consequences of being on a transformational change journey?

This chapter describes the responses of those who participated in three interviews during the study. Before discussing the findings from the interviews conducted to capture how employees perceived the transformational changes in the host organization, a short description of the researcher's initial internship experience, observations made during that time period, and how the internship led to this case study is provided.

Prologue - Internship Experience and Observations

The president of the manufacturing organization featured in this case study gave a presentation in the researcher's doctoral class on organizational learning and professional growth. The researcher took this opportunity to introduce himself and inquire about any

internship opportunities at the manufacturing organization that might further his understanding of organizational learning, leadership, and innovation in a real setting. Within a couple of months, the researcher interviewed for an internship opportunity inside the manufacturing organization's human resources department. The researcher was awarded an internship and was given freedom outside of required duties to participate and make an impact in any area of the organization that needed a helping hand.

During his internship, the researcher learned more about how the leadership of the manufacturing organization wanted employees to act and behave, with self-awareness, collaboration, leadership, accountability, and team work as a guiding force. The researcher was fortunate enough to be invited to participate in a transformational change workshop, which at the time involved high level managers and leadership personnel and provided the researcher first-hand experience in understanding the transformation the organization was undertaking. The researcher had the opportunity to take the Actualized Leader Profile (ALP), which is a self-assessment designed to help an individual understand what drives their leadership style (i.e. Affirmer, Achiever, Asserter, or Self-Actualized).

An affirming leader is someone who focuses on maintaining warm and harmonious interpersonal relationships. The achieving leader is someone who scrutinizes every single detail while micromanaging his or her teams. The assertive leader is someone who colludes with the group by requiring constant updates, overturning the team's decisions, and maintaining a very high degree of control. A self-actualized leader is intrinsically driven to reach his or her highest potential by being objective, mindful, and hyper focused. While many assessments measure only strengths, the ALP assesses both your predominant leadership quality and its leadership shadow.

The transformational change workshop fosters reflective and authentic self-awareness and understanding of the way participants think, feel, and behave.

Many people who take the ALP have combinations of Asserter, Self-Actualized, Achiever, and Affirmer leadership styles, which can and may change over time. Self-Actualization refers to the degree to which a person is currently living and working at their highest potential, as defined by the ALP itself. This is important because this profile helps alert and moderate the activation of your leadership shadow, which can be described as the darker side of our motivational needs that are rooted in illogical thoughts, baseless fears, and dysfunctional self-defeating behaviors. The more self-actualized a person is, the less frequently and less intensely they will experience their leadership shadow.

The less self-actualized a person is, the more frequently and intensely they experience their shadow. For example, if a participant receives the results for their ALP and they currently align to the Affirmer style of leadership, in their best self-actualized incarnation, affirmers are friendly, empathetic, loyal, helpful, and generous. When their shadow emerges, affirmers are sensitive, indecisive, dependent, accommodating, and jealous. The ALP results provided the researcher insight into who he and other participants were at the time the ALP was administered and how that played into the bigger picture as it related to team work and leadership in the organization.

The information from the ALP assessment provided during the transformational change workshop and experiential learning activities, allowed the researcher to better understand how the actions and behaviors of participants played out in collaborative situations and in the organization. One of the most impactful memories of the workshop involved the participants being split up into large numbered groups to participate in a role-play activity. The activity

involved being stranded on an island. Unbeknownst to the groups, there was a large list of things that could potentially help the group survive. However, the group had to eliminate various items on the list and could only keep a couple of things from the list on the island. Remember the groups were comprised of members of established leadership inside the organization. What could possibly go wrong? Having had previous experiences with similar behavioral interventions, the researcher predicted conflict on the horizon.

The exercise atmosphere went from civil to argumentative very quickly. Participants became defensive and, at one point, became so angry that they completely disengaged from the activity. The groups were created intentionally to include those with different leadership styles and personalities to illustrate the difficulty of working together effectively, but to also stress the importance of communication and understanding who each person is relative to the rest of the group. The researcher saw this and experienced the challenge that a simple role-playing exercise posed for the people inside the organization, which prompted a question. If people inside the organization were having trouble with a hypothetical role-play exercise, then how difficult would it be for them to adapt and function in a “live-fire” work team and real business situations? Given the observation from this exercise, the researcher imagined being immersed in a traditional manufacturing organizational culture and structure, and how juxtaposition something like the dual bottom-line business model and transformational change workshops could transform individuals and organizational culture.

This experience and empathy for the changes in individual mindsets and behavior required by the organization’s transformational change journey planted the seed for this study. During the researcher’s internship experience he witnessed, heard, and felt discomfort from employees that was centered around the transformational change journey they were on. The

researcher sensed skepticism, a lack of understanding, and anger towards the transformational change journey and the mechanisms associated with it, like ROPE teams. A real feeling of descension amongst the ranks was observed by the researcher. The researcher felt the lack of belief and confidence expressed by employees in the transformational change journey was something worthwhile investigating and he set about securing the necessary organizational and university approvals to execute the case study outlined in Chapter III.

Moving forward to the time frame covered in this case study where more systematic data gathering and analysis occurred, the researcher described what each set of interviews revealed about the progress of transformational change in the manufacturing organization, starting with Taking the Pulse which describe employees' reactions before the starting point of implementing the transformational change.

The First Round of Interviews – Taking the Pulse

The researcher already knew each of the participants through various internship activities in the company and all showed genuine enthusiasm and positive energy about contributing to the case study. Not only because it benefitted the researchers' doctoral goals, but because it gave the participants an opportunity to openly express how they were experiencing the changes that were underway in the manufacturing organization. Everyone that was asked to participate in the study accepted and they all expressed genuine curiosity and interest in being involved. To provide some context and answer the research questions guiding this study, the researcher deemed it important to gather specific demographic data, as well as data about employees' mindsets as they came to work for each round of interviewing.

Demographics. Twenty-seven (27) people participated in the first round of interviews, which included eighteen (18) male and nine (9) female employees. The participants' tenure

(length of time employed) in the manufacturing organization spanned from about two months to thirty-nine years. The average age of participants was forty-three (43), with ages ranging from twenty-six to sixty-six (26 – 66). During this first round of interviews, there were six ROPE teams in existence with a couple of other teams forming on the horizon. On average, there were about six to eleven people on specific ROPE teams. Although all existing ROPE teams were represented in the participant pool, not all members of each ROPE team were interviewed for the study. The length of time that participants had participated on ROPE teams spanned from about two months to two years. Some interviewees also represented other roles in the organization, such as the plant managers, leaders, observers, mentors, and the overall supervisor/leader/driver of all the ROPE teams. At the time of the first interviews the ROPE teams had been operational for about two years. Twelve interviewees reported being involved with the ROPE teams since their inception. ROPE team involvement for the remaining fifteen participants ranged from four months to slightly less than one year.

Mindset and body language. The tone of the interviews had some variance, but more than half of the interviews had a serious or concerned tone to them. The researcher could feel uncertainty and tension from the participants in many of the interviews, but also openness and clarity in the responses of some interviewees. Participants were not hesitant to answer questions and had a good understanding of the questions. The researcher sensed the demeanor of participants while answering questions was comfortable and calm. The researcher kept the cadence of the interviews moderately consistent, but intentionally left room for participants and the researcher to go off script. From the researcher’s point of view, participants felt at ease during the interviews and were open and honest in their responses, as evidenced in comments like, “I am not going to sugar coat things” (P7), “This may not be popular opinion” (P2), and “If

I am being honest” (P1). The researcher could feel that participants were excited because up until this point participants were rarely asked how they felt and how things were affecting their work. The researcher credits the comfort, openness, and honesty expressed by participants to his prior contact with the participants during his internship.

The following example of replies reflect how some respondents were coping with the stress the transformation was creating for them. Words like “challenging” and “frustration” led the researcher to sense some level of discomfort among these interviewees, but participants seemed to have moved from resistance to coping during the time the researcher completed his internship and the start of the case study. Overall, the mindset of employees coming into work every day seemed to have moved in a slightly more positive direction with people finding coping strategies to deal with the discomfort, uncertainty, and challenges they faced. Each of the three interviews conducted over the course of this study began with the same query, “Describe your mindset coming to work every day? Why?” During the first interviews, participants used words like positive, overwhelming, challenging, prepared, and changing to describe their mindsets, which are illustrated in the following examples:

“I’m pretty open, I’m pretty calm, I don’t let work stress me out” (P6).

“I’m a relatively even keeled person, I come in, I know my days can change, I deal with customers a lot, so you never know what’s going to happen. I try to maintain a positive outlook all the time” (P8).

“I love coming to work. I try to be a positive person and I really look forward to the improvements myself and my team can make” (P10).

“My mindset here is to make a difference every day when I come into work” (P11).

“I guess for me the good thing is I am always looking forward to the challenges” (P27).

“Well my mindset is very thankful. I enjoy what I do and I enjoy learning. I think every day I come in here, I learned something new” (P20).

The researcher defined positive responses by tone and body language of each specific response, in addition to vocabulary/verbiage used in the response to the question. Words like “love” (P10), “open” (P6), or “calm” (P6) and phrases like “very thankful” (P20), “make a difference” (P11), or “maintain positive outlook” (P8) were used. These answers were surprising to the researcher having heard and experienced some “not-so-positive” reactions during his internship experience. The researcher could hear and feel some people’s mindsets were shifting during these first interviews.

There were also a variety of less comfortable replies indicating stress about coming into work. Some examples of these replies were:

Mostly positive, definitely some level of stress just with trying to organize what I have to do that day. Prioritize, so that's usually what I am thinking of when I come in. OK what is the first thing I need to do, what are a couple of things I have to absolutely do today, and what can wait. (P4)

It’s challenging and there are bouts of frustration. The transformational change, the dual bottom-line, the servant leadership, and the managing up has proven to be at times an endless dark tunnel. However, I have in the past three or four years, I have believed that we have turned the corner and that servant leadership, the dual bottom-line, and managing up is starting to yield some dividends of its work. (P7)

Mindset coming in sometimes there is frustration before I even get into the door due to just how the way things have changed over the past twenty-four years. I do think ahead

as to what my day entails coming in. Try to plan my day as I am coming in. It is scary. I think my mind is my worst enemy. (P9)

Over the years it's changed, growing and having more responsibility. It's pretty good. My mindset I try to stay positive and try to have a good outlet on the day, not try to come in negative like some people do. I just try to come in happy. (P13)

I can have a lot happening and thoughts happening already that can weigh very heavy, so that can be certain times coming in like I don't know how well the day is going to go depending on how those situations occur, but I would say, for me in my role, that I have, it does vary every day. (P17)

“My mindset is better now than it was a year ago. I come in every morning trying to play out Plan B, because Plan A is never going to be there” (P21).

As these illustrative responses reveal, the mindsets of employees varied during the first round of interviews with some employees positive and excited about new possibilities and others focused on how they were coping with the changes underway. Next, the researcher focused specifically on employees' experiences with ROPE teams.

ROPE teams. To recap, the word ROPE stands for Remove Obstacles, Promote Engagement. ROPE teams met during the week to go over metrics and then moved out onto the floor on what they called ROPE walks to engage with employees on the shop floor, which sometimes resulted in solving problems right on the spot. Some of the best descriptions of what ROPE teams are and how they work came from the study participants:

So, a ROPE team is multi-functional, multi-level team that looks and sort of owns a part of the business of a specific area, called a value stream or a cell, and collaboratively looking at ways to improve that small business or that small area. They are driven by

data and driven by metrics. Again, leveraging the collaboration and synergy of everyone else instead of just one person trying to do and understand what's going on. (P11)

Some other responses that defined and explained the ROPE teams include the following:

So, there is about 8 to 10 colleagues on each team and there is a structure or a cadence to how they work. So, currently one hour every week a formal meeting inhouse where they go through SPQDC, safety, people, quality, delivery, cost, and then not only is there that, one hour a week meeting they take their action items and the remainder of the week they just work on those items prior to coming back, and there is also a ROPE walk that takes place, and the walk is about 10 to 15 minutes their ROPE board that they have on the floor. (P17)

You have a team of people that are coming together and each person on the team represents a different part of our business and its good because what it does it allows customer service to see what is going on in manufacturing. It allows the manufacturing person to understand about supply chain. (P1)

“Basically, a ROPE team owns their own business within the business (P15).

In summary, as understood by participants, ROPE teams are autonomous teams that are cross-functional and mobile in nature and designed to unearth and solve problems. Crucial ingredients in ROPE teams are synergy and team building. These teams are only as good as their communication and the bonds formed to optimize performance. ROPE teams are collaborative ventures in which team dynamics and synergy influence production and effectiveness.

Participants described what it means to be a ROPE team member with words like journey, engagement, satisfying, good employee, part of the business, and continuous improvement. One of the more powerful descriptions was,

Well, for me it's important because I realized that ROPE teams will truly get us to where we need to be and when I think of the ROPE teams, one of the main things, ... I think of is engagement. (P1)

This sentiment was shared by some participants. However, some participants seemed confused or lacked belief in what ROPE teams were and what they could accomplish.

This quote from a participant articulates the skepticism and doubt about ROPE teams, "Nothing and that's my answer. You're not going to get any positives out of me on ROPE because I think that there are people that should be a part of it" (P2).

A quarter of participants understood the ROPE teams and their purpose and three-quarters did not or did not believe in it fully. Next, it was important to try and unearth how participants felt about ROPE teams and how ROPE teams impacted the participants' work.

The impact of ROPE teams on participants' work. The reports of how the ROPE teams affected what participants did during their day-to-day work were very diverse and interesting. Every participant indicated that the ROPE teams took time. With so many different people involved from different backgrounds, came the following themes and descriptors of how ROPE teams affected the participants day-to-day work: "providing updates" (P20), "helps with perspective" (P1), "fix something" (P1), "I am responsible" (P11), "it takes up time" (P2), "don't affect me too much" (P8), "I could define actions anywhere" (P22), "takes up time" (P2), "we have a cadence and things along that nature" (P17).

The following response from a participant on how ROPE teams affected their work was very telling, "ROPE teams actually take time away from my day being a supervisor on the floor. I let other things slide. I end up doing it at home, at night, or the weekends, or not at all" (P6).

ROPE teams impact peoples' work day in many different ways but taking up time was a recurring unanimous theme among participants. This is an interesting phenomenon because if ROPE teams do not drive everything in the business yet, and maybe never will, then ROPE teams could very well pull employees away from other work causing conflicts with prioritization. This led the researcher to question how comfortable employees were with the ROPE approach and how ROPE teams helped or hindered them in accomplishing their personal and organizational goals?

When it came to participants' degree of comfort with ROPE teams, once again, answers varied. Some participants were very uncomfortable with ROPE teams and had no belief in the concept, some were in the middle, and others were totally comfortable with the ROPE approach to timely problem-solving. The variance in comfort with ROPE teams may be a function of how long participants had been on a functioning ROPE team and the level at which the ROPE team functioned. Those who were most comfortable with the process had been there since the inception of ROPE teams and were steeped in the ROPE process, suggesting that it takes time and practice to get comfortable with new approaches to collaborative and timely problem-solving. How ROPE teams were helping or hindering participants in doing their work and accomplishing personal and organizational goals was also explored in the interviews.

The themes that emerged from the responses on how ROPE teams have helped participants accomplish goals and do their work centered around improved frequency and depth of communication. ROPE teams have also impacted team building by providing a sense of autonomy and responsibility for initiating action. A final theme that emerged from participants replies about the helpfulness of ROPE teams was they improved problem-solving by giving

support and creating platforms for voices and ideas to emerge from anywhere in the organization.

The following are some responses and concepts from participants on how the ROPE teams helped participants accomplish goals and do their work:

“Changes processes, systems, and methods” (P1).

“Makes people responsible” (P4).

“Drive the business” (P11).

“Ensures we have cross functional support from all departments” (P12).

“Really breaking down barriers and the trust level is going to get a lot higher” (P14).

“Collaborative problem-solving” (P14).

“More communication” (P17).

“It takes pressure off the managers and it allows them to focus on the longer-term things that we need to do to shore up the business and strengthen our future” (P16).

“It's short term pain for long-term game” (P16).

“We can make things mechanical friendly, execute better, and provide useful information that I need to know” (P18).

“I have noticed since we had started the rope teams it's a team driven effort to get whatever changes we want made through, and it's not just dumped on one group of people” (P24).

The next set of responses are separate examples that took on a more critical tone on how the ROPE teams impacted participants' work and accomplishing goals.

“So, it hinders me just because of time, my goals are not aligned with ROPE only because I don't believe I relate to it” (P2).

“Takes a lot of time out of my day and very time-consuming” (P3).

“Spend 80% of my time on 20% of the people trying to pull them along with the team”
(P7).

“Rely on them for help and when they are unavailable, it hinders how the sale proceeds”
(P9).

“Not enough direction at times given enough for the ROPE team” (P10).

ROPE teams should, or I hope at one point, will be mature enough to say that this is what we have to focus on and here is where our biggest opportunity is to do better for the business, but it's not coming up like that. (P10)

“Not being able to drive everything through the ROPE system, slows us down, hindering me right now in my goals” (P12).

“I do think sometimes we have too much discussions and not enough gets done. Sometimes maybe the topics are too broad, there's too many topics, and we can't accomplish everything” (P5).

“Hindrance, it draws me away from other things that I need to be doing” (P24).

At the time of the first round of interviews, ROPE teams seemed a double-edged sword both helping and hindering participants in doing their work and accomplishing personal and organizational goals. For example, ROPE teams bring up ideas and allow a platform for others to bring up ideas, but sometimes the number of ideas/issues produced becomes overwhelming and causes a prioritization problem. These mixed results made it clear that the ROPE process had not yet been perfected at the time of the first interviews and participants were adjusting to the process, as well as the results and consequences. ROPE teams were still new and not refined but offered promise and opportunity.

Next, the researcher discussed how ROPE teams impacted the level of effort participants expended in doing their work. The researcher received replies that were again diverse, varied, and were somewhat surprising to the query about ROPE teams affected the level of effort required to do their work and/or accomplish goals. Some participants (P4, P8, P9, and P26) reported no effect on the effort they expended at work, while others (P5, P6, P19, and P20) reported it increased their effort. Some reported that ROPE teams redirected effort, improved focus, and sometimes even helped participants be more in-tune with their work and their teams. With ROPE teams taking up more of participants' time during the day, one could deduce that with increased time it might cause an increase in effort, but that turned out not to be the case for some participants. The themes that emerged about how ROPE teams influenced the level of effort included: channeling effort, improving focus, and allowed participants to feel a rhythm and cadence towards work in ROPE teams. The following responses show how participants viewed ROPE teams impacting their level of effort:

“More in tune with the group you are involved with” (P3).

“Days where you see the fruits of your labor and you feel very energetic and empowered, and it gives you the next notch up to work at a different level” (P7).

“Less effort when it does work, but more effort when it doesn't” (P10).

“Collaborative focus, you are part of a team that is attacking the same issue” (P11).

“It's simply a different structure for a conversation and for problem-solving, so it's not in the traditional scope of you know lines of communication or problem-solving” (P14).

“Decrease my effort” (P18).

“More than my effort, ROPE affects my troubleshooting or responding to people that report to me because I have something that I can tell them” (P21).

“Continue my current level of effort, but I feel personally I would be putting forth the same level of effort without it” (P22).

“I think it just redirects my effort” (P23).

The researcher also explored how the ROPE approach influenced the responsibility participants and other team members took for making excellent products and for organizational performance. During this first set of interviews, answers about how ROPE teams were impacting responsibility and performance in the manufacturing organization were diverse. Some participants indicated that the ROPE teams and process helped people come together and helped everyone push each other to be accountable, which had the potential for ROPE to actually remove obstacles and promote engagement. Some felt the ROPE teams made it pretty clear that quality performance was an employee responsibility and that ROPE teams assisted people in taking ownership. Others didn't feel that ROPE teams helped remove obstacles or promote engagement. Some indicated that ROPE teams constantly hit roadblocks and as a result had an inverse effect on responsibility and performance. Some participants also noted that the ROPE structure and the ROPE team execution seemed to take longer than it would have in a command and control environment. A few participants in leadership roles and positions reported, and gave the sense, that unrealistic expectations may have been set for the ROPE teams and what employees and the teams could accomplish.

A theme emerged out of the responses on how ROPE teams were impacting performance and responsibility, that included multiple participants who pointed out the fact that they thought they still needed to get the people on the shop floor more involved. The reasoning behind this theme was, because people on the shop floor were the ones making the bearings and were

responsible for the quality of the bearings. The following quotes illustrate what interviewees expressed about the need for people on the shop floor to be more involved:

In terms of salaried staff definitely helps people hold more, or be held more accountable, because we are being consistently tracked and in group settings where everyone can kind of point to who is doing what. On the floor itself, right now it seems that a lot of machine operators are curious about the ROPE system. (P12)

So, I think it helps a lot more with something like if we are getting customer complaints and we are seeing problems, but maybe being on a ROPE team, and if someone on the floor is there and they are like oh yeah we saw that and we weren't sure what to do with it, we know for the future how to tackle this before it leaves the building. (P23)

“I think it causes people on the floor to be more aware of the things we are doing in the office, but I think it's as I said before in its current state relatively ineffective” (P26).

On the surface, these responses may seem not to answer the question dealing with how ROPE teams are affecting performance and responsibility, but these quotes illustrated gaps in knowledge about what ROPE teams are and how they work. A gap between the office and the shop floor is identified in these quotes and is highlighted further in the replies to the next interview questions. Lack of access and participation to ROPE teams for employees on the shop floor had the potential to have a negative effect on performance and responsibility in specific employee areas on the shop floor of the manufacturing organization.

A common view - ROPE teams, a vehicle for communication. This was a prevalent descriptor and theme described by all of the interviewees. During the internship experience, the researcher often heard comments about how ROPE teams influenced communications. This prompted the researcher to probe how ROPE teams affected communication with management,

peers, and among participants themselves. Regarding communication with management, most interviewees felt ROPE teams had a positive impact on the flow of communication and information within the organization. Participants reported the ROPE approach made communication with management a lot better. They reported feeling very free and comfortable managing up and down. Many believed when ROPE teams worked well and that they fostered more data driven conversations.

Furthermore, ROPE teams enabled communication that was more open, frank, and candid among different levels of the organization without fear or intimidation. Some noted that ROPE teams have also facilitated a change in the way they present things to management, such as general information, problems, issues, solutions, opportunities, and solutions to problems. The ROPE teams offered more structure and drove participants to be more on top of creating routines for unearthing problems, solving problems, communicating, as well as tracking and displaying data. The teams have also helped participants become more diligent with the things they are able to do and provide for management with the increase of communication. A clear theme emerged that ROPE teams support a more authentic flow of information and communication between employees and management/leadership. The following three direct quotes do a great job of summing up how ROPE teams have impacted communication with management:

“Well, I have learned that I can pretty much say what I need to say without offending anybody. It has improved very much so” (P24).

“More interactive with management” (P25).

“I think it allows us a more structured way to ask for resources, but also I think like a lot of our relationships with management and leadership is pretty informal anyway” (P27).

The researcher also explored how ROPE teams influenced communication with peers in different units and among participants themselves. Participants reported that ROPE teams facilitated communication among different departments/units by putting names and faces to the people in those departments. So, if someone had a question about quality and engineering, they knew exactly where to go and who to ask for an answer. Having people on ROPE teams from basically every corner of the organization allowed team members to know more about other departments and that helped clear the lines for more meaningful communication among units. Many participants felt that ROPE teams allowed them to better understand the business, assisted with having informed conversations, and helped create closer working relationships among people inside the organization. The recurring theme of ROPE teams being vehicles for communication was prevalent again. The following quotes sum up how ROPE teams have impacted communication across the board:

“Definitely a lot more open, actually for both management and peers, talking about painful subjects or whether it's talking to them on a personal basis, or you know how they have handled something and the quality of their work” (P16).

“So, I think it's brought me a closer working relationship with the people” (P20).

“ROPE teams like I said, cause me to know who to connect with, who is supposed to be assigned to a team, and it promotes communication” (P26).

During these first interviews, what came through loud and clear was that ROPE teams had an overwhelmingly positive effect on communication across the board. Further, opening up the flow of information and facilitating better working relationships among people in different departments and among different levels in the organization was another positive effect. Before leaving the topic of ROPE teams, the researcher asked participants if they had anything else, they

would like to say about the ROPE teams, the ROPE approach to problem-solving, and how ROPE teams may be influencing commitment and satisfaction within the workplace.

When addressing the impact of ROPE teams on workplace commitment and satisfaction, the message was mixed, as illustrated by the following array of responses: happy, frustrating, on the fence, limits, hands tied, and negatively impacts my satisfaction. The majority of answers to this open-ended query displayed frustration, but also acknowledged that ROPE teams were still very new and, in their infancy, thus bound to create a variety of feelings. Participants made it known that there were challenges with the ROPE teams and this approach to problem-solving, with over half of participants echoing similar sentiments. Less than a quarter of participants reported not being affected at all on commitment and satisfaction, while others reported being totally happy and a positive impact in regard to commitment and satisfaction, creating themes of uncertainty and skepticism in regards ROPE teams impacting participants commitment and satisfaction. The following direct responses give a broader picture of how ROPE teams were impacting a commitment to and satisfaction with the workplace at the time of the first interviews:

My vision is that all of the rope teams will be performing at a very high rate relatively soon and I think that by having mentors and keeping a structure and a regular cadence of the meetings and reviewing the countermeasures sheets and reviewing all of the charts and graphs as far as trends. (P1)

“It’s a turn off to me. I think that they need to, they meaning the top level, need to really take a look at who they’re including and why” (P2).

“Don’t care for it” (P3).

“If everything is driven through ROPE the way it should be laid out that would be great” (P12).

“I don't think that the ROPE is understood well by most employees” (P21).

“I think as a general blanket statement on the ROPE teams, the intent is there, we are all kind of working towards it. There are still some challenges we have” (P27).

The researcher then explored how ROPE teams were impacting the “dual bottom-line”. Participants (P3, P6, and P23) indicated the “jury’s still out”. At this time in the study, participants felt it was just too early to tell, and a majority of participants felt there was no real measurement system developed and established to even measure the concept of fully releasing human possibility in the manufacturing organization, giving birth to the theme of uncertainty in regards to ROPE teams impacting the full release of human possibility. The following direct quote sums up the consensus on ROPE team’s effects on fully releasing human possibility:

It does release human possibility in some and it will not in others. Again, if people can accept it like I have talked about and if people are mature enough to accept it, if people have the skill set to manage through it, then it will definitely help your company. (P7)

Participants were more definite and united on how ROPE teams were impacting financial performance than they were about fully releasing human possibility. Participants reported ROPE teams helped with discussing issues and problems within the department, whether they were financial or dealt with safety, and the ROPE teams definitely helped get things done more efficiently and effectively. Many felt that the business was more profitable now that they were really doing some good problem-solving. Meaning, that getting to the root cause of problems and drawing people together to solve the problems sooner rather than later was directly impacting the financial side of the dual bottom-line. Themes that emerged towards ROPE teams

improving the bottom-line were positive impact, confidence, proven through metrics, and relative to role and exposure on ROPE teams. The following response provided numbers to support the claim that ROPE teams helped impact the bottom-line from a participant that was steeped in the ROPE process:

Absolutely helps achieve better financial performance. We have visibly demonstrated that in the last six months. When I first set the budget for improvements, actually putting a dollar value against the ROPE team activities it was like \$30,000. We have blown it out of the water. That must be \$200,000 now that we have got for improvements that the team has driven and that's basically because of good information that's fed to them so that they can balance their manpower. There has been a huge amount of reduction in overtime just due to better flexibility of the people and right time and right place to place the labor to run the equipment. Our quality has improved tremendously and I think just the standard of living on the shop-floor is better as well. Just making it more pleasant to come to work and some of the areas have just really tried to get to the root cause of some of the issues that have been largely here forever. So, I am very encouraged. (P16)

The researcher felt comfortable saying that the further one gets from the level of involvement and experience in and on ROPE teams, the more varied the responses became regarding how ROPE are impacting specific areas. Participants believed that ROPE teams had the potential to help fully release human possibility, but were aware that no measurement system existed to remotely quantify this belief, thus it was difficult to demonstrate ROPE teams actually do help fully release human possibility.

In closing the discussion of ROPE teams, the researcher asked participants to tell a short story or comment on how ROPE teams were working and their perceived impacts. Overall

themes that emerged from stories participants told about ROPE teams were that ROPE teams were vehicles for communication, brought people together, time-consuming, different and new, provided a scoreboard, a forum for sharing ideas, platform for solving problems, and ROPE teams were something foreign and questioned by employees. The following are some descriptions from participants about how ROPE teams were working and their perceived impacts:

“ROPE is a waste of time for me. It could be positive, but it is not for me based on my position” (P2).

I would say that a ROPE team structure needs time. Just because you pull a steering wheel on a battleship doesn't mean it's going to turn. I will also say that you have to have a very mature workforce to handle the empowerment and freedom that is bestowed upon them. If they're not mature enough to handle that then you will most likely have chaos and I know that the transformational change and ROPE structure will fall on its face. (P7)

I think I have a couple of things that I really get excited about and, for example, I get excited when someone who's not naturally or you wouldn't consider naturally, know certain things about the process, can talk about the area and can speak eloquently about the current issues, what we are doing, and what is the status of that area. (P11)

“Forces transparency to a level that not all organizations really desire or try to strive for” (P14).

When you go to a football game, if you are up in the bleachers at the top, you tend to do a lot of scoreboard watching. What ROPE should do is that it should tell the score and it should tell what you were doing and can do to get a better score. (P15)

“I think it gives a lot of people a forum to share their ideas and there's at least a structure in place that you know pretty much anyone has a voice” (P4).

A great story that was told about ROPE teams and their impact and evolution by a participant (P1) was the following:

I will use the Slide Forming for my story. So, we started here with CORE teams (Earlier Iteration of ROPE teams) and we put a CORE team together in Slide Forming and we didn't roll it out very well. So, we determined that five people would be on this team and we really didn't give them any direction, and these five people all have mastered their skills on the production floor and are a wealth of knowledge. We brought them together as a group with basically no direction, didn't specifically have guidelines, and tell these guys this is our model, this is what we want, and you guys work on it and it completely fell apart quickly. So, when the ROPE teams came about, we had it structured we had a regular cadence of doing things, and we got that same team involved and now they have really come along. They are really getting to a point where they are efficient, effective, and producing at a high level. So, to me, I guess what's important is you can get a group of people together, but if you're not crisp and clear, and you don't give those guys direction, then it is just going to fall apart. I think it's interesting because this team was probably one of our least performing teams, and the ROPE structure once it came about, and now they are one of the stronger teams that we have. (P1)

Based on these initial answers, overall the ROPE teams and its process have indeed affected the participants in both positive and challenging ways. To use a participant's (P6) quote to sum up the impact of ROPE teams at the time of the first round of interviewing, the “Jury is still out.”

Participants, their descriptions, and understanding of the ROPE teams varied depending on the participants' department, experience, and exposure to the ROPE teams and process. The ROPE teams were just one component of the transformational intervention underway to improve the dual bottom-line.

ROPE team responses: Summary and themes that emerged. Looking back on the previous responses in regards to ROPE teams the following themes emerged: questioning the effectiveness, lack of belief and understanding, annoyed, works in theory, and the jury is still out on ROPE teams. It helped with those who understood how ROPE teams worked and had positive experiences in being involved in ROPE teams. The tone and feelings surrounding ROPE teams from participants varied, with about half of participants still unsure and uncomfortable with the teams and the other half were positive about the value for improved organizational productivity/effectiveness. Despite all the questions and reluctance towards ROPE teams, the researcher sensed from half of the participants, that ROPE teams were starting to grow in the right direction. ROPE teams were turning the corner and collectively as a culture, people were starting to accept ROPE teams and their processes. This set the stage and expectations for some growth and belief in ROPE teams moving forward later in the chapter during the second round of interviews. The transformational change workshops were another element in the overall effort to improve both the financial bottom-line and the full release of employees' human potential inside the manufacturing organization. The next section reports on how the employees were experiencing the transformational change workshops at the time of the first-round interviewing.

Transformational change workshops. The researcher reminds the reader once again, that at the time of the first interviews only twelve participants had been through a

transformational change workshop. The other fifteen participants had not been through the transformational change workshop and a select few had not even heard of the transformational change workshop. The researcher felt it was important to gain information on who went through the transformational change workshops and who did not, and explore what their thoughts, feelings, and assumptions were about the transformational change workshops. To gauge how the transformational change workshops were influencing what happened within the manufacturing organization, the researcher asked participants to describe what they saw and what they were feeling about transformational change.

Many participants described the transformational change taking place in the manufacturing organization as changing how they interacted and worked with one another after attending the transformational change workshop and how they viewed themselves regarding those around them. Others described it as a slow process marred by lots of turnover and loss of tribal leadership. Some articulated the change as slow-moving but in a positive direction towards empowerment, better communication, and autonomy. Themes that emerged from participants describing what they saw and what they were feeling about transformational change were the following: exclusive to certain people, more abstract than ROPE teams, less understood compared to ROPE teams and concepts, relative, behavioral, and very much personal. The following direct quotes are examples of how the interviewees viewed the transformational change that was occurring in the manufacturing organization:

“I think it's working well with the leaders, supervisors, and the other people involved from the office... I don't feel that people on the floor are involved enough and participating, or understanding it...” (P5).

“Happening at different rates in the plant. Mixed bag with some seeing no change and have no idea what transformational change is” (P16).

“I think one thing that really helps is the actualized leadership profile and I think that really is a positive thing because when people get the results of their profile, they are shocked” (P1).

Responses of interviewees who participated in a transformational change workshop.

All twelve of the interviewees that participated in the transformation change workshop gave the experience high praise for providing in-depth insight about themselves. Themes that emerged from participants that took the workshops were: very insightful, profound, personal, powerful, and reflective. Participants described the transformational workshops as helping them learn about themselves and how they impact others and vice versa. The participants indicated the workshops were really helpful in gaining a sense of self-awareness. The following direct quotes give a good description of how transformational change workshop participants felt about the workshop experience:

“It's all about transforming the person and it's just one of the most powerful courses that I have ever been through because it really makes you take a look at yourself well” (P1).

Phenomenal experience. Really kind of life changing in the respect of bringing together a very different way of understanding who people are and how people think, and beyond that how you are and interrelationships are. It was a fantastic exposure. It is hard to express. (P14)

Those participants that took the workshop gave it rave reviews and described it as a powerful learning experience. Those who did not have the opportunity to take the transformational change workshop were interested in taking it and had heard positive things

about it. There were two interviewees that not only had not taken the workshop but had never heard of it and had no idea of what it was. An interesting bit of information surfaced that some people that have taken the transformational change workshops are in the process of becoming trainers to be able to teach the transformational change workshops in the future. This could have the potential to disperse transformational change workshops more throughout the manufacturing organization with many employees and participants in this study that haven't experienced the workshops.

Responses of interviewees who have not been in a transformational change workshop.

The replies from people that had not taken the transformational change workshops were equally interesting, with some people having no idea what transformational change was. A few had not even heard about it. There was buzz building about the power of the transformational change workshops, with more than three-quarters of participants that had not taken the workshop having a high interest in taking it based on stories they heard from colleagues that had taken the workshop. The fact that the transformational change workshops were such a crucial part of the overall transformational journey the manufacturing organization is on, and that a good portion of the employees at the time of the first interviews knew very little about them, suggested opportunities for improving the roll out of the organization's vision for transformation. The next aspect that the researcher focused on was transformational change workshops impact on communication.

Transformational change workshops impact on communication. The transformational change workshops affected communication with management and among participants that participated in the workshops in a positive way. Transformational change workshop participants described the experience as helping to create a more open environment. Learning more about

their peers enabled better relationships. They felt free to communicate and collaborate while understanding how their personalities and attitudes played out in the bigger picture of the teams. Themes that surfaced were they taught self-aware, improved peer relations and team dynamics, created a platform for freedom and flexibility, and also the workshops also created a transparent environment. The following answers reveal how the interviewees felt about the transformational change workshops:

“Let me know a lot more about my peers... It took the blinders off in that situation...”
(P1).

“I feel very comfortable managing up. I feel very free” (P7).

“I think we all feel a little bit freer to share what's really going on. Transformational change really pushes that aspect of it. Get past what happened and figure out how you were going to fix it” (P8).

It really provided a different perspective on the individual approach and there is no right or wrong. There is just different and then finding ways to appreciate that difference and how to engage best. How do you need to compensate yourself and where to engage best with them? And, some of the honesty and transparency issues were very instructive.
(P14)

There were a couple of participants that reported minimal change but the majority of those who had participated in the transformation change workshops enjoyed them and gained new insights about themselves and other participants, as well as how to think about management and collaborative efforts.

Participants talked about understanding their personalities and how this new self-awareness played out in the grand scheme of the team dynamics. For example:

Interesting about transformational leadership is that they talk about shadows and it was dead on with me because when things are going well my personality is a certain way and once, I'm under stress and my shadows click-in, I totally change, but the interesting thing is that I'm cognizant of it now. I wasn't cognizant of it before, and it also allows me to help me with my emotional triggers. If I know what's going to trigger me, what's one of my triggers as far as me going to the Dark side as I call it, it just allows me to say stop because you're ready to go to this Dark side. So that's one of your triggers so you need to step back and just kind of breath. So, it promotes a self-awareness. (P1)

Helps me with a little self-awareness knowing that sometimes I'm always go, go, go. I'm always about getting things done and sometimes, I just have to take a breath and slow down and not expect the same thing out of everybody. Everyone is not the way I am because everyone is a little different. (P5)

As I said, I think by understanding my style and understanding the different types of communication styles from everybody, you gain some empathy to say I understand where you're coming from even though it's not necessarily the way I would approach the subject, or approach the communication, or approach change. (P11)

In general, these first round of interview responses indicated a new self-awareness and empathy that allowed participants to take a step back and strategically realize how they fit into the team and culture as a whole. The next series of questions focused on how the transformational change workshops helped the manufacturing organization more fully realize dual bottom-line results.

Transformational change workshops impact on the dual bottom-line. Participants that have taken the transformational change workshops observed that the workshops do seem to

impact the release of human possibility in the manufacturing organization, more so than financial performance. Participants felt that the workshops helped people self-reflect and become more aware of how they operated and excelled in the business and organizational culture. A majority felt that there was not a clear way to measure the impact of the transformation change workshops on the dual bottom-line. In discussing how the workshops impacted fully releasing human possibility, interviewees noted,

“People is the biggest capital investment that we have. The transformational change invests in that capital the people side of it” (P8).

“I think for an individual they would learn more about themselves and how they are” (P17).

Summary of transformational change workshop responses and themes. Responses of employees to the concept of transformational change and value of the transformational change workshops varied with exposure and participation in the workshops. The following mixed themes emerged in regard to transformational change workshops with those who had not participated in the workshops as abstract, exclusive and lack of access to them, but an interest in taking them and knowing what they are. While those who had participated in the workshops talked about them being powerful, meaningful, impactful, and personal. These themes spoke to the nature of transformational change workshops being centered around creating self-awareness and changing the individual in a personal leadership context for the betterment of the team.

The transformational change workshops seem to be lodged at the managerial and leadership levels in the organization, which had resulted in a lack of exposure for more than half of the participants in the study to what transformational change workshops are and what they can do. All participants in this study, at the very least, knew what ROPE teams were, along with

being on a ROPE team, but many participants were not afforded the luxury of exposure to transformational change workshops. It is a point of interest moving forward in the next section of this chapter in regards to second interview responses, to see how feelings change towards transformational change workshops, and if more people are exposed to the workshops.

Overall summary of first round of interview findings. In summary, participants mindsets were moving in a more positive direction and the manufacturing organization was starting to figure out what kind of people they needed for these ROPE teams operate more effectively. ROPE teams were perceived as having a positive impact on communication, problem-solving, empowering employees, and enhancing the analytics and metrics of measuring the ROPE teams progress and process. There is ground work needed in respects to people at different levels of the manufacturing organization finding out and being exposed to transformational change workshops outside of manufacturing organizations leadership and management. ROPE teams stand to be better refined and need for people to have a stronger belief in them.

This first set of interviewees, indicated that the impact of transformational change workshops was powerful, for the few that participated in one, but the workshops are in the beginning phases. A measurement and metric system to measure the effectiveness and value of transformational change workshops would be helpful in providing a more accurate gauge of the impact they have on the dual bottom-line. Those interviewees that had participated in transformational change workshops felt they had a greater impact on fully releasing human possibility than on financial performance.

In summing up, the researcher answered the research questions as they stand at this moment in this case study process, beginning with the first questions of: What do employees of

the manufacturing organization think about the transformational process? At this stage, participants still believe the transformational process is in its infancy or beginning stages, but it started to pick up momentum and belief. To answer the second research question of: How are the employees of the manufacturing organization reacting to and using what they learn from the transformational change workshops? Those who took the workshops found it very impactful, but the regularity of using the skills learned in the workplace could be improved. At this point in the study and transformational change process, there is an opportunity to get more people trained and using the transformational change workshops.

In addressing the third research question of: How are ROPE teams affecting people and businesses outcomes inside the organization? At this point in the case study, ROPE teams were viewed as more than just another fad from management. They were seen as a platform for dynamic growth, communication, and problem-solving. From participants responses the researcher heard and felt an increased belief in ROPE teams, and ROPE teams were on the verge of growth period. At this point in the case study, the ROPE teams were more established than the transformational change journey and transformational change workshops. Finally, at the point of the initial interviews, answers to the final research question, about the consequences of going through a transformational change were unclear. The consequences of going through a transformational change process seemed to be: shedding old thought, behavioral schemas, and developing a mental mindset and method of operation needed to push through and succeed on the transformational journey.

During the researcher's internship journey and exploration, people were initially uncomfortable and questioning intent and meaning behind it all. Turn-over rates and people leaving the organization increased, and it was a battle of perseverance as the manufacturing

organization built and formed new mindsets among employees and improved the structure and processes of operation as the organization moved forward in its transformational journey. It was questionable how the growth and impact of ROPE teams and transformational change workshops would play out. The results and themes that were revealed during the second round of interviews is discussed next.

The Second Round of Interviews – Positive Shift in Tone and Outlook

The second round of interviewing occurred about seven to eight months after the first round of interviews. They were conducted in April/May of 2017. It should be noted that four of the first-round interviewees had departed the organization. It also should be noted that the interview protocol had changed slightly to include an increase in total questions from fourteen to nineteen expanding on the themes from the first set of interviews (see Appendices B and C).

Demographics. A total of twenty-four (24) participants partook in the second round of interviewing compared to twenty-seven in the first round. This second round included fifteen (15) males and nine (9) females. The time interviewees worked at the manufacturing organization (tenure) varied from ten months to forty years, which did not vary significantly from the first-round participants. A total of six ROPE teams were represented among the interviewees with managers, leaders, observers, mentors, and the overall supervisor/leader/driver of all the Rope teams included among the interviewees. ROPE teams had about six to eleven people on a team and new ROPE teams were beginning to form.

Some participants in this second round of interviews had either switched positions or moved into more expansive roles with titles like, Ops manager for the other manufacturing plant, mentor/leader for all ROPE teams, mentor/leadership for the warehouse team, and mentor for the processing Rope team. During this round some interviewees were even playing a part in

training, launching, informing, coaching, and mentoring ROPE teams on a global level. The time span participants were involved in the ROPE process varied from one year to about one year and eight months with about half of participants being involved with the ROPE teams since their inception.

Mindset and body language. There was less variance in tone evident in the second set of interviews than in the first set of the interviews. An upbeat and optimistic tone characterized more than half of the second round of interviews. The researcher felt a shift had occurred as there were less uncertainty and tension expressed than in the first round of interviews. As in the first round of interviews, participants were not hesitant to answer questions and due to their previous interview experience and had a better understanding of the questions. While answering questions, the interviewees seemed happier and more comfortable. The researcher kept the rhythm of the interviews steady, yet left room for participants and the researcher to riff and veer off script which allowed for open and in-depth answers and exploration of issues suggested by certain responses.

During the second set of interviews, participants felt at ease which, in turn, allowed them to be open and honest. The participants were excited to do the second set of interviews, as these interviews provided a way for them to express their feelings about what was happening in the organization and a mechanism for providing feedback on the transformation change that was underway. As in the first round of interviews, the first interview query was, “Describe your mindset coming to work every day? Why?” The overall mindset varied less in the second-round interviews, with the range of emotions and feelings expressed having more positive overtones and optimism. Themes that came out of these replies towards mindset were development, love,

comfortable, happy, and change. Positive responses came from more than half of the interviewees in describing their mindset about coming to work. Several interviewees said:

“To develop people, to basically illuminate the need for my guidance, promote people to be self-starters, promote people to be troubleshooters, and give them the tools to be self-sufficient” (P7).

“It's fine. I love working here” (P10).

“What I do to make things better. How can I help you today? How can I help you help yourselves?” (P16).

“I have a very healthy mindset” (P1).

“My mindset is usually I'm happy to come to work. There are not any days I dread coming in” (P8).

“It's a job, but I am trying to change that approach. You know, I want to make it a career, but I'm just tired, so it's a job” (P3).

The replies about participants' mindsets about coming into work every day showed a marked improvement from the first to the second round of interviews with the second set of responses filled with more positive energy and a clearer direction of where people were going and why they were coming into work. The next section will cover how the perceptions and feelings of participants changed towards the ROPE teams.

ROPE teams. Like the responses to the mindset inquiry, the answers to questions about the ROPE teams were more optimistic and included a more positive outlook. The researcher started by asking how the ROPE teams affected the participants' day-to-day work and how comfortable they were with the ROPE approach. The themes that emerged included: improved efficiency, focus, direction, and illumination of missed problems and improvement opportunities.

More than half of the participants reported a positive impact on their day-to-day work suggesting they had more focus and a clearer direction, as indicated by the following quotes:

“Get things accomplished that we struggled with in the past” (P6).

“Focus and direction” (P10).

“Core of what I do” (P11).

“Starting to pick up on some more things we missed or let go in the past” (P13).

The researcher sensed that participants were starting to become accustomed to ROPE teams and the process had begun to impact them on an individual and organizational culture level. Not only did participants’ views on how ROPE teams influenced their daily work have a more positive tone, they also reported being more comfortable with the ROPE process.

An added question for the second round of interviews asked participants to rate their degree of comfort with the ROPE process on a scale from one to ten, with one equaling not at all comfortable, and ten being extremely comfortable. Participants ratings averaged 8.69 on the 10-point scale, suggesting that time and experience had a positive impact on the degree of comfort interviewees reported with the ROPE team process. The researcher perceived a significant evolution of participants’ perceptions and feelings about ROPE teams and their degree of comfort in working on dynamic problem-solving teams.

Next, the researcher explored how ROPE teams influenced interviewees’ productivity, responsibility, and commitment to work. How ROPE teams redirected their work was also explored. Participants were more likely to report how ROPE teams helped rather than hindered them in accomplishing their personal and organizational goals, as well as doing their work. Themes that arose from answers to this question were improved perspective and communication, access to help, enhanced responsibility and collaboration, and more autonomy. Interviewees

often pointed out how ROPE teams provided more direction for their work, more collaboration, and different perspectives in solving problems. Some examples of interviewee responses include:

“Perspectives from everyone and case in point... Outside set of eyes and ears listening...” (P1).

“It is the culture now” (P2).

“People assigned, outlined responsibility” (P4).

“Help, if I were to put it in terms of short-term pain for long-term gain” (P16).

“Rope teams can help themselves now, more autonomous” (P6).

“Mechanism for communication and visibility” (P14).

“Exposed to what's going on with in the business” (P20).

“Identify other people that know the issues” (P23).

“Helps get resources” (P24).

“Gives people a voice” (P13).

The positive and glowing remarks on the ROPE team approach definitely increased during the second set of interviews. The few interviewees that still felt ROPE teams hindered their productivity described ROPE teams as: complaint sessions, full of hidden agendas, takes up time, people aren't totally buying-in, ROPE teams undermine true capabilities in the context of ability to perform up to set standards. Overall, during the second interviews participants indicated more positive perceptions of how ROPE teams and the process influenced their ability to accomplish their personal and organizational goals, do their work, and how comfortable they were with the actual ROPE approach.

ROPE teams and communication. Next explored was how the ROPE team approach influenced communication and again there was an increase in positive responses. Themes that grew out of replies to this question were: ROPE teams improved communication with peer and management, provided more involvement, increased flow of data and information, and had their own cadence as vehicles for communication. Across the board, interviewees noted improvements in communication due to the ROPE team approach. For example, the following comments were shared:

“It makes me a better communicator” (P1).

“Rope, very much so. I have more of an interaction with the management team than I normally would” (P2).

“More involved from the administrative side, so I have had to communicate and ensure that I am getting the data I need” (P3).

“I think we are a lot more open now” (P6).

“Allowed me to bring my team to the next level of ownership of their process” (P7).

More than half of interviewees praised the ROPE teams and associated processes for helping to improve and bolster communication with management and peers. The researcher saw in these answers that the ROPE teams enabled people to interact face-to-face more often, which put the ability to communicate at a premium. Staying with the theme of communication, the researcher next touched on the theme of communication, due to majority of participants having described ROPE teams as a vehicle for communication. This made the researcher wonder if this view was universal when compared to salaried and shop floor employees.

A new question added to the second interview was, “Is there a gap between the salaried and shop floor employees in using and understanding the ROPE teams?” Three-quarters of

participants answered this question with a resounding, “yes”, which is displayed in the following responses:

“There is a gap but if you were to look at that gap three years ago you could drive a truck through it. That's the way it was, but now it is actually closed because of engagement” (P1).

There is definitely a gap in expectations. There is however a bridge in awareness and communication of what is happening. But there is a lot of quote, unquote, fairytale expectations I would say. Let me give you an example. If I was to throw one ping-pong ball at you do you think you'd be able to catch it? Yes. Now, if I was to throw a bunch of ping-pong balls at you how many would you be able to catch? ROPE has changed the amount of ping-pong balls being thrown at us and we are expected to catch all of them, despite the difficulty. (P7)

“I think that there is always going to be some manner of gap I have to confess” (P14).

“ROPE, I felt there was when I was here when I started. There were some places where it was good, and there were some places where it needed help, and it is closing dramatically” (P15).

Participants definitely saw a gap between how ROPE teams were understood by salaried employees and those on the shop floor in the first round of interviews, but believed the gap was actively closing during the second round of interviewees. Participants made it clear that it was vital and important to get everyone on the same page when it came to ROPE teams and closing the gap between salaried and shop floor employees. Next, the researcher addressed how ROPE teams have impacted problem solving and individuals’ reflection process.

ROPE teams and problem-solving. One query from the first round of interviews focused on how the ROPE teams were changing or altering problem-solving processes in the

organization. Participants were asked again about how ROPE teams changed problem-solving in the organization. Themes that developed out of the responses to this question were, ROPE teams helped and improved problem-solving, collaboration, and accountability. The following quotes paint the picture of how ROPE has affected problem-solving:

It helped our problem-solving because like I said we are a group that works together. If we need maintenance or engineering support, we will bring it right up in the ROPE team, assign it to somebody, put a date on there that we would like to see it accomplished. In a good way, it kind of holds us all accountable. It's not really peer pressure but it's like playing on a team. You don't want to let the players down. (P5)

“ROPE teams, yes, because there is so many people on the team and it's no more my sole problem to solve, and it wasn't like that in the past. It makes my life easier” (P6).

“I think definitely more collaborative rather than individual connections for problem-solving” (P11).

Once again, more than half of the participants described a positive change or impact that ROPE had on problem solving, which led to a new question in the second interview regarding how ROPE teams and the process have altered their reflection process.

ROPE teams and reflection. The question of how ROPE teams have altered participants' reflection process emerged from the first round of responses on how ROPE teams influenced problem-solving and decision making. About three-quarters of participants stated they were not sure how it impacted reflecting, but there was a need for reflection to be a part of the ROPE teams and their process. The theme that emerged from the query about how ROPE teams have altered individuals' reflections was that reflection was absent and needed. The following quotes illustrate the need for reflection in the ROPE process:

“No, there might be a need for reflection maybe” (P3).

“I don't know if ROPE teams have altered my reflection process. I don't know if I have an answer for that. We have not done anything, like lessons learned or could we do this better” (P6).

“I think yeah we could probably get a little bit more reflective in our rope teams” (P8).

Participants were somewhat surprised by the question about how the ROPES process may have changed the role of reflection in problem solving. Many participants had to really think about the question, showing there may have been a lack of recognition and awareness about the need for reflection in problem-solving endeavors. Mostly all of the interviews suggested that time and a platform for reflection was needed in ROPE teams and was an important part in problem-solving and decision making. The impact of ROPE teams on the dual bottom-line is reported next.

ROPE teams' impact on the dual bottom-line. During the first interviews, participants felt that it was just too early to tell how ROPE teams influenced fully releasing human possibility in the manufacturing organization. Many felt there was no real measurement system for gauging how fully releasing human possibility varied under different circumstances in the manufacturing organization. The answers to this question in the second interviews indicated some positive change. Participants felt that the ROPE teams were starting to impact the full release of human possibility inside the manufacturing organization. Participants replies centered around: creating engagement, self-management, and people were more exposed to the business as a whole. The following responses echo the shift in ability to talk about how ROPE teams help fully release human possibility:

“Helped illuminate some human capital with an organization” (P6).

“Yes, engagement and self-management” (P11).

“Rope allows someone to have a voice and your voice” (P15).

“It moved a little bit...” (P16).

Allows better communication. A better knowledge of what's going on. Nothing is kind of a secret; everything is out there. If you want to know what the metrics are you go right to the board and you can look at it. (P20)

“Got people more exposed to the business...” (P23).

The needle moved a little bit and participants were starting to see and credit ROPE teams with helping fully release human possibility. They still believed that the true impact was still relatively unknown, and once again blamed that on not having an accurate way of measuring what fully releasing human possibility looked like. For the second part of the question on how ROPE teams and processes impact achieving stronger financial performance, these responses indicated more of an impact.

Participants perceptions of how ROPE teams were affecting and improving the bottom-line of the manufacturing organization grew positively from the first set of interviews. Answers to this question the second time around were more descriptive and concise with an emerging theme of improving financial performance in totality across all metrics. These direct quotes provided clear picture of the change in perception of how ROPE teams were impacting the bottom-line:

“Directly affects productivity gains, efficiency gains, quality gains because those are the things that we discussed and those are things that are on the agenda” (P1).

“Yes, because if we are fixing things and making things better, then we perform better” (P2).

“Positive impact, data is being analyzed, which leads to more visibility” (P3).

Financial performance again it's easy. You can see the results right there by being able, and you basically effectively take it from the old structure where you maybe had five or six people that were your problem solvers, and now you make everybody a problem solver. By everyone out there solving a problem every day you are going to very quickly go through your list of problems and start knocking them off. Cost is going down because we are scrapping less and we are being more efficient. Our production productivity is up. And then again eventually that will lead to further sales, because our customers see the improvements and they see that they are getting better lead-times. They are getting better pricing. They are getting better service. So, in the long run, it's going to generate more revenue so your sales will go up as well. (P8)

As a whole, participants saw the impacts that the ROPE teams and processes were having on their bottom-line. A big component in participants' ability to see the impacts on of the ROPE teams on the financial bottom-line is the ROPE boards and the established built-in metrics. This was not the case with respect to ROPE teams impacting the full release of human possibility. The researcher believed that this concept was less defined with no embedded metrics that enabled people to see the impact on the release of human potential. Fully releasing human possibility was more abstract, whereas financial performance was concrete and measurable. Participants still felt an increased impact in both fully releasing human possibility and achieving financial gain.

In closing, with regard to questions dealing with ROPE teams in the second interviews, the researcher added the question, what advice would you give to the leadership about the ROPE team approach? Themes that emerged as advice for leadership on ROPE teams is to embrace it,

develop an open mindset, support it, create onboarding, and continue to grow it. The following are some direct quotes of advice to leadership on the ROPE teams and its process:

“Embrace it, focus it, more resources to support, more involvement, and make teams smaller” (P1).

“Learn to give over that control to the team and learn to become a coach, instead of I think some of our management team still has the ‘I need to go in there and fix this problem’ mentality” (P8).

“Maintain a strong physical presence in it because the shop floor looks for that and I think that we need to make sure we have the right members on the team” (P10).

“It is a journey; it is not a tool” (P11).

“Listen to the operators more” (P20).

One of the biggest arguments you get from rope team members is I don't have time, so if they went through participation in ROPE and they want people to truly be involved it needs to be truly a part of their day, not just something they have to fit in. (P23)

Production supervision is key to influencing the behaviors of direct employees. Kind of ties in with the transformational change in the coaching in the mentoring. The supervisors have to be aware of where the ROPE structure is going and how they need to behave in terms of promoting you know ownership and responsibility and limiting the victim mentality. (P16)

Participants had great insight on how to improve and push the ROPE teams forward in the future. One interesting idea was included in the last quote about transformational change, or elements of transformational change, being needed in the ROPE teams and processes. This concept was put into a question and was explored in the third and final round of interviews.

ROPE team summary of responses - Positive shift in the right direction. Looking back on responses and themes that formed from the first interviews in regards to ROPE teams, there was a significant shift. Themes that emerged from the first interview resulting included the following: questioning, lack of belief and understanding, annoyed, works in theory, and the jury is still out. The themes that emerged from the second interviews included open, part of the core of what they do, receptive, driving communication and improvements, closed gap of understanding and believing in ROPE teams, and comfortable with ROPE teams. The tone and feeling surrounding the second round of answers in the context of ROPE teams was people being confident and comfortable with ROPE teams and its process. The next section focuses on the impact transformational change workshops had on participants and how perceptions have changed from the first set of interviews.

Transformational change workshops. Of the 24 second round interviewees, eleven had previously participated in a transformational change workshop and five of these participants had taken another transformational change workshop since the first interviews. An interesting development was that of the participants that had taken another workshop since the first interviews, four out of that five had taken a workshop that would allow them to be facilitators of the transformational change workshops. Thirteen of the interviewees had not yet participated in a transformational change workshop.

Themes that formed from the replies of workshop participants included: transforms the person, transforming leadership, and the need for more repetition. The following direct quotes illustrate some thoughts on taking and not taking the transformational change workshops:

Yes, I am a facilitator now. So, transformational leadership is really about transforming the person. So, a lot of the things that I have gotten involved with, or courses and things,

I always talk about making the process better, and systems and tools, but transformational change is about transforming the person and it's very impactful. (P1)

I loved it. The creator of the workshop was a part of it, and it was great to meet him, and listen to him and learn from what he's been through and what he is showing us. It was great. I enjoyed it heavily. (P15)

There needs to be constant checks to see what people are doing with those tools, because if you don't use it you lose it, and we get so bogged down in detail. You know when you are in operations it's very easy to forget the well roundedness that you got from that type of training. (P16)

Out of the participants that still have not taken the transformational change workshops, there were still a couple of people that had never even heard of the workshop other than in the first round of interviews. The participants that were becoming facilitators of the transformational change workshops were part of the organizational effort to start pushing transformational change further out into the organization. Some participants confirmed this intention of having the desire to have more employees take and be involved in the transformational change workshops. Next, the researcher discusses how the transformational change workshops impacted communication with management, peers, and participants themselves, as well as how perceptions evolved from the first interviews to these second interviews.

Transformational change workshops impact on communication. More than half of participants that actually took the transformational change workshops reported a positive impact on communication with management, peers, and participants themselves. Some of them are now trained to be facilitators of the transformational change workshops, which participants labeled as going from transformational change 1.0 to 2.0. Themes that arose from responses were

improved communication, a better understanding of peers, more self-aware, and developed empathy. The following answers highlight some of the transformational change workshop participants' perceptions and feelings on how communication has changed in the organization:

It makes me a better communicator, now I know when I say better, I really need to quantify that, but the reason why I say it is because we went from transformational 1.0 to 2.0, we are at 2.0 now. (P1)

When you look at your peers it's like a slightly different level. So, we had an ALP - Actualized Leadership Profile done, and that helps me understand why my peers have the personalities that they do. Case in point, and I know I'm being recorded, but there was one of my peers that I have certain challenges with and after the ALP was done it helped. (P1)

“More involved from the administrative side so I have had to communicate and ensure that I am getting the data I need” (P3).

“I think we are a lot more open now” (P6).

“I think it makes it a bit more comfortable and easier” (P23).

“Able to communicate with my employees and coworkers out on the floor” (P25).

The researcher was able to sense that the transformational change workshops were starting to have a bigger positive impact. Communication between salaried employees and shop floor were reported by participants to have been improved from the initial interviews to the second interviews, due in part to what was learned in the transformational change workshops.

Transformational change workshops impact on productivity. Participants' responses and feelings on how the transformational change workshops were affecting productivity were minimal at best. Either people thought there was no impact or influence, or very little, which

really produced no themes in this particular context of transformational change workshops impacting productivity. Only two transformational change workshop participants responded to the query about how the transformational change workshops impact productivity. One participant (P15) indicated “It’s hard to say,” while the other stated:

I actually believe in transformational change and an autonomous workforce. I always tell these guys that my vision is that you wouldn't need a supervisor, that you guys would come in here and know exactly what to do, and what was expected of you, and just meet expectations regardless of whether or not a supervisor is standing behind you or not. (P1)

In general, the interviewees did not seem to link the transformational change workshops with impacts on productivity. Participants don't seem to make a direct link between self-awareness and increased productivity. This may be due to the lack of metrics to measure the productivity outcomes of the transformational change workshop.

Understanding transformational change and the gap between salaried and shop floor employees. Collectively, participants saw and felt a gap in the manufacturing organization between the salaried and shop floor employees in understanding and using concepts associated with the transformational change workshop. Those who have taken the transformational change workshops perceived the gap is bigger with transformational change than with the ROPE teams. Participants who still had not taken the transformational change workshop were still unclear about the impacts, if there were any at all. This may be due to the fact that those on the shop floor have had greater exposure to the ROPE teams than the transformational change workshops. Transformational change workshops appeared lodged at the leadership and managerial level at the time of the second round of interviews, which coincided with the need for people to become facilitators in order to spread transformational change workshops down and throughout the

organization. The following quotes from participants displayed their feelings on transformational change workshops and the gap between salaried and shop floor employees:

“ROPE, yes I believe so. I think it is getting bigger” (P9).

“Transformational change workshops, I’m not sure about transformational change having an effect” (P5).

“Transformational change workshops, you would be surprised at what you would have seen 10 years ago. We were very command and control. So, it has shifted a lot” (P7).

“Transformational change workshops, I definitely agree with you there the shop floor hears the words and they don't know what it means because they haven't been exposed to it” (P8).

Transformational change workshops, we are trying and we are going to be doing transformational change with our rope teams, some of it has started, now that I and others have all been through the trainer course, so we have four people now that can-do training on it, so I know it is one of the big things that we want to do. (P13)

From these quotes the researcher gained the sense that the gap was closing as they realized that a gap existed. The manufacturing organization was addressing the gap at the time of the second interviews. Four of the interviewees had gone through workshops to be able to facilitate the transformational change workshops. Closing the gap in the future is a point of emphasis according to participants. And those trained to facilitate the transformational change workshops believed the workshops could have a profound positive impact on the organization’s workforce. The next interview questions focused on how the transformational change workshops influenced problem solving and reflection.

Transformational change workshops impact on problem-solving and reflection. Not much changed with respect to participant views of how transformation workshops influenced problem solving and reflection processes in the organization. An emerging theme from the second round of interview responses was a slow emerging impact of transformational change on problem solving and reflection:

I think, yeah, we could probably get a little bit more reflective. I mean, personally, I came from the whole command and control environment before, so I had a hard time thinking how it's going to work to give over control to some of these teams and some of the maturity levels I have seen in other cultures, they wouldn't be ready for it. We weren't 100% ready for it here, but I see them maturing and being able to take on that responsibility. (P8)

“Well there is room for improvement, personally I know my process in reflection it hasn't changed for me” (P9).

“I don't think transformational change has affected my problem-solving” (P1).

“It is too early to tell in the transformational change” (P15).

Transformational change workshops seemed to move the needle slightly or maybe not at all, in regard to having some kind of impact on problem-solving and reflection process. Once again this could be due to a lack of cognitively being aware of these concepts, feelings towards problem-solving, reflection processes in the context of transformational change workshops and, having a desire or need for that type of information, as well as the transformational change workshops having no real measuring tool or metrics built in to find out the impact they are having on the people who participate in them.

Transformation change workshops and the organizational culture. When the manufacturing organization implemented the dual bottom-line business model, which was introduced a few years before the transformational change workshops and ROPE teams, one of the goals was to change and impact the culture inside the manufacturing organization. The researcher explored how the organizational culture was changing in the second round of interviews and participants responded with candid answers. The main theme that emerged from the second round of interviews was that the organizational culture was starting to change and move away from the status quo of the old command and control culture. The following answers articulate how participants felt overall how transformational change workshops were impacting and affecting the current culture of the manufacturing organization:

So, the pendulum swung and swung hard, too far, and now it's coming back. So, you want to get homeostasis at the end of the day. So, our CEO was here and he pitched this, maybe four or five years ago. I called him out and said, 'you know it's a ballsy move, and I asked him if he was truly prepared for chaos, because you were going to have it.' So, the pendulum went from command-and-control and it swung right. I have heard things like, 'I think I deserve four breaks today instead of two', and 'I am entitled to that'. It took a lot of saying this statement, 'The dual bottom-line does not mean we drag business down so you don't have to work, and you don't have to drive'. The dual bottom-line is we care about you, your safety, your home life, your wages to give you a good life to make you a happy worker. However, there are still I's that need to be dotted and T's that need to be crossed. (P7)

“The pendulum has swung a little. When it comes to culture and the reason why I smile when you said that is, because I have been trying for the last two years to change the culture in this building” (P1).

“Transformational change workshops, I don't feel like I can answer to that, because I feel like one of the issues is, here they only train the staff and they got to get the rest of us on board too” (P2).

“I think it is starting to change the culture. I can't say it is 100% changed, moving it in a better direction and positive direction” (P6).

“I think in the eleven months that I've been here I have seen, there is definitely a different culture because of it just the checking in and the centering” (P11).

Participants feel that the transformational change workshops are helping to shift the culture in a more open, collaborative, and self-aware direction. An obstacle that still needs to be overcome according to multiple participants is the mindsets of some employees who seem to be refusing to go along with changes underway. People set in their ways and refusing to change could be an explanation of the turnover and could be a consequence of the cultural impact from a transformational change of this magnitude.

Advice to leadership on the transformational change workshops. When asked what kind of advice they had for leadership in the manufacturing organization about the transformational change workshops moving forward, participants responded very honestly, openly, and candidly. Themes that emerged were empowerment, add more communication, integrate transformational change workshops into ROPE teams, and spread the transformational change workshops. The following replies characterize their responses:

“Live it” (P1).

“Add more communication” (P2).

“Just communicated better” (P3).

“For the management we need to make that a priority to get those workshops out there to those teams. Just follow up” (P8).

“Cultural change still needs to happen at the manufacturing organization to have a more empowered self-directed workforce and I haven't seen it yet” (P10).

“Needs to be deployed at all levels of the organization” (P11).

“Have to figure out how to take it to the next level down” (P14).

“Only if you are willing to open up fully to it. If not, then you will not get anything out of it” (P15).

“Integrate with the ROPE process as part of the structured training” (P16).

Two interesting pieces of advice that came from multiple participants was pushing out the transformational change workshops to more people in the organization and the idea of integrating the transformational change workshops into the ROPE teams. These ideas were noticed by the researcher and explored in the final set of interviews.

Transformational change workshops and the dual bottom-line. Moving forward, the researcher describes the influence of the transformational change workshops on the dual bottom-line process and how perceptions changed from the first set of interviews to the second set of interviews. Specifically, how the transformational change workshops affected fully releasing human possibility in the manufacturing and how the transformational change workshops have impacted achieving stronger financial performance. Themes that arose were uncertainty, hard to measure, but those who took the transformational change workshops believe it does help release

human possibility. The following answers were from participants regarding the effect of transformational change on releasing human possibility:

“Don’t know” (P1).

“Definitely allows them to grow their leadership skills and grow in their decision-making skills, absolutely” (P8).

There were few replies to how transformational change workshops impact releasing human possibility in the manufacturing organization. Participants made the case that there were no metrics or measuring tools to quantifying the impact transformational change workshops may have on various aspects and areas in the organization.

Shifting focus and exploring how participants felt about transformational change impacting the manufacturing organization’s ability to achieve stronger financial performance. Participants’ responses did not change much from the first to second round of interviews with regard to how transformational change workshops impacted the bottom-line. Again, participants made the case that there were no metrics or measuring tools to quantifying the impact transformational change workshops may have on various aspects and areas in the organization. The participants’ replies to transformational change affecting releasing human possibility and the bottom-line, once again from the first set of interviews to the second set of interviews painted the picture that they were both still in the infancy stages, and a measurement and metric system would be helpful in providing a more accurate assessment of impact. With that being said, participants came to a consensus that the transformational change workshops had a greater impact on fully releasing human possibility compared to financial performance.

Participants’ observable changes. Intertwined amongst the questions in the second set of interviews, a new question was added based of emerging themes from the first set of

interviews. Interviewees were asked: What is the biggest change in the business you have seen over the last six to twelve months? Themes that emerged were environmental and cultural shifts, increased turnover, improved morale, re-set of philosophy, and improved production and processes. The following responses are a representative sample of some insights and changes that participants saw over the last six to twelve months:

“Environment has changed and we have kind of shed the doom and gloom environment that we have had for quite some time here” (P1).

“More of a positive attitude amongst some... Still a little too much turnover...” (P2).

“I feel like the morale is getting a little bit better” (P3).

“On Time Delivery has changed in a positive way” (P15).

“Negative change I have seen is disgruntledness amongst the managers” (P7).

“Our metrics we are getting, and we are exceeding our profitability budget with less sales than we had in the past, making our customers happy, and customer satisfaction is a huge thing” (P8).

“Definitely more engagement and accountability and ability to self-manage at all levels of organization, and I think that's due to ROPE” (P11).

“Change of the plant manager and philosophies” (P9).

“Big thing is it seems like they are trying to involve more at the rope teams” (P13).

“ROPE has become widely established. It's no longer kind of an experiment” (P14).

“I'm going to say management involvement and interest and support. That has greatly changed” (P24).

“Working on new products” (P25).

In reading and hearing answers to what the biggest change in the organization participants have seen over the last six to twelve months, the researcher sensed things were moving in a positive direction in the areas of culture, business, and profit. It was still early in the process, but ROPE teams and transformational change were helping to achieve the dual bottom-line business model.

Summary of transformational change workshop responses and themes. Looking back on the previous responses in regards to transformational change workshops and the themes that emerged from the first interviews were: unknown, abstract, lack of understanding and appreciation, powerful, and lack of access. These themes have evolved slightly in the second interview responses: with slightly more people having been involved in transformational change workshops, transformational change workshops were still a somewhat unknown, and knowledge gap between those who had participated and not participated in transformational change workshops was way bigger than for Rope teams. But there was movement in the areas of understanding and appreciating of transformational change workshops, and still having a powerful impact on those that participate in them. Actual access to people knowing and being able to take transformational change workshops has improved as the manufacturing organization encouraged some people to become facilitators of transformational change workshops. With more people being involved and able to participate in transformational change workshops, this has started to dislodge the transformational change workshops from the managerial and leadership levels of the manufacturing organization. This allowed for the spread of access to transformational change workshop to be pushed further down inside the manufacturing organization. It was good to see how feelings changed in a positive direction towards transformational change workshops. Similarly, a plan has been developed and implemented to

get more people exposed to the workshops. It will be interesting to see the growth and acceptance of transformational change workshops in the third and final set of interviews.

Overall summary of second round of interview findings. In summary, the second set of interviewees indicated that the impacts of the transformational change workshops were starting to become a little more understood and widespread throughout the manufacturing organization, with employees being trained as facilitators to better spread the transformational change workshops throughout the manufacturing organization. Still a measurement and metric system was wanted and needed to provide a picture of the level of impact transformational change workshops are having on the dual bottom-line. Understanding and belief in transformational change workshops had become more galvanized, but they were still perceived to a greater impact on fully releasing human possibility than on financial performance. In the second interviews ROPE teams were perceived to have an increased positive impact on communication, problem solving, and empowering employees. ROPE teams were also believed to bolster analytics and metrics of measuring the ROPE teams progress and process.

ROPE teams have become more refined, practiced, and believed in. Participants now know what a successful ROPE team looks like and how they should be driven forward. Finally, people's minds shifted in a more positive direction, and the manufacturing organization had better establish and figure out what kind of people they needed to make ROPE teams operate more effectively. This concludes the themes and data that emerged from the second set of interviews, along with comparisons from answers from the first interviews. The next section reports on the third and final set of interviews and discusses the changes and new information that emerged from the third round of interviewing along with a summation of how the transformation change initiative morphed over the period of the case study.

The Third Round of Interviews - Organizational Change Takes Time

Demographics. Twenty-three interviewees participated in the third and final set of interviews with one participant dropping out of the study due to leaving the company. There were fourteen (14) male participants and nine (9) female participants in the third round of interviews. All three people who dropped out of the study were males who left the organization. During this third set of interviews there were a total of six ROPE teams with emerging ones still in the process. On average there were still about six to eleven people on a specific ROPE team. Some participants either switched positions or moved into more expansive roles, with the same titles and roles from the second set of interviews like, Ops manager for the other manufacturing plant, mentor/leader for all ROPE teams, mentor/leadership for the warehouse team, and mentor for the processing ROPE team. Other participants for this third interview still played a part in training, launching, informing, coaching, and mentoring ROPE teams on a global level. The time span of participants actually being present and/or involved on a ROPE team in any fashion for the third set of interviews, spanned from one year to about three years. This changed significantly due to participants changing answers about how long they had been on or involved in the ROPE teams and processes. Participant tenure at the organization ranged from about a year and a half to forty-one years.

To give a better sense of how much of the work revolved around rope teams, a new question that was added to the third interviews that asked participants about the percentage of their workday/workload that involved ROPE teams. Answers varied from 10% - 80% of their workday/workload. About 44% (10 of the interviewees) reported only 10% of their work involved ROPE teams, three participants reported about 50% of the work involved ROPE teams, and the ten other participants reported varying degrees of involvement with ROPE teams during

the workday/workload. In general, the average for all interviewees was about 23% of their workday/workload involved ROPE Teams.

Mindset and body language. The tone of the third and final set interviews had even less variance than the first and second set of the interviews. More than three-quarters of the interviews had upbeat, optimistic, and energetic tones to them. The researcher felt that the needle had been moved significantly from the uncertainty and tension expressed during the first set of interview responses, to the feelings that the transformational change was still a work in progress with the jury still out in the second interviews, to people seeing and feeling the makings of a new culture with engaged optimism in the third round of interviews. In responding about their mindset coming to work, interviewees talking about being happy, energetic, and comfortable while answering questions and seemed to have more overall positive energy. Participants' body language and answers to the query about their mindset coming into work in the larger context of the organization can be summarized as confident, acclimatized, energized, and composed.

In response to the first question about mindset asked across all three interviews, participants were upbeat and optimistic. More than three-quarters of the participants for this third set of interviews gave responses about coming to work with a positive mindset. The following are some examples:

“Varies, very seldom do I walk through the door every day with the same mindset” (P1).

“Actually, good, pretty positive. I don't dread it and I have been there” (P2).

“Excited, company is doing well” (P8).

“I'm happy I love working here” (P10).

“I come in, I like what we do, I like the team we have” (P15).

“Fresh and ready to go” (P16).

“Hopeful is the right word for it” (P21).

Over the course of this case study there was notable shift in a positive direction both in the responses and in the energy and attitudes displayed during interviews. The transformational change appeared headed in the right direction.

ROPE teams. Participants’ replies to queries about the purpose of the ROPE teams during the third interviews were very similar compared to the first and second interviews. The purpose of ROPE teams was described with words like: cross-functional, problem-solving, removes obstacles, gets everybody to work together towards achieving the common goals, engagement, and exposure to many facets of the business. The positive evolution occurred in participants’ feelings about ROPE teams, values, process, and outcomes. Over three-quarters of the participants reported either having positive feelings or witnessing positive reactions from peers or observing positive outcomes of ROPE team problem-solving. Themes that arose out of answers to this question were increased value, stronger belief, better understanding, and they felt like ROPE teams were here to stay and not a fad. The following quotes give a well-rounded sample of participants’ expressed feelings and observations:

“My peers actually see the value of it” (P1).

“I think most people are drinking the Kool-Aid” (P2).

“...on the whole there is a lot of people that are coming around to it” (P8).

“I think we are all aligned in their importance, and I think we’re all aligned knowing where the gaps are, and what the obstacles are that need to be eliminated” (P10).

“What I hear is probably 95% positive” (P14).

“First time, that I've said about something we have started here, that we are actually sticking with it” (P24).

Compared to the answers from the first interviews, the responses in the third round of interviews were far more positive. An example of this change is evident in participant's (P2) reply from the first set of interviews, “Nothing and that's my answer you're not going to get any positives out of me on ROPE because I don't think that there are people that should be a part of it. I'm one of them.” The same participant's (P2) response from the third set of interviews, “I think most people are drinking the Kool-Aid. I go back-and-forth. I do enjoy my team, but I'm not necessarily sold on the fact that it is solving world peace.”

While not a total convert, this participant started off with a disdain for ROPE teams and over the course of the study came around to admitting he enjoyed working with his team. Next, the researcher explored how participants viewed the ROPE experience through the lens of improvement, that is how working on a ROPE team improved participant value to the organization and what kind of contributions participants made to organizational improvements while being on a ROPE team.

ROPE teams' impact on value. One of the new exploratory questions and an area the researcher wanted to learn more about was how interviewees thought their participation on ROPE teams had improved their value to the manufacturing organization. Themes that emerged were better knowledge of and engagement in the overall business, improved communication and authenticity, and helps employees grow in a positive way. Answers to the query were diverse and intriguing, as indicated below:

“More engaged in the business” (P1)

“Makes better employees.” (P2).

“I don't know. I don't have an answer for that one” (P6).

“More knowledge I have overall about the business makes me able to make better decisions in my silo of the business” (P7).

“Sharing of authentic ideas and gives people a voice” (P8).

“Open communication, no one has any surprises to them. Everyone is fully understanding of why somebody maybe perceiving something of someone else, so that is been a great success from that standpoint for value it brings” (P17).

There were very few participants that felt like they could not answer the question and the researcher was hard pressed to find a participant that did not think the ROPE teams and processes in some way improved their value to the manufacturing organization. These third-round of answers spoke volumes to the researcher. The growth and acceptance of ROPE teams was impressive to see and hear about. Staying in the same spirit of improved value, the researcher asked participants to tell a story about an important contribution they had made while working on a ROPE team.

The descriptions provided were surprisingly repetitive. The following phrases and descriptors were used multiple times from participants when describing contributions, they made on a ROPE team: culture, came up with better practices, leadership, coaching, improving quality, improving and streamlining, communication, people operations and function. Responses were very team-oriented and delivered to the researcher with conviction and positive energy. Hearing participants described how ROPE teams improved employees' value to the organization, provided a clear positive picture of the self-direction ROPE teams had created in people and the important role ROPE teams played in transforming the organization.

What it takes to be a productive ROPE team member. Another new question added to the third interviews was aimed at finding out what it takes to be a successful and productive ROPE team member. The researcher asked what mindset, skills and abilities do you need to be successful on a ROPE team? The researcher was trying to explore what qualities and skills individuals needed to thrive and make an impact on a ROPE team. Participants described and laid out the following descriptors and attributes one would need to be a dynamic and productive ROPE team member, which resulted the following themes: strong belief in the ROPE process, consistency, open mindedness, team driven mentality, positive attitude, dynamic listening skills, selflessness, internal confidence, coachability, and be accountable while holding others accountable. These are just some necessary qualities and skills highlighted by interviewees. The interview answers were specific, detailed, and showed the researcher how the participants' doubtful perceptions of ROPE teams had changed since the researcher interned at the manufacturing organization. By the third round of interviews, participants offered positive stories about the value of ROPE teams and were able to identify what kinds of qualities and skills ROPE team members needed to work effectively on self-managed and cross-functional problem-solving teams. The following responses represent some attributes participants felt an individual would need to be a successful ROPE team member:

“Consistency, sustainability, and drive” (P1).

“Drink the Kool-Aid” (P2).

“Open mind set” (P6).

“Willing to be a team member” (P3).

“Positive attitude” (P5).

“Good listener” (P7).

“Check your ego” (P14).

“Willingness to except others opinion. Willingness to share your own opinion” (P8).

The problems worked on by ROPE teams. Another new component added to the third interview were finding out from participants something about the origin of the problems that ROPE teams tackled, and how ROPE teams were evolved, that is how they were configured, re-configured, and dispersed. Based on consensus, components from all of the participants responses to this question, problems that ROPE teams tackle can come from anyone. They have a counter measure sheet, which has solutions and actions taken to counteract problems or issues, and anyone can put something on the counter measure sheet or ROPE boards. So, it's something as easy as someone saying this is something we need to work on. Having a platform like a ROPE team allowed everyone a voice and interviewees felt comfortable enough to put ideas or suggestions forward without fear of being shot down. If a member of the ROPE team saw a problem and knew the solution, they were empowered to fix it, and ROPE created that platform to tell how they did it and celebrated it. ROPE teams are constantly evolving, anyone can come up with a problem, those problems get analyzed by ROPE teams in real time and put on the counter measures sheets that were a part of the ROPE boards. Problems are defined and the size, scale, and scope of the problem is determined by the team, followed by a discussion of resources needed to solve the problem. People on the ROPE teams were given the autonomy to solve the problems immediately and given the resources to solve the problems relatively free of roadblocks.

The evolution of ROPE teams was dynamic and fluid. A team may bring someone on board they feel is needed to solve a problem or operate effectively. Similarly, ROPE teams may subtract someone if they are not needed to help solve problems or operate efficiently.

Sometimes, ROPE teams even collaborated with other ROPE teams and solved a problem or fulfill a need for a particular expertise. They again solved something in real time immediately, without needing permission to do so, which then led them to tell the story through the ROPE boards, meetings, and walks throughout the manufacturing plant. Multiple participants spoke of ROPE teams having the desire to achieve autonomy, mastery, and give people purpose and drive.

ROPE boards and metrics. With a clear sense of how ROPE teams solved problems and evolved, the researcher decided to add another new inquiry to the third interviews, specifically on the ROPE boards and metrics themselves. The researcher asked participants how ROPE teams have impacted the ROPE boards and metrics that were broken down by safety, people, quality, delivery, and cost (SPQDC). Themes that were produced were positive impact, measure production, and helps people see exactly what is happening in the organization in real-time. The following quotes from participants sum up the majority of responses to this topic:

It positively impacts because when ROPE teams come together, the meeting is predicated upon SPQDC. So, when everyone meets, the first thing we talk about is safety and we look at data. We plot things on charts. We talk about why something happened, but why something didn't happen. (P1)

“I think the ROPE teams have made the SPQDC an upward trend in almost all areas. I'm not being micromanaged by supervisors anymore. The whole team is looking at it, talking about it, challenging it” (P2).

So, I think they are able to physically see in each department, they all have the SPQDC board and they are able to physically see what is going on. So, it's a lot of exposure and it's not like you have to ask to see these things. (P20)

The replies from participants on the impact ROPE teams had on SPQDC was extremely positive with upward trends being overwhelmingly reported for all of the areas within SPQDC. It was made clear to the researcher through their responses that the ROPE boards were SPQDC, and vice versa, acting as the metrics and measuring tool of how effective ROPE teams are in major, specified areas of concern for the manufacturing organization. How ROPE teams have impacted the dual bottom-line approach and how that has evolved over this year-long study is discussed next.

ROPE teams and the dual bottom-line. Returning to the question of how ROPE teams have helped the manufacturing organization achieve the dual bottom-line business model, during the third round of interviews, the researcher discovered that the impact was seen and felt by participants as prevalent and increased in both aspects.

Fully releasing human possibility. Themes that arose from participants concerning ROPE impacting release of human possibility were improved collaboration, overall exposure to the business, open mindedness, accountability, and self-awareness. The ensuing participant answers described how ROPE teams impacted fully releasing human possibility inside the manufacturing organization:

“The involvement of more people, the exposure to what truly goes on, they get to see that. They have learned more processes of how we do things outside of their particular roles, being a cell operator” (P9).

“I have seen people like not being so silent... and really kind of getting involved where they need to get involved” (P10).

Well I think if we start with ROPE teams, I think of the concept of self-management itself and autonomy for people to be able to make decisions and be involved in the

improvement of the area. I think it will increase engagement and participation, and well-being and motivation of people. (P11)

I think that people who believe in the process are taking chances on things. I will say let's do it and will see how it turns out. They have seen that we have given positive feedback and things have gone right, and we work with them in a positive way on the things that have gone wrong, but we haven't taken the decision process away from them. (P15)

I think it has definitely helped. The ROPE team is much more the kind of spearhead of how the transformational change will be sustained, and it will be used for teams to become more self-aware and know how to react to situations, rather than situations controlling them. (P16)

“I think so because once again there's no close mindedness, there is no wrong suggestion, every suggestion is looked at. Now, like I said we may come up with something different, everybody gets a voice absolutely, yes” (P18).

The pure number of responses doubled since the first set of interviews of ROPE teams affecting and impacting the full release of human possibility inside the manufacturing organization. The replies were positive and indicated that participants were starting to see and perceive the ROPE teams impacting the manufacturing organizations ability to fully release human possibility.

ROPE teams and financial bottom-line. Turning the focus to how ROPE teams have impacted the second half of the dual bottom-line business model, the responses were overwhelmingly positive and exuded confidence that ROPE teams seriously impact the manufacturing organization's bottom-line. Themes produced were improved performance,

problem solving, and overall financial performance. The following answers indicate how participants felt regarding the ability of ROPE teams to positively impact the financial bottom-line:

“I would say positive impact and OTD is very good” (P3).

“Solved a lot of problems, especially in the scrap portion of it. And, also On Time Delivery has been up in the past year or year and a half” (P9).

“Yes, absolutely with ROPE I do. I see us having really good financial performance throughout this whole year” (P10).

“Save money, reducing scrap, and not getting maintenance every time, something happens to the equipment. There is stuff we can do without getting maintenance involved. Solving problems more efficiently, yes” (P25).

Over three-quarters of the participants agreed ROPE teams had a positive impact on achieving stronger financial performance and out of those responses some credited ROPE teams for elevating the manufacturing organizations bottom-line. Wrapping up the third and final interview questions regarding ROPE teams, the researcher focuses next on participants’ advice to leadership for developing and driving ROPE teams into the future.

Advice to leadership on driving ROPE teams into the future. The researcher asked participants, two questions: How can the manufacturing organization ‘enhance’ the value of the using ROPE teams? and What advice/suggestions do you have for leadership on the ROPE teams? Themes that arose from these answers were that leadership needs to listen to feedback, maintain the team cadence, be on the same page across shifts, leadership, and management, and finally make transformational change apart of ROPE teams. The following responses

characterized the advice participants gave regarding the development of ROPE teams during the third interviews:

“Make sure that the cadence is there. Get more people involved, make sure the cadences are there, and sustain it” (P1).

“Need management on the same page when it comes to expectations that are on the ROPE teams” (P3).

Get all three shifts in the manufacturing organization involved on the ROPE teams, and we actually start rotating our ROPE walks Monday mornings and Monday afternoons, and touch base on all shifts. It makes it feel like they are a part of the team when you are involving them in the change. (P5)

“I think the rope teams need to go through the transformational change workshops as a group.” (P10).

“Transformational change workshops being a part of the ROPE on-boarding process for new employees or new team members, and it has to be like a core training” (P16).

“Patience and ROPE is a journey so it takes time to get there” (P17).

“Stay open minded” (P18).

“Version of transformational change before ROPE teams” (P20).

A couple of interesting concepts appeared in this round of interviewing that also appeared in the second-round interviews. The need for an on-boarding process to be developed for ROPE teams, and ROPE teams need to be coupled with transformational change workshops was backed and rationalized by participants. There is no formal process for on-boarding people to ROPE teams and people on ROPE teams saw the need for those teams to all go through transformational change workshops together.

ROPE team summary of responses - A change in the right direction. Looking back on the previous two sets of answers and themes involving ROPE team's progression and impact, the upward positive trend continued in the third set of interview responses. Starting from themes in the first set of responses on ROPE teams influence were: questioning, lack of belief and understanding, annoyed, works in theory, and the jury is still out. The themes that emerged from the second interviews were: open, part of the core of what they do, receptive, driving communication and improvements, closed gap of understanding and believing in ROPE teams, and comfortable with ROPE teams. During the third round of interviews, ROPE teams were described with phrases like: open to it, a way of life now, impacting overall improvement in the manufacturing organization, dynamic, fluid, and people officially drinking the ROPE "Kool-Aid" effectively creating buy-in.

At the time of the third round of interviews, ROPE teams had become an integral part of the manufacturing organization's foundational operations and culture. The researcher credited this change to time, getting the right people in the correct roles, and the manufacturing organization fully supporting the development and implementation of ROPE teams. Another reason for ROPE teams' positive evolution and influence over the period of this study is due to a sort of behavioral adjustment, with people involved in ROPE teams having to figure out and getting used to how to think, feel, act, and respond when participating on ROPE teams. Next, the researcher will determine if transformational change workshops can make an evolutionary jump like ROPE teams did in the third and final interview responses.

Transformational change workshops. The researcher started the discussion of the transformation change workshops by asking, "What does transformational change mean to you in the context of the manufacturing organization?" Themes that occurred were fluid process,

constantly changing, improving processes, developing self-awareness, servant leadership, and gaining a different and broader perspective. Participants responded with the following perceptions of what they felt transformational change meant in the larger context of the business:

“It’s a process and we are changing our methods. It is about the person and transforming yourself” (P1).

“Finding better ways to work smarter with others” (P2).

“Self-Awareness” (P3).

“New way of looking at things and kind of opened a path for me to kind of work with the people in a different capacity” (P6).

“Really critical to allow us to work how we should be working, to understand how we work as individuals, and how we work his teams” (P10).

“Servant Leadership” (P7)

“Understand how other people are and look at different perspectives” (P13).

“I think it's about enabling people to work and developing within us, each of us, the ability to appreciate unique way in which we all think and engage and process” (P14).

“It takes you from a pure black and white thinking too a full conditioning thinking” (P21).

The participants’ replies to what transformational change means in the larger context of the organization can be summed up as self-awareness, serving others, and collaboration. All the answers above dealt with and described what it took for a team to become a cohesive unit. It is about knowing who one is and how that plays into the group dynamics, which helped the team build synergy and comradery. This can help people become effective team members, be productive, and help the organization solve problems. It is safe to say, that the examples of responses indicated that participants have a dynamic view of what transformational change

means, which led to the researcher exploring how participants perceive the purpose of the transformational change initiative and what the company aims to get out of it.

Purpose of the transformational change workshops. When asked about the purpose of offering transformational change workshops and what they thought the manufacturing organization was trying to accomplish, the themes of team development, self-awareness, and promotes the dual bottom-line business model and vision. Participants offered the following thoughts on what the businesses intent behind the transformational change workshops was:

“Promote a team environment and getting everyone to work together... It is really designed to get the organization to understand that we are all different and we have different personalities, but we still have a common goal” (P1).

“Trying to promote along the dual bottom-line to show the importance of the employees as well as the customers, but I think they miss on anyone that is not staff” (P2).

“Trying to have people thinking on a different level. Step outside the box. Change maybe how we are thinking and operating” (P3).

“Give people purpose I believe at the end of the day and it goes to the whole dual bottom-line philosophy that personal development is just as important as professional development” (P8).

“Release the human potential and positively impact the bottom-line” (P16).

Participants repetitively noted that transformational change workshops were implemented to promote and support the dual bottom-line business model throughout the organization. Other opinions included helping the people learn more about themselves, work together, release human potential, and improve the bottom-line.

Participant feedback on changes observed. Participants' answers about their feelings toward transformational change and evidence of a changes observed were telling and revealing. Participants told stories of acceptance, embracing the journey and change. About three-quarters of the interviewees discussed peers having positive feelings and growth; however, about a quarter of interviewees were still skeptical about the value of the transformational changes underway in the manufacturing organization. Some examples of responses to the inquiry about the acceptance or resistance of organization's transformational change efforts included:

I hear rumblings out on the floor that indicate people have not embraced it yet, they haven't been through it, some of the scary concepts in there is getting in touch with feelings and understanding things and people are just not comfortable with that. (P8)

“I think the more you understand it the less resistance there is” (P10).

“No pushback, and I think now that our location, when you look at both facilities, they have a pretty significant number of transformational change facilitators now available to continue the process” (P15).

For this specific location of the organization featured in this study, the transformational change workshops did not have the same exposure nor was it as widely known as ROPE teams, but with time and more employees becoming facilitators, the ideas associated with transformational change will slowly diffuse throughout this specific location. ROPE teams were a business tool used to manage the manufacturing processes at the lowest possible level where employees knew the most about the issues. Transformational change workshops were focused on self-awareness and the resultant behaviors of how an individual manages themselves and interacts with others. Having both the transformational change workshops and ROPE teams was an impactful and powerful way for employees to learn how to self-manage in the workplace.

These observations and findings from this study pertain only to the specific site that the study was conducted in.

Compared to the first round of interviews where only some participants had been exposed to the transformational change workshops and the concepts associated with transformational change, there was evidence that by the third round of interviews more people had some understanding of what transformational change meant and how it may be changing how the organization operated. From the first to the third set of interviews twelve people total had participated in a transformational change workshop. This fluctuated down to eleven people in the second set of interviews, but went back up to twelve participants for the third interviews, due to a participant leaving the organization after the first interviews, and another participant having taken the transformational change workshop for the first time before the third round of interviews. Some interviewees had received training to become workshop facilitators and were able to train other employees on transformational change. Accepting and buying into the transformational change workshops was one thing, but where was the actual evidence of change?

By the third round of interviews, participants reported seeing evidence of a transformational change inside the manufacturing organization. Respondents reported both signs of personal and organizational change in the manufacturing organization. Themes that arose were: developed team comradery, synergy, performance, and emotional awareness and regulation. The following replies are examples of the themes and specific changes that participants observed over the course of the case study:

I would say yes, it seems like you get along more with your supervisors and management, seems like we are a little more on the same page with bosses, cohesion yes and I guess that I'm a leader now that I'm in the rope team. I see my guys associate a lot more with

people in the office. I have noticed they have been hiring off the floor in the supervisor positions. (P5)

Results speak for themselves and we have transformed that way. So, I think that the team learned to be more dynamic together even though some members have changed in and out, the overall team dynamic is still a dynamic team, in that we all are striving for the same purpose and you could just see it in our financial results and the way the company is performing. It has made a change. (P8)

“Look at personnel differently, helps checking ego, emotional regulation, maturity, production, and healthy dialogue” (P13).

The participants witnessed changes to production over the course of the study that positively impacted the bottom-line and credited transformational change with having a hand in that change. The participants also reported seeing advances in leadership development, awareness, and empathy. It was great to hear that change also came from a personal level, as well as helping with self-awareness, self-reflection, and overall maturity.

The impact of participating in a transformational change workshop. A sub-group of interviewees that had participated in one or more transformational workshops was asked about what they learned by going through a transformational change workshop and what was the most eye-opening part of it. Participants’ responses were deep and introspective with themes of change like: improved self-awareness, ability to check my ego, able to listen and learn better in a group, understand my leadership shadow and ALP (Actualized Leadership Profile). Themes that were produced from participants were developed awareness, mindfulness, trust, and developed pride and ownership. Here are some direct accounts that give the previous themes validation:

Mindfulness, helps me recognize shadows, and helped me with my ability to manage up... So, I realize how much of who I am is affected by things I have experienced and currently experienced, and how that has affected who I am and how I behave at work and how I behave in situations outside of work. Understanding that and understanding things that are situations that I avoid and how that's kind of shaped who I am. (P10)

“Learning a lot about your personality and how your personality interacts with other people’s personalities, and how that together forms the team dynamic... Putting yourself in somebody else's position and understanding where they are coming from” (P8).

Respecting how people process differently and that was huge because then that kind of set the stage for everything else we were doing like ROPE teams, and some of the continuous improvement projects, and it enables you to view all your colleagues around the company in a much more positive way. (P14)

“Recognizing my shadows and allowing me to take a step back and others to communicate to grow. Trusting others” (P17).

“Dig deep into my soul, so I feel like you did make a big difference in me in my life” (P20).

The researcher saw and heard that the transformational change workshops really impacted participants’ self-awareness and empathy and was prompted to follow up by asking participants specifically how they had changed and did they see the change as transformational?

For the most part, interviewees were unequivocal about positive changes that had occurred. There were only a few workshop participants that felt they had not changed. Even the participants that didn’t take the transformational change workshops felt they had changed in transformational ways. The following descriptors and phrases best represent how participants

made a transformational change: more self-aware, communicate better, keep emotions in check, big change overall, embrace a lot of the concepts, understand triggers, ALP has shifted for me to be successful in my role, changed the way I interact with people, stress management is much better, and the trust is there. With three-quarters of the workshop participants reporting having actually changed and that the change was transformational, spoke volumes about the impact of the transformational change workshops. The transformational change workshops really seem to help people become more self-aware. They seem to understand how self-awareness helped them more effectively relate to and communicate with people around them interpersonally and on teams.

Transformational change workshops and ROPE boards. The ROPE boards were the metrics used to measure success and movement in key areas of the business, which are safety, people, quality, delivery, and cost (SPQDC). Themes that were produced were a belief that transformational change workshops do impact SPQDC, but still there was no formal measurement or inquiry to help quantify this belief. The following replies from participants sum up the level of impact transformational change workshops had on SPQDC:

I would say, the jury is still out, because we still have not found a way to really draw lines from transformational leadership to SPQDC, but even though we haven't drawn a line to it I would think that we would have gotten a lot healthier with SPQDC based on just the fact that morale was up and people are engaged. (P1)

Since upper management has been the only ones [to] really [go] through transformational change workshops, I don't know there's been a big impact for that particular SPQDC boards stuff. I think once we start getting the ROPE teams involved and that's my plan

going forward, everybody else wants to travel and go to other companies and do this.

(P6)

“I think it's a three-way thing. Transformational change leads to better relationships, leads to higher affective ROPE teams, that can work together better to accomplish their goals with SPQDC, but it is still a work in progress” (P10).

The majority of participants felt that transformational change workshops had the potential to impact SPQDC, but assessing that impact was still a work in progress. At the time of the third round of interviews, there was still no way to measure how transformational change workshops influenced changes in SPQDC. The transformational change workshops had a positive impact on the communication abilities of the managers and leadership who completed the workshop. Expanding on transformational change workshops' impact, the researcher turned to participants' perceptions on how they use skills and knowledge they learn in the transformational change workshops on the ROPE teams.

Using transformational change workshop knowledge and skills on ROPE teams. The researcher posed the question to participants about how they had been using what they learned in transformational change workshops on their ROPE teams. Themes that emerged were improved self-awareness, improved communication, and improved collaboration with others. Participants saw that improved self-awareness led to more effective communication, which in turn led to more effective collaboration or collaborative problem-solving. The following descriptors and phrases were taken directly from participants' responses to the question that support the previous themes: mentor, learning things about myself in regards to communication, active listener, understanding where everyone is coming from, more aware whenever I am in a group of people, being transparent, help find my voice, and help me hear others' voice. The answers and themes

that emerged from how transformational change is being used in ROPE teams, were very much the same from how participants responded to the questions on how transformational change workshops has impacted SPQDC, and how has transformational change workshops impacted participants.

The transformational change workshops and dual bottom-line. How have transformational change workshops helped the manufacturing organization more fully release human possibility and/or achieve stronger financial performance? This question was constant through all three interviews and responses did not vary much over the course of the study. Participants believed in the potential for transformational change to positively impact the manufacturing organizations to fully release human possibility and achieve stronger financial performance, but it was challenging for the majority of participants to pinpoint exactly what the positive impact was. This lack of certainty about the influence of the transformation change workshops might be due to the lack of definition and metrics to definitively measure impact on SPQDC. Additionally, participants felt that transformational change needed to be diffused more widely in the manufacturing organization and there needed to be clearer lines drawn to how it was impacting the release of human possibility and increasing the bottom-line.

Summary of transformational change workshop responses and themes. Looking back on the previous two responses in regards to transformational change workshops and the themes that evolved from the first interviews were: unknown, abstract, lack of understanding and appreciation, powerful, and lack of access. The themes that emerged from the second set of interview answers changed slightly, with a few more people having been involved in transformational change workshops. They were: transformational change workshops being still very much unknown, knowledge gaps between transformational change workshops still present

and larger than ROPE teams, slight movement in understanding and appreciating transformational change workshops, still having a powerful impact on those that participate in them, improved access to taking transformational change workshops. The third interviews responses continued in an upward positive trend. They were: summed up as self-awareness, serving others, collaboration, helping the people learn more about themselves, work together, release human potential, and improve the bottom-line, advancing leadership, awareness, and empathy, have the potential to impact SPQDC, assessing that impact is still a work in progress.

Overall summary of third round of interview findings. The answers from the third interviews were encouraging for ROPE teams and transformational change workshops. ROPE teams have become established and a part of the manufacturing organizations way of life. Transformational change workshops were still behind ROPE teams in level of growth, acceptance, and evolution, but the plan of having individuals qualified to become trainers and coaches to spread access and knowledge of the transformational change workshops was underway and moving in a positive direction. The researcher gathered from the third set of interviews that with both ROPE teams and transformational change workshops, they truly had an impact on growing the manufacturing organizations people and impacting the bottom-line in a positive way. Transformational change still needs a measurement system designed and implemented to capturing how it was impacting the organization and where.

In closing chapter four, the researcher featured the advice that participants had regarding how the manufacturing organization can “enhance” the value of the transformational change initiative, and suggestions for leadership about how to push transformational change workshops forward to more employees. The following advice was gathered directly from participants’ responses on how to overall improve the impact of the transformational change workshops:

“Push out and down to the rest, stop talking about it and make it happen” (P20).

“I don't think it should be one and done. I think we should get people going back, refreshers. Breaking down transformational change workshop and raise frequency and get the cadence down” (P6).

“Bracket down, and need to be watered down” (P7).

“I think it's all about and how we communicate it, we have to make sure people aren't afraid of it, and that they understand it and why we are doing it” (P8).

“I think the rope teams need to go through transformational change workshops as a group” (P10).

Deploy it and disseminate it throughout the organization at all levels, use it in ROPE teams, use it in any kind of natural teams that we have, or form teams that we have to improve them in the dynamic of them and continue to use them. (P11)

“Transformational change workshops as a part of the ROPE on-boarding process for new employees or new team members, it has to be like a core training” (P16).

Themes that emerged from these replies, that traverse over all three interview responses to this question, was transformational change should be diffused more thoroughly throughout the entire company. Transformational change workshops also needed to be integrated into ROPE teams and be a part of the on-boarding process. Lastly, the improvement of how transformational change was communicated to employees was critical for participants, which decreased the fear and misunderstanding of transformational change workshops and their purpose. With all the themes and data from this chapter, this year long ethnographic study illustrates an organizational transformational change in process that began with doubt and skepticism and has shifted to a belief and re-defined process, that have started to shift the culture.

Whelan-Berry et al. (2003) state that change can happen rapidly and effectively when resources are focused on the totality of the change processes, including external, internal, groups, and individual levels. It is worthwhile to rethink how to approach change and how to allocate resources in the implementation of organizational change (Whelan-Berry et al., 2003). At the end of the year observed, the manufacturing organization successfully redefined their approach to change, properly allocated resources to achieve change, and seem poised to diffuse the cultural shift throughout the entire organization and continue to drive it into the future.

Chapter V

Discussion, Conclusions and Recommendations

Introduction

This case study examined the transformational change journey of a manufacturing organization attempting to accomplish a dual bottom-line business model that valued not only improving the bottom-line, but fully releasing human possibility of those employed by the organization. The tools used to drive this transformational change were ROPE teams (a version of self-managing work teams) and Transformational Change Workshops (a leadership and personal development program). Through trials and tribulations, the transformational change journey has helped employees of the manufacturing organization become more self-aware, communicative, collaborative, proficient, and the organization to be more profitable. A summary of the findings is provided and followed by a discussion of how these findings are related to the research literature on teams and transformational change. Conclusions are highlighted and the limitations of the study are acknowledged. Finally, implications for organizational policy and practice are noted, as well as recommendations for future research.

Summary of Findings

The interviewees seemed honest, open, and candid throughout the case study period. The three interviews explored four areas at each point in time: the mindset of participants coming into work; the impact of ROPE teams; the impact of transformational change workshops, and how both ROPE teams and transformational change workshops affected the dual bottom-line business model in the manufacturing organization. It was apparent that residual effects of a top-down, hierarchical, command and controlled structure continued to have some influence among employees as they attempted to adapt to the new culture being introduced. Employees needed to

be able to develop and have access to new behavioral knowledge and be able to build different thought schemas in order to grow into the manufacturing organization's dual bottom-line business model. The participants in this case study seemed willing to take on new learning and behavioral processes, even though the outcome was not explicitly clear at the onset. The findings related to each of the four areas explored in the interviews are summarized next.

Findings related to the research questions, starting with, what do employees of the manufacturing organization think about the transformational process, will be discussed. By the end of this study, employees saw a transformational change underway, felt the culture shifting, started to believe in the process, and had adapted their mindset and expectations to effectively adapt to the transformational change journey.

Moving to the second research question about how the employees of the manufacturing organization are reacting to and using what they learn from the transformational change workshops, the researcher delved into these results. Those who had taken a transformational change workshop had profound internal and self-actualizing reactions to it, with internal development of attributes, such as self-awareness, empathy, and leadership. Employees described utilizing these attributes to help bolster communication, leadership, team development, and problem-solving skills.

The third research question dealt with how ROPE teams are affecting people and business outcomes. As participants grew more comfortable and mastered ROPE teams, the more they could trace and show through metrics of how ROPE teams had a direct positive impact on the bottom-line. The ROPE teams also helped improve business acumen and exposure to the inner workings of the overall business, that helped fully release human possibility in the manufacturing organization. ROPE teams' impact on fully releasing human possibility was

harder to demonstrate, due to not having metrics, or a measuring tool, unlike ROPE boards, which used metrics and SPQDC measurements designed to track performance and output.

Finally, answers to the last research question about what are the consequences of going through a transformational change journey are explained. Consequences experienced by the employees and the manufacturing organization included: turnover, discomfort, skepticism, personal growth and evolution, internal communication development, uncertainty, structural change, and team growth. In the following section, the researcher addresses the findings related to each of the research questions.

Mindset. Over the span of this study, participants' mindsets, moods, and attitudes shifted in a more positive direction, as did the financial performance of the organization. Initially, confusion and skepticism dominated people's interview responses. Three-quarters of the participants had not drunk the "Kool-Aid", as quoted directly multiple times by participants when discussing the ROPE process and transformational change workshops. In the first interviews, all the participants reported feeling overwhelmed and had difficulties prioritizing and managing tasks associated with the changes in organizational structures and processes. Moods varied from dread and confusion with some people not believing in the vision and mission of the company as set by the leadership. Over the course of the yearlong study, people started to believe more and more in the transformational changes that were underway. Moods elevated, belief in a ROPE process strengthened, and transformational change was pushed further into the organization. Participants reported a cultural shift in a positive direction and were genuinely more settled into workdays driven by the ROPE process as they better understood the process and were beginning to see positive results on the bottom-line. Understanding of the transformational change process implementation had also improved. Transformational change

workshops were implemented to ensure participants on the ROPE teams had the appropriate self-awareness and team awareness skills to ensure the ROPE teams were effective. However, at the beginning of the study, this process was not clear to participants.

Impact of ROPE teams and transformational change workshops. ROPE teams accomplished what they were designed for, which was to: Remove Obstacles and Promote Engagement. ROPE teams acted as a vehicle for communication and created cross-functional teams that promoted inclusion and high order problem-solving capabilities. Transformational change workshops focused on the individual and how they relate to others within the organization, which provided participants insights regarding themselves that helped create self-awareness, understanding, and empathy with others. The involvement in ROPE teams continued to grow and expand for participants and resulted in a stronger perceived impact than the transformational change workshops. This was due to more people having access and exposure to ROPE teams than the transformational change workshops. This perceived impact gap may also be the result of the transformational change workshops being a one-time event focused on making participants more aware, while ROPE teams were a new team structure and process that was an ongoing mechanism specifically focused on problem-solving and generating new ideas. The ROPE teams had metrics and actual outcomes that participants could see and understand, whereas, the transformational change workshop results and impacts were ambiguous and the results were not well defined.

In addition, the gap between employees knowing what the transformational change workshops were, and having actually gone through them, persisted but was starting to close. Addressing this transformational change knowledge gap was a point of emphasis in the immediate future for the manufacturing organization's future growth plans for the

transformational change workshops. By the end of the study, multiple transformational change workshop facilitators had been trained and deployed throughout the organization to push and expose more employees to these trainings. The hope was to close the gap between those who had and had not been trained. ROPE teams and transformational change workshops were the processes and interventions that supported individual growth in the pursuit of the dual bottom-line of fully releasing human possibility and assisting in organizational learning.

Impact on the dual bottom-line. Overall, the ROPE teams and transformational change workshops both had impacts on the dual bottom-line of fully releasing human possibility and achieving stronger financial performance. ROPE teams had the larger and more definable impact on both aspects of the dual bottom-line compared to the transformational change workshops. This is in part due to more people being exposed to ROPE teams and the ROPE teams having clearly defined metrics. Interviewees voiced the need for a clearer definition of what fully releasing human possibility means and how it can be measured. Clearer defined lines to achieve change and impact could be drawn in regards to impacting the bottom-line, in comparison to fully releasing human possibility in the manufacturing organization, for both ROPE teams and transformational change workshops.

Discussion of Findings

The challenges and impact of going through a transformational change journey for the manufacturing organization highlighted in this study were diverse, impactful, and transcendent, based on the overall responses in this study. In this section, the previously described findings are discussed in the context of the research described in the literature review. This dissertation study has highlighted the need for the manufacturing organization to constantly evaluate and gain perspective on how the transformational change process is affecting and impacting its

employees. Larson et al. (2012), Kotter (1996), and Collins (2001) argued that doing research on the past, examining past strategies, activities, and performance is a crucial part of fostering collaboration, innovation, change, and creating an effective new organizational vision. Similarly, the past culture in this organization had a big influence on mindset and how fast participants felt they were able to adjust to the transformational change initiative. Further, participants in this study acknowledged past cultural thought schemas and expectations made it difficult to fully embrace and understand the transformational change initiatives and interventions. Establishing trust and platforms for employees to make recommendations was needed based on the feedback the participants provided, and having adjustment issues to the change initiative put forth by the manufacturing organization.

A needed component of any transformational change journey is a sense of urgency, along with further development of stronger personal relationships that are comprised of strong team members, who in turn give employees the confidence they need to grow and evolve the desired transformational change vision and mission (Stanleigh, 2013). This was evident in the uncomfortable and skeptical responses during the duration of the study in various forms where employees yearned for involvement and ownership, in order to feel empowered to foster the desired transformational change. Stanleigh (2013), Blanchard and Bowles (1998), Kotter (1996), and Collins (2001) all echoed the need for a sense of urgency and for people to feel empowered in order for transformational change to take hold and move forward in the least restrictive way. Participants in this study echoed frustration over the lack of communication regarding the transformational change journey they were being asked to take, and not knowing why the change was needed, with many on the ground level of the organization lacking input in the matter.

The transformational change journey that the manufacturing organization initiated to support the dual bottom-line business model involving ROPE teams and transformational change workshops was about organizational evolution and taking the organization to another level of operating and consciousness. Laloux (2014) discussed reinventing organizations and described several types of organizations on the path to transforming into a TEAL level organization. Laloux suggested that this evolutionary process corresponded with Maslow's "self-actualizing" levels of individual development. Self-management essentially replaced the hierarchical pyramid and the organization was seen as a living entity with its own creative potential and evolutionary purpose. This involved distributed leadership with inner rightness and purpose as the primary motivator and measuring stick. In the eyes of the researcher, before the manufacturing organization embarked on the path of transformational change, this organization fell between Laloux's AMBER and ORANGE level organization (2014), exhibiting at the time formal hierarchies, command and control, as well as shades of an effective matrix, predict and control, and shareholder perspective driven attributes.

This line of thinking directly corresponded with Hurley (1998), Hurley et al. (2004), and Landau's (2005) findings, which supports the development and implementation of adaptable structures, like ROPE teams and transformational change workshops, that fit the manufacturing organizations transformational change process and the dual bottom-line business model. By the end of this study's time frame, the manufacturing organization was on the path to becoming a TEAL organization fostering collaboration, empowering employees with autonomy, and developing a mindfulness of how people inside the organization affect and drive one another.

ROPE teams. The ROPE teams affected people and business outcomes inside the organization by doing what they were designed for, which was to remove obstacles and promote

engagement. They are similar to the more flexible and agile team structures being adopted in many organizations. van Veelen and Ufkes (2019) echoed the importance of teams in dealing with globalizing markets and rapidly growing technological innovations. In addition, teams possess the potential to form agile and flexible units to solve problems and perform complex and dynamic tasks. Edmondson (1999) conducted a study which supported van Veelen and Ufkes (2019) claim of the necessity of teams. Edmondson presented a model of team learning, which was tested in a multi-method field study. This study introduced the construct of team psychological safety, which is described as a shared belief held by team members. This shared belief caused a feeling of safety and allows for vulnerability that leads to interpersonal risk-taking, creativity, accountability, among other seemingly endless behavioral possibilities, which is exactly the kind of feeling and atmosphere the manufacturing organization is looking for and needs with their ROPE teams.

Edmondson's (1999) study involved fifty-one (51) work teams in a manufacturing company, which included measuring antecedent, process, and outcome variables, that showed team psychological safety is associated with learning behavior, but team efficacy is not, when controlling for team psychological safety. Edmondson predicted and was able to demonstrate that learning behavior indeed enables team psychological safety and team performance. These results supported the integration of team structures, like context support and team leader coaching can enhance shared beliefs and create a sense of safety, which enable organizations to influence team outcomes and performance (Edmondson, 1999). This study was used due to it being conducted in a manufacturing setting, not stating that all manufacturing companies are the same, but psychological safety was found to impact performance. Specifically, participants from this dissertation study acknowledge the diverse psychological and behavioral attributes needed to

drive and impact a ROPE teams' functionality and performance. This underlines that complexity and nuance that ROPE teams are faced with in forming and driving them, which was evident by the responses and themes that formed over the course of this study.

The findings from this study indicated participants witnessed and demonstrated how ROPE teams impacted the bottom-line of the company, which undoubtedly improved production, communication, and quality. How ROPE teams enabled people to fully release their human possibility was more challenging to answer. In their responses to interview questions, participants noted the lack of definition of what fully releasing human possibility means, what it looks like, along with the lack of tools to fully measure the impact of ROPE teams on fully releasing human possibility. Participants believed there was a positive impact on fully releasing human possibility due to ROPE teams enabling more purposeful and focused communication, fostering greater cross-functional collaboration, increasing exposure to the overall business, and improving problem-solving capabilities.

It is often very difficult to measure behavioral change. The dual bottom-line business model focuses on the need for fully releasing human possibility inside the manufacturing organization needs to be better defined. This lack of defined measure was a big inhibitor in gauging the impact regarding anything related to fully releasing human possibility in the organization. At the time of the study, "fully releasing human possibility" was not clearly defined and no real metrics or means to gauge and measure changes in people's behavior and organizational progress in releasing human possibility were available. By the end of the study, participants felt and believed the ROPE teams had and would continue in the future to have a positive impact on the development of a more open and collaborative learning culture. Employees need to be able to see, not only the impact on organizational performance, but their

own growth, development, and performance in regards to the dual bottom-line business model. The complexity and abstract nature of defining what “fully releasing human possibility” is understood by Cameron and Quinn (2005) who underlined the tenant that the success of organizations is not only determined by specific conditions but is much more abstract and nuanced. Dauber et al. (2012) also emphasizes the need to understand the complex processes and domains in play to fully grasp the nature of how organizational culture and its dynamics influence the change process.

On the flipside of the dual bottom-line, which focused on achieving stronger financial performance, participants believed ROPE teams had a positive impact. Participants saw and believed ROPE teams were characterized by cross-functionality and metrics that demonstrated impact on financial performance. Interviewees also noted that ROPE teams effectively broke down silos in the organization allowing for better communication and transfer of ideas and solutions. Participants noticed and felt relatively quickly the impact that ROPE teams were having because they saw its affect in the ROPE meetings and on the ROPE boards through the metrics that were designed for ROPE. This also included employees feeling the results through the constant communication and collaboration that ROPE teams demanded of its members. ROPE teams were well defined, measured, and made sense to participants, which Kezar (2013) affirms making sense of the changes is vital throughout the process of the transformational change, and allows for better formation and adapting to the challenges of a transformational change.

Participants believed and felt that ROPE teams positively impacted the dual bottom-line business model of the manufacturing organization, but actually saw and felt the impacts clearer on the bottom-line business versus fully releasing human possibility. This was, in large, due to

the lack of definition and ways to measure what fully releasing human possibility meant and looked like. Having said that, it did not stop participants from believing that ROPE teams did indeed help fully release human possibility. More specifically defining what fully releasing human possibility is, looks like, and developing metrics and tools to measure it presented a challenge. While measuring the impact ROPE teams had on the dual bottom-line may be easier, the manufacturing organization should not underestimate the impact that defining how ROPE teams' impact fully releasing human possibility has to offer to the organization and employees. It could greatly benefit the manufacturing organization to define and attempt to measure what fully releasing human possibility is and means to the organization.

Transformational change workshops. By the end of the study, participants believed over all that more people understood the purpose of the transformational change workshops. Simply put, the more people participated in the transformational change workshops, the more familiarity grew and the word spread throughout the organization's culture. In evolving the transformational change workshops there needs to be a more intentional explanation and exposure to better see the benefits and changes in positive mindsets that others have experienced and will experience throughout the manufacturing facility after completing the transformational change workshops. Interviewees also believed that the transformational change workshops needed to be built into the ROPE teams as people felt this would benefit the teams, people, communication process, and synergy. Participants supported and concluded that transformational change workshops should precede participation on ROPE teams, or be built into the initial on-board process.

Overall, transformational change workshops are making an impact or at least starting to according to participants responses, but the participants also feel it was difficult to measure and

quantify. Kezar and Eckel (2002), Kezar (2013), and Gass (2010) show and stress the importance of people fully understanding the change, with a need for measuring it built into understanding and seeing the change. Transformational change workshops are not accompanied by metrics like ROPE teams that offer a score board that could assess and measure the impact of the full release of human possibility and the bottom-line. It could help people to see and feel the impact of transformational change workshops by developing metrics and assessments to measure the impact they are having on the workplace and culture. The development of tools like interviews and scales to help quantify what transformational change workshops create and do for the business is needed. Developing tools and metrics to measure the impacts and effects of transformational change workshops should be developed by in large the teams themselves in collaboration with leadership and management. This concept should keep with the spirit of autonomy and responsibility that ROPE teams try to instill. This would also allow a window and insight into how employees are experiencing the transformational change workshops and how the workshops impact individual and team performance.

Initially, participants reacted to the concept of “transformational change” with hesitation, as the meaning of this phrase was not clear. Over the course of the study, and as more employees experienced the transformational change workshops, participants found value in the learning experiences provided in the workshops. The workshops were designed to strip away layers of ego for participants and help individuals gain deep personal insight on themselves and those around them. Illuminating individuals’ current personality traits and leadership styles, the workshops also showed people what their leadership shadows were, how those are triggered, and what to do about those shadows once triggered. Knowing who you are and what your shadows are makes a person self-aware, allows navigation to better oneself to fully releasing human

possibility, and learn how they fit into the team and environment. Transformational change workshops essentially improved participants emotional intelligence as alluded to by Neil et al. (2016), Issah (2018), and Scott-Ladd and Chan (2004) who argued that organizational change and learning is more effective if done by emotionally intelligent employees.

Transformational change workshops also helped individuals understand team dynamics and leadership development through self-awareness, reflection, and role-playing. These workshops forced individuals to talk about deeper introspective topics. With people understanding themselves and those around them more in-depth, the transformational change workshops helped create better leaders, communicators, transforms the human being, and established connections between colleagues. Ultimately, the organization hopes that this change will help reshape the business and culture to achieve the vision and mission of the manufacturing organization's dual bottom-line business model.

The transformational change interventions. The transformational change of the manufacturing organization was started by the dual bottom-line business model, with the driving tools to facilitate the change being transformational change workshops and ROPE teams. The transformational change workshops and ROPE teams were designed to help grow the individuals and team members, to become more self-aware, efficient, dynamic, and to reach the broader organization at a faster pace. Both produced positive results and a promise of achieving and driving the dual bottom-line business model, which helped focused attention to personal growth and achieving financial success. Moreover, both the transformational change workshops and the ROPE teams helped to shift the culture from command-and-control to matrix and team based at the working level of the organization. This type of culture where leadership is expected at all

levels of the organization, provided autonomy and purpose, which was cultivated throughout all levels of the organization.

The resistance participants exhibited during the initial interviews seemed to flow from lack of understanding about “the transformational change” that was underway. Allen et al.’s (2007) and Lewis’ (1999) studies highlighted the importance of managing understanding and perceptions regarding planned change through clear communication and definitions. All the participants, in one form or another, reported feelings that were categorized as uncomfortable and confused. Manufacturing organizations are steeped in a rich history of top-down command-and-control cultures and operating methods. Years of being in that kind of culture and environment have repetitive learned behaviors that form certain thought schemas. When the manufacturing organization decided to introduce the dual bottom-line business model with rolled out ROPE teams and transformational change workshops, these changes were perceived as very foreign and caused discomfort for participants. Both were described by participants as being poorly rolled out and were misunderstood. Participants did not understand the ROPE teams and transformational change workshops in the beginning of the implementation. The push-back and dysfunction the organization experienced early on during the transformational change process may have been ameliorated by a stronger “information” campaign up-front.

On top of participants not really understanding or being onboard with the new direction of change for the manufacturing organization, participants did not possess the skills and education to quickly adapt and embrace this new direction of change. Laloux (2014) stated that companies must develop the structural and psychological capacity to evolve and transform. Moving everyone into groups and wanting them to become self-aware was a big juxtaposition from what participants were used to in older cultures and structures, and how the culture of

manufacturing organization was built and formed until this transformational change process began. Also, participants were overwhelmed with the flood of new expectations, the amount of information, and problems that were illuminated by ROPE teams and the transformational change workshops. In Madsen et al.'s (2005) study, employees perceived themselves as being open and prepared for change, but pointed out many organizational leaders struggle with implementing and explaining change interventions, which is crucial for any kind of success. Like Madsen et al.'s (2005) assertion, the roll-out/introduction of ROPE teams and transformational change workshops needed to be fully planned out, well defined, and better supported. Therefore, it would behoove the manufacturing organization to involve employees from all levels of the organization in developing this roll-out while keeping with the desired goals of creating collaboration, autonomy, and accountability of the manufacturing organization.

Eliminating past traditional hierarchy, breaking down silos, and empowering people to be autonomous and self-aware requires a certain set of skills, cadence, knowledge, and behavioral maturity to function properly. Gass (2010) supports the diverse skill sets needed for a transformational change, and described a transformational change as being multi-disciplinary with many diverse facets to it. A transformational change is integrated with a variety of approaches and methodologies operating in a holistic way that involves elements of humanity and objectives that are to be organic and hopefully helpful during the journey. Transformational change is defined by major breakthroughs. Obstacles become opportunities and the very way of how people think, react, and operate morph into something new. It is about individuals having the power to make decisions and have a voice to be the change, and being positively charged and constantly balancing command and control with letting go and being free to make decisions and facilitate changes (Gass, 2010).

Organizations that embark on transformational change journeys experience challenges, consequences, and breakthroughs along the way that contest the way the people in the organization think and operate. Participants were thrown into this organizational change with a lack of skill, preparation, and education to have a less turbulent transition than what was experienced in the beginning. Addressing all of the challenges and lack of preparation resulted in participants feeling, by the end of the study, that the culture and the organization had made a turn for the better. Participants were starting to master the ROPE teams and more people were involved in the transformational change workshops, as well as facilitating them.

Conclusions

People who had experienced the transformational change workshops and ROPE teams believed overall that they helped develop self-awareness, teams, communication, leadership, accountability, collaboration, and empathy, among a litany of other behaviorally rooted attributes and concepts. Every aspect described by participants throughout this process was centered around, and framed, in a behavior and emotional intelligence context. The transformational change journey the manufacturing organization has undergone to this point has grown its people way beyond improving the bottom-line, improved performance scores, and increased returns on investments. Transformational change extends beyond making money and meeting financial goals. With that realization the manufacturing organization can start to seek answers to how do I know the transformational change journey is working and how powerful is it? Even more so, how as an organization can we measure and understand what we are transforming into?

In conclusion, the researcher believes it is worthwhile for the manufacturing organization to explore how to help employees understand neuroscience and mental models in order to use that in their personal and work environments, and in a sense voluntarily develop and equip

people with the behavioral skills and tools to create a new culture and achieve the desired transformational change. It goes way beyond the scale and scope of how employees viewed previous changes in the past and becomes something totally unique to the manufacturing organization. It would be in the best interest of the manufacturing origination to utilize the foundations of the new culture in regards to innovation, communication, autonomy, collaboration, and empathy to design their own behavioral components and interventions.

Furthermore, measure, define, learn, and design what needs to be developed inside people to achieve the transformation the manufacturing origination desires. The transformational change journey has impacted the manufacturing organization in abstract areas (i.e. self-awareness, empathy, servant leadership) and has cultivated intangibles (i.e. perseverance, passion, accountability) here that are important and impactful moving forward. Shifts occurred on the change journey in personal behavior that positively impacted group dynamics and the environment.

After discussing the limitations of the study, the researcher outlines recommendations for the manufacturing organization that can help with behavioral development of employees to aid in the growth of ROPE teams and transformational change workshops.

Limitations of the Study

This research study has several limitations. One limitation is that the study relied primarily on interviews with organizationally selected interviewees. The researcher depended on a participant residing in a department within the organization to choose participants they believed would give the best and most diverse representation of interview responses. This is problematic and may have included bias in the method used to select the participants who were interviewed, with the possibility of having no random fair sense of represented participants.

Another limitation in this dissertation is only the researcher coded the findings from the interviews. This comes into play especially with the researcher engaging in an internship experience leading up to this research study, which can lead to inherently built-in biases. It is ideal to have multiple people code the findings with diverse backgrounds and points of view to mitigate as much as possible biases in interpreting themes and recommendations.

Lastly, a limitation that definitely impacted the process of this research study is the researcher's experience, or lack thereof, in conducting an ethnographic case study. While the researcher had a dearth of experience that translated successfully to many areas of this study, coupled with a diverse and able support team and dissertation committee, still in the end the researcher was not fully able to account for the difficulty, scale, and scope of what this research morphed into.

Recommendations

The following recommendations may benefit the manufacturing organization as they move forward in their transformational change journey.

Social-emotional education. It may be beneficial for the manufacturing organization to develop or acquire social-emotional education to help employees understand and manage emotions while going through their transformational change journey. This recommendation comes from participants' responses on what skills they have learned and acquired from being on ROPE teams and participating in transformational change workshops. Some of the behavioral skills and attributes participants discussed learning and needing to thrive on ROPE teams were: active listening, honesty, communication, collaboration, critical thinker, ego management, respect, and sense of excellence. In regard to behavioral skills, participants identified learning the following from the transformational change workshops: mindfulness, self-

awareness, empathy, leadership, adaptability, and personal evolution. By learning these emotional, behavioral, and social skills from being on ROPE teams and participating in transformational change workshops, participants identified problems and solutions, set and achieved goals, felt and showed empathy for others, established and maintained positive relationships, and made sound decisions. The key point is to effectively open up avenues of learning for ROPE teams that expand their understanding and world views, along with growing their emotional intelligence.

Developing emotional, behavioral, and social skills could improve emotional intelligence in employees and leaders, and assist with adapting to the transformational change journey moving forward. Examples of social-education and behavioral skills that could help the team enhance emotional intelligence are empathy, self-awareness, coachability, self-scouting, and/or self-actualization. Emotional intelligence is an important skill that involves components of self-awareness, self-regulation, self-motivation, empathy, and social skills, which are also skills that the ROPE teams and transformational change workshops teach and demand. This concept directly aligns with and helps the manufacturing organization achieve and evolve their dual bottom-line business model. Change impacts assumptions, values, beliefs, and identities, making people reluctant to accept it. Scott-Ladd and Chan (2004) and Neil et al.'s (2016) studies support the development of emotional intelligence through the development of interventions like social-emotional educational materials to deal with the resistance to change.

Transformational change workshops helped employees grow in regards to empathy and self-awareness, but participants felt there was much more room to learn, and engineer/design additional behavioral educational skills that are specific to this manufacturing organization and its culture. Providing social-emotional education to employees could help those already

experiencing the transformational change journey and new employees being hired into the organization. The behavioral maturity needed to thrive and drive the dual bottom-line business model, ROPE teams, and transformational change workshops are completely new and different than any past culture or iteration of the manufacturing organization.

Some educational/coaching forums that could deliver social-emotional education to employees could be done in the form of recurring trainings or practice sessions done in-person. These trainings/practice sessions could teach fundamentals of social-emotional education including vocabulary, concepts, and behavioral theories, along with site and culturally specific role-plays and experiential learning activities that would allow participants to practice and hone this newly acquired knowledge and skills. Additionally, built into the recurring trainings/practice sessions would be time for feedback, improvement ideas, and after-action reviews that would help employees internally explore and possibly illustrate how they are experiencing and utilizing this newly acquired social-emotional educational knowledge and skills. Therefore, with well-developed organization specific social-emotional educational materials, this can aid the manufacturing organization to continue to grow and evolve.

Coaching. In looking at ROPE teams from afar and analyzing how they work, one of the key ingredients is “autonomy”, which empowers people to drive and run ROPE teams. This researcher recommends managers/leaders of ROPE teams and those who create them, gain education and experience on coaching and how to coach. The ability to coach was mentioned by participants that occupied management, mentor, and leadership responsibilities. Early on concern and confusion surfaced with ROPE team participants, as they grappled with becoming autonomous, self-managed work teams. Participants that were in leadership/management roles of the ROPE teams had reservations on how they would justify their jobs, and best serve the

ROPE teams, if the teams were essentially running themselves. Those participants described being frustrated, confused, and uncomfortable on how to lead ROPE teams, and the need and role of their own jobs. The feelings of confusion and frustration were a normal part of the learning process, and a coach/coaching may have been able to smooth the learning process and alleviate some of that uncertainty.

The aforementioned participants in these leadership/management roles struggled to see their job being of value if they themselves were not solving the problems and actually doing the work. This in the researcher's eyes is a residual effect from the past command-and-control culture, structure, and operations of the manufacturing organization, where managers dictated everything from the top down, identified problems, came up with solutions, and delegated solutions down to employees to execute. The command-and-control type of mindset, method of operation, and role clashed with ROPE teams, because of the individualistic nature and propensity to being right and getting the credit, instead of getting it right and allowing the teams to work it out. Participants, as well as the researcher, see the manufacturing organization benefiting from developing the ability to coach the ROPE teams. Along with learning how to coach ROPE teams, and creating coaches for the teams, coaching also allows room to acquire "Coachability", a behavioral attribute that would be an added component to the social-emotional education.

The researcher defines coachability as a person's ability to receive information and apply it to change their or others behavior. This knowledge comes from the researcher's coaching and playing sports background. Furthermore, the researcher listened to interviewee responses over a year-long period, which involved words, concepts, and phrases like: the team, collaboration, accountability, communication, check the ego, self-awareness, synergy, cadence, tempo,

leadership, and service. With the researcher discussing these concepts and attributes with participants in leadership and managerial positions, the concept that the manufacturing organization could benefit from developing coaches and understanding more about how to coach teams occurred. The researcher recommends that the manufacturing organization actively learn and participate in coaching education, literature, and experiences. From the researcher's experience, coaching is vastly different than managing and is very much a learned skill with its own verbiage, challenges, difficulties, and expectations. The researcher believes based on experience and responses from participants, that developing a culture that incorporates coaching will greatly benefit the manufacturing organization's growth of the ROPE teams, as well as positively impact the transformational change workshops and dual bottom-line business model.

Explore and catalog “fully releasing human possibility”. During the study, interviewees described why they believed that ROPE teams helped the manufacturing organization achieve stronger financial performance. Participants showed metrics and numbers indicating how ROPE teams impacted the bottom-line, largely in part due to actually having tools to measure impact and results. Additionally, the researcher pushed participants off script during all three interviews when they discussed valid new ideas or points of interest, that triggered them to share and agree with the various ideas below. Half of the participants described not having tools to measure the impact that transformational change workshops are having on fully releasing human possibility and achieving financial performance within the manufacturing organization.

Ideas were thrown out to participants regarding the topic of measuring mechanisms that would be worth discussing in regard to trying to gauge the impact transformational change workshops are having on the dual bottom-line. The researcher and participants discussed

employees establishing feedback loops, structured interviews, surveys, and how to create a forum and a mechanism that incorporated some type of feedback on how employees are viewing and seeing transformational change workshops working inside the manufacturing organization. Even if it was a much shorter version of interview questions similar to the ones the researcher asked over the course of this study, this could benefit the organization. The researcher would encourage the manufacturing organization to evaluate and explore what “fully releasing human possibility” looks like in the eyes of employees, have the employees explore and illustrate what it is and looks like, which could help the manufacturing organization better assess and possibly measure the impact of the transformational change workshops learned information and gained skills.

Participants believed that transformational change workshops and ROPE teams impact the dual bottom-line on both aspects but can only really show real evidence that ROPE teams are impacting the achievements of financial performance. Defining and creating measuring tools would be worth discussing in the manufacturing organization simply because this is what the dual bottom-line business model dictates as a success. The manufacturing organization could make this a challenge for a new and possibly current ROPE teams. The dual bottom-line defines success as fully releasing human possibility and achieving stronger financial performance.

So, the organization is driving in two separate lanes towards success. In one lane it is how they empower the people and in the other lane it is about the bottom-line. Both the ROPE teams and transformational change workshops and the knowledge that comes with them, are essentially interventions/tools to help the organization achieve the goals of the dual bottom-line business model and, ultimately, how they define true success. It matters how they measure true impact and effects of both the ROPE teams and the transformational change workshops.

Participants felt that transformational change need to be diffused more widely in the manufacturing organization and there needs to be clearer lines drawn to how it is impacting the release of human possibility and increasing the bottom-line. The researcher recommends that this be a goal or role/position, created to develop a measuring tool that measures behavioral impacts and growth specifically aimed at measuring the release of human potential in the manufacturing organization, along with deciphering transformational change objectives and meaning for employees.

Time and realistic expectations. When making any kind of change it takes time, especially a transformational change. Gass (2010), Piotrowski and Armstrong (2004), Cummings and Worley (2005) discuss organizational development, transformational change, and ascertained that organizations, at the end of the day, in the context of transformational change, introduce something new that is going to move and influence the way employees operate, think, and feel in the future, and that takes time. Organizations often want change and results immediately with little or no regard to time and expectations. To use the old adage, “Time is money” and this is a real problem for the manufacturing organization or any organization undergoing a transformational change, that no one knows how long it needs to take hold and blossom. This comes down to having realistic or fluid expectations when embarking on a transformational change journey of any size. The researcher recommends the manufacturing organization constantly evaluate the expectations of the time and effort spent and utilized while going through this transformational change journey. Evaluations need major input and drive from employees, which aligns with the purpose and spirit of ROPE teams and transformational change workshops that push collaboration, autonomy, and ownership while constantly gaining feedback and reflecting on the process and transformational change journey employees are on.

Recommendations for Future Research

Recommendations for future research are offered for both the manufacturing organization and to the wide field of research dealing with transformational change.

Research recommendations specific to the host organization. For the manufacturing organization featured in this study, the researcher suggests facilitating comparative ethnographic studies. Specifically, studies that look at the cultures in different locations within the manufacturing organizations and identify their distinguishing characteristics. A questionnaire could be designed based on the evolution of the interview protocols in this study and have the different locations within the manufacturing organization respond to them. Further adding to this research idea, the manufacturing organization could implement a mixed method study as well, that would involve a questionnaire and structured interviews conducted by a trusted member within each separate location. This could also be achieved by an outside consultant, but the researcher stresses the importance of building rapport, along with some level of trust, in order to maximize honesty in responses. Either of these methods could help unearth cultural knowledge held in different locations. This could help the manufacturing organization better map out and understand how other locations are experiencing the transformational change journey, and using tools to achieve the dual bottom-line business model.

Another area of inquiry the manufacturing organization could undertake is a study of how the ROPE teams are developing and evolving. Studying the dynamics of group behavior in the ROPE teams could uncover both unproductive and productive behaviors exhibited in the teams. Specifically examining best practices, inserting after-action reviews to solicit information to identify/form best practices, as well as assess the development and evolution of the ROPE teams. The after-action reviews could serve as a communication and learning process where ROPE

teams themselves engage in and operate, by looking back and reflecting upon not only performance, but how they communicated, acted, thought, solved problems, behaved, etc. These after-action reviews might even go as far as videotaping the ROPE teams, so they themselves can see and assess how they communicate, behave, run, and develop improvement ideas. The scope of this research could shed light not only on how the teams perform, but how they think and behave, which can lead to an elevated understanding of the capabilities of ROPE teams.

Research recommendations for the field. Turning to the field of studying organizations going through a transformational change journey, the researcher suggests looking at how organizations measure the impact of the transformational change. Additionally, focusing on the interventions they are using, how they are measuring outcomes associated with the interventions, how the people going through the change experiencing it, and what the intended and unintended consequences associated with the transformational could prove beneficial. In reviewing the literature, transformational organizational change was an under explored topic and relatively new, especially in the context of what defined transformational organizational change, and how such transformation impacted organizations undergoing these dramatic changes. These recommendations could open up and better define what organizational transformational change journeys are, what they look like in organizations, and how they are impacting organizational cultures.

In Closing

The manufacturing organization featured in this study must deal with the consequences of employees being given autonomy and permission to make decisions. Consequences of discomfort and lack of trust due to not being given “permission”, a “green light”, and confidence that employees could make decisions with impunity. Coming from a command-and-control

culture, autonomy can seem like a trap that leads to losing employees job. Another consequence, is over time employees embrace the new-found autonomy and learn how to make course adjustments and were able to explain what it is affecting, not only production, but the culture and business. The manufacturing organization in this study has embarked on this transformational change journey that is about more than what the organization produces or improving how it produces products, it is about changing how they develop and grow their people. The manufacturing organization is living in a world where culture, behavior, leadership, egos, innovation, ecosystems, and the soul of a company matter to stay relevant in today's global market and economy.

Based on the data collected, the researcher feels the manufacturing organization is moving in a positive direction and laying the foundation to achieve success in the dual bottom-line business model and successfully achieve a level of transformational change. Furthermore, embarking on breaking down silos, changing the hierarchy-down mindset, creating cross-functional teams, and including the growth and possibility of their people as a part of the definition of success as a business is bold, innovative, and refreshing. To be in an environment experiencing a true transformational change journey was truly a pleasure and an eye-opening experience for the researcher. The manufacturing organization is well on its way to creating a dual bottom-line company that values people, as well as profit, and truly transforming the organization.

Epilogue

The researcher was able to follow up and receive from feedback from the president of the manufacturing organization post this research study. In regards to an On-Boarding process, the president pointed out that there was before and during the research study, a workshop called

Building Our Workplace (BOW) that was mandatory for all new employees. It is a general overview of the concepts and expectations, and continues to grow and expand during their transformational change journey. The president also provided some data that between January 2015 and August 2017, there were forty-three (43) facilitators of transformational change workshops trained at the manufacturing organization's business division, with seven facilitators located at the business site of this research study. Across the entire American industrial business conglomerate, one hundred and twenty-six (126) facilitators were trained. During that time, two thousand (2,000) people took the ALP and participated in transformational change workshops. As to the lack of definition of "fully releasing human possibility" in the dual bottom-line business model, the president pointed out the lack of definition was intentional. The thinking behind that was, that they could define what a person could accomplish, but perhaps their definition would be limiting, and having individuals define it could lead them to actually be capable of much more. The president also made an inquiry in developing social-emotional education, and the manufacturing organizations leadership has been exploring neuroscience, and how that field educates them in their understanding of the mind. If they could harness the understanding of how their minds work with neuroscience, they could then use that knowledge to help them in their work. It was a very fascinating area for them to explore, pointing out that 95% of people's thoughts today are the same ones they had yesterday, making that a scary thought. The president and the manufacturing organization continue to lay one brick at a time on their transformational change journey, continuing to grow and evolve as an organization and a culture.

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Appendix A

Eight Step Problem Solving Process

Step 1: Clarify the Purpose and Identify the GAP

- Ultimate Goal or Purpose
- Ideal and Current Situation = GAP

Step 2: Breakdown the Gap and Identify Prioritized Problems

- Breakdown the Gap into manageable pieces using the 4 W's (Who is Where, When, doing What)
- Find Prioritized Problems or Process at Point of Occurrence
- Identify the key contrast/difference

Step 3: Target Setting

- Set Target to the Point of Occurrence or Detection
- Determine “How Much” & “By When”

Step 4: Root Cause Analysis and Confirmation

- Utilize the cause model to select the deliverable
- Leverage contrast and converge on “Actual Cause” by using evidence at “Gemba”
- Confirm Root Cause by using 5-Why process

Step 5: Develop Countermeasures and Action Selection

- Brainstorm actions/countermeasures, narrow using criteria
- Develop a detailed action plan and gain consensus

Step 6: Implement Selected Actions

- Share status of plan by reporting, informing, and consulting
- Build consensus, never give up, think and act persistently

Step 7: Monitor Process and Results

- Determine if the target was achieved
- Evaluate 3 viewpoints and look at process and results

Step 8: Standardize and Share best practices

- Standardize successful practices

Share results and start the next round of problem solving

Appendix B

Interview Protocol One for Assessing the Manufacturing Organization in Transition

Opening Statement (Elevator Pitch)

Personal responsibility and accountability are keys to success no matter where any of us work. Embracing mediocrity is something we all fear but rarely understand. This interview is about understanding how people inside [REDACTED] are handling and dealing with the new ROPE team approaches and the effects of Transformational change and the ROPE approach. Together, let us be honest and truthful and tell each other what we need to hear and not what we want to.

First Initial Interview

Participants Name:

ROPE Team(s) presently on:

Time present on the ROPE Team(s):

Years Employed at [REDACTED]:

- 1.) What is a ROPE team and how do they work?
- 2.) What do you do on the Rope team(s)?
- 3.) What does being a ROPE team member mean to you?
- 4.) What should someone ask you to figure what you do during your day-to-day work and how the ROPE team(s) affect that?
- 5.) Are you comfortable with the ROPE approach? Why?
- 6.) How does a ROPE team(s) help or hinder you?
- 7.) How do you feel the ROPE approach affects accountability?
- 8.) How do ROPE team(s) affect your effort at work?
- 9.) Have you ever been to a transformational change workshop, and what are your thoughts on it? If not, do you want to go to one and what have you heard about it?
- 10.) Describe your mindset everyday coming to work at [REDACTED]?

- 11.) How has the Transformational change and/or the ROPE approach changed your communication with management?
- 12.) How has the Transformational change and/or the ROPE approach changed your communication with your peers and yourself?
- 13.) What story would you tell someone about the ROPE team(s)?
- 14.) How does ROPE teams and Transformational Change workshops help [REDACTED] fully release human possibility?

Appendix C

Interview Protocol Two for Assessing the Manufacturing Organization in Transition

Opening Statement (Elevator Pitch)

This interview is about understanding how people inside [REDACTED] are handling and dealing with Transformational Change and the new ROPE team approach. I am interested in your honest opinions and feedback. I guarantee that your confidentiality will be protected. None of the data I gather will be reported individually, I will be aggregating all data to see if there are themes about Transformational Change and the ROPE Teams that emerge from talking with lots of people affected by these initiatives. Together, let us be honest and truthful.

Second Initial Interview

Participants Name:

ROPE Team(s) presently on:

Time present on the ROPE Team(s):

Years Employed at [REDACTED]:

- 1.) What is your mindset everyday coming to work at [REDACTED]?
- 2.) How do the ROPE team(s) affect what you do during your day-to-day work? What can you tell me?
- 3.) ROPE have been in effect for a while, on a scale from 1 – 10, 1 not at all comfortable and 10 being extremely comfortable, how would rate your comfort? Why?
- 4.) How does a ROPE team(s) help or hinder you in accomplishing your personal and organizational goals? In doing your work?
- 5.) How do you feel the ROPE approach affects the responsibility you and other team members take for GGB's performance? The responsibility you and other team members take for making an excellent product?
- 6.) How do ROPE team(s) focus your effort or redirect your work? How?
- 7.) How has the ROPE approach influenced your commitment to and satisfaction with working at [REDACTED]?
- 8.) Have you been to a Transformational Change workshop? If so, what are your thoughts about it? If not, do you still want to go to one?

- 9.) How has the Transformational Change and/or the ROPE approach changed your communication with management?
- 10.) How has the Transformational Change and/or the ROPE approach changed your communication with your peers and yourself?
- 11.) How has the Transformational Change and/or the ROPE approach affected your productivity at work?
- 12.) Is there a gap in GGB between the salaried and shop floor employees in regards to using and understanding the ROPE teams? Transformational change?
- 13.) What has experience taught you about the ROPE teams and/or Transformational Change?
- 14.) How have ROPE teams and Transformational Change altered your reflection process?
- 15.) How have ROPE teams and Transformational Change altered your problem solving?
- 16.) How has the Transformational Change initiative changed the culture at [REDACTED]?
- 17.) What advice would you give to [REDACTED] leadership about the Rope Team approach? About the Transformational Change Initiative?
- 18.) What is the biggest change in the business you have seen over the last 6-12 months?
- 19.) How have ROPE teams and the Transformational Change workshops helped [REDACTED] more fully release human possibility? Achieve stronger financial performance?

Appendix D

Interview Protocol Three for Assessing the Manufacturing Organization in Transition

Opening Statement (Elevator Pitch)

This interview is about understanding how people inside [REDACTED] are handling and dealing with Transformational Change and the new ROPE team approach. I am interested in your honest opinions and feedback. I guarantee that your confidentiality will be protected. None of the data I gather will be reported individually, I will be aggregating all data to see if there are themes about Transformational Change and the ROPE Teams that emerge from talking with lots of people affected by these initiatives. Together, let us be honest and truthful.

Third & Final Interview

Participants Name:

ROPE Team(s) presently on:

Total Time present on the ROPE Team(s):

Percentage that ROPE takes up of your workday/workload:

Years Employed at [REDACTED]:

Opening

1.) What is your mindset everyday coming to work at [REDACTED]?

TF – Transformational Change

2.) Have you been to a Transformational Change workshop? If not, do you still want to go to one?

3.) What does Transformational Change workshops mean to you in the context of [REDACTED]?

4.) What is [REDACTED] purpose in offering the Transformational Change workshops? What do you think they are trying to accomplish?

5.) How do your peers feel about Transformational Change workshops? Any resistance?

6.) What evidence of Transformational Change have you seen at [REDACTED]?

7.) What have you learned by going through a Transformational Change workshops? What was the most eye-opening part of the Transformational Change workshops?

- 8.) How have you changed and is it Transformational?
- 9.) How have Transformational Change workshops impacted SPQDC = Safety, People, Quality, Delivery, Cost?

ROPE

- 10.) What is the purpose of ROPE Teams?
- 11.) What do your peers feel about ROPE teams, values, process, outcomes?
- 12.) How has participation on a ROPE teams improved your value to [REDACTED] as an employee?
- 13.) Tell me about an important contribution you have made while working on a ROPE team?
- 14.) What mindset, skills and abilities do you need to be a successful on a ROPE team?
- 15.) Where do the problems that ROPE teams tackle come from? How do ROPE teams configure, re-configure, disperse, and how do they evolve?
- 16.) How have ROPE teams impacted SPQDC = Safety, People, Quality, Delivery, Cost?

TF + ROPE

- 17.) How have you been using what you have learned in your Transformational Change workshop on your ROPE teams?
- 18.) How has Transformational Change workshops helped [REDACTED] more fully release human possibility? Achieve stronger financial performance?
- 19.) How can [REDACTED] “enhance” the value of the Transformational Change initiative and the use of ROPE Teams? What advice/suggestions do you have for [REDACTED] leadership about Transformational Change workshops and ROPE Teams?

Appendix E

Consent Form Used for the Study

Consent Form

Dear [REDACTED] Citizens,

You are invited to participate in this study by responding to a series of open-ended interview questions three separate times over the next year. This dissertation research study is a part of course work for Richard Loveless Jr. who is a doctoral student attending Wilmington University. *Additionally*, your response to this interview/questionnaire means that your participation is voluntary, and you are not required to respond.

Personal responsibility and accountability are keys to success no matter where any of us work. Embracing mediocrity is something we all fear but rarely understand. This interview is about understanding how people inside [REDACTED] are handling and dealing with the new ROPE team approaches and the effects of Transformational change and the ROPE approach.

Together, let us be honest and truthful and tell each other what we need to hear and not what we want to. Participation will not adversely affect your rights and your welfare. In responding to the interview/questionnaire you may experience uncertainty. To minimize this risk, you can stop answering questions and remove yourself from the study *at any time*.

Should there be questions, please contact **Richard Loveless Jr.** at [REDACTED]. Thank you for your future time and feedback.

Kind Regards,

Richard Loveless Jr.

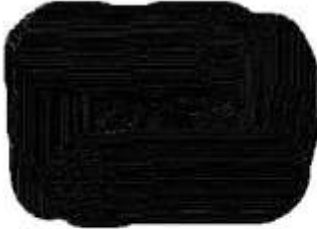
(Participant's Name)

(Signature)

(Date)

Appendix F

Approval Letter to Do Study from President of Manufacturing Facility




December 22, 2015

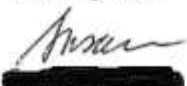
To: Wilmington University EdD Dissertation Review Board


Re: Dissertation of Richard Loveless, WilmU doctoral candidate

Dear 

 is pleased to support the dissertation topic of Richard Loveless and give him access to our organization for his research project. This organization is experiencing significant cultural change and I think there is opportunity for Richard to help us better understand these changes and the impact to both the individuals involved and the overall organization through his dissertation work. I would ask that the company name not be used in the final material nor specific participant names. Again, we are excited to be a part of this project.

Best Regards,




President



Appendix G

Human Subjects Review Committee Approval

**WILMINGTON UNIVERSITY
HUMAN SUBJECTS REVIEW COMMITTEE (HSRC)
PROTOCOL REVIEW**

This section is to be completed by the HSR Committee Person.

Principal Investigator: Richard Luke Loveless Jr.

Date submitted: 4/18/16

The protocol and attachments were reviewed:

The proposed research is approved as:
Exempt: **Expedited:** **Full Committee:**

The proposed research was approved pending the following changes:


See attached letter:

Resubmit changes to the HSRC chairperson:

The proposed research was disapproved:

See attached letter for more information.

HSRC Chair or Representative: Michael S. CZARKOWSKI
Signature:  **Date:** 4/22/2016

HSRC Chair or Representative: Linda H. Frazer
Signature:  **Date:** 4/26/2016

Appendix H

National Institutes of Health Certificate

Protecting Human Subject Research Participants

