

WORKER IMPACT ON THE CHANGE PROCESS IN
A FOOD PROCESSING PLANT

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by Thomas M. Glenn

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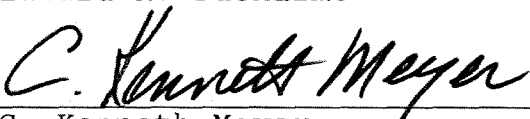
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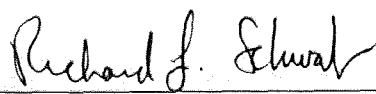
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WORKER IMPACT ON THE CHANGE PROCESS IN
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An abstract of a Dissertation by
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The problem. Quality management consultants and change experts generally agree that change must come from the top of an organization. This viewpoint may constitute a fatal flaw in attempts at workplace reorganization in America.

This study views the process from a management and worker perspective, looking for evidence that change may be a worker initiated and sustained process.

Methodology. This study is a naturalistic inquiry into the change process at a food processing plant in the Midwestern United States. The enterprise is attempting to reorganize production processes in order to improve the quality of finished products. The researcher is engaged in facilitating, documenting, and analyzing the change process.

Findings. The researcher engaged in a facilitated, interactive change process with the union and management at the study site, observing, participating, and documenting a wide variety of activities which surfaced claims, concerns, and issues, and which resulted in an integrated statement of understanding regarding the change process and actions associated with that process.

Conclusion. This study confirmed that the use of hermeneutic circles is an effective method of surfacing differences in perspective, experience, motivation, and commitment to a change process. This method was expanded by a storytelling process which surfaced similarities and common ground allowing participants to engage in the development of joint constructions, which led to shared planning and action. The researcher's human instrument, based on a Rogerian counseling approach, created an environment which allowed both union and management to develop new constructions of their relationship.

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Chapter 1

RESEARCH QUESTION

The first principle of civilization ought to have been, and ought still to be, that the condition of every person born into the world, after a state of civilization commences, ought not to be worse than if he had been born before that period.

- V. L. Parrington

Introduction

The researcher has learned through life experience, through work, reading, and research that the American economy is in trouble. Not only is this country losing a large share of the world market, American wages are not keeping pace with wage growth in the rest of the industrial world (Figure 1). To make matters worse, the markets lost have been in such fundamental manufacturing areas as automobiles (Table 1). These markets have been lost not because American workers are non-productive. They have been lost because American managers do not know how to manage (Walton, 1986). The largest share of the automobile market and the market in steel has been lost because American managers failed to respond to foreign competition in a timely and appropriate manner. Large portions of America's world market continue to decline because American managers continue to fail to respond to global competition (Walton, 1986).

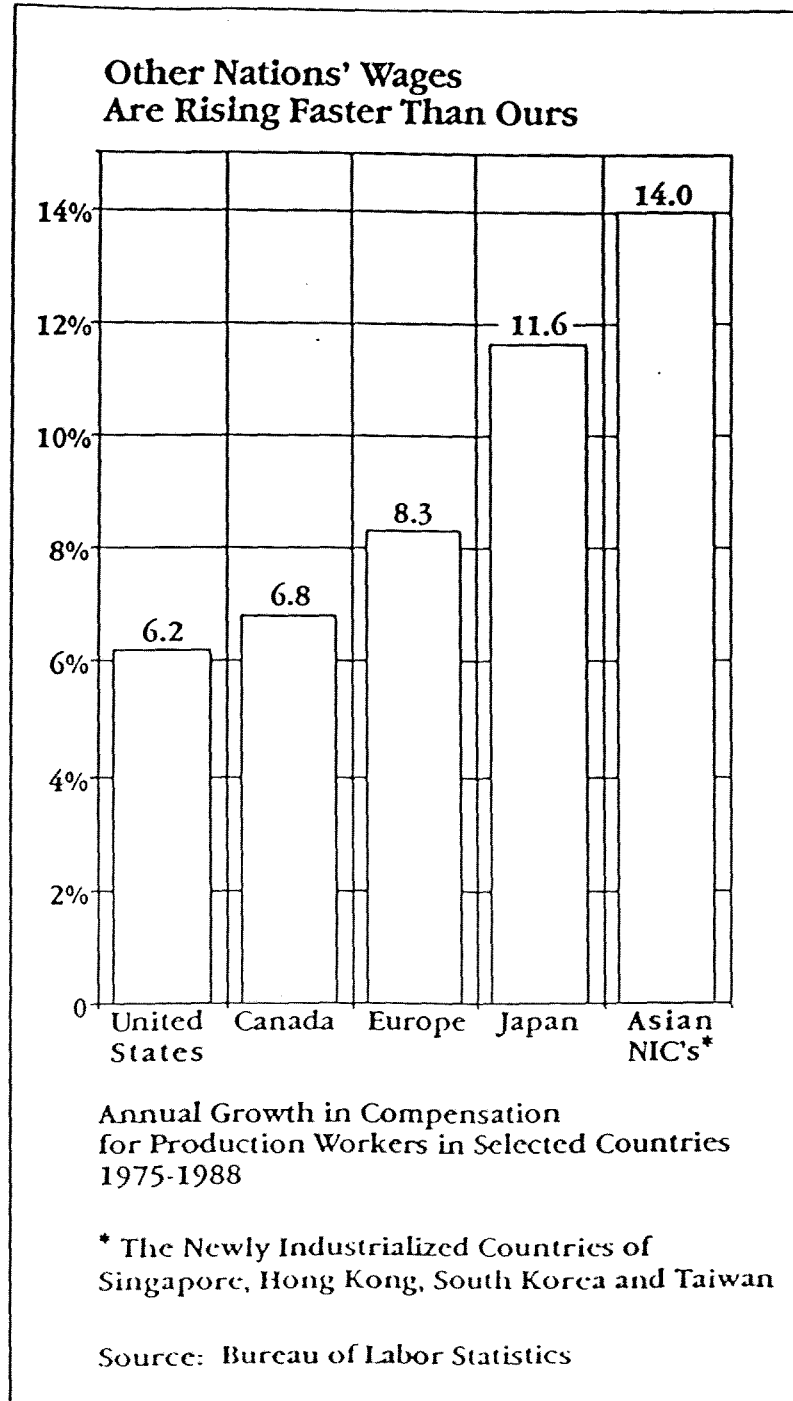


Figure 1. Other nations' wages are rising faster than ours.

From America's Choice: High Skills or Low Wages! (p. 58).
National Center on Education and the Economy's Commission on
the Skills of the American Workforce, Rochester, NY: Author.
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Table 1

U.S. New Car Sales of American Automakers, Japanese Transplants and Imports, and Total Imports, 1979-90 (Numbers in Thousands of Units)

Year	American Automakers		Japanese Transplants		Japanese Imports		Total Imports		American Automakers— All Motor Vehicles
	Sales	Percent of Total	Sales	Percent of Total	Sales	Percent of Total	Imports	Percent of Total	Production
1979	8,163	76.7	0	0	1,848	17.4	2,328	21.9	11,098
1980	6,401	71.3	0	0	1,977	22.0	2,397	26.7	7,667
1981	6,044	70.8	0	0	1,892	22.2	2,326	27.3	7,614
1982	5,665	71.0	0	0	1,801	22.6	2,222	27.9	6,785
1983	6,660	72.5	50	0.5	1,916	20.9	2,386	26.0	8,900
1984	7,744	74.5	134	1.3	1,906	18.3	2,442	23.5	10,462
1985	7,906	71.6	221	2.0	2,218	20.1	2,841	25.7	11,095
1986	7,675	67.0	446	4.1	2,386	20.8	3,249	28.3	10,688
1987	6,402	62.6	618	6.0	2,173	21.3	3,144	30.7	10,097
1988	6,735	63.6	766	7.2	2,103	19.8	3,067	28.9	10,122
1989	6,064	62.4	1,009	10.4	1,911	19.7	2,698	27.8	9,615
1990	5,500	59.2	1,343	14.4	1,721	18.5	2,453	26.4	8,152

Note: For the purposes of this table, the term, "American Automakers," denotes General Motors, Ford, Chrysler, and American Motors.

Source: Motor Vehicle Manufacturers Association and *Automotive News* (Detroit, MI., Crain Communications, Inc.), various issues.

Christopher J. Singleton. 1992. "Auto Industry Jobs in the 1980s: A Decade of Transition," *Monthly Labor Review*, February 1992, Vol. 115, No. 2, pp. 18-27.

From "Collective Bargaining in the U.S. Auto Assembly Sector," by H. Katz and J. P. MacDuffie, 1994, Contemporary Collective Bargaining in the Private Sector, P. Voos, Ed., p. 189, Madison, WI: Industrial Relations Research Association. Copyright 1994 by Industrial Relations Research Association. Reprinted by permission.

This failure is not the fault of managers directly. Rather, it is the fault of the system within which they work: The military/athletic pyramid; the top down hierarchical organizational structure (Walton, 1986).

Management gurus such as Deming, Juran, Crosby, Peters, and Senge argue that the reorganization of work and the upgrading of workers' skills--both the responsibility of American managers--have not kept pace with market demands. They also argue that managers' skills have not kept pace with market demands for problem solving, for critical thinking, for working in teams, and for developing the workforce. Marc Tucker of the National Center for Education and the Economy, writing for the Commission on the Skills of the American Workforce in a five-nation study entitled America's Choice: High Skills or Low Wages! (1990), demonstrates the critical and urgent nature of this problem (National Center for Education and the Economy [NCEEP], 1990). A subsequent report What Work Requires of Schools (1991), presents a clear picture of the steps necessary in order for America to recapture its foreign and domestic markets: Reorganizing work and upgrading American workers' skills (Secretary's Commission on Achieving Necessary Skills [SCANS], 1991).

While there is general agreement about the responsibility of American management for skill development in the workplace, there is little, if any, agreement about

the responsibility or role of American workers in this process. The traditional workplace approach in America has been for managers to manage, and for workers to do what managers tell them to do. Managers are now being called upon to instigate and lead change in the American workplace. This expectation represents the fatal flaw in typical conceptualization of reorganization in the American workplace. In fact, Zenger-Miller studies report that, rather than instigating and leading change, managers are more likely to sabotage change efforts ("New Zenger-Miller-Achieve Research Findings," 1994).

Hummel says worker roles have been defined by management, and these roles must be redefined by the "work." The "knowledge of work," says Hummel, is in the work itself (Hummel, 1987).

It is not at all clear that the type of training managers are receiving enables them to lead the change process. In fact, there is no evidence that long-term change in workplace culture is being sought, let alone achieved.

The preponderance of evidence on the process of change clearly demonstrates that change rarely comes from above; rather, it comes from below (Pierce & Page, 1986). While it is critical that top managers support change, they do not always initiate the process (Sensenbrenner, 1991). From Colonial times to the present, American workers who own

their skills and who have organized have, in fact, led the process of change in the American workplace.

Pierce and Page (1986) maintain that change always comes from the subordinate person in the relationship, not the dominant. Sensenbrenner (1991) claims that change comes from somewhere in the middle of an organization, for example, from front line supervisors and union stewards interacting to foment change. Even when change is desired by both the very top executive of an organization and the front line workers at the bottom of an organization, there is a band of upper middle management which chokes off communication between the extremes, much as a tight collar chokes off air from the lungs to the brain, and with the same drastic results.

This study presents a discussion of the relationship between American management and American labor, along with a review of the literature regarding the condition of the American workplace. This study will then suggest that urgent change is necessary in the American workplace. Finally, it will introduce a typical American workplace and enable the reader to observe the documented process of change that takes place. The researcher will facilitate and inform that process and report it accurately to the reader from the perspective of the worker as well as the manager, documenting the process fully and informing the reader of researcher biases throughout.

The researcher asks if it is possible for workplaces with a history, tradition, and bone-deep culture of mistrust, misuse, and violence to grow into progressive, trusting environments of quality-driven cooperation. Or are these workplaces doomed to labor forever on the treadmill of conflict, greed, and anger?

It is the researcher's belief that change is possible. It is the purpose of this study to demonstrate the strategies and techniques that can bring about that change.

This study addresses the American workplace and the changes it must undergo by examining a food processing plant --an industrial setting where goods are produced--and the union representing the workers in that plant.

In an industrial setting, particularly in a union environment, "change" must be preceded by a "decision to change." While this decision must be made by both management and workers, it can hold special problems for workers (Parker & Slaughter, 1988).

The traditional industrial model of work makes skills largely irrelevant to work. If one is not required to display skills and is not valued for having skills, then there is little benefit in developing them. Skills, in the broad sense of critical thinking, exercise of judgement, and analysis, as well as in the narrow sense of literacy, computation capacity, and technical facility, are not rewarded in the traditional industrial culture.

This environment, grounded in the master-slave mentality and steeped in conflict, is now called upon, at the turn of a new century, to become the focus of new relationships, new organizations, new cultural manifestations, new attitudes, new distributions of roles and responsibilities. This inquiry explores how these changes happen or fail to happen, how workers and managers facilitate or sabotage them, and what organizations can do to engage effectively in change and growth.

The literature is replete with expectations for change as a process, but fails to provide clear evidence of the process itself. The problem is that both labor and management want to change in a positive direction in order to ensure stability and security for themselves. However, it appears as though each group believes that if one advances, the other must retreat; if one wins, the other loses. In fact, they must both address change in a win/win environment, but they do not know how. As Clayton says, they must learn to dance a new dance (Clayton, 1994).

We must address the cultural issues which historically militate against a win/win process. We must learn how to reframe labor-management roles and responsibilities in light of the changing rules of the market place. This involves risk.

Research Question

This research project will facilitate, observe and document the change activities taking place at a food processing plant in the Midwest United States, and in the union which represents its hourly workers. It will address the research question:

"Is there a discernable, definable process that can be documented and reported for instigation, implementation, and maintenance of the change process?"

This study will define, describe and document a process which will allow and facilitate change for both labor and management as they consider their options for action within a win/win environment.

Both labor and management will learn to confront and manage risk in order to develop their own statement of goals and actions. During this process these documents will be integrated into a joint action plan for both.

The researcher's role will include assuring the integrity of both labor and management--working with both, then each, then both--facilitating group and individual storytelling and the development of goals, plans, and actions. These activities, documented and reported, will form this case study.

Chapter 2

REVIEW OF THE LITERATURE

If we condense the two billion years during which there has been life on earth to one calendar year, the events of the aeons unroll in a more comprehensible fashion. On January 1, there was single cell form of life; on July 1 invertebrate animals made their appearance; in August and September huge reptiles roamed the earth, and by October 1 they were gone; early in October mammals evolved; by December 25 there were walking ape men; six or seven minutes before midnight on December 31 primitive man made his appearance; 25 seconds before midnight on December 31 men began living together in groups for the first time.

- C. G. Kemp

From the very beginning of European settlement on this continent, clear lines have been drawn between those who owned property and those who worked on, and were, property.

Aristocrats in Europe owned land and equipment and, by extension, workers and their skills. This concept formed the basis of the feudal system. Serfs were part of the land and therefore owned, along with their skills and the fruits of their labors, by the landowner. They were known individually as "so-and-so's 'man'" (Burnham, 1962).

European settlers in the North American colonies which would eventually become the United States left the rigid social order of feudalism behind, but brought this basic concept of property ownership with them. In the New World, the ownership of people and their skill took two dramatic forms: slavery and indentured servitude.

In slavery, the proof of ownership was a bill of sale and the purpose of the ownership was to acquire low-skilled labor for agriculture and other endeavors. The owner acquired this property by kidnapping it from Africa, purchasing it, or breeding it. This property was listed along with horses, wagons, and outbuildings on the plantation's inventory.

In the case of indentured servitude, ownership of persons and their skills was more subtle, but equally sure. The proof of ownership was an indenture agreement. At their best, the indenture agreements provided a living along with skill training to young people seeking to establish themselves in a trade. At worst, indentured servitude was exploitation of poverty-stricken, powerless individuals (Apprenticeship Past and Present, 1991). These indenture agreements were the forerunners of apprenticeships.

One chapter in the history of apprenticeship caused a stigma difficult to outlive--the exploitation of poor men, women, and children as indentured servants who were given little or no opportunity to learn a trade. . . . The practice of indenturing servants, some of them former prisoners imported from abroad, took place largely in the Southern States, where labor was needed on the plantations. Workers paid off the cost of their transportation by serving as so-called apprentices. Tempted into the traffic in these workers were the ships' captains and bartering agents who profited by it. (Apprenticeship Past and Present, 1991, p. 6)

The Constitutional era of the late 18th Century brought into focus the discussion of property rights versus individual rights (Burnham, 1962). It was during this period

that the notion emerged that enterprise--work--had intrinsic value in the same way that property had intrinsic value. This evolution of thought regarding rights put property owners at some pains to keep indentured servants and slaves within the scope of property. It was out of this conflict, for instance, that laws forbidding the teaching of reading to slaves developed. If slaves were to learn to read, they might discover the idea of intrinsic self-worth. This idea could, and eventually did, shake the foundations of slavery and indenture, and topple the economic system upon which it was built.

While the system of slavery and indentured servitude flourished, a parallel system built on wage labor was also growing.

When the pilgrims arrived at Plymouth Rock in 1620 there were craftsmen among them. The Colonial period is filled with early attempts at unionization. Indeed, many give credit to the Carpenters Guild for organizing and conducting the Boston Tea Party in 1773 ("A Short History," 1981). The Declaration of Independence was signed in Carpenters Hall in Philadelphia in 1776.

The first unions in this country were organized by skilled crafts people such as carpenters, printers, and silversmiths. Benjamin Franklin was a printer; Paul Revere was a silversmith. Both had served apprenticeships and both trained apprentices. Craft guilds maintained standards of

skill and quality, regulated the flow of workers entering the craft, and passed on the skills and culture of that craft through the apprentice-journeyman-master system of training and indoctrination. These craft unions eventually formed the American Federation of Labor (AFL) (Apprenticeship Past and Present, 1991).

To this day, skilled workers in the craft trades of the AFL "own" their skills. That is, they maintain control over the content and delivery of worker skill training, and are paid according to skill level. This skill ownership is maintained in large part through the system of Joint Apprenticeship Training Committees (JATCs) which govern and direct the selection of apprentices and the delivery of apprenticeship training. Skill ownership is also reflected in the relationship between skilled craft unions and their signatory contractors. A signatory construction contractor will typically request a certain number of workers at each skill level (helper, apprentice, journey) to perform certain types of work on a given construction job. The union supplies the specified number of workers at each skill level within their particular craft. This process is very different from the organizational relationship between management and workers in industrial settings.

In mining operations, manufacturing plants, metal refining mills, and similar industries, both workplaces and unions were organized differently. These industries were

organized around the dependence of workers on employers for jobs, rather than the dependence of employers on workers for skills. Unions organized within these industries eventually formed the Congress of Industrial Organizations (CIO) ("A Short History," 1981).

In March of 1933, President Franklin D. Roosevelt secured passage of the National Recovery Act (NRA), which specifically placed into public law the right of unions to exist and to negotiate with employers. When the Supreme Court declared the NRA unconstitutional, Senator Robert F. Wagner (D) of New York led the fight for enactment of the National Labor Relations Act (NLRA) in 1936 which established a legal basis for unions beyond that created by the NRA. In 1947 the National Labor Relations Act was amended by the more anti-union Taft-Hartley Act. In 1959, the Landrum-Griffin Act took some of the sting out of the Taft-Hartley Act by guaranteeing workers the rights to organize and bargain collectively for benefits ("A Short History," 1981).

In 1935, John L. Lewis of the United Mine Workers (UMW) announced the creation of the Committee For Industrial Organization within the American Federation of Labor (AFL). The Committee became increasingly vocal within the AFL and was finally expelled from it in 1936. In 1938, the Committee held its first constitutional convention and became the Congress of Industrial Organizations (CIO). After many

bitter and divisive fights, a merger was accomplished in 1955 by then President of the CIO, Walter P. Reuther of the United Automobile Workers, and the President of the AFL, George Meany. At the first AFL-CIO convention, held in New York, December 1955, George Meany was unanimously elected President ("A Short History," 1981). The unionization of American industries reflected the development of the industries themselves.

Nineteenth-century industry reflected Frederick Taylor's principles of simple tasks performed by individuals told precisely what to do by a manager. In the Taylor model, information flows from the top down. The system cannot accommodate a bottom-up information flow. It is the manager's job to think and the worker's job to do as told. That, according to Taylor, is the "efficient" way to manage work (Walton, 1986). This model is not unique to industry. This type of information flow and substantive response, while described with different vocabularies from system to system, characterizes absolute monarchies, plantations, and traditional military and athletic organizations. All are rigidly hierarchical in their organization and rigidly top-down in their management and information flow (Walton, 1986).

Multiple and interlocking skills that could be used to produce something of value (a hallmark of the skilled crafts in the AFL) were not present--indeed were discouraged--in

the Tayloristic workplace (and in the CIO unions organized within those workplaces). "Value" accrued to the finished product. Workers did not have access to the final product, nor were they personally identified with it.

This milieu generated the great industrial unions: The United Mine Workers (UMW), the United Steel Workers (USW), and the United Auto Workers (UAW). Because these industries placed little or no value on skill of individual workers, workers found another way to assert their value as human beings within the workplace. Length of time with a company became a measure of value. The collective bargaining process forced the company to negotiate wages and benefits based on seniority ("A Short History," 1981).

These unions' great organizers, such as John L. Lewis, Philip Murray, and Walter Reuther, were charismatic, oratorically compelling, and able to attract large followings. Industrial workers found strength in numbers. Workers banding together in large numbers and withholding their work, could force an industry to recognize them and negotiate contracts with them. Furthermore, the industrial unions, lacking a definable and saleable skill base, enforced security for their members through their seniority system.

This approach among industrial unions of the CIO was responsive to the needs of industrial workers and effective within that setting. However, these unions themselves became

part of an industrial culture with two dominant characteristics.

First, industrial culture perpetuates the belief that work and the fruits of labor belong to the property owner--the industry, the manager, the "boss."

Second, industrial culture places workers and management in two distinct camps--one that "directs" work and one that "does" work. This model, more civilized on the surface than its antecedent, is nonetheless rooted in the relationship between master and slave. Every gradation of this relationship, from paternalism to open conflict, is present in the industrial culture. Whether the relationship is relatively smooth, or dangerous and violent, it always reflects two camps: master and slave, director and doer, parent and child. This relationship has perhaps been best codified and reflected in the culture of working people by the song "Which Side Are You On?" which came out of the violence which occurred while organizing workers in the Appalachian coal mines.

"Which Side Are You On?"

1. Come all of you good workers,
 Good news to you I'll tell
 Of how the good old union
 Has come in here to dwell.
 CHORUS: Which side are you on?
 Which side are you on?
 Which side are you on?
 Which side are you on?

2. My daddy was a miner
 And I'm a miner's son,
 And I'll stick with the union
 Till ev'ry battle's won.
 Which side are you on?

3. They say in Harlan County
 There are no neutrals there;
 You'll either be a union man
 Or a thug for J.H. Blair.
 Which side are you on?

4. Oh, workers, can you stand it?
 Oh, tell me how you can.
 Will you be a lousy scab
 Or will you be a man?
 Which side are you on?

5. Don't scab for the bosses,
 Don't listen to their lies.
 Us poor folks haven't got a chance
 Unless we organize.
 Which side are you on?
 Which side are you on?
 Which side are you on?
 Which side are you on?¹

For many Americans, the reality of the industrial workplace has been forgotten, or is simply unknown. The following excerpt from "A Short History of American Labor" demonstrates the depth of workers' feelings and the public relations response that has exacerbated both the anger among

¹"Which Side Are You On?" words by Florence Reece.
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workers and the lack of understanding among the rest of society.

From Murdered Miners to Shiny Dimes

One chapter of the history of early-century industrial conflicts involved John D. Rockefeller, the first tycoon of the age of energy and the creator of the Standard Oil complex of corporations.

Rockefeller controlled the Colorado Fuel and Iron Corporation, whose coal miners went on strike in 1914. With their families, they were promptly evicted from company-owned homes in Ludlow, Colorado.

They moved into a cluster of tents, around which National Guard soldiers took positions, at night occasionally firing their rifles into the colony. To protect the children, the miners dug a cave under the largest tent. But on Easter night, 1914, company-hired gunmen and some of the National Guard poured oil over the strikers' tents and set them on fire.

As frantic miners and their families ran for safety in the night, they were machine-gunned. Some escaped, some were wounded, and 13 children and a pregnant woman in the recently dug cave all died--some with gun wounds, some from suffocation.

The nationwide protest against the killings on Rockefeller property were immediate and long sustained. Eventually, it led Rockefeller, the nation's first billionaire, to hire Ira Levy, an early public relations man, to repair John D.'s sullied reputation.

Even as an old man, Rockefeller continued to hand out shiny dimes to little children in the effort to erase the Ludlow image--but among the miners, and workers in many other unions, the memory of Ludlow persists like an endless bad dream. ("A Short History," 1981, p. 10)

Organizational growth precipitated a changing concept of "work." The period immediately prior to and following World War II saw dramatic growth of middle management.

America emerged as an industrial giant with a new cadre of "managers" between "owners" and "labor."

Burnham calls this emerging group "bright young men," and "educated and ambitious youth" (Burnham, 1962, p. 109). Whyte, in his landmark discussion of American business culture, The Organization Man, labels this new cadre of managers appearing in business and industry as the "dominant members of our society" (Whyte, 1956).

America prospered during the 1950-70 period largely because of the lack of international competition for the products it produced. During the late '70s, throughout the '80s, and into the '90s, however, America has been and continues to compete in a worldwide economy (National Center for Education and the Economy [NCEEP], 1990).

This account must include the obligatory story of W. Edwards Deming, who was rejected by American business. Deming traveled to Japan and founded and developed a quality management process which turned Japan into America's most fierce and most successful competitor, especially in the production of automobiles and computers. He, more than any single individual is associated with the Japanese "economic miracle" (Walton, 1986).

Deming returned to America in the '80s and became this country's chief guru of quality management. He began to spread a now more readily acceptable gospel of quality and continuous improvement among the heathen in American

industry. Deming took to task Tayloristic-bound corporate America, blaming management for virtually all of the problems with America's failure to compete effectively in world markets (Walton, 1986).

In spite of this, American-owned and managed firms are not converting quickly to quality management.

A recent study by the Commission on the Skills of the American Workforce, America's Choice: High Skills or Low Wages! (NCEEP, 1990) reports that only 5% of United States employers indicate any interest in approaching the issues of education and training in the workplace on a formal basis. The study concludes that unless American employers address these issues and address them relatively quickly--within the next decade--America will continue its gradual slide into economic decline. This sad scenario warns of an America divided between rich and poor, with no middle class. It pictures an America turned into a service-based economy, having given up its manufacturing base and conceding the high technology base to its foreign competitors. The Commission bases this scenario on its findings that the number of American firms committed to high performance, high skills, and high wages, is, in fact, relatively small (NCEEP, 1990).

If the number of firms engaged in quality-driven high performance efforts is small, and the number of workers

represented by these firms is relatively small, then the quality movement remains an anomaly in the American economic system, rather than the dynamic force that some writers describe (NCEEP, 1990).

Absent systemic acceptance of the principles of quality, and absent universal skill in the application of those principles, American workplaces will slip farther and farther behind in the global marketplace (NCEEP, 1990).

In America's Choice: High Skills or Low Wages! the 1990 report of the Commission on the Skills of the American Workforce, Marc Tucker says "the steam engine and the electric motors drove the first two industrial revolutions and the advent of the computer, high speed communication and universal education are heralding a third industrial revolution" (NCEEP, 1990, p. 1). Tucker believes "high performance work organizations are replacing mass production in the world's best companies. The guiding principle is to reduce bureaucracies by giving autonomy to frontline workers" (p. 2).

Tucker clearly states that work reorganization requires investment in the workers by companies. He also believes productivity and quality gains more than offset the cost to the company. Crosby says that quality is free (Crosby, 1993). Regardless, Tucker found that only 5% of American companies are moving towards new forms of work organization, and that "only 8% of our frontline workers receive any

formal training and this is usually limited to orientation for new hires or short courses on team building or safety" (NCEEP, 1990, p. 3).

The choice that America faces is a choice between high skills and low wages. Gradually, silently, we are choosing low wages. . . . What we are facing is an economic cliff of sorts. And frontline working people of America are about to fall off it. To avoid falling off, many policy changes are needed, but one thing is for certain: we must work more productively. . . . We can only do this by reorganizing the way we work in our stores and factories, in our warehouses and insurance offices, and in our government agencies and hospitals. We can give much more responsibility to our frontline workers, educate them well and train them to do more skilled jobs. (NCEEP, 1990, pp. 2, 3, 14)

The central message of the quality movement is that quality goods and services are produced in a high performance workplace characterized by trust, cooperation, and communication. Given an entrenched culture of mistrust and confrontation based on a centuries-old tradition of master and slave, how do managers and workers arrive at mutual trust?

There are some brief historical perspectives that help to point the way. Early industrialization in the northeastern part of this country was based initially on the experience and work styles of skilled craft workers--those who came to be represented by the unions of the American Federation of Labor. Using this model, a crew or work team built a product from beginning to end. This was a relatively slow process, but its products were of high quality,

reflecting the skill and craftsmanship of the workers who built them.

Henry Ford, remembered for mass production and the assembly line, actually built his first cars using this type of work team. It was Frederick Taylor who devised the production line which became the symbol of Ford and the new era of industrialization (Hummel, 1987). The production line was fast and enabled unskilled workers to build things.

Taylor reduced work to its smallest, simplest form. He lined up workers, side by side, and gave them single, repetitive tasks which they performed in isolation from other workers who performed different single tasks. The product moved down the line, metamorphosing from raw material into finished product. The worker remained stationary, doing the same small task over and over on an endless stream of partially finished products. This method allowed factories to produce vast quantities of products. "Mass production" was invented (Hummel, 1987).

The unskilled worker had no reference point for comparing the quality of one item on the line with another. Furthermore, the emphasis was on producing "more," rather than producing "better." The production line generated large quantities of product which were subjected to inspection after completion. Inspection identified the products which met standards, and identified the rest as substandard product which was either scrapped or re-worked. Thus,

increased production in this setting necessarily decreased quality (Tucker & Marshall, 1992). The traditional production model was built upon rapid production, final inspection, re-work, and substantial amounts of scrap or waste (Tucker & Marshall). The Des Moines, Iowa, Firestone tire-building plant, for instance, was, until about 1990, just such a plant. Recognized as the most productive plant in the Firestone chain (i.e., the most saleable product per worker/hour), the Des Moines plant also produced the largest amount of scrap per finished product of any plant in the Firestone chain. Conventional industrial wisdom assumed that the two--productivity and scrap--were inextricable (Tucker & Marshall, 1992).

In the Taylor model of worker isolation and simple machine-like tasks, workers became emotionally and mentally disconnected from their work. Workers followed schedules set by managers, doing what they were told to do, when they were told to do it (Lynch, 1991).

Industrial unions sought to break down this isolation through collective action. Because Taylor's scientific management depended upon worker isolation, unions and management were naturally and immediately at cross purposes.

The problem faced at the turn of the 21st Century is that this factory model does not work in a competitive world economy. The United States has lost its competitive edge in the manufacture of goods. Attempts at short-term solutions,

such as lay-offs, reduced wages, and shipping work to cheaper foreign job sites, have not allowed American business to regain its competitive edge (Walton, 1986).

In the traditional industrial setting workers and managers know the rules, their roles, and their responsibilities. The rules are based on the owner-property system: management owns everything, including skills and product; workers own nothing. The roles are separated and divided: management thinks; workers act. The responsibilities are top down: management decides; workers do. This dysfunctional system is very difficult to dislodge. A system in which everyone knows the rules, roles, and responsibilities is very safe. One does not have to deal with the fourth "R," risk.

The willingness and capacity to engage in risk allows a new dynamic to develop: This new dynamic includes rules of shared ownership where all contribute and all gain; roles of collaboration where the managers facilitate work and workers both think and do; and mutual responsibilities in which everyone is accountable for the quality of the products and services generated by the enterprise (Figure 2).

The solution, according to Deming, Tucker, Crosby and others, is continuous improvement: Continuous improvement accomplished through the reorganization of work and workers into responsible, highly skilled teams, and processes which build in quality rather than select it through inspection.

CHARACTERISTICS OF TODAY'S AND TOMORROW'S WORKPLACE ¹	
TRADITIONAL MODEL	HIGH PERFORMANCE MODEL
STRATEGY	
<ul style="list-style-type: none"> • mass production • long production runs • centralized control 	<ul style="list-style-type: none"> • flexible production • customized production • decentralized control
PRODUCTION	
<ul style="list-style-type: none"> • fixed automation • end-of-line quality control • fragmentation of tasks • authority vested in supervisor 	<ul style="list-style-type: none"> • flexible automation • on-line quality control • work teams, multi-skilled workers • authority delegated to worker
HIRING AND HUMAN RESOURCES	
<ul style="list-style-type: none"> • labor-management confrontation • minimal qualifications accepted • workers as a cost 	<ul style="list-style-type: none"> • labor-management cooperation • screening for basic skills abilities • workforce as an investment
JOB LADDERS	
<ul style="list-style-type: none"> • internal labor market • advancement by seniority 	<ul style="list-style-type: none"> • limited internal labor market • advancement by certified skills
TRAINING	
<ul style="list-style-type: none"> • minimal for production workers • specialized for craft workers 	<ul style="list-style-type: none"> • training sessions for everyone • broader skills sought

¹Source: "Competing in the New International Economy." Washington: Office of Technology Assessment, 1990.

Figure 2. Characteristics of today's and tomorrow's workplace.

From the Secretary's Commission on Achieving Necessary Skills, What Work Requires of Schools: A SCANS Report for America 2000, Washington, DC: U.S. Department of Labor, 1991, p. 3.

In the industrial setting, "building in quality" means worker control over processes, decision-making at every level of production, and responsibility for the ultimate product. For managers and workers these are neither easy, nor for many, even desirable, changes.

Furthermore, this "solution" is predicated on the existence of relationships which will support such change. In the industrial culture of master and slave these relationships rarely exist.

American industry needs help. Managers are turning to the growing ranks of "management consultants" to help them develop total quality programs, continuous improvement programs, and high performance programs.

To whom do workers turn? The AFL-CIO, in its traditional incarnation, provides little assistance in this new territory (AFL-CIO Committee on the Evolution of Work, 1994). The AFL-CIO's traditional structure, modeled on the factory's divisions of labor, provides for collective bargaining in an adversarial and confrontational environment; it provides for political education which seeks redress of workplace inequities in an arena outside the workplace; and it provides for community services and family assistance when the collective bargaining system and the political system fail to meet the needs of workers. It does not provide for workers and managers to work collaboratively

to increase the effectiveness of the work organization (AFL-CIO Committee on the Evolution of Work).

Where do workers go to sort out the expectations they must meet in order for the enterprises which constitute their livelihood to be secure? What are the risks and rewards inherent in changing the rules, roles, and relationships in the workplace?

The central question of this inquiry focuses on that changed relationship: How do management and labor arrive at productive interaction and mutual trust?

Lane Kirkland, President of the AFL-CIO and Chairman of its Human Resources Development Institute says, "In today's changing economy, skill training can be a key to job security and good wages for America's workers. Unions are taking a leadership role in expanding those training opportunities through innovative programs in the workplace" (Kirkland, 1992).

The AFL-CIO Report "Joint Labor Management Training Boosts High Skill, High Wage Workplace" (Roberts, 1992) cites a number of academic studies showing higher productivity of union members:

James Medoff of Harvard University and Charles Brown of the University of Michigan found union workplaces 22% more productive than non-union plants. Kim Clark of Harvard found unionized cement plants 6% to 8% more productive than non-union plants. And Steve Allen at the University of North Carolina found union construction workers 23% to 38% more efficient than non-union construction workers. (p. 1)

The Report goes on:

These academic studies suggest union workers were productive because better pay and benefits, more training, greater job security, and grievance procedures give more job satisfaction, making them less likely to quit. With lower turnover, union workers are more experienced and have more on-the-job training and experience." (p. 1)

Voos, Eaton, and Belman (1993) contend that:

The greater individual security in union firms may be one reason we now see more employee involvement, work teams, and gain sharing in the union sector than in the non-union sector. Unionization aids employee participation in a number of ways; by legitimating programs in the eyes of an often skeptical workforce, by insisting that programs are appropriately balanced between quality of work life and productivity goals, and by providing employee input into the overall design and operation of the program. (p. 470)

Marshall says that one of the key elements of a high performance work system is an independent source of power for workers, "a labor union and collective bargaining agreement that protects employee interests in the workplace; helps to equalize power relations with management; and provides mechanisms to resolve disagreements that arise because of the inherently adversarial nature of labor/management relations" (Marshall, 1991).

Anthony Carnevale, of the American Society for Training and Development says that union sponsored work-based training programs represent the fastest growing area of education in the United States today (Carnevale, 1991).

In The Fifth Discipline, Peter Senge lists what he calls the five essential characteristics of effective organizations--his "Five Disciplines:"

1. Building shared vision. - The practice of unearthing shared pictures of the future that foster genuine commitment.
2. Personal mastery. - The skill of continually clarifying and deepening our personal vision.
3. Mental models. - The ability to unearth our internal pictures of the world, to scrutinize them and to make them open to the influence of others.
4. Team learning. - The capacity to "think together" which is gained by mastering the practice of dialogue and discussion.
5. Systems thinking. - The discipline that integrates the others, fusing them into a coherent body of theory and practice. (Senge, 1993, p. 4)

Rhodes (1993) writes that:

From cognitive research we now have a beginning picture of how learning takes place in human minds that is comparable to a physiological chart of the body's interconnected function. This picture shows the human taking in information from involvement in meaningful work, then actively making sense and constructing knowledge from the interaction of new information and prior understandings. It seems we humans are purpose driven, trial and error learning machines - and this process is hard wired into our brains and cells.
(p. 16)

Rhodes quotes Land in Grow or Die:

Physiological processes are an extension of biological processes; the destiny of a simple cell and an individual human is to reach out and to effect its environment; and the single process that unites the behavior of all living things is growth. (p. 16)

Rogers tells us that we can learn the skills that are necessary to effect change over the long term. This may indicate that a specific counseling approach may be critical to change in the workplace. Rhodes claims that the single characteristic uniting all human beings is growth. Perhaps,

then, a counseling model that supports, encourages, and develops skills for growth would be more effective than a directive model built on short-term change which lasts only as long as the instigating consultant lasts.

It is apparent that to this point cognitive and behavioral approaches have been used to catalyze change in the workplace. Perhaps an affective approach would be more effective. Rogers offers such a construct. The goal of Rogerian counseling is to "provide a safe climate conducive to clients' self-exploration, so that they can recognize blocks to growth and can experience aspects of self that were formerly denied or distorted, [and] to enable them to move toward openness to experience, greater trust" (Corey, 1982, p. 223). In this approach,

the relationship is of primary importance . . . including genuineness, warmth, accurate empathy, respect. . . . Basic techniques include active listening and hearing, reflection of feelings, clarification, and 'being there' for the client. Support and reassurance are often used when they are appropriate. . . . This approach's unique contribution is having the client take an active stance and assume responsibility. (Corey, 1982, pp. 232, 242, 243)

In its 1994 report entitled The New American Workplace; a Labor Perspective, the AFL-CIO Committee on the Evolution of Work includes the following comments in a section entitled "The Role of Organized Labor in Driving Towards Workplace Change":

If the 1980's taught one lesson, it is that the task of management is too important to be left to owners and their managers. Owners come and go with changes in stock prices; their interest is to make money now, come

what may. But the national interest lies in building strong and stable enterprises, not in short run efforts to titillate the stock market watchers.

We also have learned that the first victims of poor management are not the managers themselves nor those who hire the managers and provide the capital. Rather the victims are first and foremost the workers who do not enjoy the benefit of gold (or even tin) parachutes to cushion their fall. Workers invest themselves in their jobs, their employers and their industries.

We know, too, that the whole course of human history teaches that power is rarely freely surrendered by those who enjoy it. Left to its own devices, management is most likely to continue to adhere to the old ways and, when confronting a crisis, to seek low wage solutions or to propose work reorganization which leave the underlying power relationships unchanged.

All of this requires unions to take the initiative in pushing towards our vision of a new model of work organization based upon equal partnerships. Although unions have, in the past, found it necessary to agree to management's demand that certain of its prerogatives remain inviolate, the moment has come for unions to insist upon the right of workers to participate in shaping the work system under which they labor and to participate in the decisions which effect their working lives. (pp. 16-17)

The Committee goes on to say, in a section entitled

"The Role of the AFL-CIO:"

For many labor leaders, entering into new partnerships and designing new work systems is a venture into uncharted terrain. They must learn a new lingo, new concepts, and sometimes new skills.

In this area, we in the AFL-CIO have, regrettably, been insufficiently attentive to the needs of trade union leaders who are on the firing lines. Not enough has been done to provide them with useful information, instruction or assistance. The result has been that outside of national bargaining relationships, unions have often not been well enough prepared to respond to management proposals, let alone to take the initiative in seeking the reorganization of work. (p. 15)

Much has yet to be said about the evolution and organization of work itself. While we often focus on the

organization of work in America since World War II, there is a relatively lengthy and somewhat philosophical history of work that is often not dealt with in popular conversations about work. According to Hummel, it was Galileo himself who talked about "separating out"--controlling and measuring. Galileo, being a scientist and mathematician, was interested in control and measurement. This process implied something outside of one's self (Hummel, 1994). Hummel says that Immanuel Kant, in Critique of Pure Reason,

is the first to be critical of a split between the function of being in touch with reality and the function of analyzing what we are in touch with: the split between knowing and thinking. His insights challenge today's division between a management that claims it thinks while workers merely do. Thinking, Kant shows, is not possible without content that comes from doing. (p. 205)

Further, says Hummel, "Husserl predicted the current crisis of quality as the inevitable product of the conversion of science into technique" (Hummel, 1994, p. 205).

Hummel also says,

Modernity's entire ability to control the world rests on its ability to abstract from the world. Science and mathematics are the tools for such abstraction. Around science, mathematics, and their offspring technology, an entire power structure has grown up. It is ready to defend not only this knowledge system, but the inhabitants of that power structure itself: managers. (p. 74)

The rise of managers is a sociological phenomenon which must be mentioned here. The growth of the middle class and technical workers--engineers and scientists--precipitate and

exacerbated the separation of thinking and doing in the workplace (Burnham, 1962).

Burnham also says,

In simplest terms, the theory of the managerial revolution asserts merely the following: Modern society has been organized through a certain set of major economic, social, and political institutions which we call capitalists, and has exhibited certain major social beliefs or ideologies. Within this social structure, we find a particular group or class of persons - the capitalists. Within the new social structure, a different social group or class - the managers - will be the dominant or ruling class. (p. 74)

Domhoff says "most sectors of the American economy are dominated by a relative handful of large corporations. These corporations, in turn, are linked in a variety of ways to create a corporate community" (Domhoff, 1983, p. 56).

Domhoff maintains that the ties in the corporate community are not only economic but also social; for example, inter-marrying among families and belonging to the same clubs. He believes they

share the same values and goals - in particular the profit motive. Finally, and not least, the common goals of the corporations lead them to have common enemies in the labor movement and middle class reformers, which gives them a further sense of a shared identity. (p. 56)

Domhoff also believes there is an opinion-shaping process which

involves a wide range of organizations and methods through which members of the power elite attempt to influence the beliefs, attitudes and opinions of the general public, in order to prevent the development of attitudes and opinions that might interfere with the acceptance of the policies created in the policy formation process. (p. 98)

In the days of feudalism, it was against the law to pay wages to artisans, or craft workers. These workers belonged to the feudal lord and were "attached to the land." Their loyalty and duty were owed to a person (Burnham, 1962). Burnham also tells us that the shift from feudalism to capitalism shifted the "locus of sovereignty from feudal lords and kings to parliament" (p. 22). This shift in the locus of power shifted the power in the public and private sectors to a group of managers in each who would collaborate not only in managing their own businesses or bureaucracies, but also in managing the country.

The shift from feudalism to capitalism was based on commodity production, which required the creation of an exchange rate to define value: a price. The elements of the economic system were reduced to their exchange value: materials, labor, and so forth. No longer was value equated with work. Value came to be equated with commodity--the product. The work that produced the product became one of the components of the commodity and was assigned an exchange rate: wages (Burnham, 1962).

The significant shift that Frederick Taylor made in industrial organization within the plant fit very well with the shift that was taking place in society at the same time. The metaphor for society was becoming the factory, and the factory was becoming organized along lines of separation: thinking and doing. Hummel (1994) addresses the rise of the

manager in industry as a natural result of an evolution of expertise as power. When scientists, engineers, and mathematicians began to operate the plant along the lines of Taylor's "scientific management," the shift from meaningful work to abstraction of meaningful work was complete. Hummel also describes bureaucrats who rely on what he calls analogous thinking ("work is like . . .") rather than direct knowledge ("work is . . .") (p. 204).

Hummel (1987) says that the "new/Japanese" thinking in management is exactly what workers and philosophers have been thinking all along. In fact, he redefines quality as "the worker using his or her own judgement to achieve assigned goals" (p. 78). Hummel maintains "because it is quantity that the owner, the manager, or the production engineer want, quantity wins over quality based on the workers' own knowledge of what it takes to get a job done" (p. 72).

Hummel agrees with the observations of Tucker and Marshall that "quality started at a very high level before quantity management ever came along. Quality then started dropping as quantity went up" (Hummel, 1987, p. 72). Tucker and Marshall remind us that the industrial/factory model is built on the production of scrap, because of the requirements of quantity (Tucker & Marshall, 1992).

Hummel says "to get inside the work, you yourself have to do it" (Hummel, 1987, p. 73). He uses the example of an

auto worker putting a fender on a car. This points out the difference between "hands-on" and "abstract" experience:

This fender, that now confronts me as I put my shoulder to it and as I tug on it with my right hand and wiggle it with my left to make it fit, appears to me possessed of inner capacities, or concealed qualities. . . . When I treat the fender without regard to the particular way this fender acts when confronted by my shoulder and hands, I can't get it onto the body. (Hummel, 1987, pp. 76-77)

Hummel believes "workers need the time and space to feel out the particular way in which a specific object wants to be treated." He believes that both abstract and experiential knowledge are valid: "One--while it can design the world--can't get any work done. And the other can't design the world" (Hummel, 1987, p. 77).

In the process of attempting to reorganize the workplace in the face of this incredibly huge, lengthy, and broad-based cultural/philosophical history, some enterprises are rushing into building teams without dealing with the cultural aspect. Workers are concerned about this new "management program," as illustrated by Parker and Slaughter in Choosing Sides: Unions and the Team Concept (1988), but they are not alone. A recent survey by Zenger-Miller, a premier workforce training consultant, discovered "more than one-third of companies surveyed reported internal resistance and/or sabotage to their quality and team initiatives. Middle managers received the greatest blame for impeding both quality and team efforts at 75% and 70% respectively"

(emphasis added) ("New Zenger-Miller-Achieve Research Findings, 1994, p. 13).

In the face of these obstacles, Hummel suggests that we must first use storytelling as a method of finding common ground. He says "the biographical anecdote--recalled experience--serves the function of making a new situation part of the listener's previously experienced world" (Hummel, 1991, p. 35). This is not unlike Rhodes' account. We take in new information, says Rhodes, and filter it through our own past experience and current knowledge to create new knowledge--we learn (1993). This process expands "the listener's own world, or definition of reality, by allowing him or her to tentatively include the storyteller's different and even strange experience" in his or her own world. Hummel says "as we hear the story, the events are not meaningful for us until we have read ourselves into the story" (Hummel, 1991, p. 36).

Thus, Hummel believes that storytellers and listeners collaborate "in the construction of the reality" of their own situation. He asks if the story can so engage the listener that he or she "can contribute to co-defining what the story is about--the problem--and work on solving it? The ultimate test is that a new and desired reality is jointly created. Clearly managers are first in the creation business, not the analysis of business" (Hummel, 1991, p. 36).

Hummel (1991) rather neatly summarizes "it is only once a previous framework exists, and is validated as reflecting events and reality according to its own validity standards that any kind of action, including scientific investigation can proceed (p. 39)." In order for any kind of strategic planning process to succeed, this framework must be created. Hummel suggests storytelling as a method of creating that framework.

Further, Lincoln and Guba have clearly described what they call a holographic process in which several people describe an object, event, or process from their particular perspective in order to present enough pieces of the reality to recreate the entire reality actually present in the workplace (Guba & Lincoln, 1989). That is, if several individuals were seated around an object, each describing it from their own perspective, it would require all of the descriptions together in order to adequately describe the entire object. Each must share his or her own particular piece of the reality with others so that all can integrate that information and translate it into the entire reality shared by all. In fact, the synergism of this activity can create a "new reality" (Guba & Lincoln, 1989).

Hummel suggests storytelling as a way to create this new reality--perhaps a new workplace. Sharron Clayton says we must learn to dance a new dance. She believes the

struggle in which we engage in the workplace could be turned into a dance. The partners move willingly to create a new reality in which they may each benefit from the moves of the other (Clayton, 1994).

A discussion of the power structure is important in this context because it addresses the issue of "who runs the store." Burnham talks about owners being replaced by managers (Burnham, 1962). Managers are actually in control, he maintains, because they decide who controls access to the plant and equipment, and who controls the distribution of the products of the enterprise. He also believes, along with Hummel, that the most critical of these two is access. Bertrand Russell narrowed this concept to the notion that the managerial class, public and private, reinforce one another's power. Managers of a private enterprise could "lock out" the workforce and decide who had access to the building, with the power of the state backing them up. Russell says this is the key and ultimate power (Domhoff, 1983). This issue is very evident today in the form of striker replacement tactics.

Even though labor has fought tooth and nail with management, organized labor is not outside the power structure! Workers may have been on the outside, but managers of large international unions, and even of local unions, are part of "big labor," supporting the power

structure, not opposing it (Burnham, 1962). Samuel Gompers, first president of the AFL, in a famous statement, reminded workers that "The business of labor is business." The people who run unions are, in fact, also managers ("A Short History," 1981).

Hunter, in his 1953 study of Atlanta, identified what he called a "local growth machine with the building trade unions as junior partners" (Domhoff, 1983, p. 168). He compared the local power structure with the national power structure, but never for a moment doubted that there is, in fact, a power structure. The "local growth machine," as he calls it, is responsible not only for the ownership of land, but also the production that take place on it (Domhoff, 1983, p. 167).

Learning the new dance will require dance instructors who are not yet accustomed to dancing themselves, and must be willing to step on a few toes in the learning process.

Chapter 3

METHODOLOGY

Introduction of the Process

The specific methodology of this study had to reflect the researcher's need to uncover realities in and of real interactions and relationships. This study looked for evidence of change in the workplace, specifically, evidence of change within a broadly defined ethical system called a place of work. How is change begun? Who starts it? Who maintains it? How is it maintained? The research question became "is there a discernable, definable process that can be documented and reported as a case study for instigation, implementation, and maintenance of the change process in a place of work?"

The researcher came to believe that it was necessary to muddle about in a place of work, but to do so with some scientific rigor. "I would hold that ethnography is best served when the researcher feels free to 'muddle about' in the field setting" (Wolcott, 1975, p. 113). However, naturalistic inquiry is not simply an excuse to muddle about (Guba, 1979). Therefore, the intent of the study, and the general process it would require, would determine the methodology. This section discusses those issues.

In order to discover evidence of change in the workplace, the researcher must enter a workplace, immerse in it, and view the processes at work in that workplace through the eyes of the workers and managers who work there. This process required the identification of a workplace where there was indication that change was desired--where the workers and managers were in a position to agree on some process of change and work toward it together. Rapport had to be established with both the workers and the managers. There had to be some expectation that confidence could be gained and trust built with both labor and management. The researcher had to be able to reach a certain level of credibility with the participants before they would invest the kind of time that would be necessary to conduct such a study. In addition, all this had to be achievable within a specific time frame.

Some definable benefit had to accrue to both the participants and the researcher in order to make this a worthwhile endeavor for each. Much of what the researcher brought to the process was a visceral or "gut" feeling about what was going on in this workplace. This clearly corresponds with Guba and Lincoln's concept of including tacit or felt knowledge in research (Guba & Lincoln, 1989). Interpretation of observable phenomena that were context-bound would be explained by the participants within their own context. Reports based on the research activity would be

prepared and presented to participants for their reaction to the researcher's interpretation of their interpretation. Finally, the researcher could not write a final document in direct conflict with the interpretation of the participants about their own activity. Therefore, while the researcher must express a personal interpretation, the process must allow time to provide for iteration and reiteration between and among the participants and the researcher.

Finally, the methodology must yield three products: Documentation of the process, a document of use to the participants which would aid their own process without empowering one group of participants over another, and a suitable dissertation.

Choosing a Methodology

This study required a methodology which allowed the researcher to discover the questions and the answers within the same process. That is, within the broadly defined ethical system of a workplace, the study required a methodology with scientific rigor and accountability, but which was not rigid and confining. The traditional scientific paradigm for research did not meet these requirements (Guba & Lincoln, 1989).

Information for this study came not just from the literature, but also by interviewing participants, identifying key informants for interviewing, and getting to

know them rather well. "It is no coincidence that participant-observation and interviewing are mentioned first among the tools of research" (Wolcott, 1975, p. 122). This study included "extended interviews with . . . [a] few members of a group rather than brief interviews with numerous 'subjects'" (p. 122). The author shares with Wolcott the experience that "[Teachers] are usually quite willing to respond to a personal invitation for an interview even though they may be rather hostile to a request to complete 'another damn questionnaire'" (p. 122).

Since this research was to be conducted in a workplace, and consisted primarily of interviews, observation, and interaction with participants, the traditional scientific method was not appropriate. The research environment contained not a singular reality but multiple realities. The researcher could not maintain a subject--object duality, but intentionally interrelated on a subject--object basis that blurred the lines between what some would call subject and object. Further, this process calls into question the validity of generalization. Many factors influence specific situations. Everything must be dealt with in context, and accurately reported within that context.

Finding evidence of change in the workplace is not simply a matter of determining and measuring objective criteria. In fact, Guba asserts that "virtually all the

phenomena that the social-behavioral inquirer deals with exists in the minds of people" (Guba, 1979, p. 270). If this study was to discover what exists in the minds of the participants, the researcher would absolutely have to interact with them in the research project. "Not only is there subject reactivity; there is interactivity, with the investigator influenced as much as the subject" (pp. 270-271). The researcher could not in good conscience expect to enter a research project such as the one described here without interaction with the participants. This interaction undoubtedly affected the researcher as much as it affected the participants. In fact, "The interaction can be seen as a learning process for the investigator" (p. 271).

Consequently, the participants had as much to say about what was reported as the researcher. Wolcott maintains (1975) that an ethnographer must not only report his or her own observations and conclusions but "especially the meaning the actors themselves assign to events in which they engage" (p. 113). Wolcott goes on to say that one must be "free to discover what the problem is rather than obliged to pursue inquiry into a predetermined problem that may in fact exist only in the mind of the investigator" (emphasis added) (p. 113). Guba concludes "that the naturalistic paradigm is the method of choice whenever one deals in the social-behavioral area" (Guba, 1979, p. 271).

Lincoln and Guba propose an "engaged" methodology whose tenets describe the researcher's own predisposition for research methodology. In describing the naturalistic inquirer, they have described this researcher.

This methodology not only fits the research, but in this case, it fits the researcher.

Underlying Philosophy and Paradigm

This research required an underlying philosophy and paradigm. These basic assumptions from Guba (1979, p. 269) formed that basis:

<u>SCIENTIFIC PARADIGM</u>	<u>NATURALISTIC PARADIGM</u>
Singular reality	Multiple reality
Subject-object duality	Subject-object interrelatedness
Generalizability	Contextuality

Traditional scientific methodology recognizes a truth "out there" that can be verified through carefully crafted objective research which then enables accurate prediction for similar situations. Naturalistic research recognizes many "truths" discovered through interactions between researcher and participants which are "explainable" only within the context of the research site, but which may also be "lessons" within the field of study (Guba, 1979).

This study meets the requirements of a naturalistic paradigm. First, there is not a single reality "out there";

rather, there are multiple realities. Second, not only could the author not maintain a subject-object duality but, in fact, believed that researcher-participant interrelatedness was desirable. Third, while there may be some generalization possible, the contextuality of this study and its lessons are its compelling aspects.

Lincoln and Guba (1985) impose "three mandatory requirements and one optional requirement on anyone who wishes to label his or her work as naturalistic":

1. That the inquirer adopt the stance suggested by the axioms of the naturalistic paradigm. (mandatory)
2. That the inquirer commit him or herself to the development of a level of skill appropriate to a human instrument and sufficiently high to ward off criticism on the grounds of instrumental inadequacy. (mandatory)
3. That the inquirer devise an acceptable initial design statement that attends to those elements. (mandatory)
4. That the inquirer engage in prior ethnography to provide both a springboard and a benchmark for the more formal study to follow. (optional) (1985, pp. 251-252)

This study meets each of these requirements.

First, this study adopts the stance of the naturalistic axioms. Second, the researcher has reached a level of skill in this type of process that meets the requirements of an effective human instrument. Third, this chapter contains the appropriate design statement. Finally, The researcher has engaged in sufficient prior ethnography at the food processing plant and with the local union which form the

subject of this study, providing both a "springboard" and a "benchmark" for the more formal study to follow (Lincoln & Guba, 1985).

In short, this study reflects all the critical steps suggested by Lincoln and Guba as implementation elements requiring early attention, including the early steps of initial contact, gaining entrance into the system, negotiating, participating, building and maintaining trust, and identifying "key informants" in the research setting.

Characteristics of a Naturalistic Inquiry

This section summarizes the methodology by listing and paraphrasing Lincoln and Guba's 14 characteristics of a naturalistic study (Lincoln & Guba, 1985). This summary demonstrates how this study parallels the 14 characteristics and thus meets the criteria of naturalistic design.

1. Natural setting (Lincoln & Guba, 1985, p. 39).

Traditional scientific inquiry takes great pains to maintain the integrity of the researcher and the researched by maintaining a distance between them. Creating a laboratory environment, demonstrating objectivity of the researcher, accounting for and controlling certain conditions, all are part of the positivistic scientific inquiry, and all are artificial to the naturalistic inquirer. In fact, in a naturalistic inquiry, interaction between researcher and participants in the experiment is not seen as harming the

experiment. It is seen, instead, as enhancing the results, making them more meaningful to the reader. In this study, the researcher interacts with the participants.

This inquiry was conducted in the natural setting of a food processing plant in the Midwest United States. The "company," embodied by the senior management at this location, represents one entity in this study. The "union," which represents hourly workers at this plant, constitutes a separate entity. Together, they comprise the "plant."

This study documents efforts undertaken by the company and the union at the plant to improve communications between labor and management, to improve the flow and process of work, and to improve the quality and quantity of the finished products of this plant.

The plant's experience is focused on the reorganization of work and a variety of efforts intended to increase the quality of the plant's product and processes.

This study includes documentation of a series of meetings between labor and management and within the labor force addressing the underlying reasons and specific processes for instituting a change process within the plant.

The union described in this study is the sole bargaining agent for approximately 300 workers in a 400 worker facility. Labor and management in this plant have made specific mutual commitments for continuous improvement of the efficiency and quality of their operation. The

researcher facilitated the interaction between labor and management at the plant and among the members of the union. A criterion selected by both labor and management as a prerequisite for participation states that each group is to maintain its own integrity throughout the process. Within this context, each wished to identify and agree upon common goals, objectives, and outcomes. The premise of this initiative was that labor and management can focus, to their mutual benefit, and while maintaining separate agendas, on the process of work within their plant, and experience gain without either group losing its own identity.

2. Human Instrument (Lincoln & Guba, 1985, p. 85). The primary data recording is to be done by means of a human instrument. While the traditional scientific method requires instruments such as pretests and posttests to measure the degree of change, the naturalistic inquirer, observing and recording multiple realities in the workplace, simply and honestly records and reports those phenomena as a part of the research. Furthermore, the researcher informs the reader about aspects of the research that might be ignored in a traditional design because they do not "fit" the paradigm. "The field worker's essential research instrument has always been himself" (Wolcott, 1975, p. 115).

The researcher has spent considerable time working with both management and labor at this plant.

The researcher's first contact with this plant was in Ames, Iowa, at the Iowa Manufacturing Conference in May 1991. At that conference, the researcher presented a workshop to approximately 100 labor and management representatives regarding the necessity of the reorganization of work. Following that presentation, the plant manager and chief steward from the plant which was to become the subject of this study approached the researcher. They were interested in the presentation and wanted to follow it up. In October 1991, the researcher, plant manager, and chief steward met again at a Governor's Quality Awards Recognition Luncheon in Des Moines, Iowa. At this luncheon, the plant manager and chief steward again approached the researcher about coming to this plant to discuss with them the issues of workforce reorganization. A number of meetings with company and union representatives over a period of time eventually resulted in a series of orientation sessions for the plant's entire workforce of about 400 persons. These orientation sessions were 1 1/2 hour interactional presentations for groups of 30-50 people each. With 30-minute breaks between sessions, the entire workforce was exposed to the concepts of workplace reorganization over a period of two days.

In May 1992, again, at the Iowa Manufacturing Conference, the researcher facilitated discussions between this plant's company and union representatives and local

union representatives from other manufacturing facilities within the state of Iowa, regarding workforce reorganization.

Over the next several months, through May 1993, the researcher visited the plant several times, touring the production facility and meeting off-site with the union in the process. The author became very familiar with management and union members, and participated in a number of meetings which included corporate executives from the company's home office in the southwestern United States, and representatives of the Federal Mediation and Conciliation Service. These meetings addressed the needs and concerns of the varying constituencies at the plant regarding workplace reorganization.

3. Utilization of Tacit Knowledge (Lincoln & Guba, 1985). With a human instrument comes a tacit knowledge and its utilization. A traditional inquiry may only be able to deal with tacit or felt knowledge through a survey instrument or some means of measurement. Knowledge that is only "felt" by the researcher but not measurable, must not be reported because it was not measured. In contrast, a naturalistic inquiry relies on "tacit, intuitive (felt) knowledge; because often the nuances of the multiple realities can be appreciated only in this way" (p. 40).

This plant, including the company and the hourly workers represented by the union, is involved in a quality

initiative which includes a gainsharing plan and a variety of other quality efforts.

The local union was eager to ensure that these efforts succeed. A more productive and competitive plant would result not only in a more profitable company, but also in job security, meaningful wage and benefit structures, and a healthier community economy.

The type of communication and cooperation which these initiatives required between the traditionally adversarial hourly and salaried employees was, however, not without its dangers.

First, the union was concerned that its identity, integrity, and cohesiveness not be undermined by participation of union members in the quality initiatives. Such participation needed to be understood as furthering the enlightened self-interest of the union, not "selling out to the company."

Second, union members, particularly stewards responsible for day-to-day maintenance of the collective bargaining agreement, were concerned about potential conflict between the quality initiatives and the contract. The interaction and mutual impact of the quality initiatives and the contract needed to be understood.

Finally, the union was concerned that natural turnover in union leadership and in management could result in the

loss of understanding and collective memory regarding the purpose and mutual commitments contained in the decision to enter the quality movement as a partner with the company. Some mechanism to ensure continuity and the transfer of information, beliefs, and skills needed to be established.

The union believed that a training program which operated outside the plant, within the union structure, was the most effective way in which to disseminate information, inculcate values, and provide for continuity of purpose and participation, for its members. The company agreed.

It was the intent of the researcher to ensure that both the quality initiatives and contract issues were understood as contributing to the workers' interests and well being within the context of a healthier, more competitive company.

Many of these issues are affective rather than cognitive, and could only be dealt with on the affective level, thus, the need to include a provision for tacit information on the part of the researcher.

4. Qualitative methods. The qualitative methods of data gathering are to be used in a naturalistic inquiry. Quantitative methods intentionally separate out the investigator and the respondent in order to assure that the investigator is not influencing the response. This study used a qualitative method "because such methods expose more directly the nature of the transaction between investigator

and respondent (or object) and hence make easier an assessment of the extent to which the phenomena are described in terms of (are biased by) the investigator's own posture" (Lincoln & Guba, 1985, p. 40).

The researcher is convinced that this methodology allows the researcher to be much more honest and open with the reader in explaining the researcher's relationship with the participants. It also allows the reader to more accurately identify the researcher's biases. Therefore, both the reader and the researcher are less influenced by them.

5. Purposive sampling. Traditional scientific inquiry requires sampling methodology to be very specific and very objective. Random sampling insures minimum tampering with the data by the researcher. Purposive sampling, on the other hand, allows the researcher to pick and choose which events, activities, or actions are significant to the research. "Purposive sampling can be pursued in ways that will maximize the investigator's ability to devise grounded theory that takes adequate account of local conditions, local mutual shaping, and local values" (Lincoln & Guba, 1985, p. 40).

As in the case of the human instrument, purposive sampling allows the researcher to determine what specific conditions, problems, or issues may be dealt with or related in the research for a more meaningful interpretation of what

is transpiring. Since one of the researcher's responsibilities is to "make sense" out of what is happening, it is necessary for the researcher to decide which pieces and parts of what is happening need to be related to the reader.

Since Lincoln and Guba readily admit interaction between researcher and researched, the researcher asked the participants in this change process to help think through a design that would both assist them in their change process and assist in the research itself. The result was a process which enabled the researcher to meet with the representatives of labor and management over a period of time, sometimes conducting workshops and facilitating interactions and other times observing processes. At all times, the researcher was recognized by the participants as both observer and facilitator.

6. Inductive Data Analysis (Lincoln & Guba, 1985, p. 40). Traditional research relies on deductive data analysis because of its desire to generalize and therefore predict. Since naturalistic inquiry is not interested in either generalization or prediction it does not rely on deductive analysis. Inductive analysis provides the opportunity to receive and interpret information from the participants as the study proceeds, and to make adjustments in the research which correspond to the new information. Otherwise, the researcher would be forced to ignore new

information until after the research is complete, adding it in the form of a footnote or other secondary information, rather than as an integral part of the inquiry. A naturalistic inquirer is required to "identify the mutually shaping influences that interact" (Lincoln & Guba, 1985, p. 40). This study identifies the mutually shaping influences that occurred during the course of this study and the influence they had, not only on one another but on the participants as a group. The author "learned" during the process.

7. Grounded theory. A traditional scientific inquirer comes to a study with a predetermined theory and tests it through the study. A naturalistic inquirer comes to the study with some general theory and a methodological design, but is not limited by a preconceived idea about what to expect in the research. Scientific inquirers believe their methodology keeps the researcher honest. Naturalistic inquirers believe that allowing the theory to emerge from the data without attempting to fit it to some preconceived notion is also honest, and gives the researcher much more latitude in simply reporting the data accurately and identifying the theory which grows out of the data. Naturalistic inquiry thus encourages the researcher "to enter his transactions with respondents as neutrally as possible" (Lincoln & Guba, 1985, p. 41).

While the literature review and prior ethnography provided a sense of what to expect in this workplace, the researcher felt completely free and comfortable reporting the data and identifying the theory that emerged out of it.

8. Emergent design. While naturalistic inquirers spell out a basic design, they are not wedded to details of the design in the same way that traditional scientific inquirers are. Emergent design recognizes that "what emerges as a function of interaction between inquirer and phenomenon is largely unpredictable in advance" (Lincoln & Guba, 1985, p. 41).

Although this study identifies a broad methodological design, it is important to remember that the final design emerged as a function and result of the interaction between the researcher and the participants in this study. It also allowed and enabled the author to learn as the study progressed, incorporating that learning into the research in order to better instruct and inform the reader.

9. Negotiated outcomes. Again, unlike traditional research, the outcomes of naturalistic inquiries are negotiated between and among the researcher and respondents.

The entire study was negotiated through the prior ethnography and throughout the design of the study itself, relying on honest and open interactions with the participants to arrive at the final outcomes.

outcomes depend upon the nature and quality of the interaction between the knower and the known . . . about the meaning of the data" (Lincoln & Guba, 1985, p. 41).

10. Case study reporting mode. This reporting mode is telling a story, rather than simply reporting data. While it is difficult if not impossible for traditional researchers to consider the cognitive, affective, and behavioral aspects of a research project, the naturalistic inquirer is encouraged to do so. It makes a better story. It also allows the reader to enter into the spirit of the project through the story telling mode. It gives the reader a feel for what actually happened, rather than simply data about what happened. This study attempts to tell the story of the workers at this plant as clearly and as honestly as possible. The researcher's only concern is a literary ability unequal to the task of adequately describing the genius present in this workplace.

Wolcott, quoting Paul Kutche, says that, "Good ethnography is good reporting, and that ethnographic facts clearly and accurately presented are likely to survive the theoretical frame of reference of the man [sic] who recorded them" (Wolcott, 1975, p. 14). The participants in this study are the real experts about the world of work. What they had to say had to be recorded honestly and accurately. The quality of the research depended upon the accuracy of the interpretation and reporting of the input by the

participants. However, the researcher also had to be able to maintain integrity, reporting what he believed should be reported. Therefore, a negotiation process between the participants and the researcher was a critical, necessary, and exciting part of this study. With Wolcott (1975), who believes the case study reporting mode is the "method of choice for ethnographer," Lincoln and Guba believe "it is more adapted to a description of multiple realities encountered at any given site" (Lincoln & Guba, 1985, pp. 41-42).

11. Idiographic interpretation. To interpret idiographically means to interpret events in terms of the particulars of the case. Since naturalistic inquirers are not concerned with generalization and prediction as are traditional methodologists, they are empowered to report and interpret specific or particular incidents within and about a research project "because different interpretations are likely to be meaningful for different realities" (Lincoln & Guba, 1985, p. 42). Because each situation develops within a unique context, interpretation of what is transpiring in this study had to be "in terms of the particulars of the case" (p. 42).

12. Tentative application. Each situation is unique. Lincoln and Guba suggest that naturalistic inquirers should be hesitant about making broad application of the findings

(Lincoln & Guba, 1985, p. 42). While this study seeks definable, discernable, and definitive change processes in the workplace, it reports these as particularly unique to this setting and to these participants. This research may simply be used as a learning experience and not as a formula. Each learning experience is unique and cannot be replicated.

13. Focus-determined boundaries. As the design emerges, so will the boundaries. Lincoln and Guba believe that naturalistic inquirers should "set boundaries to the inquiry on the basis of the emergent focus" (Lincoln & Guba, 1985, p. 42). This allows the researcher to take what is most significant out of the research, reporting and focusing attention on it without being bound by predetermined boundaries that fail to take into account the reality uncovered as a result of the research.

14. Special criteria for trustworthiness. Traditional research relies upon internal and external validity, reliability, and objectivity as criteria for trustworthiness. Lincoln and Guba believe these trustworthiness criteria to be "inconsistent with the axioms and procedures of naturalistic inquiry" (Lincoln & Guba, 1985, pp. 42, 43).

S. Pike Hall addresses this issue in his 1989 report to the American Evaluation Association.

Parallel criteria of rigor: Naturalistic parallels to conventional or rationalistic trustworthiness.

A. Credibility (counterpart of internal validity).

In general, an evaluator seeks to constantly note connections of conclusions with data (i.e., continued checking with respondents takes place) . . . "in tune" with the thinking of the most sophisticated of the stakeholders within the local reality.

B. Transferability (counterpart of external validity or Generalizability).

(1) Purposive sampling (sampling for maximum variety of opinion within and between stakeholder groups).

(2) Thick description (providing the reader of the case report with sufficient information to vicariously experience the reality of the evaluant).

C. Dependability (counterpart of reliability).

Guba and Lincoln have proposed two process assurances of dependability: First, stepwise replication [and] second, carefully laid paper trail.

D. Confirmability (counterpart of objectivity).

[This concept] shifts the emphasis from the certifiability of the inquirer to the confirmability of the data.

Hall concludes that,

A naturalistic evaluator is equipped with a variegated set of meta-values which space the distance between concern for efficiency and effectiveness in evaluation, on the one hand, and for evaluation and research which improves the consciousness and the sociopolitical welfare of the stakeholder on the other." (Hall, 1989, pp. 7-8)

This study and the researcher as instrument meet the criteria of trustworthiness by meeting the parallel criteria of (a) credibility through constantly noting connections between data and conclusions; by continuous checking with respondents, especially stakeholders at the subject plant; of (b) transferability through conducting the hermeneutic dialectic with respondents and developing a "thick" description of the process; of (c) dependability through

laying out and following a carefully documented, step-by-step process; and of (d) confirmability through accurate reporting and documentation.

Design Statement

This section describes a variety of requirements for conducting a naturalistic inquiry. It begins with Lincoln and Guba's 10 Steps for Designing a Naturalistic Inquiry (Lincoln & Guba, 1985), continues with S. Pike Hall's general aims and processes for a sequence of actions (Hall, 1989), and concludes with the researcher's own actions employed during this study. The intent of this section is to demonstrate that this study is consistent with what both Lincoln and Guba and Hall require in conducting a naturalistic inquiry.

Lincoln and Guba (1985) describe 10 steps for designing a naturalistic inquiry, which parallel this study of change in the workplace:

1. Determining focus for the inquiry. The problem addressed in this study is labor-management cooperation in a change process in a traditionally adversarial environment. This study engaged in "a kind of dialectical process that plays off the thetical and antithetical propositions that form the problem into some kind of synthesis" (Lincoln & Guba, 1985, p. 227), specifically, in this case, a blending

of labor and management goals and objectives into a unified plan of action.

2. Determining fit of paradigm to focus.

Considerations at this step include the presence of (a) a "multiplicity of complex construction," (b) mutually influential interaction between researcher and respondents, (c) context dependence, (d) "no single cause or simple combination of single causes is sufficient to explain" outcomes, and (e) values that are crucial to the outcomes (Lincoln & Guba, 1985, pp. 229-230).

3. Determining "fit" of inquiry to the substantive theory selected to guide the inquiry. Since "the theory is to emerge from (be grounded in) the inquiry at hand, this step can be passed over, for the theory that emerges will be consistent (necessarily) with the methodological paradigm that produced it" (Lincoln & Guba, 1985, p. 232).

4. Determining where and from whom data will be collected. This study uses interviews conducted to "redundancy," or that point at which no significantly new information emerges. The following elements must be considered at this step:

a. Providing for identification of initial elements.

Union executive board members and top plant management helped to identify gatekeepers and all participants in the study.

- b. Providing for orderly emergence of the sample. This was accomplished through iteration and reiteration.
 - c. Providing for the continuous refinement or focusing of the sample. The hermeneutic dialectic surfaced commonalities and differences, that is, resolved and unresolved issues.
 - d. Providing for termination. Interviews in this study included the company's eight top management staff at this plant, and the union's six executive board members (Lincoln & Guba, 1985, pp. 233-235).
5. Determining successful phases of the inquiry. This step included:
- a. Orientation and overview. This process involved the identification of key elements of the situation, and the separation of superfluous or irrelevant elements.
 - b. Focused exploration. In this study, focused exploration was conducted by gathering information on salient issues.
 - c. Member checks. This involved developing written material to be processed by respondents and checked by them for credibility (Lincoln & Guba, 1985, pp. 235-236).
6. Determining instrumentation. The researcher was the instrument, and this study itself illuminates the quality of the instrument.

7. Planning data collection and recording modes. Data and information was collected for this study through the use of audio tapes, notes, and written material provided by respondents.

8. Planning data analysis procedures. "Constant comparative method" and "member checks" were used to interpret data and to confirm credibility (Lincoln & Guba, 1985, p. 241).

9. Planning the logistics. The following types of logistical planing were employed for this study:

- a. Prior logistical considerations for the project as a whole.
- b. The logistics of field excursions before going into the field.
- c. The logistics of field excursions while in the field.
- d. The logistics of activities following field excursions.
- e. The logistics of closure and termination (Lincoln & Guba, 1985, pp. 242-247).

10. Planning for trustworthiness. This issue is discussed fully in the discussion of Lincoln and Guba's 14 Characteristics.

S. Pike Hall summarized this process in this way:

The evaluator will work to first 'surface' constructions of the various stakeholder groups, to explicate those constructions collaboratively with the stakeholding groups and, finally, act to support

negotiated communication between constructor groups such that a consensual viewing of the evaluand ultimately results. He or she uses the original multiple realities of the stakeholding groups as the raw material from which they (evaluator and stakeholding groups) construct a single, consensual and local reality which all will accept. In summary, this is the naturalistic evaluation process. (Hall, 1989, p.6)

Hall further delineates the general aims and processes in a sequence of actions he lists as:

- A. Identify concerned stakeholding groups.
- B. Gather data.
- C. Build and polish different stories.
- D. Arrange for sharing of stories.
- E. Attempt to build as comprehensive a consensual story as agreeable to stakeholding groups.
- F. Agree upon action(s). (Hall, 1989, pp. 11-12)

The Specific Steps of this Study

This last section of the Methodology chapter is intended to give the reader information about the specific steps of this study. Figure 3 combines the 12 Step Flow Chart of a Naturalistic Evaluation and an explanation of each of those steps. The steps are in darker type at the top of each box, with the explanation in lighter type within the same box. Both the steps and the explanations are from Guba and Lincoln's Fourth Generation Evaluation (1989).

Table 2 is a schematic of Guba and Lincoln's 12 Steps of the Fourth Generation Evaluation, aligned with the specific steps of this study and fitted to the theoretical

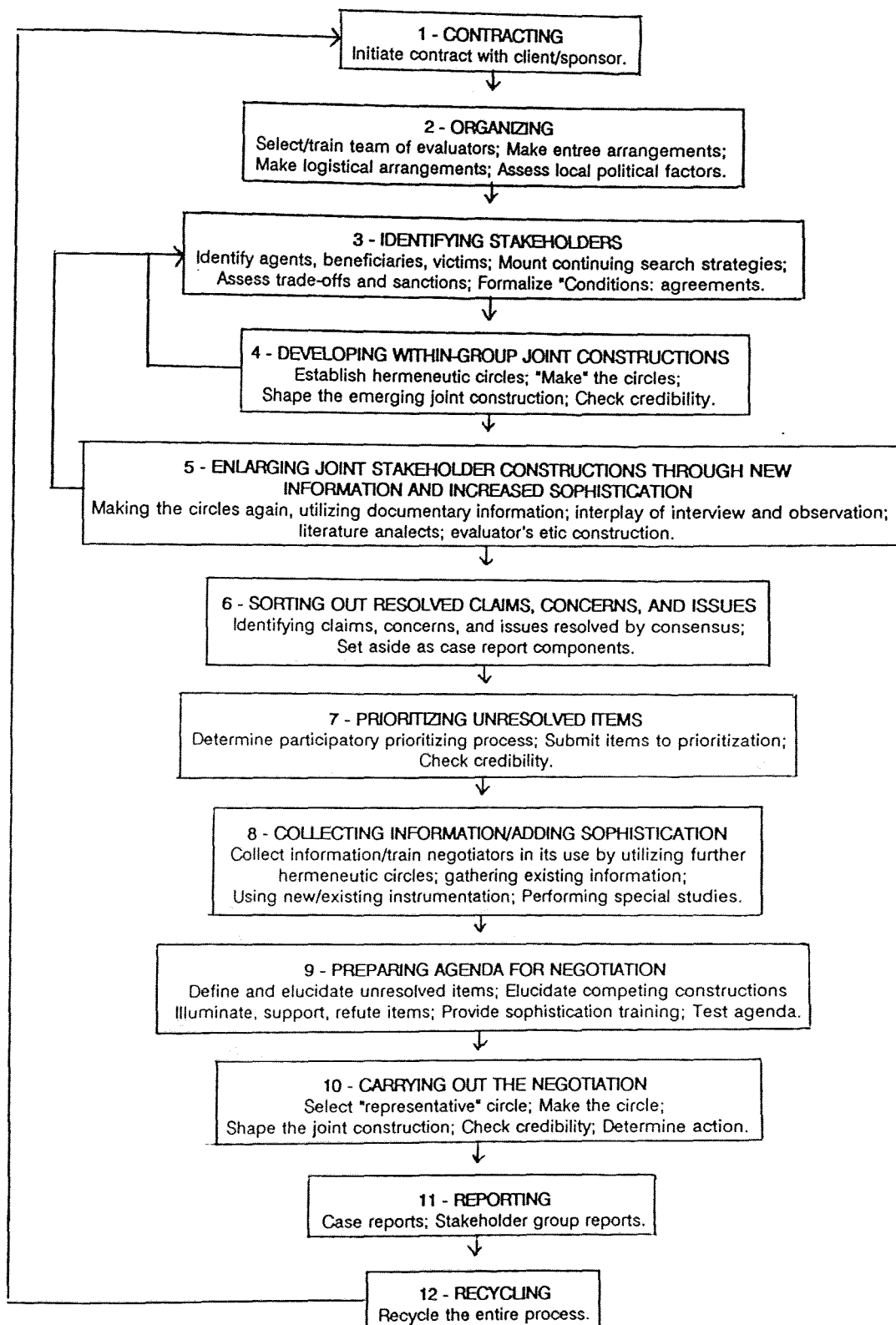


Figure 3. Flow Chart of 12 Steps of a Naturalistic Evaluation.

Table 2

The Relationship Among Guba and Lincoln's Fourth Generation Evaluation, the Specific Steps of this Study, and the Theoretical Framework for a Naturalistic Inquiry

12 Steps of Fourth Generation Evaluation with Description

Specific Steps of this Study

Theoretical Framework of a Naturalistic Inquiry

Phase I

1. Contracting
 - Initiate contract with client/sponsor
2. Organizing
 - Select/train team of evaluators; make entree arrangements; make logistical arrangements; assess local political factors

Phase I

1. Go to plant at invitation of union representative
2. Meet with management to get acquainted
3. Meet with labor representatives to get acquainted
4. Conduct "world of work" orientation sessions for entire workforce
5. Determine readiness/commitment of labor and management for change
6. Set broad parameters for possible benefit of intervention
7. Determine viability of research project with Committee Chair
8. Introduce topic of research project to union and management
9. Introduce ethics of research
10. Introduce research team (for prior ethnography)
11. Align benefits of research to union and management and researcher
12. Secure agreement from union and management
13. Introduce consent forms

Phase I

- From 14 Characteristics of N.I.:
 1. Natural setting
 2. Human instrument
 3. Tacit knowledge
 4. Qualitative methods
- 13. Focus determined boundaries
- 14. Trustworthiness
- From 10 Steps of a N.I.:
 1. Determine focus
 2. Fit to paradigm
 3. Fit to theory
 6. Determine instrumentation
 10. Plan for trustworthiness

Table 2 (Continued)

12 Steps of Fourth Generation Evaluation with Description	Specific Steps of this Study	Theoretical Framework of a Naturalistic Inquiry
<u>Phase II</u>	<u>Phase II</u>	<u>Phase II</u>
3. Identifying stakeholders - Identify agents, beneficiaries, victims; mount continuing search strategies; assess trade-offs and sanction; formalize "conditions" agreements 4. Developing within-group joint constructions - Establish hermeneutic circles; "make" the circles; shape the emerging joint construction; check credibility	14. Meet with union executive board to determine stakeholders 15. Meet with management to determine stakeholders 16. Identify "advisors" from union and management 17. Facilitate process to help union and management develop construction (Storytelling) 18. Begin hermeneutic dialectic 19. Develop field notes 20. Begin audit trail	- From 14 Characteristics of N.I.: 5. Purposive sampling 6. Inductive data analysis 7. Grounded theory 8. Emergent design - From 10 Steps of N.I.: 4. Where and from whom data will be collected 5. Determine successive phases 7. Plan data collection and recording mode 8. Plan data analysis procedure 9. Plan logistics - From Hall's AEA Report: A. Identify stakeholders B. Gather data

Table 2 (Continued)

12 Steps of Fourth Generation Evaluation with Description	Specific Steps of this Study	Theoretical Framework of a Naturalistic Inquiry
<u>Phase III</u>	<u>Phase III</u>	<u>Phase III</u>
5. Enlarging joint stakeholder constructions through new information/increased sophistication - Making the circles again, utilizing documentary information; interplay of interview and observation; literature analysis; evaluator's ethical construction 6. Sorting out resolved claims, concerns, and issues (CCIs) - Identifying those claims, concerns, and issues resolved by consensus and set aside as case report components 7. Prioritizing unresolved items - Determine participatory prioritizing process; submit items to prioritization; check credibility	21. Identify claims, concerns, and issues (CCIs) 22. Develop documents for feedback and feed forward 23. Identify resolved CCIs 24. Identify unresolved CCIs 25. Prioritize unresolved CCIs	- From Hall's AEA Report: C. Build and polish stories

Table 2 (Continued)

12 Steps of Fourth Generation Evaluation with Description	Specific Steps of this Study	Theoretical Framework of a Naturalistic Inquiry
<u>Phase IV</u>	<u>Phase IV</u>	<u>Phase IV</u>
<p>8. Collecting information/adding sophistication - Collect information/train negotiators in its use by utilizing further hermeneutic circles; gathering existing information; using new/existing instrumentation; performing special studies</p> <p>9. Preparing agenda for negotiation - Define and elucidate unresolved items; elucidate competing constructions; illuminate, support, refute items; provide sophistication training; test agenda</p> <p>10. Carrying out the negotiation - Select "representative" circle; make the circle; shape the joint construction; check credibility; determine action</p>	<p>26. Facilitate development of vision, goals statement and action plan for union</p> <p>27. Member check and revision of plan</p> <p>28. Facilitate development of vision, goal statement, and action plan for management</p> <p>29. Member check and revision of plan</p> <p>30. Identify resolved CCIs</p> <p>31. Identify unresolved CCIs</p> <p>32. Prioritize unresolved CCIs</p> <p>33. Prepare an agenda for negotiation/integration of unresolved CCIs</p> <p>34. Negotiate/integrate</p> <p>35. Facilitate development of joint union and management vision, goals statement, and action plan</p>	<p>- From 14 Characteristics of N.I.:</p> <p>9. Negotiate outcomes</p> <p>- From Hall's AEA Report:</p> <p>D. Arrange for sharing of stories</p> <p>E. Attempt to build as comprehensive a consensual story as agreeable to stakeholding groups</p>

Table 2 (Continued)

12 Steps of Fourth Generation Evaluation with Description	Specific Steps of this Study	Theoretical Framework of a Naturalistic Inquiry
<u>Phase V</u>	<u>Phase V</u>	<u>Phase V</u>
11. Reporting - Case reports; stakeholder group reports 12. Recycling - Recycle the entire process	36. Prepare case study report 37. Member check of case study report 38. Revisions to case study report 39. Organize for audit 40. Audit 41. Present case study report to Dissertation Committee 42. Continue work with company and union	- From 14 Characteristics of N.I.: 10. Case report 11. Ideographic interpretation 12. Tentatively applied - From Hall's AEA Report: F. Agree upon action

framework of a naturalistic inquiry. This theoretical framework includes the 14 Characteristics of a Naturalistic Inquiry, the 10 Steps of a Naturalistic Inquiry and Hall's Six Phases of a Naturalistic Inquiry.

In Figure 3, the first steps are Contracting for the study and then Organizing it. The actual study begins with the third step, Identifying Stakeholders, which naturally leads to Developing Constructions from the participants themselves as to what the study is all about. The reader can see that arrows coming back from developing those constructions to identifying stakeholders constitutes a cyclical activity. This necessary cycling helps the participant and the researcher frame the issues in a way that constitutes a meaningful framework within which to conduct research itself. That is, this activity allows the researcher and participants together to construct a meaningful study. This is in contrast to a study in which the researcher simply asks participants to "take part in" a study upon which the researcher has a priori decided. This is why a natural setting within which to conduct naturalistic inquiry is critical to the process. Researcher and participants interacting between and among one another, together arrive at a sense of what they should be doing. The first three steps are relatively self-explanatory. Step 4, Developing Within-Group Joint Constructions, begins the development of "hermeneutic circles." These circles are made

up of stakeholders participating in private interviews with the researcher for the purpose of surfacing claims, concerns, and issues of importance to each of the stakeholders regarding the research. The interviews are to be conducted to redundancy. That is, when no new information is surfaced in the interview process, the researcher moves on. Guba and Lincoln (1989) identify the items surfaced as "claims" (any assertion that is "favorable to the evaluand"), "concerns" (any assertion that is "unfavorable to the evaluand), and "issues" ("any state of affairs about which reasonable persons may disagree"). They insist "it is the task of the evaluator to ferret these out and address them" (p. 40).

Many of these items will be resolved during this cyclical process, and many will remain in conflict or be unresolved. Lincoln and Guba suggest focusing on those items that are unresolved, setting aside those items that have been resolved. The researcher and participants can then prioritize unresolved issues, beginning with those that can be addressed relatively quickly, or which demand urgency, and moving those items that will take more time, effort, and energy to the bottom of the list. As the researcher and participants move through the cycle gaining information, perhaps resolving some unresolved issues, becoming more sophisticated, they can then prepare an agenda for negotiating those items which need to be addressed in the

longer term (Step 5, Enlarging Joint Stakeholder Constructions).

Sorting and Prioritizing, Steps 6 and 7, are natural and recurring activities which involve separating the wheat from the chaff. As this process continues to cycle, it also moves on to developing a more sophisticated understanding of what is happening in the study itself (Step 8, Adding Sophistication). Then, and only then, can the researcher and participants jointly prepare an agenda to deal with the claims, concerns, and issues for negotiation. The reader will note that Steps 9 and 10, Preparing an Agenda and Carrying out the Negotiation, are also cyclical. While some issues are resolved, other issues are not. Iteration and reiteration continues the negotiation process.

The negotiation process between stakeholder groups enables them to set an agenda for action. Lincoln and Guba, (1985) along with Oliver Wendell Holmes, believe that an educated person knows not only what is necessary to be known, but acts on that knowledge. Step 11 indicates a case study report as the preferred method of reporting for ethnographic research. This method gives the reader a "feel" for what is going on as well as knowledge of it. Lincoln and Guba assert that a reader should be able to walk into the middle of this type of research situation and recognize it immediately from his or her reading of the case report. Step 12, Recycling, is the hallmark of continuing education

as well as fourth generation evaluation. The topic of this dissertation flowed out of the work actually taking place with the workers and company which form the subject of this research. The real work is the work that is taking place in the workplace. That will continue long after this dissertation is gathering dust.

As the reader will find in Table 2, this inquiry is divided into five phases which comprise the 12 steps in Guba and Lincoln's Naturalistic Evaluation. Phase I includes some of the prior ethnography required for immersing oneself in the research site. As the reader can see, the researcher went to the subject food processing plant at the invitation of the union at that plant. There, the researcher met with management and with labor separately (in both cases to get acquainted), conducted orientation sessions for the entire workforce, and determined the readiness of the workers and management for change. At that point, the broad parameters were set for the possible benefit of intervention. The viability of this project as a research project was then determined. This phases took place over a period of more than a year, beginning in 1992. Once the topic of the research was introduced to both labor and management and their consent was secured, the research team was introduced and began to more formally align the benefits of the research to labor and management as well as to the researcher. Labor and management gave their agreement and

signed the consent forms. The dissertation proposal began to take shape at Steps 10 and 11, and the research project began.

Phase I activities, this study's Steps 1 through 13, reflected several of the requirements from the 14 Characteristics of a Naturalistic Inquiry. These included #1, Natural Setting (the research would take place within the food processing plant described earlier); #2, Human Instrument (the researcher would be the instrument); #3, Tacit Knowledge and #4, Qualitative Methods (qualitative analysis which could benefit from "felt," or tacit, knowledge was identified as the preferred method of inquiry in this case); #13, Focus-Determined Boundaries (wherein the boundaries of the inquiry emerged through the interaction among researcher and participants); and #14, Trustworthiness (addressed in presentation of, and reactions to, various iterations of material produced during this study).

Phase I also reflects several of the 10 Steps of the Naturalistic Inquiry, including #1, Determine Focus, #6, Determine Instrumentation, #10 Plan for Trustworthiness, #2, Fit to Paradigm, and #3, Fit to Theory. The interaction between the participants and the researcher, which set the broad parameters for intervention, also fit the paradigm and the theory to the reality of the research within the place of work. That is, the truth and trustworthiness reveal themselves through the process of interaction.

Phase II includes Guba and Lincoln's (1989) Evaluation Step 3, Identifying Stakeholders, and Step 4, Developing Within-Group Joint Constructions. It is here that Guba and Lincoln suggest identifying the stakeholders, establishing hermeneutic circles, and beginning to develop within-group joint constructions. This Study's steps 14 through 20 provided for meetings with the union and company to identify stakeholders and identify advisors. (This study uses the term "advisors" to describe the role identified as "informant" in the literature. The term "informant" carries a negative connotation with members of organized labor, conjuring up images of collaborators providing information to companies engaged in violence against workers, particularly during organizing drives.) In addition to the hermeneutic dialectic which helped surface a variety of constructs, the process also included storytelling. This process resembles Hummel's storytelling (1991), engaged in by management in order to surface the reality of the workplace as opposed to theories of work. Phase II deals with the 14 Characteristics of a Naturalistic Inquiry by addressing #5, Purposive Sampling, wherein specific union executive board members, union stewards, and senior managers from the company were selected as the participants in the research; #6, Inductive Data Analysis; and #7, Grounded Theory, in which theory emerges from the interaction of the

participants ("grounded" in the research itself); along with the design itself (#8, Emergent Design).

Phase II reflects 5 of the 10 Steps of a Naturalistic Inquiry, namely #4, Where and From Whom data will be collected (from the union executive board, union stewards, and senior management); #5, Determine Successive Phases (a process accomplished in conjunction with management and labor); and # 7, Plan Data Collection and Recording Mode (reflected in plans for interviews, notes of interviews, recording of notes, and eventual transcription of notes). In addition, the research team prepared documents for the use of both labor and management as part of the interaction and facilitation process. Those documents constitute a part of the data collection and recording. Number 8, Plan Data Analysis Procedure, is reflected in discussion with the research team throughout the entire field work aspect, and information fed back to the participants for constant checking and rechecking through iteration and reiteration. Number 9, Plan Logistics, is apparent in the plan of action for labor and management specifically informing them of the 42 steps of the research design. From Hall, Items A, Identify Stakeholders, and B, Gather Data, are included in this Phase.

Phase III includes Guba and Lincoln's (1989) Steps 5, 6, and 7 (from the 12 Steps of Naturalistic Evaluation), Enlarging Joint Stakeholder Constructions through new

information/Increase Sophistication, Sorting Out resolved claims, concerns, and issues, and Prioritizing unresolved items. Guba and Lincoln suggest making hermeneutic circles again and again; feeding information back and forth; including the researcher's own construction; identifying claims, concerns, and issues (selecting those that must be dealt with immediately and postponing others); and feeding information back to the participants so they are allowed to check credibility.

Phase III includes this study's Steps 21 through 25, identify claims, concerns, and issues (CCIs); develop documents; identify and resolve CCIs; and prioritize unresolved CCIs. Phase III addresses Hall's Item C, Build and Polish stories.

Phase IV reflects Guba and Lincoln's Step 8, Collecting Information and Adding Sophistication; Step 9, Preparing Agenda for Negotiation; and Step 10, Carrying Out Negotiation. Phase IV includes this study's Steps 26 through 35, wherein the research team facilitated the development of a vision, goal statement, and action plan for labor and management. This Phase also includes additional unresolved and resolved CCIs, prioritization of those still unresolved, preparation of an agenda for negotiation, and negotiating and facilitating development of a joint labor management vision, goal statement, and action plan.

Phase IV reflects the ninth of Lincoln and Guba's 14 Characteristics of a Naturalistic Inquiry, Negotiated Outcomes, as well as Hall's Item D, Arranging for Sharing of Stories and Item E, Attempting to Build a Consensual Story.

Finally, Phase V consists of Guba and Lincoln's Step 11, Reporting and Step 12, Recycling. Guba and Lincoln suggest a case report and then recycling of the entire process. This study's Steps 36 through 42 include preparing the case study report, member check of the report, revisions to the report, organizing for an audit, and having the audit conducted. The audit of this study was conducted by individuals qualified to undertake the effort and approved by the author's committee.

From the 14 Characteristics of a Naturalistic Inquiry, #10, Case Report, and #11, Idiographic interpretation, are included in this Phase. This study's findings are interpreted within the context of the plant and tentatively applied in that context. This study will not necessarily predict outcomes in other situations, but will serve as a case study reflecting that experience within a suitable rigorous methodological framework. Hall's Item F, Agree upon Actions, is part of this Phase. The actions were agreed upon by labor and management and documented in their own joint vision and statement of goals and action plan. The researcher continues to facilitate workplace change efforts at the plant which was the subject of this study.

Thus, this study addresses all of the methodological requirements for a naturalistic inquiry.

Chapter 4

INQUIRY AND FINDINGS

Chapter 3 described the methodology to be used in this study. This Chapter is the story of that methodology. Guba and Lincoln's (1989) 12 Steps of a Naturalistic Evaluation will be used as a guide. The story will include the requirements of Lincoln and Guba's 10 Steps of a Naturalistic Inquiry, their 14 Characteristics of a Naturalistic Inquiry, and Hall's phases of a Naturalistic Inquiry "A" through "E." However, in order to make this a "story," the researcher will attempt to relate this without specific citations referencing each of these other requirements.

PHASE I

1. Contracting:
Initiate contract with client/sponsor
2. Organizing:
Select/train team of evaluators; make entree arrangement; make logistical arrangements; assess local political factors

This study's first three steps included going to the plant at the invitation of the union representative, meeting with management and labor representatives, and getting acquainted. The researcher was not contracting with the client/sponsor as much as assessing the local political factors. The researcher was gathering tacit knowledge in

order literally to get a feel for the relationship between labor and management at this plant.

One of the main purposes of a naturalistic inquiry is to enable the researcher and the participants to interact and to learn from each other. In assessing local political factors, it quickly surfaced from both labor and management that this local union was very militant, and had engaged in several work stoppages at this plant over the years. The former plant manager had approached the local union about collaborative decision-making and the local union generally was reluctant to cooperate. However, a few people in both labor and management seemed willing to move ahead. The researcher asked what they hoped to accomplish by intervention and collaboration on the part of the researcher. They said they wanted to change their relationship with one another. Both labor and management wanted the workers to make more decisions and to be accountable for those decisions. Both labor and management wanted supervisors to become facilitators and coordinators: to manage the process of work, not manage the people who worked for them. They decided that it would be helpful if all of the employees in the plant, including the U.S. Government inspectors of their product, could have some sort of "orientation to the world of work," such as the one conducted by the researcher and participated in by the plant manager and chief steward at Ames, Iowa. The purposes of

this orientation session were to demonstrate that (a) change is inevitable, (b) change can be managed, (c) whoever manages change gets more of what s/he wants, (d) change jointly managed can produce benefits for those who jointly manage it, (e) union and management are smart enough to figure that out, (f) mutual self-interest comes before trust and is sufficient in the short term, and (g) that this is all risky business. No one controls it.

This orientation process would enable the researcher to begin to focus the workforce on particular issues of concern to them that would also help set the boundaries for possible intervention and collaboration. It surfaced that the way these individuals felt about their situation was as important as the actual situation. Tacit knowledge would be critical. This would be an opportunity to develop an affective approach to their situation.

After concluding with the dissertation committee chair that this effort was worthy of research, the topic of the study was introduced to union and management and received their enthusiastic support. The researcher also discussed the ethics of the research with the participants.

The "Fairness" criterion requires that all participants would benefit one way or another, and that no one group of stakeholders would benefit over another group. Labor and management both agreed that they would benefit from the information shared with them. They felt that each group

would benefit in its own way without giving either an "edge" on the other.

The second criterion is "Authenticity," which is composed of four parts. "Ontological" refers to understanding one's own position better. Labor and management each felt that they would benefit from some soul-searching. Each wanted to learn about its own history and mission. They felt that people often just live their lives without ever investigating the ground upon which they stand. They each wanted to do this.

"Educational" refers to understanding others' positions better. Many of the participants came to where they were in their relationship to each other holding basic assumptions about labor and management which were neither examined nor understood. Each thought learning more about the other group might broaden their own horizons--change their perspective--and give them some insight which might lower some barriers between them.

"Catalytic" means moved to action. Labor and management separately could not progress if labor and management could not progress together. As participant Tom said on one other occasion, "If this project works, it will benefit the entire community. If it fails, it will be because we failed to work together."

"Tactical" means that action is effective. It takes a long time to know whether or not action is effective. These

participants were willing to commit to the long term, which is why they agreed to this process. It would take a long time. Continuous improvement is a commitment to life-long learning, and they knew it.

In discussing the authenticity criterion, it became clear to all that all would benefit from the study. Those were the goals of all the participants, as well as the researcher. It became clear that labor and management had as much to gain out of a successful study as did the researcher. All understood that the researcher would constantly do what would work best for the participants, that the researcher had no preconceived notion of what the outcomes were to be, and that the researcher would simply and honestly facilitate and record the process. The researcher had no reason to do otherwise. The more this intervention actually helped the participants, the better the study would be for everyone.

The researcher introduced the qualitative methods to them, so that they would not expect a traditional approach, introduced the topic of "fit" to both theory and paradigm, explained the concept of the human instrument, and began to build on the trust that they were already developing in the researcher.

The "fit of the human instrument" in this case was based on the application to this research of the Rogerian style of therapy in which the "attitudes of therapists,

rather than their knowledge, theories, personality, or techniques, initiate . . . change in the client. Basically, therapists use themselves as an instrument of change. . . . Their function is to establish a therapeutic climate that facilitates the client's growth along a process continuum" (Corey, 1982, p. 85).

The researcher also assured the participants that constant checking and rechecking with them as issues surfaced during this process would be part of the study. They were guaranteed a voice in what was finally written about them. The agreement included a promise to create documents for their process of change, and that they could review and revise the documents (a) for accuracy, and (b) to help focus on goals and how to reach them. This checking and re-checking would keep the process honest, and make it possible to build new constructions based on new information or new ways of behaving. These documents would also record the process itself for this dissertation.

Two members of the Labor Institute for Workforce Development joined the research team, Twila and Sandy. They helped facilitate meetings with the local union representatives and management. They were at once building prior ethnography and learning the process itself. The researcher introduced the consent forms, which were signed immediately by the local union representatives. The natural

setting in which to do this research had been confirmed. Phase I was successfully completed.

PHASE II

3. Identifying stakeholders:
Identifying agents, beneficiaries, victims;
mount continuing search strategies; assess
trade-offs and sanctions; formalize
"Conditions" agreements
4. Developing within-group joint constructions:
Establish hermeneutic circles; "make" the
circles; shape the emerging joint construction;
check credibility

In Phase II of this study, the reader will note that Guba and Lincoln (1989) describe a continuous cycling activity throughout their Steps 3 and 4. The researcher experienced continuous cycling activities in a series of meetings with the union executive board and senior management at the plant to identify stakeholders, agents, beneficiaries, and victims, and to mount a continuing search strategy. The researcher identified those who would benefit most and least from change, then sought out advisors from both the union and management.

The researcher participated in local union activities in the community surrounding this local plant and local union in order to become oriented to the greater community issues, as well as to become a more credible "human instrument."

Early in Phase II, the researcher met with the union executive board to determine the stakeholders. They reported that six executive board members and the chief steward would

certainly be involved in the study and, less extensively, a group of some 23 union stewards. The local management representatives identified the eight senior management team members and possibly some 22 or 23 supervisors/coordinators as participants.

Thus, the researcher dealt with the requirement of the Ten Steps of a Naturalistic Inquiry: #4) Where and from whom data will be collected.

The researcher was engaging in purposive sampling and constant inductive data analysis. While there were many things going on, the relationship between labor and management was chosen as the focus for the study.

What the research team was looking for was a change in the behavior and relationships between labor and management in the plant, as well as between and among the local union members and managers respectively. It was necessary to find out where they had all come from and where they considered themselves to be at present, before it would be possible to do any significant planning for the future. Because of the wide and basic differences between workplace orientation of labor and management, it surfaced during these conversations that it would initially be best to meet with labor and management separately in order to gain the confidence of each of these stakeholder groups and create an environment in which these stories would emerge. Labor and management

separately might say things that labor and management together would not.

For example, an issue that surfaced was one of integrity: How could a union member collaborate with management and still be a good union member? The researcher would have to talk about this only in a union group before being able to discuss it with management and labor together.

Some labor representatives produced documentation from the company and union about previous activities in which they had been involved around the issues of change. Those documents provided an historical perspective, and a basis from which to begin the joint constructions. The researcher began to ask during the hermeneutic dialectic how each of the participants felt about those previous attempts at change and what they saw as some of the issues that might have to be faced together during a union-based change process. It surfaced that the change activities previously engaged in dealt with "skill building" without addressing the culture of the workplace itself. That is, they tried to move immediately to skill-building activities before adequately addressing the long-standing habits and practices of labor and management, engaged in without even remembering or ever knowing why. The participants wanted some sort of foundation activities to build on, but were not sure what those might be.

There were many political elements with which the participants jointly decided not to deal. The intervention would only consider a few of many issues. Some of these issues to be avoided were contract issues that would have to be negotiated between labor and management at a later date. This purposive sampling process allowed the consideration of a few, not necessarily all, the factors discussed, and began to set some of the boundaries for the study. Focusing on specific issues also helped the design of the study emerge somewhat more clearly with focus on the change process itself. The study would focus on the interactive relationships between labor and management and whatever progress they could make in behavior changes to improve those relationships. This was not a contract issue and seemed to be fair game. Thus, the researcher dealt with two more requirements of the Ten Steps of a Naturalistic Inquiry: 5) Determine Successive Phases, and 7) Plan Data.

After several meetings with labor and management, it was agreed to use the eight senior management personnel and the six local union executive board members and the union chief steward as the participants in this study. From time to time, others would be involved, (e.g., the local union stewards and supervisors/coordinators). For the most part, however, the participants in this study would be the senior management staff and the local union executive board. The stakeholders were the union and management.

The next step was to identify advisors. The researcher identified three from the union, Milton, Adam, and Tom, and one from management, Margie. Milton and Tom had each been chief steward of the local union in the past, and Adam was the current chief steward. The chief steward position is a key position in the local union. This person manages the day-to-day activity of the local, and represents the members with any grievances processed with management. The human resources manager, Margie, represented the company in all of its dealings with the local union. She also had established excellent credentials with these three union advisors.

The research team facilitated the development of a document called a "talking paper" for consideration by these advisors. (See "Toward a Union-Based Quality Initiative," Appendix A.) Based on their own joint construction of what they wanted to accomplish, it outlined a union-sponsored worked-based training program and it spelled out some specific steps that would be used for training in the change process as well as steps of the dissertation study.

These four advisors constituted the first hermeneutic circle.

The hermeneutic dialectic is the cornerstone of naturalistic inquiry. To form a hermeneutic circle, the researcher needs to identify individuals within a research site with the ability to contribute significant knowledge to the process. The researcher begins by conducting an in-

depth, open-ended interview with any one of the participants. The interview should be free-flowing without any preconceived notion of what information may be learned. At the end of the interview, the researcher should ask this person to identify someone who may most disagree with him/her, and then hold an interview with that person next. Since the researcher had already determined with the participants themselves that only a small number of executive board and senior management members would be involved in the interviewing, it was apparent that the hermeneutic circles would be composed of those people. So it was not necessary to ask "who may be on the other end of the opinion continuum," since eventually all of these people would be interviewed anyway. If this study were to be conducted using the entire workforce, it would be necessary to enlarge the hermeneutic circles and conduct them on a more "traditional" basis. In fact, after meeting with the executive board, the researcher expanded the hermeneutic circle to include the union stewards for a portion of the study.

This is how the hermeneutic circles work: The researcher interviews the first participant with no specific set of questions. The researcher interviews another, and then another participant. In each successive interview, a few of the items of information that surface begin to constitute some general construct of reality as perceived by

the participants in the workplace. As the researcher comes back to the original interviewee, a second interview is conducted which not only completes the "circle," but allows the reconstruction of a new(er) reality with the participant and researcher benefitting from what each had learned from the other in the previous encounter. In addition the researcher brings back information from the other interviewees. The researcher and participants also narrow down the "truth" of this workplace by closing in the circles around each surfaced reality, adding it to the other pieces, and jointly constructing a new reality.

As individual members of the executive board were interviewed, claims, concerns, and issues began to surface. The reader will recall that claims are assertions that are favorable to the evaluand, concerns are assertions that are unfavorable to the evaluand, and issues are simply items about which reasonable persons may disagree (Guba & Lincoln, 1989, p. 40). The process called for making the circles again and again. The researcher conducted these interviews in a very low key fashion, without bringing in personal opinions at first. Making the circles over and over, the researcher began to introduce some personal constructions to help the participants with their constructions. These constructions were concepts or ideas that began to develop among the participants about the direction of the study and what they hoped to accomplish.

The hermeneutic dialectic surfaced a variety of claims, concerns, and issues by both labor and management. First, the circles surfaced safety items that were of concern to both labor and management and were very quickly and easily resolved. The second area was communication. Both labor and management expressed serious concern that the communication system was not effective: That is, the start-up meetings held at the beginning of the shift wherein the supervisor/coordinator was expected to facilitate a discussion of what was going to happen. The labor representatives were concerned that not enough, and not appropriate, communication was going on in start-up meetings. The union members felt that they needed to be more in charge of those meetings. They felt that the coordinators needed to be coordinating the meetings, not running them in a directive fashion. They felt that the manner in which the meetings were currently conducted seemed somehow to be too traditional. The management representatives, on the other hand, seemed to feel that the union had the responsibility to speak up in those meetings and play more of a role. As it turned out, the difference of opinion was not over communication itself, but the type and quality of the communication. Another issue which surfaced was job security and scheduling. This continues to be an issue that is unresolved and may ultimately be designated for negotiation as a contract issue between labor and management.

As the next to final step in Phase II, the researcher began to file field notes. These were thoughts recorded on a hand-held recorder following each meetings and then transcribed. Some of the large meetings were tape recorded by unobtrusive measures. A tape recorder was placed on the table during the meeting. Research assistant Sandy would change the tape as it ran out.

The researcher also asked for more documentation from the local union and management about some of their own goals and objectives. They produced copies of programs that they had developed in the past for work reorganization and improvement of the work processes. They produced a copy of a gainsharing agreement they had entered into relatively recently, which would allow the workforce to share in the proceeds of productivity gains. They also produced material that had been prepared by the company for public relations purposes and local union newsletters, used by the union to keep its members informed. Field notes, along with their collected material allowed the researcher to compile data about what was happening in the field, and to begin an audit trail which was the final step in Phase II.

PHASE III

5. Enlarging joint stakeholder construction through new information and increased sophistication:
Making the circles again, utilizing documentary information; interplay of interview and observation; literature analects; evaluator's etic construction

6. Sorting out resolved claims, concerns, and issues:
Identifying claims, concerns, and issues resolved by consensus; set aside as case report components
7. Prioritizing unresolved items:
Determine participatory prioritizing process; submit items to prioritization; check credibility

To begin Phase III, the researcher facilitated discussions aimed specifically at sorting out the resolved and unresolved claims, concerns, and issues, and began to prioritize the unresolved items.

Phase III activities constitute a constant cycling. The researcher was constantly engaged in enlarging the stakeholders' constructions through new information and increasing sophistication, making circles again and again. Through the researcher, new information was continually introduced into the process: documentary evidence from other unions and companies, literature from the AFL-CIO, personal ethical considerations, and constructions. Trust, personal growth, and integrity are endemic to change. The researcher also helped participants shape their emerging constructions. As each participant brought a piece of the reality to the construct, the researcher helped fit it into what was already there, and facilitate the changing of the reality by the addition of this new information. Thus, the participants could learn that each new piece changes the whole picture, however slightly. They also began to learn how to construct their own reality--their own truth--their own future.

The researcher identified a wide variety of claims, concerns, and issues, resolved those that could be resolved, and continued to work on those that remained unresolved.

The research team developed a variety of documents for feedback and feed forward (See "Implementation Proposal For a Union-Based Training Initiative in Conjunction with In-Plant Quality/Gainsharing Initiatives," Appendix B, and "Union-Based Training Initiative," Appendix C), began to build and polish stores (Hall, 1989), constantly checked credibility, and kept working at and with the participants.

It was also during Phase III that the researcher began to appreciate the wisdom of immersing oneself as a human instrument not only in the plant and local union, but also in the local community. The researcher took advantage of every opportunity to participate in community sponsored events, and began to view these activities from the perspective of the participants, while avoiding "going native" (Guba & Lincoln, 1989).

The hermeneutic dialectic did, in fact, help dispose of many issues that were eagerly and commonly agreed to by both labor and management. It also identified some issues that would require further discussion. One specific recurring item which remained unresolved was one of scheduling. This item was referred to by both labor and management, but from entirely different perspectives. The local union representatives were concerned that some 30 or so people

were in a cycle of being hired to fill production orders, and then laid off after the orders had been filled. They would then be re-hired to fill another big order, and laid off again. These lay-offs were for extensive periods of time. The company representatives were concerned as well. They viewed this scheduling as an interference with their ability to appropriately assign the workforce to specific duties. In either event, the scheduling issue continued to surface and it became apparent that this was an issue that would have to be left up to the negotiation process between labor and management during their contract negotiation scheduled for March 1995. Since this was such a deep-rooted and highly volatile issue, there was a general consensus to avoid the substantive aspect of it outside of negotiation. However, the participants were able develop a consciousness about the underlying concern, and talk about it with a willingness to learn. The participants began to experience that the only way to resolve unresolved issues is to keep working at them.

Phase III took place during calendar year 1993. The researcher enlarged the joint stakeholder constructions through new information and increased sophistication as required by Guba and Lincoln (1989). The circles were made again and again and again. The researcher brought in a lot of material, introduced a Rogerian style of conducting meetings, and stated time and time again that the research

team was not going to "do" anything, but would simply be there with the participants while they "did" something. The responsibility for the change was clearly up to the participants. The researcher's responsibility would be to facilitate the process. The researcher and participants would come together for meetings, and draw up rules and expectations for behavior, and record them on newsprint (e.g., people participate; people treat one another with respect; and all listen while each speaks). As a facilitator, the researcher helped participants identify issues that surfaced, encouraged the development of their own constructions, gave them feedback on their constructions, and encouraged the generation of yet more constructions.

One item that surfaced during the hermeneutic dialectic was that Milton and Adam first became active in the discussion about the change process in order to learn just enough to sabotage it. Tom had also originally approached the change process from that perspective: learn enough about it to be able to stop it. This approach is consistent with Parker and Slaughter's advice to unions.

Since the attitude of the researcher in this study was one of human growth and development, he introduced literature and concepts from the AFL-CIO which supported full participation in this type of change process. This added to Milton, Adam, and Tom's sophistication and allowed

them to develop new constructions regarding their participation in the process. Each of these three advisors came to be advocates for the change process only after they had been involved with it for a while, and realized its potential.

As discussions with the three advisors from the union focused on facilitating a strategic planning process with the union stewards, they began to hesitate. They were feeling a little uneasy because the former plant manager had been removed and not replaced, the human resource manager had been replaced, and some of the local union members were feeling anxious about "this whole change business." The researcher spent time with the executive board members themselves facilitating the development of a vision and mission statement that they could present to the union stewards as a starting point. The statement would give the stewards something to which to react. It would also help the executive board to focus on exactly what it was they wanted to present to the local union stewards. It helped facilitate the identification of claims, concerns, and issues, and helped identify those that were resolved and unresolved. This process helped the executive board to build and polish a story to take to the stewards. It also built their confidence in their own ability to develop constructs and then reconstruct them without being "stuck" with the first thing they thought of.

This process of building and polishing stories gave them the confidence that they needed to address the union stewards and also help them check with each other about where each executive board member might feel him or herself to be regarding their willingness to pursue the change process: constant checking and re-checking.

Throughout the hermeneutic dialectic, the researcher introduced specific information regarding the issue of change: (a) change is inevitable, (b) change can be managed, (c) whoever manages the change gets more of what he or she wants, and (d) change jointly managed can produce benefits for those who jointly manage it.

When the researcher began hearing these ideas reflected back to him, it was clear the circles were working.

PHASE IV

8. Collecting information, adding sophistication:
Collect information; train negotiators in its use by utilizing further hermeneutic circles; gathering existing information; using new and existing instrumentation; performing special studies
9. Preparing an agenda for negotiation:
Define and elucidate unresolved items; elucidate competing constructions; illuminate, support, refute items; provide sophistication training; test agenda
10. Carrying out the negotiation:
Select "representative" circle; make the circle; shape the joint construction; check credibility; determine action

In Phase IV Guba and Lincoln suggest the researcher collect information, add sophistication, prepare an agenda

for negotiation, and carry out the negotiation. This constitutes some of the most intense and focused activities of the entire project. The researcher's steps require facilitation and development of the vision, goals statement, and action plan for the union. This presented the opportunities to arrange for a sharing of stories and attempting to build as comprehensive a consensual story as agreeable to the stakeholding group, as required by Hall (1989). This phase took one year, 1994, to accomplish.

While collecting information and adding sophistication, it became apparent that it would be helpful to bring in outside experts to discuss specific workplace issues with the executive board and local union stewards. The research team arranged for experts in the field of total quality management and international quality standards to make presentations to the local union stewards. This broadened their perspective and also helped them focus on specific issues in their own workplace that were common to workplaces throughout the country and the world. This was also an opportunity for the researcher to model behavior for the participants. Everyone needs expert advise from time to time and it is all right not to know everything one's self.

During Phase IV, the hermeneutic dialectic continued surfacing claims, concerns, and issues as expected, but there seemed to be no real consensual story emerging. The researcher decided it was time to extend the dialectic by

encouraging "storytelling" among the participants. At a breakfast meeting of the local union executive board and senior management, the researcher invited each person to stand and "tell his/her story" regarding their hopes and dreams for this plant and the local union. The new human resources manager, Christina, was the first person who volunteered to stand and tell her story. It was brief and simple, taking less than five minutes, but very clearly illustrated her own sense of direction regarding the plant. Each person in turn stood and spent about five minutes describing themselves, and when s/he first started working for this plant. They each described what it was like when they began working at this plant and what they had hoped to accomplish by this point in their working lives. Each person finished with a little thought about the future. It became clear that this process was drawing these people together, though the specific causes for this were are not obvious. As Hummel tells us, quoting Weber, "the story and the storytelling emerge as the prime means of orienting one's self" to the workplace. "The Story is a tool of engagement" (Hummel, 1991, p. 36).

The research team decided to use this storytelling process next with the first meeting of the local union executive board and union stewards. It took a relatively long period of time. The most senior union member started, and the group took turns, working around the room to the

least senior union member. Everyone listened to their stories. Each person took about 15 minutes telling when they first started working at the plant, what it was like then, how they felt about it, how it had changed, and some of their experiences. They shared their hopes for their own future and the future of the plant and union. During this time, research assistant Twila, using the flip chart and newsprint, constructed a timeline and recorded the salient points of each person's story on that timeline. As each person could see his or her story filling in as a piece of the story for the entire union, s/he did, indeed, use this as an orientation to the union and to the workplace. Each person was able to find his or her "place" in the story of the union. It was during this process that the researcher learned again the value of simply listening. The old timers were telling stories of "wildcat" walk-outs (unauthorized work stoppages), and eventually, the rest of the room fell silent. The two most senior union members finally, also, fell silent. The researcher simply waited. Finally, the most senior union member in the room said, "We can't do that any more. We would all lose our jobs." The researcher repeated that phrase, quietly at first, and then more loudly. Twila wrote it on the board. It was the turning point everyone had been waiting for. This simple recognition that the old ways would no longer work seemed to be the signal that it was time to consider a new way. The union members were open to

suggestion. The union executive board and stewards were now ready to begin a new process of planning their own plan and not simply reacting to management. The union must work together on a common agenda or not work at all. The hermeneutic dialectic had been extended. Researcher and participants now began to shape the "final" joint construction. The researcher was able in that session to check the credibility of the membership by the telling of their own stories to one another, and to facilitate the development of an action plan for the union to follow, regardless of what the company would do. The common ground had been found. The research team had trusted the process and the design emerged.

The hermeneutic dialectic surfaced differences and the story telling surfaced common ground. In addition, while the hermeneutic circles placed the locus of control in the researcher, the storytelling placed the locus of control in the story tellers--the participants. The information that the researcher was able to gain from the hermeneutic dialectic was constantly fed back into the dialogue between and among participants by the researcher, but it seemed to be somewhat limited since it relied on the researcher getting all that information out, and controlling the information. The storytelling, however, was done in an open meeting, which was facilitated by the researcher. Either the story shared was immediately understood by all, or the

researcher facilitated a shared understanding. In addition, this process allowed each person to orient him or herself to the other people in the "story." Since this was their story and their lives, the researcher felt much more comfortable facilitating a process that would allow the participants to be in charge of their own lives.

After the story telling activity, the local union executive board introduced its vision and mission statement, prepared earlier, for immediate feedback from the union stewards. The researcher facilitated the feedback session and helped in the member check and revision of the statement. Twila then facilitated a strategic planning process. Using flip charts and newsprint, she wrote down the stewards own intentions in their own words, taped them on the wall, and, after that process, entered them in the computer, produced them, and made them available for further member check and revision. The process identified issues that were resolved and unresolved, allowing negotiation of some of the unresolved issues. The final document was prepared for the union presentation to the company.

During this process, it surfaced that some stewards and executive board members were reluctant to trust management about the change process. The research team introduced the concept of "mutual self-interest" which would substitute for "trust" in the early phases. Labor would be able to identify those issues that were of common interests to them and

management and work together on them without having to worry about "trusting" each other at this point in time. This provided a sophistication that enabled the local union members to proceed. They were developing confidence in their own ability to deal with management in a different way than they had in the past, and maintain their own integrity as union members.

The researcher and participants were able to test the agenda by inviting the entire cadre of union stewards to react to the vision, goals, and mission statement developed by the executive board. After covering the executive board's vision, mission, and goals statement with the local union stewards, the research team facilitated a collaboration between the stewards and the executive board enabling them together to construct their action agenda. (See "Vision/Purpose/Mission," Appendix D; "Executive Board Work Session," Appendix E; "Stewards/Executive Board Workshop Agenda," Appendix F; "Stewards & Executive Board Workshop," Appendix G; "Vision/Mission/Purpose - 2/11/95," Appendix H; "Strategic Planning Session Agenda," Appendix I; "Executive Board/Strategic Planning Session 3/25/95," Appendix J; "Strategic Plan - A Working Document [Draft]," Appendix K; "Strategic Plan - A Working Document," Appendix L.)

The local union executive board was so proud of their work that they wanted to share it immediately with the senior management team in the plant. Then they suggested

that the researcher might meet with the senior management team to help them construct their vision, mission, and goals statement, prior to sharing the union's statement. However, when the researcher talked to the plant management, he was told that management was already in the middle of a strategic planning process being conducted by a management consultant hired by the corporate headquarters. The consultant was not only conducting a local planning process, but made sure those plans fit with the corporate plan.

The current plant manager, Jim, was appointed during this time. The researcher talked to him about the study and learned that Jim would have to ask for corporate permission to continue. Once he secured that permission, he invited the researcher to participate in the company's strategic planning process and facilitated management staff signing the consent forms for the study. Jim told the researcher that corporate headquarters did not want the company name used in the study.

The union subsequently presented its vision, mission, goals statement, and action plan to the senior company employees. The senior management team was somewhat nonplussed by the fact that the union had come up with its own plan regardless of what management planned. The senior management team exhibited mixed reaction, with some apparently delighted that the union had taken this initiative.

During this session, it surfaced that when labor and management can talk about the work, rather than about each other, then they feel "more" equal. Both labor and managers themselves feel differently about managers if they manage work, not people.

The methodology was working. The union had decided to work with management in constructing a joint action plan. The researcher moved to conduct the hermeneutic dialectic interview with each member of senior management. Since the researcher did not have to ask each of them for reference to another, interviews were simply scheduled with each of them. In meeting with each senior management member, the researcher began to change his mind about calling these "interviews." In fact, during one of the interviews, the researcher suggested that it was not an interview at all, but more of a conversation. At that point, the researcher began to call these sessions "conversations" because they were simply talking and listening to each other. The researcher did most of the listening. As Robert Coles suggests in *The Call of Stories*, "Why don't you chuck the word 'interview,' call yourself a friend, call your exchanges 'conversations'!" (Coles, 1989, p. 32). It was surprising at first that each of the management representatives volunteered similar information. By inductive analysis, the researcher determined that, by this time, all senior managers had a pretty clear understanding

of what the study was about, and therefore were more focused on what their role might be in the change process and what might be of more interest to the study. The researcher also facilitated a storytelling session for the senior managers, which gave them the opportunity to establish their own common ground prior to the negotiation/integration session with the union.

In the midst of all this activity, the local community college had received a literacy grant to be used in the plant. The researcher met with the college representatives on a couple of occasions and helped facilitate the designation of a local union person as a full partner in a community college/management/union team that would oversee and implement the grant. The research team would facilitate the integration of the literacy grant activities into the strategic plans of both management and union. At this session, the company first presented the highlights of their strategic plan. The union then presented their highlights. A considerable time was then spent using the flip charts and newsprint to integrate the individual strategic plans. The participants immediately agreed on issues of safety and communication, but had more difficulty dealing with the issue of "security." There was a wide range of opinions about what job security meant and how one would achieve it. This would ultimately have to be "negotiated" by the union and management during their upcoming contract negotiations.

However, researcher and participants were able to agree on broad parameters about skill training and flexibility within the concept of job security.

Since the management and local union both had shared their strategic plans at the beginning of this workshop and pointed out unresolved and resolved items, it simply remained to blend and integrate their respective plans. This was done by asking for input, writing on flip charts, taping filled pages to the wall, checking and re-checking. Then the community college project director introduced the grant requirements and the research team successfully facilitated the integration of those into the overall action plan for the company and union, now including the community college's agenda for the grant.

The same process of writing on a flipchart, facilitating the prioritizing of issues, and posting filled flip chart sheets was used throughout the various aspects of the integration session. Twila, from the research team, then entered the material into the computer, using the language of the union and the management, and presented it to them the next day for their checking and rechecking. (See "3-Day Work Session Agenda," Appendix M; "Planning Work Session," Appendix N; "U.S. Department of Education Work and Learning Grant Discussion," Appendix O; "Common Ground Work Session Agenda," Appendix P; "Common Ground Work Session - Working Document," Appendix Q.)

After this process, the research team created a draft document, and scheduled another date for rechecking, which allowed the union and company to go through the document for the last time: for their final approval before Phase V.

PHASE V

11. Reporting:

Case reports; stakeholder group reports

12. Recycling:

Recycle the entire process

The reader can clearly see, from Figure 3, a line going from recycling back up to Number 1, Contracting. This recycling is a part of the reiteration process that takes place constantly throughout all of the Steps. The researcher's next steps are the preparation of a case study report, checking of the case study by members, revisions, organizing for the audit, presenting the case to the dissertation committee, and continuing work with the company and the union. The stakeholder report (See "Toward Common Ground," Appendix R) was prepared and presented to the company and union, as was the final draft of the completed dissertation.

Hall's criteria "F," Agree upon Action, is inherent in the action plan agreed to by the union and company. The researcher's final step in Phase V, Continue to Work with Company and Union, is contained in that expectation, expressed during conversations with both company and union representatives. The researcher will present a written

recommendation regarding next steps in the training and development of skills among coordinators and union stewards. The coordinators and union stewards were consistently mentioned by both management and union representatives as the key to their strategic plan implementation. However, except for two occasions, the coordinators and union stewards were not involved in this process. Those two occasions included union steward and coordinator joint training on contract interpretation, and the local union steward participation in the union's own strategic planning.

The final document was prepared and taken back to the local plant management and union for revisions. They made the revisions and the report was finalized.

The researcher has recommended to both the company and the union that the coordinators and stewards receive training in the change process. They agreed. The researcher will continue to work with the company and the union and continue to cycle and recycle these activities.

Phase V activities also included the preparation of this dissertation for consideration by the local union and management team prior to its final printing. This case study report was presented to the dissertation committee with the assurance that the researcher will continue to work with the company and union. In fact, that assurance has already been received from the company and the union, in a letter referencing continued work with them during their change

process. (See "Letter from Company to T. Glenn," Appendix S.) This case report has been idiographically interpreted. It can only be used in the context of this plant and this local union, because of the specific history, culture, and process of change underway in this organization. This study is being tentatively applied in that, since the participants have agreed on a plan of action, and have also invited the research team to continue with that facilitation, this document will be used as the agenda for continued activity at the local level. It is not the intention of the researcher to use this report in any other setting. It is the researcher's hope that the reader will be able to add this experience to his or her own base of knowledge and learn from it.

While the researcher has simply told the story of the methodology in this chapter, he will make some observations and draw conclusions and recommendations in Chapter 5.

Chapter 5

DISCUSSION AND CONCLUSION

The reader was promised in Chapter 1 that "this research project will facilitate, observe, and document the change activities taking place at a food processing plant in the Midwest United States, and in the union which represents its hourly workers." The researcher has facilitated, observed, and documented the change activities taking place in this research site.

The research question in Chapter 1 asks, "Is there a discernable, definable process that can be documented and reported as a case study for the instigation, implementation, and maintenance of the change process?" The answer is "yes." This dissertation is a case study of that process.

Naturalistic Inquiry is not intended to state a hypothesis and test it. It is, rather, intended to give researcher and participant a methodology, a rigor, in which to learn about themselves and to grow. This document dealt with the statement of the problem, the literature, and the methodology. This chapter will address the methodology, the literature, and finally, the problem itself.

Methodology

The methodology was demonstrated to be successful in this study. The naturalistic inquiry, based on the hermeneutic dialectic and extended by storytelling, in fact enabled the participants to grow to the point where they were able to do joint planning and acting.

The Rogerian counseling approach, as a parallel in human development, is based more on the attitude of the counselor than his or her technique, and consists primarily of "being with" the client/participant. This approach generated the environmental support necessary to allow clients/participants to grow to the extent that they could plan together and act together in mutual self-interest. The human instrument in Guba and Lincoln's naturalistic evaluation and the human instrument in Carl Rogers' counselling approach were met in the researcher.

Through the orientation sessions with the entire workforce, and reinforced constantly in the hermeneutic dialectic, the researcher introduced specific information regarding the issue of change:

1. Change is inevitable
2. Change can be managed
3. Whoever manages the change gets more of what s/he wants
4. Change, jointly managed, can produce benefits for those who jointly manage it

5. Union and management are smart enough to figure this out
6. Mutual self interest comes before trust, and is sufficient in the short term

The researcher continued to reintroduce these concepts into the hermeneutic circles, facilitating construction of ideas and new sets of behavior. As these circles facilitated the development of new constructs, they began to add sophistication to the knowledge base of the participants, enabling them to plan and act together.

Initial joint activities were entered into because each group had, in fact, decided that it could proceed based on "mutual self interest" rather than "trust." Each had agreed that trust is something that comes later, not at first. Each was willing to enter into joint activities based on their mutual self-interest that would allow them to develop trust over the long haul.

David Carnevale (1995) says, "When you reveal unexpected and authentic information, channels of communication are opened up" (pp. 97-98). He further states, "Candor is a good place to start where people have already lost trust in how their situation is being grasped or depicted" (p. 97).

Labor and management representatives developed intra-group joint constructions through the hermeneutic dialectic and storytelling activities, which enabled them to build the

integrity and self confidence necessary to build inter-group joint constructions later, and to act on them. The researcher worked with labor and management together, then separately, then together again: facilitating group and individual storytelling and the development of joint constructions.

Literature

The reader will recall from the literature review that Burnham and Domhoff both demonstrate the separation of managers and workers as an historical fact. Modern day management consultants agree that the separation between thinking and doing in the workplace, a reflection of separating management and workers, is counter-productive. Yet, attempts to reorganize the workplace are less than universally successful. If workers are going to make more decisions in the workplace and successfully "build in quality," it will require more than simply "empowering" the workers to make decisions. The culture of the workplace must first be addressed in an honest and open environment. There is evidence, according to Voos, Tucker, Marshall, and Carnevale, that some of the most successful workplace reorganization is taking place in union-organized workplaces. Senge says we must unearth shared pictures of the future and Rhodes describes a learning process common to all living things. Rogers offers the opportunity to create

an environment within which those people who know the work (Hummel, 1987) learn to make the environmental changes that are the prerequisite to assuming the responsibility for making decisions about that work.

The literature suggests simultaneously that change must come from the top, may come from the middle, or must come from the bottom of an organization. There is also some concern that regardless of where change comes from, it will be sabotaged in the workplace, in any event. Parker and Slaughter suggest that workers would sabotage it. Zenger-Miller research identifies middle managers as the most common saboteurs.

This study found no evidence of sabotage, but found normal hesitance and uncertainty on the part of both labor and management as to what their roles will be and what the rewards and sanctions might be for continued involvement in the change process. This was clearly demonstrated when the former plant manger John had been removed and no permanent plant manager was appointed for a period of time. With a few notable exceptions, both management and union representatives retrenched, waiting to see what the next plant manager might do about the change process.

There is evidence that chief executive officers do need to be committed to the change process in order for it to succeed. Witness the fact that the former plant manager, John, first approached the local union about improving

relations. The current plant manager, Jim, continues to support change. He arranged for local union stewards and coordinators to meet for contract training, and continues to support the implementation of the change process. He also actively supported the negotiation and integration of the strategic plans prepared by both management and the union, including the community college literacy grant.

Sensenbrenner's claim that change comes from somewhere in the middle of an organization was demonstrated by the active support of three local union members who worked with the author throughout this entire project: Tom, Milton, and Adam. Their vision, energy, and courage provided the underpinning and momentum for the change process even during its dark days. Also, each of the successive human resource managers for the company, Margie, Christina, and Scott, continued to collaborate with union change agents in this process.

Both the managers and the union members engaged in "academic" discourse between and among themselves improving their communication skills and learning about each others' stories. The researcher also brought in new information regarding total quality management, and international quality standards. Exposure to experts on these topics added sophistication to the process. As the participants and the researcher grew in knowledge, they also grew in their

ability and willingness to take risks and sustain the change process.

Inherent in worker culture is low self-esteem based in large part on the fact that many working people have a high school education or less, and the commonly held assumption that people lacking a baccalaureate degree "know" less than those with a college degree. The AFL-CIO, and labor educators, in general have failed to address this issue in a way that is helpful. They have, for the most part, concentrated efforts on raising the "educational" level of workers, without regard to the message of implied inadequacy that such efforts send to working people who are not able or not inclined to pursue further academic education. A more appropriate and, in fact more effective, approach is to recognize that worker "knowledge" is extensive and adequate. What workers need is a system that capitalizes on that knowledge and adds sophistication to it.

Voos's contention that union security contributes to the willingness to risk on the part of workers, and Marshall's contention that the union is a necessary workplace ingredient as a prerequisite to a true "partnership," was also evident.

The Problem

In Chapter 1, the researcher presented a rather grim picture of a deeply rooted historical relationship between

labor and management reminiscent of master and slave. An early history of worker separation from work followed by industrial strife lays the ground work for labor management relations in today's workplaces. This environment, however, is expected to produce the new relationships necessary to create the new organization. The researcher clearly believes that this study demonstrates that, in order to create and sustain change, the focus must be on the relationships themselves and the attitudes that maintain them. The reader may recall from Chapter 1 that, "this inquiry explores how these changes happen or fail to happen, how workers and managers facilitate or sabotage them, and what organizations can do to engage effectively in change and growth."

The single most defensible observation that can be made about this study is that a combination of storytelling and hermeneutic dialectic facilitated the change process. The researcher has discovered that storytelling surfaces similarities or common ground, and the hermeneutic dialectic surfaces differences. The storytelling as a group activity allowed people to see where they fit into the organizational change process and gave them common ground on which to stand and proceed together. The hermeneutic dialectic was an individual activity which allowed people in the privacy afforded by personal interviews, to talk more freely about differences in the workplace, that is, what separates them out from other people. Since the researcher was a conduit

for bringing this information back into the group, this information was integrated in a non-judgmental context without exposing the information giver. But the storytelling brought the information and the participants to a new level of understanding which enabled and facilitated a new level of behavior and collaboration.

There is evidence that change consists of three steps:

1. Language and behavioral change. Management renamed their supervisors "coordinators," and union stewards conducted contract training for coordinators.
2. Practice, which took place in this study over the period of three years, just now arriving at the point where significant long-term change is possible through training for the coordinators and stewards.
3. Value change. Labor and management came together out of mutual self-interest for this process and eventually agreed to a joint action plan, perhaps out of trust.

Finally, the fairness criterion was met. No one group of stakeholders was empowered over any other group of stakeholders. The authenticity criterion was also met on all four counts:

1. **Ontological:** The participants and researcher understood their own positions better

2. Educational: The participants and researcher understood others' positions better
3. Catalytic: The participants and the researcher were moved to action
4. Tactical: The action that the participants and researcher engaged in was effective

Strengths and Weaknesses

The strength of the methodology lies in the researcher and participants interacting with one another, to inform one another, so that each may learn.

The weakness lies in the human instrument. A researcher not grounded in a human development approach may be overwhelmed by the simple presence and energy of the participants themselves. These folks come to expect that they can accomplish something. When they do, the researcher had better be ready to support the development of their own construction and not get in the way.

Forebodings

The researcher thought, on a few occasions, that the whole project would be stopped. When John, the former plant manager was removed, and the managers and workers both retrenched, the researcher was not able to judge the implications. Then, when the current plant manager, Jim, was appointed, he clearly stated that he would have to talk with

corporate for permission to continue. As time passed the researcher heard nothing and became concerned. Then, when permission came, it forbade the use of the company name. The union had to be told that they could not be identified in the study, since that could violate the company's confidentiality by allowing a reader to assume the company's identify from that of the union. The researcher thought the union might object, but they did not.

When the new union president and executive board were elected, the researcher thought the project might again be in jeopardy. It was not until President Ernie and the researcher met later that it was clear the project would be completed.

Projections and Future Studies

Since naturalistic inquiry is rooted in human development, and human development depends entirely upon the context within which it takes place, this study cannot be replicated. However, the researcher believes that this process should be attempted in other workplaces.

Even though each learning experience is context-bound, and irreplicable, this researcher would not suggest that one cannot learn from cumulative experience. In fact, the mere existence of an educational system suggests that it is possible to create and sustain learning environments and that learning experiences may be similar, if not the same.

The researcher would suggest that working people are quite capable of doing anything they want. It appears to be the consultants who are limited.

If a cadre of "experts" were to be developed out of this workplace, maybe they could develop experts in other workplaces who would generate more successes and more experts.

With abiding faith in working people, and hope in the future, the researcher believes the attempt should be made.

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Appendix A

TOWARD A UNION-BASED QUALITY INITIATIVE

DRAFT

XXXX Local XXXX
 XXXX Corporation

Rationale

The total quality movement is grounded in the pride that workers take in their product. "Union-made" has always meant "well-made." It is natural and appropriate for unions to be in the forefront of the quality movement.

The quality movement is a complex rearranging of the way in which we view the processes of work. "Quality" requires new skills, new technology, and new relationships. It involves a whole range of new concepts, from statistical process control, to teamwork on the shop floor.

In order to accomplish total quality, it is necessary to organize work and the workforce in such a way that teams can operate effectively, and that communication can take place efficiently.

A union can provide that organizational structure.

This model is designed to help union members develop the stake and the skills that will enable them to take charge of the processes and structures that characterize the total quality movement.

Using a New Model for Relationships

Distrust and conflict characterized the "old" model of union and company relationships. In that model, each entity had separate domains and ventured forth into the common ground of production with separate roles and distinct goals:

COMPANY DOMAIN:

Market identification
 Product development
 Investment decisions
 Quality control
 Directing the workforce
 Formal orientation & training
 Work load distribution
 Technology change
 Bargaining
 Grievance processing
 Hiring/Firing

UNION DOMAIN:

Member recruitment
 Political action
 Community services
 Worker culture
 Bargaining
 Contract maintenance
 Grievance processing
 Informal orientation & training

Old Model

Company -----> Production <----- Union

In the "new model of relationships required by the quality movement, some roles remain the same, some are eliminated, and some enter a new "shared" domain, one in which neither the company nor the union is dominant, and in which both company and union share equally in responsibility for the success of the enterprise:

COMPANY DOMAIN:	SHARED DOMAIN:	UNION DOMAIN
Market identification	Quality product	Political action
Investment policy	Work load distribution	Community services
Bargaining	Team effectiveness	Worker culture
Grievance processing	Training	Bargaining
Hiring/Firing	Production processes	Contract maintenance
	Product development	Grievance processing
	Technology improvement	Member recruitment

New Model

Company <-----> Shared <-----> Union

A Process for Learning and Maintaining a Stake in Quality

In order for union members to begin making a transition from "adversary" relationships to "team" relationships, training and stake-building must take place within the context of the union itself. This process must ensure the integrity and credibility of the union, its leaders, and its organization. Without this assurance, participation in quality processes runs the risk of being equated with "selling out to" or being "co-opted by" the company.

This training and development effort is designed as a complement to company-sponsored, in-plant education and training around the implementation of quality processes.

PHASE I: Initial All-Member Orientation

Characteristics: Paid participation
Series of Saturday workshops

Content: Purposes and meaning of total quality
The "New Model for Relationships"
Responsibilities and rewards of participation
Inherent risks and risk management
Time and stress management
New communication processes
Interpersonal skills
Worker culture

PHASE II: Stewards/Committee Member Training

Characteristics: Required of stewards and committee
members
On-going workshops
Each session to include
representatives of each group

Content: Leadership
Labor/Management history
Worker and contract loyalty within the total
quality environment
Cognitive/Affective/Behavioral congruence
Building and maintaining a communication
system
Relationship between the Contract and TQM

PHASE III: Integrated and On-Going Educational Processes

Characteristics: Structured orientation for new
employees/members
Regular communication (newsletters,
etc.)
Periodic informational/educational
sessions
Rumor management processes

Content: Continuous education
On-going stake building
System building
System maintenance

Appendix B

XXXX Local XXXX
XXXXXXXXXXXXXXXXXX Plant

Implementation ProposalFor a Union-Based Training InitiativeIn Conjunction withIn-Plant Quality/Gainsharing Initiatives

The XXXXXXXXXXXXXXXXXXXX Plant, with the full participation of hourly workers constituting the XXXX Local XXXX bargaining unit, is involved in a quality initiative which includes a newly instituted gainsharing plan, along with a variety of other high performance efforts.

The local union is eager to ensure that these efforts succeed. A more productive and competitive plant results not only in a more profitable company, but also in job security, meaningful wage and benefit structures, and a healthier community economy. The type of communication and cooperation which these initiatives require between the traditionally adversarial hourly and salaried employees is, however, not without its dangers.

First, the union is concerned that its identity, integrity, and cohesiveness not be undermined by participation of union members in the quality initiatives. Such participation needs to be understood as furthering the enlightened self-interests of the union, not "selling out to the company."

Second, union members, particularly stewards who are responsible for day-to-day maintenance of the collective bargaining agreement, are concerned about potential conflict between the gainsharing plan and the contract. The interaction and mutual impact of the gainsharing plan and the contract need to be understood.

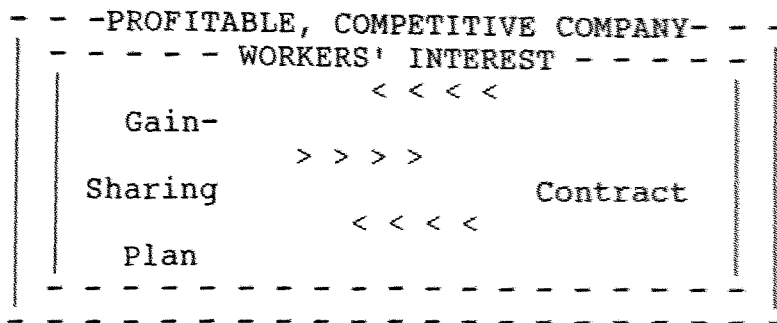
Finally, the union is concerned that natural turnover in union leadership and in management could result in the loss of understanding and collective memory regarding the purpose and mutual commitments contained in the decision to enter the quality movement as a partner with the company. Some mechanism to ensure continuity and the transfer of information, beliefs, and skills needs to be established.

The union believes that a training program which

operates outside the plant, within the union structure, is the most effective way in which to disseminate information, inculcate values, and provide for continuity of purpose and participation.

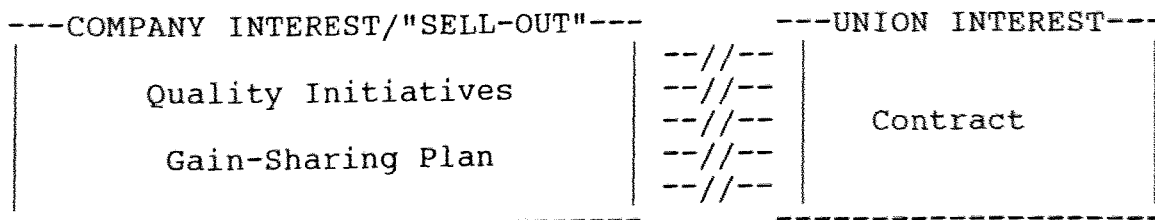
It is the intent of this Union-Based Training Initiative to ensure that both gainsharing and contract issues are understood as contributing to the workers' interests and well being within the context of a healthier, more competitive company:

Integrated System



A primary object of this Initiative is to avoid the development of dual or parallel systems within the plant which perceive themselves as having different goals and values, undermine each other, and create dissention within the workforce:

Parallel Systems



This proposal includes two phases. The first is designed to initiate discussion of these issues, and begin the development of a skill and information base among stewards and union representatives on in-plant committees.

The second phase is intended to develop a long-term capacity among these and other union members to continue and expand activities which increase their own skills and enhance the effectiveness of the XXXXXXXXXXXXXXXX quality initiatives.

Phase I: Initial Union Steward/plan Committee Hourly Member Training

GOALS

- I. Understand the history of Local XXXX within the historical context of the labor movement.
- II. Understand the organizational cultures which constitute the environmental and interactional characteristics of Local XXXX and the XXXXXXXXXXXXXXXX Plant.
- III. Understand global and national perspectives and approaches to quality, competitiveness, and productivity.
- IV. Examine the relationship between the gainsharing plan and the contract relative to their unique strengths and the enlightened self-interest of the workforce.

The primary Phase I activity is an initial training experience for union stewards and hourly members of the in-plant committees. The attached options include alternatives with participation by the senior management team during a portion of the workshop.

Phase II: Capacity Building

GOALS

- I. Formalize on-going communication between the quality/gainsharing structure and the union structure.
- II. Develop internal planning and implementation capacity.
- III. Provide learning opportunities which enhance process skills of hourly workers and enhance their effectiveness within the quality/gainsharing system and within the local union.

Phase II begins with a structured planning session designed to draw on the initial training workshop in order to review and modify the Phase II goals and develop strategies and activities to meet those goals.

Initial Workshop - Option A:DRAFT

Participants: 30 Union stewards and hourly committee members.
 Structure: One 7-hour workshop held on a Saturday.
 Location: Facility with meal service capacity.

<u>Time Frame</u>	<u>Content</u>
8:00 a.m.	Gather, Collect refreshments
8:30	<p>Introductions, Explanations of Process Union History and Historical Context Participants "tell their stories," including those they remember, those they have been told or learned about, events they experienced. Results of this session will include: - a rough timeline by decades of the experiences and changes of Local XXXX -an experientially derived statement of the purpose of Local XXXX</p>
10:00 a.m.	Break
10:15 a.m.	<p>Organizational Culture - Participants will role play situations representing a variety of conflicts, compromises, and relationships in order to identify the positions, responses, and expectations that make up the culture of the union and the plant. - Role plays will be processed using a cognitive/affective/behavioral congruence model.</p>
11:45 a.m.	Lunch
12:15 p.m.	<p>Lunch continues with... The Quality Movement: How it is supposed to work, what it looks like from inside and outside the plant, its relationship to the global market. Speaker: Richard XXXXXXXXX XXXXXXXXXXXXXXXX Community College XXXX Quality Coalition</p>
1:00 p.m.	Questions and Answers
1:30 p.m.	Break
1:45 p.m.	<p>Relationship Among Quality, Gainsharing, Contract A guided discussion of contact points, potential conflicts, and areas of complement in the structure and implementation of the quality initiative in general, the gainsharing plan in particular, and the contract.</p>
2:45 p.m.	Wrap-up
3:00 p.m.	Adjourn

Initial Workshop - Option B:DRAFT

Participants: 30 Union stewards and hourly committee members
 10 Senior management team (afternoon session)
 Structure: One 7-hour workshop held on Saturday
 Location: Facility with meal service capacity

Time FrameContent

8:00 a.m.	Gather, collect refreshments
	Introductions, explanation of process
8:30 a.m.	Union History and Historical Context
	Participants "tell their stories," including those they remember, those they have been told or learned about, events they experienced.
	Results of this session will include:
	- a rough timeline by decades of the experiences and changes of Local XXXX.
	- an experientially derived statement of the purpose of Local XXXX.
10:00 a.m.	Break
10:15 a.m.	Organizational Culture
	Participants will role play situations representing a variety of conflicts, compromises, and relationships in order to identify the positions, responses, and expectations that make up the culture of the union and the plant.
	Role plays will be processed using a cognitive/affective/behavioral congruence model.
11:45 a.m.	Lunch (Management team joins workshop)
12:15 p.m.	Lunch continues with...
	The Quality Movement: How it is supposed to work, what it looks like from inside and outside the plant, its relationship to the global market
	Speaker: Richard XXXXXXXX XXXXXXXXXXXX Community College XXXXXXXX Quality Coalition
1:00 p.m.	Questions and Answers
1:30 p.m.	Break
1:45 p.m.	Relationship among quality, gainsharing, and contract
	A guided discussion of contact points, potential conflicts, and areas of complement in the structure and implementation of the quality initiative in general, the gainsharing plan in particular, and contract.
2:45 p.m.	Wrap-up
3:00 p.m.	Adjourn

Initial Workshop - Option C:DRAFT

Participants: 30 Union stewards, hourly committee members.
 Structure: Two 4-hour workshops held on successive Saturdays.
 Location: Union hall.

<u>Time Frame</u>	<u>Content</u>
Session 1	
8:00 a.m.	Gather, collect refreshments
8:30 a.m.	Introductions, explanation of process Union History and Historical Context Participants "tell their stories," remembered, told, learned, or experienced. Results of this session will include: - a rough timeline by decades of the experiences and changes of Local XXXX - an experientially derived statement of the purpose of Local XXXX
10:00 a.m.	Break
10:15 a.m.	Organizational Culture Participants will role play situations representing a variety of conflicts, compromises, and relationships in order to identify the positions, responses, and expectations that make up the culture of the union and the plant. Role play processed using cognitive- affective-behavioral congruence model.
11:45 a.m.	Wrap-up and preparation for next session
12:00 p.m.	Adjourn
Session 2	
8:30 a.m.	Gather, collect refreshments
9:00 a.m.	The Quality Movement: How it is supposed to work, perspective from inside and outside the plant, its relationship to the global market. Speaker: Richard XXXXXXXX XXXXXXXX Community College XXXXX Quality Coalition
10:00 a.m.	Questions and Answers
10:30 a.m.	Break
10:45 a.m.	Relationship among quality, gainsharing, and contract A guided discussion of contact points, potential conflicts, and areas of complement in the structure and implementation of the quality initiative in general, the gainsharing plan in particular, and the contract.
11:45 a.m.	Wrap-up
12:00 p.m.	Adjourn

Initial Workshop - Option D:DRAFT

Participants: 30 Union stewards & committee members
 10 Senior management team members (Session 2)
 Structure: Two 4-hour workshops on successive Saturdays
 Location: Union hall.

<u>Time Frame</u>	<u>Content</u>
Session 1 (Union members only)	
8:00 a.m.	Gather, collect refreshments
	Introductions, explanation of process
8:30 a.m.	Union History and Historical Context
	Participants "tell their stories," those they remember, have been told, learned about, or experienced.
	Results of this session will include:
	- a rough timeline by decades of the experiences and changes of Local XXXX
	- an experientially derived statement of the purpose of Local XXXX
10:00 a.m.	Break
10:15 a.m.	Organizational Culture
	Participants will role play situations representing a variety of conflicts, compromises, and relationships in order to identify the positions, responses, and expectations that make up the culture of the union and the plant.
	Role play processed using cognitive-affective-behavioral congruence model.
11:45 a.m.	Wrap-up and preparation for next session
12:00 p.m.	Adjourn
Session 2 (Union members and management team members)	
8:30 a.m.	Gather, collect refreshments
	Review last session
9:00 a.m.	The Quality Movement: How it works, perspectives from inside and outside the plant, its relationship to the global market.
	Speaker: Richard XXXXXX XXXXXXXX Community College XXXX Quality Coalition
10:00 a.m.	Questions and Answers
10:30 a.m.	Break
10:45 a.m.	Quality, Gainsharing, and the Contract
	Guided discussion of contract points, potential conflicts, areas of complement in the structure and implementation of the general quality initiative, the gainsharing plan, and the contract.
11:45 a.m.	Wrap-up
12:00 p.m.	Adjourn

Phase II Activities

Following the Initial Training Workshops, a structured planning session will be held to expand upon issues raised in the initial training workshop, review and modify the Phase II goals, and develop strategies and activities to meet those goals.

Examples of activities which might be identified during this planning session include:

- * Creation of a Communications and Liaison Group within the Union.

- * Establishment of formal mechanism within union meetings to discuss quality/gainsharing activities and issues.

- * Establishment of formal mechanisms within steward meetings to address quality/gainsharing relationship to grievances, bargaining issues, etc.

- * Identification of training needs

- e.g. Planning
 - Curriculum evaluation
 - Decision making
 - Leadership development
 - Personal skill identification and development
 - Communication and persuasion
 - Counteracting negativism
 - Group facilitation

- * Establishment of structure for securing, scheduling, conducting, and evaluating training sessions.

Appendix C

XX Local Union XXXX
 XXXX PROCESSING PLANT
 XXXXXXXXXXXXXXXXXXXXXXX

UNION-BASED TRAINING INITIATIVE

The XXXXXXXXXXXXXXXXXXXXXXX, with the participation of hourly workers of the XXXXXXXXXXXXXXX bargaining unit, is involved in a multi-faceted reorganization effort aimed at creating a high performance workplace.

The local union is eager to ensure that these efforts succeed. A more productive and competitive plant results not only in a more profitable company, but also in job security, meaningful wage and benefit structures, and a healthier community economy.

The type of communication and cooperation which these efforts require between the traditionally adversarial hourly and salaried employees is, however, not without its dangers.

First, the union is concerned that its identity, integrity, and cohesiveness not be undermined by participation of the union in high performance initiatives, such as self-directed work teams. Participation needs to be understood as furthering the enlightened self-interest of the union and its members, not as "selling out to the company."

Second, union members, particularly stewards who are responsible for day-to-day maintenance of the collective bargaining agreement, are concerned about potential conflict between self-directed work and the contract. The interaction and mutual impact of self-direction and the contract needs to be understood.

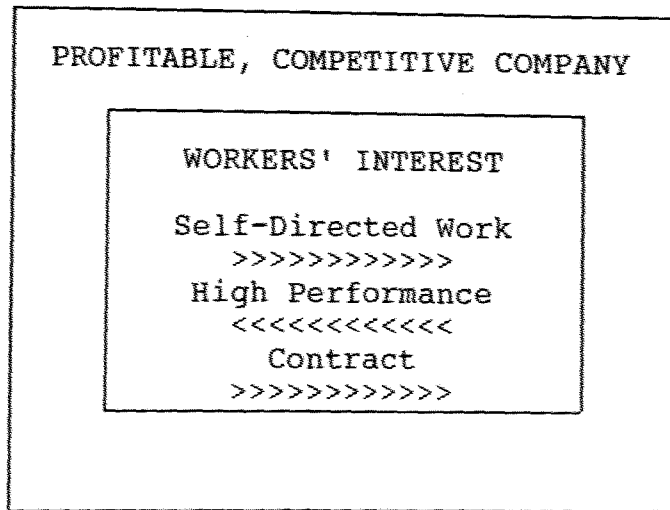
Finally, the union is concerned that turnover in union leadership and in management could result in the loss of understanding and collective memory regarding the purpose and mutual commitments contained in the decision to undertake high performance efforts as a partner with the company. Some mechanism to ensure continuity and the transfer of information, beliefs, and skills needs to be established.

The union believes that a training program which operates outside the plant, within the union structure, is the most effective way in which to disseminate information, inculcate values, and provide for continuity of purpose and

participation.

It is the intent of this Union-Based Training Initiative to ensure that self-directed work and other high performance efforts, along with contract issues, are understood as contributing to the workers' interest and well-being within the context of a healthier, more competitive company:

Integrated System



A primary objective of this Initiative is to avoid the development of dual or parallel systems within the plant which perceive themselves as having different goals and values, undermine each other, and create dissention within the workforce:

Parallel Systems

COMPANY INTEREST/"SELL-OUT"

UNION INTEREST

	< < < / / / > > >	
High Performance	< < < / / / > > >	Contract
	< < < / / / > > >	

This proposal includes two phases. The first is designed to initiate discussion of these issues, and begin the development of a skill and information base among XXXXXXXXXXXX Executive Board and stewards.

The second phase is intended to develop a long-term capacity among these and other union members which will increase their skills, enhance the effectiveness of the XXXXXXXXXXXXXXXXXXXX high performance initiatives, and lead toward

a new relationship between the company and the union, based on worker-managed self-directed teams.

Phase I: INITIAL TRAINING

GOALS

- I. Understand the history of Local XXXX within the historical context of the labor movement.
- II. Understand the organizational cultures which constitute the environmental and interactional characteristics of Local XXXX and the XXXXXXXXXXXXXXXXXXXX Plant.
- III. Understand global and national perspectives and approaches to quality, competitiveness, and productivity.
- IV. Examine the relationship between high performance, self-direction, and the contract in the context of the enlightened self-interest of the workforce.

Phase II: CAPACITY BUILDING

GOALS

- I. Formalize on-going internal communication structures.
- II. Develop internal planning and implementation capacity.
- III. Provide leaning opportunities which enhance process skills of hourly workers and enhance their effectiveness in the plant and in the union.

APPENDIX D

DRAFT ***DRAFT*** ***DRAFT*** ***DRAFT***
January 21, 1994

XXXXXXXXXX

XXXXXXXXXXXXXXXXXXXX

VISION

To be an irreplaceable workforce of undisputed value.

PURPOSE

To take control of our own destiny.
To ensure better working conditions and better lives.
To be strong through unity.

MISSION

To inspire pride.
To excite people.
To communicate effectively.
To provide information.
To take responsibility.
To share accumulated knowledge.

Appendix E

XXXXXXXXXX
Executive Board Work Session
January 21, 1994

DRAFT

LONG-RANGE GOALS

- * To be a self-managed workforce made up of self-directed teams.
- * To be a continuously learning organization.

MID-RANGE STRATEGIES

- * Engage support and endorsement for in-plant, union-based quality initiatives from the International.
- * Negotiate financial support for union-operated education and training programs.
- * Create a one-on-one engagement process for union members to foster an understanding of total quality concepts and their relationships to our own goals and self-interest.
- * Establish a "Labor Leaders Forum" for current, past, and informal union leaders as a place to talk through problems, discuss solutions, come to shared understanding of goals.

SHORT-RANGE TACTICS

- * Recognize that we have "won the war" for partnership in the design and control of the workplace.
- * Distribute the Code of Conduct.
- * Use the *Can Opener* to disseminate specific information about in-plant quality activities, the quality movement, national trends, and other issues that will help members understand better what is going on.
- * Use the Bulletin Board to better inform membership.
- * Use personal home letters to provide information, particularly for rumor control.
- * Engage in more direct one-on-one discussion of issues in an enthusiastic, positive way, particularly from

union leadership.

- * Incorporate informational sessions (e.g., ISO 9000 information) into weekly Start-Up Meetings.
- * Acknowledge and talk about need for company loyalty and organizational pride.

Appendix F

Stewards/Executive Board Workshop

February 11, 1994

XXXXXXXXXX Union Hall

XXXXXXXXXXXXXXXXXXXX

XXXXXXXXXXXXXXXXXXXX

- 9:45 Coffee, Donuts
- 10:00 Introductions, explanation of process
- 10:15 Union history and context
Review and add to E-Board's "Time Line"
Review and add to Concerns, etc.
Discuss, revise, refine Vision, Purpose, Mission,
Goals, Strategies, Tactics
- BREAK at appropriate place
- 12:30 LUNCH
- 1:30 High Performance and the Contract
Interactional session on relationships, conflicts,
points of contact
- 3:00 BREAK
- 3:15 High performance workplaces: A Union Perspective
XXXX Rich XXXXXXXX
- 4:30 Adjourn

Appendix G

XXXXXXXXXX
 Training Initiative
 XXXX Food Processing Plant
 XXXXXXXXXXXXXXXXXXXX
 Stewards & Executive Board Workshop
 February 11, 1994

INTRODUCTION:

Tom XXXX introduced the session by talking about using the Code of Conduct: A Stronger Union.

GROUND RULES

- * Everybody participates.
- * All comments, opinions, and people are respected.
- * Stick it out all day.
- * Disagreement is OK.

EXPECTATIONS

- * Be stronger.
- * How to weave union contract into total quality initiatives; learn how to keep the contract; learn to agree and share an understanding of the quality initiative.
- * Help people realize it's OK to learn and do more than the basic job.
- * Concentrate on the union's role in this process: that will help us deal with in-plant issues.
- * We need to learn about and discuss what's in it for us: whether or not the company gains as well.
- * Discuss some sort of strategic plan for the union.
- * To learn.
- * That we can reach agreement on *something*, and hit the plant running.
- * Find out consensus and opinion about the status of the situation in the plant, with the contract, and with each other.

- * Brainstorm biggest problem: what are the core issues with "us" and with the "plant."

SUMMARY OF "STORIES"

- * How do you instill trust?
- * Changes: strength shift through a natural process of change.
- * Organizational growth parallels physical growth. We need to exercise power in order have and use it.
- * Need a way to "see" strength; a new way to look for strength.
- * We need a shared sense of hope, to find evidence of need for hope.
- * Power comes from unity: We have it here, but not in the plant. That's what we have to have. We have too many splits.

COMMENTS AND CONCERNS

- * Self-direction: Are we going to take control of it? That will require skills and knowledge. Or are we going to go back? We need to go into bargaining with so many skills that they can't do without us. *Where do we draw the line? Who covers for folks not doing anything?*
- * We need to take advantage of opportunities to "group", to share information.
- * A source of fear for coordinators in the self-direction situation: LOSS OF JOB!
- * We are on the verge of power: What does power feel like? "Being in control!"
- * Another source of power is knowledge, skill, control, and good decision making. The ability to do this depends a lot on individual coordinators.
- * Sources of power: Walking out (not much of an option any more)

Consultation with the Union
(communication is an issue in this

- * We need to push for commitment and stick with it.

VISION/PURPOSE/MISSION

- * Right now, we are not irreplaceable: they have a floor full of coordinators and QC people, they could retain a certain percentage of hourly workers, and the rest they can get from Job Service.
- * You can't order up a self-managed workforce from Job Service.

After much high energy and frank discussion, the group enthusiastically endorsed the vision, purpose and mission statement.

STRATEGIES

(at present undifferentiated.)

- * Show management that we are together: Demonstrate Solidarity.
- * Declare diplomatic war on coordinators.
- * Trust union leadership.
- * Work smart.
- * Stick with the contract.
- * Improve communication; go to union meetings; educate the membership.
- * When company backtracks, tell them: don't be buddy-buddy with the company.
- * Remember the grievance procedure. TQC does not eliminate the grievance procedure.
- * Question, talk to leadership, know what you're doing, check it out.
- * If we eliminate coordinators, we need to get more money for doing their work.
- * Document what we're doing, the changes being made, the money saved, the impact on processes, etc.
- * Get paid for what we do.

- * Ask for help if you need it.
- * Don't "go alone."
- * Get rid of SCABS (make them members).
- * Study the contract.
- * Every day: each steward should make contact with another steward - let them know what's going on, find out what's happening, support each other, share information.
- * Go to the union dance - invite everybody.
- * Quit making distinctions among and within units. Break the "well he/she is just a transfer, temporary, etc." attitude. We are all union.
- * Call each other "brother and sister."
- * Any member should be able to get the same answer from any steward.
- * Have more FUN!
- * Every steward should come to union meetings and bring someone else - someone who has never been before.
- * Enforce our policies.
- * Believe it can happen!

DISCUSSION OF DYNAMIC - PROS & CONS - OF SELF-DIRECTION

SELF-DIRECTION

<i>Restraining Forces</i>	<i>Driving Forces</i>
1) Loss of jobs.	1) Resources for improving employee skills.
2) More work for the same pay.	2) Bargaining power.
3) The company will do whatever they want anyway.	3) More desirable environment.
4) Company failure to be totally committed.	4) More efficient processes, better quality product.
5) Lack of direction.	5) Currently being introduced in the school system.
	6) Success could result in the need for a larger workforce.

Rich XXXXXXXX gave a presentation on Quality Processes in general from the union perspective.

Appendix H

XXXXXXXXXX
XXXXXXXXXXXXXXXXXXXX
February 11, 1994

VISION
(What we want to be)

To be an irreplaceable workforce of undisputed value.

PURPOSE
(Why we want to achieve our vision)

To be strong through unity.
To take control of our own destiny.
To bargain effectively for better working conditions and
better lives.

MISSION
(How we move toward our vision)

To inspire pride.
To excite people.
To communicate effectively.
To provide information.
To take responsibility.
To share accumulated knowledge.

Appendix I

XXXXXXXXXX
Training Initiative
XXXXXXXXXXXXXXXXXXXX
Stewards & Executive Board
Strategic Planning Session
March 25, 1994

- 9:00 Gather, introductions, plan for the day/Consent forms
- 9:30 Re-cap work to date - where are we?
- 10:30 Identify Task Groupings
Communications
Training
Solidarity
Others?
- 11:00 Divide into Task Groups
(Lunch as Task Group wishes)
- 2:00 Task Group reports
- 3:00 Wrap up

Appendix J

XXXXXXXXXX
 XXXX Food Processing Plant
 XXXXXXXXXXXXXXXXXXXX
 Training Initiative

Executive Board/Stewards Strategic Planning Session
 March 25, 1994

Process Notes

Twenty-six Executive Board members and Stewards attended this session:

Milton XXXX
 Gerhard XXXXXXXX
 *Michael XXXXXXXX
 Elmer XXXXXXXX
 Tom XXXXXXXX
 *Tom XXXX
 Shirley XXXXXXXX
 Lloyd XXXXXXXX
 Lonnie XXXXXXXX
 Jerry XXXXXXXX
 Myra XXXXXXXX
 Noble XXXXXXXX
 Eddeana XXXXXXXX
 *Luddie XXXXXXXX
 Marsha XXXX
 Gloria XXXXXXXX
 Bob XXXXXXXX
 *Adam XXXXXXXX
 Pat XXXXXXXX
 Marcus XXXXXXXX
 Pearl XXXXXXXX
 Dave XXXXXXXX
 Roger XXXXXXXX
 Roger XXXXXXXX
 Lavonda XXXXXXXX
 *Ken XXXXXXXX
 * Executive Board

Chief Steward Adam XXXXXXXX opened the workshop by conducting several items of stewards business, including an update on grievances filed, settled, and pending. There was discussion of key findings and implications of several significant grievances.

Tom Glenn distributed consent forms, discussed them, and reminded the group of the relationship between their activities and his dissertation inquiry. He reviewed the agenda and discussed the relationship between the vision/purpose/mission that was agreed to in the February

11, 1994, session and the strategic planning which would be the substance of today's session.

A spontaneous discussion ensued regarding the total quality concept at XXXX and its implementation in the plant. The theme of this discussion was: "It is good for management, but is it also good for us?" In discussing the work reorganization that is part of the total quality concept, the group identified three alternative approaches to participation: a) Controlling it, b) Manipulating it, and c) Managing it. The group agreed spontaneously that what they really wanted was to manage the total quality processes at XXXX.

"Issues [relative to total quality implementation] are getting shelved," they said. "We should be allowed to air these issues at start-up meetings." "Should we be laying groundwork," they asked themselves, "for airing implementation issues at start-up meetings and in other settings such as committees?"

The group agreed that it needed a strategy that could force consistency of meaning and action between managers and coordinators.

A major unanswered question that surfaced during the discussion and remained unresolved asked how these issues relate to or become bargaining issues.

With these issues and questions as the backdrop, Twila XXXXX introduced the strategic planning process that would be used during this session.

The "Vision/Purpose/Mission" (from the February 11, 1994, session) was posted and distributed. The Executive Board's preliminary "Goals/Strategies/Tactics" (from the January 21, 1994, session) were distributed. These are included in the XXXXXXXXXX *Strategic Plan, Working Document*.

The "Steps in Strategic Planning" were posted, distributed, and discussed.

Participants divided by self-selection into task groupings to address the general topics of communication, training, solidarity, security, and compensation. Participants indicated that they wanted an Executive Board member in each task group. The Executive Board members distributed themselves among the task groups.

Each group followed the strategic planning steps which had been discussed, and produced one or more strategy, all of which have been incorporated into the Strategic Plan.

This was a difficult and frustrating process for the group. Some groups worked more effectively than others, some more efficiently. Some groups had more conflict than others, some more consensus.

After brief discussion of the ideas and strategies which surfaced during the task group work, a discussion ensued among the entire group regarding the concept of a self-managed work force of self-directed teams. Results of that discussion are also included in the Strategic Plan.

Appendix K

XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXX

DRAFT
6/3/94

XXXX Food Processing Plant
XXXXXXXXXXXXXXXXXXXX

Strategic Plan
A Working Document

Prepared
Spring, 1994

How This Strategic Plan Was Developed

From January through March of 1994, the Executive Board and Stewards of XXXXXXXXXX met in several visioning, discussion, and planning sessions.

One of the tasks of that group was to develop a Strategic Plan for the Local.

This document is that Plan. It is not a finished document. It is not intended to describe the only activities that the local union will undertake. The Local will modify it, alter it, add to it, work on it, and work at it over time.

This document is designed to help the Local and its members focus on the direction in which it wants to move, and some actions that will help it move in that direction.

Some of the actions are well-developed, with suggestions for how they should be accomplished. Some are simply concepts. All are included to serve as a source of ideas and direction. Each is designed to help the Local actively pursue its Vision, Purpose, and Mission.

The issues associated with training - what should it address, where should it be held, who should deliver it, and how should it be paid for - continue to be a primary topic of discussion. A section on "Training Issues" is included in this Plan.

A central and on-going part of the Executive Board and Stewards discussion is the question of why and how XXXXXXXXXX should become a Self-Managed Work Force of Self-Directed Teams. The key concepts from that discussion are also included in this Plan.

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XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

Vision
(What we want)

To be an irreplaceable workforce of undisputed value.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

Purpose
(Why we want to achieve our vision)

To be strong through unity.

To take control of our own destiny.

To bargain effectively for better working conditions and
better lives.

XX
Local Union XXXX

Mission
(How we move toward our vision)

- Inspire pride.
- Excite people.
- Communicate effectively.
- Provide information.
- Take responsibility.
- Share accumulated knowledge.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

Long Range Goals
(What we want to accomplish)

To be a self-managed workforce made up of self-directed teams.

To be a continuously learning organization.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Local Union XXXX

Strategic Steps

Immediate Actions

Actions designed to promote solidarity, and make us strong through unity.

1. Promote and sponsor the annual Labor Jam.

* The Labor Jam is an opportunity for all union members in the area to get together, have fun, and enjoy the music and experiences of working people.

* The Labor Jam is an opportunity for us to demonstrate to working people statewide and from other states that we believe in our union and in the labor movement.

Time Frame:

- * Plan, promote: year-round.
- * Conduct the Labor Jam: each May.

Responsibility of:

- * Tom XXXX and Shirley XXXXXX, with help from others as necessary.

Indicators that this action is effective:

- * Significant number of people participate.

Cost:

- * Approximately \$400 per year.

Additional benefits:

- * Other unions and union members enjoy and are inspired by the Labor Jam.

2. *March in the Labor Day Parade.*

* It is important to have a good turnout from our local union in the annual Labor Day Parade in order to show the entire community that we are strong.

Time Frame:

* Labor Day Parade: each September.

Responsibility of:

* Every union member.

Indicator that this action is effective:

* A significant number of members and their families march the parade.

Cost:

* No cost.

3. *Hold an annual Christmas Dance for union members and their guests.*

* A Christmas Dance is an opportunity for union members and their guests to relax and socialize with union sisters and brothers.

Time Frame:

* Plan and promote dance: summer and fall each year.

* Hold dance: each December.

Responsibility of:

* Eddeana XXXXX, and others as necessary.

Indicators that this action is effective:

* A significant number of union members and their guests attend.

Cost:

* Approximately \$1,000.

4. *Hold spontaneous T-shirt days.*

* Spontaneous T-shirt days help raise spirits and bring attention to the fact that the union has the ability to call for and inspire united action.

* T-shirts will have appropriate logos and/or sayings on them, such as "United we bargain, divided we beg."

Time Frame:

* Whenever needed.

Responsibility of:

* Securing T-shirts: Committee of stewards.

* Calling for T-shirt day: Stewards and Executive Board.

* Wearing T-shirts: Everyone.

Indicator that this action is effective:

* Significant number of T-shirts are worn on T-shirt days.

Cost:

* \$6 - \$12 per shirt.

5. *Ensure that stewards set an example for behavior by adhering to the Code of Conduct.*

* The Code of Conduct should be distributed to all stewards and discussed at stewards meetings so that all stewards understand it and are able to act according to it.

* The Code of Conduct should be distributed to all members so that each member has the same information as to what type of behavior is appropriate.

Time Frame:

* Immediate and on-going.

Responsibility of:

* All stewards.

Indicator that this action is effective:

* Members will recognize and use code-of-conduct behavior.

Cost:

* No additional costs beyond budgeted copying and distribution costs.

6. *Increase membership in Local XXXX.*

* By engaging new employees and securing the return of former members, the local will grow in strength and resources.

* The closer we are to 100% membership, and the higher the percentage of active members, the stronger our position is in every type of action that we take, including bargaining.

Time Frame:

* Year-round, on-going effort.

Responsibility of:

* All members, particularly Stewards and Executive Board.

Indicator that this action is effective:

* Membership and active participation will increase.

Cost:

* No cost.

Actions designed to improve communication and information sharing:

1. *Ensure useful, informative start-up meetings by establishing a standard format and posting results following each meeting.*

* Start-up meetings should be limited to one (1) hour, and should be based on a standardized agenda including:

Old business
 Production schedule and issues
 Report on down time
 Safety up-date
 Report on sales
 Steward report and discussion

* Start-up meetings should have ground rules that encourage full participation by all. These ground rules should include, but not necessarily be limited to:

A steward should be present at each meeting.
 There should be no finger-pointing and blaming.

* Start-up meetings plant-wide should follow the same general format in order to ensure that all workers have similar opportunities to take part in information sharing.

* The results of each start-up meeting should be posted following that meeting as a reminder of what was discussed, and as a reference point to help eliminate confusion or misunderstanding regarding information shared during the start-up meeting.

Time Frame:

- * Ground rules and standardized format immediately.
- * Implementation of new rules & format weekly.
- * Postings weekly, following each meeting.

Responsibility of:

- * Stewards (working with managers and coordinators).

Indicators that this action is effective:

- * Start-up meetings plant-wide will follow similar format.
- * Postings will be made.

Cost:

- * No cost to union. (Meetings are part of the production budget.)

Additional benefit:

- * Increased production due to consistent information sharing.

2. *Conduct monthly safety meetings as free-standing information and training events.*

* Safety meetings should be scheduled for, and limited to, one (1) hour, and should be designed to address specific safety topics of particular concern to workers.

* Safety information should be the sole topic of regularly scheduled monthly safety meetings in order to emphasize the importance of the information and to ensure that it does not get lost in other discussions.

Time Frame:

- * Establish meeting schedule: immediately.
- * Implement meetings: monthly.
- * Identify topics for meeting: on-going.

Responsibility of:

- * Stewards and Safety Representatives, working with managers and coordinators.

Indicators that this action is effective:

- * Meetings are taking place.
- * Safe behavior is used in the plant.

Cost:

- * No additional cost since meetings are already in the budget.

Additional benefit:

- * Increased production due to fewer accidents.
- * Less down time.
- * Less lost time.

Actions designed to help be more effective in bargaining and take more control over our destiny.

1. *Ensure that all stewards understand and are thoroughly familiar with the contract.*

* Stewards are responsible for maintaining the contract. Therefore, it is particularly important that they understand and agree on its content and implications.

* Different stewards are called upon to interpret the contract at different times in different settings. Therefore, it is important that stewards learn about the contract's content and implications together so that they can develop a common understanding of the contract.

Time Frame:

- * Steward school for new stewards: following each steward election.
- * Up-date and refresher sessions on specific topics: monthly at regular steward meetings.

Responsibility of:

- * Chief Steward with assistance from Executive Board and International staff.

Indicator that this action is effective:

- * Stewards will indicate satisfaction with contract education on an annual steward survey.

Cost:

- * Probably no cost beyond what is currently budgeted for steward training and meetings.

2. *Ensure that all stewards understand and are thoroughly familiar with departmental policies.*

* Stewards are often called upon to communicate and interpret departmental policies and to relate those policies to the contract. Therefore, it is important for stewards to know and understand department policies and how they relate to the contract.

* A discussion of various departmental policies can be an important part of each steward meeting. It is particularly important to share and discuss the implications of any changes in policy with all stewards in the context of the steward meeting.

Time Frame:

- * Assign and conduct departmental discussion: monthly at steward meeting.

Responsibility of:

- * Assign and schedule: Executive Board and Chief Steward.
* Lead discussion of specific departmental policies: Stewards, Executive Board.

Indicator that this action is effective:

- * Stewards will indicate satisfaction with department policy discussion on an annual steward survey.

Cost:

- * Probably no cost beyond what is currently budgeted for steward training and meetings.

3. *Ensure that the entire membership is familiar with and understands key points of the contract.*

* It is important for the entire membership to understand the contract in order to ensure the union's credibility and to ensure that stewards' time is well-spent on legitimate issues of contract maintenance.

* The more the entire membership knows about the contract, the easier it is to discuss potential changes and negotiation issues, and to grieve contract violations.

Time Frame:

- * Conduct contract issue discussion: monthly at membership meeting.
- * Prepare and publish "Contract Notes" in the *Can Opener*: monthly.

Responsibility of:

- * Executive Board and *Can Opener* editor.

Indicator that this action is effective:

- * Reduction in the number of grievances.

Cost:

- * Probably no cost beyond what is currently budgeted for membership meetings and *Can Opener*.

Additional benefit:

- * Increased productivity due to reduced down time and reduced lost time for grievances.

This action needs a fuller explanation:

4. *Grievance procedure*

Time Frame:

- * 30 days or less.

Responsibility of:

- * Stewards and Grievance Committee.

Indicator that this action is effective:

- * Higher percentage of grievances are resolved at a lower step.

Cost:

- * Difficult to estimate.

5. *Ensure that all stewards are quickly apprised of local agreements that result from grievance procedure or other conflict resolutions.*

* It is important for all stewards to be aware of all agreements that have been reached regarding contract maintenance.

Time Frame:

- * Dissemination of agreements to all stewards: within one month of reaching the agreement.

Responsibility of:

- * Chief Steward.

Indicator that this action is effective:

- * All stewards will have copies of all local agreements.

Cost:

- * No expense beyond copying and distribution expenses already budgeted.

The following list includes activities that can be undertaken at any time to improve communication, understanding, solidarity, and general movement toward the Vision of Local XXXX:

- * Use the Can Opener to disseminate specific information about in-plant activities relative to continuous improvement and total quality, the quality movement in general, national trends, and other issues that will help members understand better what is going on.
- * Use the Bulletin Board to better inform membership about any issues of interest and importance.
- * Use personal home letters to provide information, particularly for rumor control.
- * Engage in more direct one-on-one discussion of issues in an enthusiastic, positive way, particularly from union leadership.
- * Incorporate informational sessions (such as ISO 9000 information) into weekly start-up meetings.

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Local Union XXXX

Strategic Steps

Long-Term Actions

These actions require significant effort over time in order to realize long-term benefits. In the case of these actions, there will be little or no immediate change in conditions or benefits. Instead, they are pursued in order to cause major changes in conditions and significant long-term benefit to the union and its members.

1. Ensure that members receive increased compensation that reflects their increasing skills, productivity, and responsibility.

* As production workers at XXXX take on new responsibilities as a result of work reorganization, it is important that their compensation reflect those changes.

* As the increasing skills and responsibility of production workers at XXXX result in increased productivity, the workers should benefit from that increased productivity.

Time Frame:

- * Identify the data that will be necessary for negotiations: 2-3 months and on-going.
- * Collect data: 3-4 months and on-going.
- * Negotiate changes in compensation: during contract negotiations.

Responsibility of:

- * Negotiating committee, with the assistance of the Executive Board, Stewards, and other individuals assigned to identify and collect specific data.

Indicators that this action is effective:

- * Necessary data is identified.
- * Data is collected
- * Contract reflects a relationship between company productivity gains and worker compensation gains.

Cost:

- * No additional cost beyond that currently budgeted for meetings and negotiating activities.

2. *Create, and contract for, a no-layoff policy.*

* A no-layoff policy in the contract would ensure job security and enhance job satisfaction.

* A no-layoff policy requires advanced planning regarding the reallocation of resources during times of reduced production that currently result in layoffs.

* A proposal for a no-layoff policy should be based on a safety and training initiative that will increase productivity and the value of the workforce.

* A no-layoff policy should also address new product development and increased sales.

* The no-layoff proposal should include:

Description of benefits, including:

Increased productivity due to increasing skill and job satisfaction.

Reduced down-time caused by unskilled workers and safety problems.

Reduced administration cost of layoff, recall, and unemployment.

Description of layoff alternatives, including:

Skill and safety training initiative.

New product development.

Increasing sales area.

Time Frame:

* Conduct initial research and develop proposal framework: 6-9 months.

* Conduct training, and new product development: on-going.

Responsibility of:

* Executive Board, Stewards, and specially created committees of the membership, with assistance from coordinators and managers when appropriate.

Indicators that this action is effective:

* Proposal is created.

* Training is taking place instead of layoffs.

* New lines and increased sales are resulting in more jobs.

* Sales increase.

* Administrative costs associated with layoffs are reduced.

* Reduced down time caused by untrained workers and safety problems.

Cost:

- * Initial cost of lost time for research and development.
- * Initial cost for training.
- * Initial costs off-set by increased sales and productivity.
- * Costs off-set by reduction in workers compensation and cost of managing lay-off/recall.

The following list includes long-term activities that
XXXXXXXXXX should undertake to ensure an environment of
support and understanding for our local initiatives within
the international, and within the labor community in
general.

* Engage support and endorsement for in-plant, union-based
quality initiatives from the
XX International Union.

* Negotiate financial support for union-operated education
and training programs.

* Establish a "Labor Leaders Forum" for current, past, and
informal union leaders as a place to talk through problems,
discuss solutions, and come to shared understanding of
goals.

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Local Union XXXX

Training Issues

This local union must be engaged in an on-going training initiative that helps develop the skills of each individual member, as well as the general effectiveness of the union itself.

In order to accomplish this, the union must undertake training that has the following characteristics:

- * Everyone is involved in on-gong training of some type.
- * Everyone participates in the decision-making about their own training.

Planning, content, and cost of any specific training experience may or may not be shared by the company, depending upon the nature and delivery of that training experience.

Some training may appropriately take place in the plant and be tied directly to work organization and production processes.

Some training may take place in the union hall or at other union-selected locations, and address union participation, personal development, general education, community involvement, or any other type of education or training experience that the union and the individuals involved feel is appropriate.

Some topics which have been suggested for training include:

- Career Planning
- Communication and Persuasion
- Computer Literacy
- Counteracting Negativism
- Decision-Making
- Group Facilitation
- Interest-Based Bargaining
- Leadership Development
- Managing and Embracing Change
- Personal Portfolio Development
- Personal Skill Assessment
- Self-Directed Work Teams
- Union History and Traditions

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
 Local Union XXXX

Why a Self-Managed Work Force of Self-Directed Teams?

Highlights of the On-Going Discussion

* Establishing a self-managed work force of self-directed teams would be a good business decision for the company and for the union.

* At present, we are not seeing a relationship between the profit position at XXXX and our own work status. For instance, in the spring of 1994, XXXXXX profits rose, but we experienced layoffs.

* We need more control over our work situation.

* Self-direction works for us when we are in charge of it. It will not work if we are NOT in charge of it. This poses a series of questions for us regarding our attitude toward and relationship with self-direction:

Do we "buy into" self-direction?

Do we "play along" with self-direction?

Do we attempt to "control" or "manage" self-direction?

* We know that self-direction is good for the company. The question we must answer is:

Is self-direction good for us?

* A serious problem exists in the implementation of self-direction:

Many local managers fail to conduct self-direction in a meaningful way. This makes it difficult for us to take it seriously and participate in it in a way that will achieve the results that are intended.

* In 1993, the union tried to make the quality initiative work. The biggest obstacle has been the company's reluctance to give up the control that is necessary in order to implement the quality initiative properly and make it effective.

Appendix L

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
LOCAL UNION XXXX

(logo)

XXXX Food Processing Plant
XXXXXXXXXXXXXXXXXXXX

Strategic Plan
A Working Document

Prepared
Spring, 1994

How This Strategic Plan Was Developed

From January through March of 1994, the Executive Board and Stewards of XXXXXXXXX met in several visioning, discussion, and planning sessions.

One of the tasks of that group was to develop a Strategic Plan for the Local.

This document is that Plan. It is not a finished document. It is not intended to describe the only activities that the local union will undertake. The Local will modify it, alter it, add to it, work on it, and work at it over time.

This document is designed to help the Local and its members focus on the direction in which it wants to move, and some actions that will help it move in that direction.

Some of the actions are well-developed, with suggestions for how they should be accomplished. Some are simply concepts. All are included to serve as a source of ideas and direction. Each is designed to help the Local actively pursue its Vision, Purpose, and Mission.

The issues associated with training - what should it address, where should it be held, who should deliver it, and how should it be paid for - continue to be a primary topic of discussion. A section on "Training Issues" is included in this Plan.

A central and on-going part of the Executive Board and Stewards discussion is the question of why and how XXXXXXXXX should become a Self-Managed Work Force of Self-Directed Teams. The key concepts from that discussion are also included in this Plan.

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Local Union XXXX

Vision
(What we want)

To be an irreplaceable workforce of undisputed value.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

Purpose
(Why we want to achieve our vision)

To be strong through unity.

To take control of our own destiny.

To bargain effectively for better working conditions and
better lives.

XX

Local Union XXXX

Mission

(How we move toward our vision)

Inspire pride.

Excite people.

Communicate effectively.

Provide information.

Take responsibility.

Share accumulated knowledge.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

Long Range Goals
(What we want to accomplish)

To be a self-managed workforce made up of self-directed teams.

To be a continuously learning organization.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Local Union XXXX

Strategic Steps

Immediate Actions

Actions designed to promote solidarity, and make us strong through unity.

1. *Promote and sponsor the annual Labor Jam.*

* The Labor Jam is an opportunity for all union members in the area to get together, have fun, and enjoy the music and experiences of working people.

* The Labor Jam is an opportunity for us to demonstrate to working people statewide and from other states that we believe in our union and in the labor movement.

Time Frame:

- * Plan, promote: year-round.
- * Conduct the Labor Jam: each May.

Responsibility of:

* Tom XXXX and Shirley XXXXXX, with help from others as necessary.

Indicators that this action is effective:

* Significant number of people participate.

Cost:

* Approximately \$400 per year.

Additional benefits:

* Other unions and union members enjoy and are inspired by the Labor Jam.

2. *March in the Labor Day Parade.*

* It is important to have a good turnout from our local union in the annual Labor Day Parade in order to show the entire community that we are strong.

Time Frame:

* Labor Day Parade: each September.

Responsibility of:

* Every union member.

Indicator that this action is effective:

* A significant number of members and their families march in the parade.

Cost:

* No cost.

3. *Hold an annual Christmas Dance for union members and their guests.*

* A Christmas Dance is an opportunity for union members and their guests to relax and socialize with union sisters and brothers.

Time Frame:

* Plan and promote dance: summer and fall each year.
* Hold dance: each December.

Responsibility of:

* Eddeana XXXXX, and others as necessary.

Indicators that this action is effective:

* A significant number of union members and their guests attend.

Cost:

* Approximately \$1,000.

4. *Hold spontaneous T-shirt days.*

* Spontaneous T-shirt days help raise spirits and bring attention to the fact that the union has the ability to call for and inspire united action.

* T-shirts will have appropriate logos and/or sayings on them, such as "United we bargain, divided we beg."

Time Frame:

* Whenever needed.

Responsibility of:

* Securing T-shirts: Committee of stewards.

* Calling for T-shirt day: Stewards and Executive Board.

* Wearing T-shirts: Everyone.

Indicator that this action is effective:

* Significant number of T-shirts are worn on T-shirt days.

Cost:

* \$6 - \$12 per shirt.

5. *Ensure that stewards set an example for behavior by adhering to the Code of Conduct.*

* The Code of Conduct should be distributed to all stewards and discussed at stewards meetings so that all stewards understand it and are able to act according to it.

* The Code of Conduct should be distributed to all members so that each member has the same information as to what type of behavior is appropriate.

Time Frame:

* Immediate and on-going.

Responsibility of:

* All stewards.

Indicator that this action is effective:

* Members will recognize and use code-of-conduct behavior.

Cost:

* No additional costs beyond budgeted copying and distribution costs.

6. *Increase membership in Local XXXX.*

* By engaging new employees and securing the return of former members, the local will grow in strength and resources.

* The closer we are to 100% membership, and the higher the percentage of active members, the stronger our position is in every type of action that we take, including bargaining.

Time Frame:

* Year-round, on-going effort.

Responsibility of:

* All members, particularly Stewards and Executive Board.

Indicator that this action is effective:

* Membership and active participation will increase.

Cost:

* No cost.

Actions designed to improve communication and information sharing; that will help the union take control of its own behavior in interactions with the company:

1. Ensure useful, informative start-up meetings by establishing a standard format and posting results following each meeting.

* Effective start-up meetings will help re-enforce the knowledge that the union is competent, knowledgeable, and in control of the work process.

* Start-up meetings should be one (1) hour in length, and based on a standardized agenda:

- Old business
- Production schedule & issues
- Report on down time
- Safety up-date
- Report on sales
- Steward report and discussion

* Start-up meetings should have ground rules that encourage full participation by all. These ground rules should include, but not necessarily be limited to:

- Steward present at each meeting.
- Coordinators viewed as resources.
- No finger-pointing and blaming.
- Show union to be responsible and effective.

* Start-up meetings plant-wide should follow the same general format in order to ensure that all workers have similar opportunities to take part in information sharing.

* The results of each start-up meeting should be posted following that meeting as a reminder of what was discussed, and as a reference point to help eliminate confusion or misunderstanding regarding information shared during the start-up meeting.

Time Frame:

- * Ground rules and standardized format: immediately.
- * Implementation of new rules and format: at weekly meetings.
- * Postings: weekly, following each meeting.

Responsibility of:

- * Stewards (working with managers and coordinators).

Indicators that this action is effective:

- * Start-up meetings plant-wide will follow similar format.
- * Postings will be made.

Cost:

* No cost to union. (Meetings are part of the production budget.)

Additional benefit:

* Increased production due to consistent information sharing.

2. *Conduct monthly safety meetings as free-standing information and training events.*

* Safety meetings should be scheduled for, and limited to, one (1) hour, and should be designed to address specific safety topics of particular concern to workers.

* Safety training should be highlighted as a valuable and important part of the production process.

* Safety information should be the sole topic of regularly scheduled monthly safety meetings in order to emphasize the importance of the information and to ensure that it does not get lost in other discussions.

* Safety training should not be part of - and lost in - start-up meetings.

Time Frame:

* Establish meeting schedule: immediately.

* Implement meetings: monthly.

* Identify topics for meeting: on-going.

Responsibility of:

* Stewards and Safety Representatives (working with managers and coordinators).

Indicators that this action is effective:

* Meetings are taking place.

* Safe behavior is used in the plant.

Cost:

* No cost to the union. (Safety training is part of the production budget.)

Additional benefit:

* Increased production due to fewer accidents.

* Less down time.

* Less lost time.

Actions designed to help be more effective in bargaining and take more control over our destiny.

1. *Ensure that all stewards understand and are thoroughly familiar with the contract.*

* Stewards are responsible for maintaining the contract. Therefore, it is particularly important that they understand and agree on its content and implications.

* Different stewards are called upon to interpret the contract at different times in different settings. Therefore, it is important that stewards learn about the contract's content and implications together so that they can develop a common understanding of the contract.

Time Frame:

- * Steward school for new stewards: following each steward election.
- * Up-date and refresher sessions on specific topics: monthly at regular steward meetings.

Responsibility of:

- * Chief Steward with assistance from Executive Board and International staff.

Indicator that this action is effective:

- * Stewards will indicate satisfaction with contract education on an annual steward survey.

Cost:

- * Probably no cost beyond what is currently budgeted for steward training and meetings.

2. *Ensure that all stewards understand and are thoroughly familiar with departmental policies.*

* Stewards are often called upon to communicate and interpret departmental policies and to relate those policies to the contract. Therefore, it is important for stewards to know and understand department policies and how they relate to the contract.

* A discussion of various departmental policies can be an important part of each steward meeting. It is particularly important to share and discuss the implications of any changes in policy with all stewards in the context of the steward meeting.

* Stewards meet in two groups, 1st and 2nd shifts, making it important to develop a consistent communication mechanism between the two groups, in order to ensure consistent application of policies.

Time Frame:

- * Develop communication mechanism between 1st and 2nd shift stewards: by August, 1994.
- * Assign and conduct departmental discussion: monthly at steward meeting.

Responsibility of:

- * Develop 1st-2nd shift communication mechanism: Chief Steward and stewards.
- * Assign and schedule departmental discussions: Executive Board and Chief Steward.
- * Lead discussion of specific departmental policies: Stewards, Executive Board.

Indicator that this action is effective:

- * Stewards will indicate satisfaction with department policy discussion on an annual steward survey.

Cost:

- * Probably no cost beyond what is currently budgeted for steward training and meetings.

3. *Ensure that the entire membership is familiar with and understands key points of the contract.*

* It is important for the entire membership to understand the contract in order to ensure the union's credibility and to ensure that stewards' time is well-spent on legitimate issues of contract maintenance.

* The more the entire membership knows about the contract, the easier it is to discuss potential changes and negotiation issues, and to grieve contract violations.

Time Frame:

- * Conduct contract issue discussion: monthly at membership meeting.
- * Prepare and publish "Contract Notes" in the *Can Opener*: monthly.

Responsibility of:

- * Executive Board and *Can Opener* editor.

Indicator that this action is effective:

- * Reduction in the number of grievances.

Cost:

- * Probably no cost beyond what is currently budgeted for membership meetings and *Can Opener*.
- * Cost savings due to quicker resolution of issues.

Additional benefit:

- * Increased productivity due to reduced down time and reduced lost time for grievances.

4. *Grievance procedure*

* Stewards and membership need information and refreshers on the details of the grievance procedure, filing process, and resolution processes.

Time Frame:

* Prepare and disseminate grievance procedure information: 30-60 days.

Responsibility of:

* Stewards and Grievance Committee.

Indicator that this action is effective:

* Higher percentage of grievances are resolved at a lower step.

Cost:

* Moderate lost time cost for information preparation; copying and distribution costs already budgeted.
* Cost savings from quicker resolution of issues.

5. *Ensure that all stewards are quickly apprised of local agreements that result from grievance procedure or other conflict resolutions.*

* It is important for all stewards to be aware of all agreements that have been reached regarding contract maintenance.

Time Frame:

* Dissemination of agreements to all stewards: within one month of reaching the agreement.

Responsibility of:

* Chief Steward.

Indicator that this action is effective:

* All stewards will have copies of all local agreements.

Cost:

* No expense beyond copying and distribution expenses already budgeted.

The following list includes activities that can be undertaken at any time to improve communication, understanding, solidarity, and general movement toward the Vision of Local XXXX:

- * Use the Can Opener to disseminate specific information about in-plant activities relative to continuous improvement and total quality, the quality movement in general, national trends, and other issues that will help members understand better what is going on.
- * Use the Bulletin Board to better inform membership about any issues of interest and importance.
- * Use personal home letters to provide information, particularly for rumor control.
- * Engage in more direct one-on-one discussion of issues in an enthusiastic, positive way, particularly from union leadership.
- * Incorporate informational sessions (such as ISO 9000 information) into weekly start-up meetings.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Local Union XXXX

Strategic Steps

Long-Term Actions

These actions require significant effort over time in order to realize long-term benefits. In the case of these actions, there will be little or no immediate change in conditions or benefits. Instead, they are pursued in order to lay groundwork for negotiations and to stimulate major changes in conditions and significant long-term benefit to the union and its members.

1. Ensure that members receive increased compensation that reflects their increasing skills, productivity, and responsibility.

* As production workers at XXXX take on new responsibilities as a result of work reorganization, their compensation should reflect skill levels as well as job descriptions.

* The compensation system should reflect the process, administrative, production, and design skills that workers in any job may possess and use in the total quality environment.

* As productivity at XXXX increases, the compensation paid to workers should increase.

Time Frame:

- * Identify the data that will be necessary for negotiations: 2-3 months and on-going.
- * Collect data: 3-4 months and on-going.
- * Negotiate changes in compensation: during contract negotiations.

Responsibility of:

- * Negotiating committee, with the assistance of the Executive Board, Stewards, and other individuals assigned to identify and collect specific data.

Indicators that this action is effective:

- * Necessary data is identified and collected.
- * Contract reflects a relationship between productivity gains and compensation gains.

Cost:

* No additional cost beyond that currently budgeted for meetings and negotiating activities.

2. *Create, and contract for, a no-layoff policy.*

* A no-layoff policy in the contract would ensure job security and enhance job satisfaction.

* A no-layoff policy keeps people involved with their job, and with the union.

* A no-layoff policy requires advanced planning regarding the reallocation of resources during times of reduced production that currently result in layoffs.

* A proposal for a no-layoff policy should be based on a safety and training initiative that will increase productivity and the value of the workforce.

* A no-layoff policy should also address new product development and increased sales.

* The no-layoff proposal should describe benefits of no-layoff and alternatives to layoffs:

Benefits: - Increased sales due to new product development.

- Increased productivity due to increasing skill and job satisfaction.

- Reduced down-time caused by unskilled workers and safety problems.

- Reduced administration cost of layoff, recall, and unemployment.

Alternatives: - Skill and safety training initiative.

- New product development.

- Increasing sales area.

Time Frame:

* Conduct initial research and develop proposal framework: 6-9 months.

* Conduct training, and new product development: on-going.

Responsibility of:

* Executive Board, Stewards, and specially created committees of the membership, with assistance from coordinators and managers when appropriate.

Indicators that this action is effective:

* Proposal is created.

* Training is taking place instead of layoffs.

- * New lines and increased sales are resulting in more jobs.
- * Administrative costs associated with layoffs are reduced.
- * Reduced down time caused by untrained workers and safety problems.

Cost:

- * Initial cost of lost time for research and development.
- * Initial cost for training.
- * Costs off-set by increased sales and productivity.
- * Costs off-set by reduction in workers compensation and cost of managing lay-off/recall.

The following list includes long-term activities that XXXXXXXX should undertake to ensure an environment of support and understanding for our local initiatives within the international, and within the labor community in general.

- * Engage support and endorsement for in-plant, union-based quality initiatives from the XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX International Union.
- * Negotiate financial support for union-operated education and training programs.
- * Establish a "Labor Leaders Forum" for current, past, and informal union leaders as a place to talk through problems, discuss solutions, and come to shared understanding of goals.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
 Local Union XXXX

Training Issues

This local union must be engaged in an on-going training initiative that helps develop the skills of each individual member, as well as the general effectiveness of the union itself.

In order to accomplish this, the union must undertake training that has the following characteristics:

- * Everyone is involved in on-gong training of some type.
- * Everyone participates in the decision-making about their own training.

Planning, content, and cost of any specific training experience may or may not be shared by the company, depending upon the nature and delivery of that training experience.

Some training may appropriately take place in the plant and be tied directly to work organization and production processes.

Some training may take place in the union hall or at other union-selected locations, and address union participation, personal development, general education, community involvement, or any other type of education or training experience that the union and the individuals involved feel is appropriate.

Some topics which have been suggested for training include:

Career Planning	Communication and Persuasion
Computer Literacy	Counteracting Negativism
Decision-Making	Group Facilitation
Interest-Based Bargaining	Leadership Development
Managing and Embracing Change	Marketing and Promotion
Mentoring and Coaching	Pension and Retirement Planning
Personal Finances	Personal Portfolio Development
Personal Skill Assessment	Product Design and Development
Public Speaking	Purchasing and Selection Procedures
Self-Directed Work Teams	Union History and Traditions
School-to-Work Transition Systems	

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
 Local Union XXXX

Why a Self-Managed Work Force of Self-Directed Teams?

Highlights of the On-Going Discussion

* Establishing a self-managed work force of self-directed teams would be a good business decision for the company and for the union.

* At present, we are not seeing a relationship between the profit position at XXXX and our own work status. For instance, in the spring of 1994, XXXXXX profits rose, but we experienced layoffs.

* We need more control over our work situation.

* Self-direction works for us when we are in charge of it. It will not work if we are **NOT** in charge of it. This poses a series of questions for us regarding our attitude toward and relationship with self-direction:

Do we "buy into" self-direction?

Do we "play along" with self-direction?

Do we attempt to "control" or "manage" self-direction?

* We know that self-direction is good for the company. The question we must answer is:

Is self-direction good for us?

* A serious problem exists in the implementation of self-direction:

Many local managers fail to conduct self-direction in a meaningful way. This makes it difficult for us to take it seriously and participate in it in a way that will achieve the results that are intended.

* In 1993, the union tried to make the quality initiative work. The biggest obstacle has been the company's reluctance to give up the control that is necessary in order to implement the quality initiative properly and make it effective.

Appendix M

XXXXXXXXXXXXXXXXXXXXXXXXXXXX
3-Day Work Session
January 18-20, 1995

Agenda

Wednesday, January 18

- 8:00 - 10:00 Union Executive Board Meeting
- 10:00 - 10:30 Break
- 10:30 - 12:30 Management Team Storytelling Session
- 12:30 - 1:30 Lunch
- 1:30 - 2:30 Report on Workplace Visitation
- 2:30 - 3:30 Presentation of Strategic Plans
Company & Union
- 3:30 - 5:00 Integration of Plans

Thursday, January 19

- 8:00 - 10:00 Recap of Integration process
Finding Common Ground
- 10:00 - 10:30 Break
- 10:30 - 12:30 Presentation of "Work & Learning" Grant
- 12:30 - 1:30 Lunch
- 1:30 - 5:00 Using the grant to support integrated
planning

Friday, January 20

- 8:00 - 12:00 Action Steps associated with integrated
planning

Appendix N
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
January 19, 1995

PLANNING WORK SESSION

Common Ground Issues

SAFETY

Component Issues

- * Protect people
- * Save money
- * Stabilize workforce
- * Understand accident rates and nature of accidents
- * Ergonomics
- * Behaviors
- * Relationship of injuries to movement to unfamiliar jobs; relationship of this dynamic to the bumping system, skill training, a "work-hardening" programs, etc.
- * Health and wellness
- * Source of expertise, information, and training (e.g., XXXX International)

COMMUNICATION

Component Issues

- * Listening to what people are saying about processes, events, etc.
- * Critical nature of location of information dissemination
- * Accurate information
- * Mutual problem solving
- * Relationship between rumors and release of information
- * Impact of informal organizations and communication systems
- * Effectiveness of communication system (e.g., Newsletter, start-up meetings)
- * Decision-making: Which ones are made where?
How do we get feedback on effectiveness of decision?
Which decisions are consultative;
which are command?

EMPLOYEE INVOLVEMENT, especially PARTICIPATORY PROBLEM-SOLVING

Component Issues

* Coordinators:

- Critical link in the process, especially for communication
- We still treat them as traditional supervisors in terms of accountability; we give them mixed messages about involvement, but in the end, the bottom line is key.

* Problem Solving

- Skills, implementation, consistency, impact, facilitation, working closer to the problem, collaborative problem-solving.
- How do we encourage/reward the use of problem-solving skills?

* Problem-solving approaches/models

- Do we use real data?
- What is role of emotion in the process?
- How do we arrive at a solution?
- How do we bring as much data/information as possible to the table?

* What problems are we solving?

SECURITY <--> STABILITY

Component Issues

- * Fewer layoffs; less job movement
- * Overlap with safety and communication
- * Depth of skill (as opposed to breadth of skill only)
- * How do we value people?
- * What is the relationship among:
 - skill <--> training <--> value
- * What is relationship among training of a portion of the workforce and its impact on the rest of the workforce?
- * Sharing skills (how to alleviate the implied threat in that?)
- * What/where is the stable source of training expertise?
- * Who/what is the teacher resource?
- * Degradation of skills from successive training
 - (A -> B -> C -> D ->)
- * We Have: System that responds to layoff and movement
- We Need: System that stimulates and rewards expertise
- The context and environment affect the system (corporate, marketing, sales, etc.)

REVENUE GROWTH

INCREASED SALES

NEW PRODUCTS

REINVESTMENT

INCREASING PRODUCTIVITY/DECREASING COST

CUSTOMER FOCUS

Component Issues

* What part of this can we do in XXXXXXXXX plant (and what do we not have control over)

- Add value: - reduce activities that are not value added
- add activities that are value added
- Reduce cost

WORKPLACE CULTURE

Component Issues

- * Some things "are or "are not" done
- * Shared understanding of business goals would simplify communication issues
- * Everyone needs the same data; with it, people tend to come to similar conclusions
- * Fear inhibits respect and mutuality of goal pursuit
- * Education enhances respect and mutuality of goal pursuit

SYSTEMS - PRODUCTS/RESULTS

Component Issues

- * Individual accountability affects the relationship between systems and products/results

BUILDING COMPETENCE

Component Issues

- * Deliberate action (slow and well thought-out process)
- * Movement toward where we should be

PRIDE

Component Issues

- * A key component of all other dynamics

DATA COLLECTION/ANALYSIS

Component Issues

- * Key to fact-based decision-making
- * Key to reduction in variation

SHARING BENEFITS

Component Issues

- * A relationship between "what I do" and "what I get"
- * Productivity gains <--> compensation gains

FLEXIBILITY

Component Issues

- * Systems
- * People
- * Equipment
- * Reinvestment

*Other Issues Highlighted During Discussion**Union Issues:*

JOB SKILL <--> TEACHING SKILL

Component Issues

- * How do we learn?
- * How do we learn to learn?
- * Education (depth of skill)

Company Issues:

LOWER CASE COST BY 1%

Appendix O

XXXXXXXXXXXXXXXXXXXXX Community College
January 19, 1995

*U.S. Department of Education Work and Learning (Literacy)
Grant Discussion*

* Tasks

- Formalize 2 committees
 - Determining skill needs (both present and future)
- Peer Advocates
 - Key is word of mouth communication
 - Recruitment and training
- Recruitment
 - Communication plan
- Target group identification
 - Survey?
 - Recruitment
- Audits and analyses

* Priorities

- What do we do first?
- Strategic choices that will yield success & not threaten
 - Ex: blueprint reading, maintenance skills
- Use of "Subject Matter Experts" for each (targeted?) job
 - People who perform job
 - Identify core competencies
 - Assess skill level of employees relative to core competency
- Present skill requirement --> Future skill requirement

* Value of one-on-one process for instruction

* Key question:

How does this make me better at performing my job?

* Approach:

- Begin with basic skill improvement.
- Understand as an on-going process.
- Courses --> programs --> funding
- Improvement in work life, family life, community life
- Take people to the next level:
 - From problem identification to problem solving

* Approach:

- "Enhancement geared to where you are" instead of "basic skill development" (reading, math, etc.).

- All of us can gain skill through enhancement.
 - High performance workplace requires widespread use of percentages and other math functions; math skills are needed for effective use of data in problem solving and decision making.
- * How do we manage the cost, and then move into a system where people don't get paid to go to class?
 - * Scheduling, release time, level of participation, logistics, mechanics: Who does this?
 - * Utilization will grow as people get used to coming to training center.
 - * Promotion issues:
 - To employees to use the courses/training center.
 - We have different audiences and need to market differently to them:
 - * Those who want to take advantage of any learning opportunity
 - * Those who will see this as part of job security
 - * Etc.
 - To corporation and government(s) to support with funding.
 - Need to start now to think about how we will attract other funds to continue training
 - * WE NEED TO START WITH SUCCESS *** WE MAY NOT GET A SECOND CHANCE
 - * We have different styles of learning; everyone benefits from learning how they learn.
 - * Integrated Work and Learning Committee needs at least one Coordinator.
 - * Our language has an impact on:
 - Behavior
 - Recruitment
 - Operation of program
 - Overall success of program
 - * Proposed committee structure:
 - Integrated Work and Learning Committee (steering group)
 - Implementation Team (individuals with operations responsibilities)

Appendix P

XXXXXXXXXXXXXXXXXX

January 20, 1995

Common Ground Work Session

Agenda

Committee structure of W/L grant project

Time line for committee development and project
implementation

Action steps reflecting common ground discussion

Address the way in which the W/L grant can assist in common
ground process

Appendix Q

XXXXXXXXXXXXXXXXXX FoodProcessingg Plant
XXXXXXXXXXXXXXXXXXXXXXXXXX

Common Ground Work Session
January 20, 1995

DRAFT
1/25/95

Working Document

TASK: CREATE A COMMITTEE STRUCTURE FOR GUIDANCE AND IMPLEMENTATION OF THE WORK AND LEARNING GRANT.

There will be two newly created groups, each with different responsibilities for ensuring that the Work and Learning Grant is implemented in a way that meets the relevant goals of XXXX XXXXXXXXXXXX, while complying with the guidelines for such grants set forth by the U.S. Department of Education. XXXXXX existing Leadership Team will provide consultation to the Work and Learning implementation process.

The following process will be used for implementing Work and Learning education and training activities:

Recommendations -----> Consultation -----> Approval
Implementation Team Leadership Team Steering Committee

Steering Committee

According to the grant contract, the Steering Committee must have the capacity to review and evaluate the project, contribute to the development of curricula, assess the effectiveness of communication, and address issues of skill acquisition among XXXX employees.

Responsibilities:

- Conduct project oversight at the policy level.
- Ensure that the project is financially sound.
- Ensure that grant-funded activities are moving in the appropriate direction.
- Ensure alignment of grant-funded activities with the overall strategic direction described in the XXXXXXXXXXXXXXXXXXXX "Areas of Agreement."
- Conduct monthly program review with the Implementation Team.
- Maintain the capacity to add new issues to mix of needs and skills addressed by the project.
- Review evaluation reports and feedback.

- Assure that grant-funded activities are appropriate within the boundaries of the grant's guidelines.
- Dissemination of project findings and materials describing operational models, and demonstrate the project's operation on-site and/or in presentations to interested groups.
- Conduct future planning addressing expansion of the project.

Membership:

Initial membership of the Steering Committee will be six (6) individuals who have leadership roles in the three-part partnership involved in the Work and Learning Project.

Ernie XXXXXX, Union President
 Executive Board member to be named
 Jim XXXXXXXXXXXX, Plant Manager
 Senior Management Team member to be named
 Noel XXXXXX, XXXXXXXXXXXXXXXX Community College Dean
 of Continuing Education
 XXX Senior Continuing Education staff to be named

The Steering Committee may draw on other organizational levels to assist in their process. This may take the form of a permanent expansion of the Committee, or it may take the form of *ad hoc* membership brought in to address specific issues.

Implementation Team

Responsibilities:

- Conduct tasks and fulfill responsibilities detailed on page 17 of the Work and Learning grant document.
- Make recommendations for who should participate in education and training activities, what should be in the courses, and when they should be delivered.
- Make recommendations regarding how the Implementation Team relates to the Steering Committee.

E.g.:- Provide monthly status reports.

- Provide the conduit for evaluation feedback, particularly as it relates to responsibilities for fulfilling terms of grant contract.
- Provide periodic program and progress reports to the Leadership Team.
- Manage the budget and on-going expenditures associated with the grant.
- Oversee the development of customized curricula by instructors and approve curriculum content and processes.

The Leadership Team would like for the Implementation Team

to address the following issues:

- Survey the workforce to determine needs and interests.
- Offer college credit for some of the education and training activities included in the Work and Learning Project.
- Develop an action plan for the preparation and use of the Blue Conference Room as the on-site learning center (including alternatives for current uses of the Blue Conference Room).

Membership:

The Implementation Team will be made up of the staff members from each of the three Work and Learning partners who have direct responsibility for creating and delivering project education and training activities.

Tom XXXXXXXXXXXXXXXX

Christina XXXXXXXXXXXXXXXX

Ron XXXXXXXXXXXXXXXX

The Implementation Team may expand its group on a permanent or an *ad hoc* basis to include appropriate experts and organizational level representation.

TASK: CREATE A TIME LINE FOR IMPLEMENTATION OF THE WORK AND LEARNING PROJECT.

Draft revised working document	by 1/25/95	Twila XXXXX
Review draft	2/6/95 9:30 a.m. - 12:00 p.m. XXXXX	Leadership Team
Recommend Project Implementation Plan and Time Line to Leadership Team	2/6/95	Implementation Team
Begin Work and Learning classes	March, 1995	All partners

TASK: TO IDENTIFY THOSE AREAS OF AGREEMENT WHICH CONSTITUTE A COMMON GROUND OF SHARED INTEREST IN THE STRATEGIC PLANS OF BOTH THE XXXX XXXXXXXXXXXXXXXX PLANT AND XXXXXXXXXXXX; TO IDENTIFY THE OPPORTUNITIES (MATERIALS, SITUATIONS, PROCESSES, COMMUNICATIONS, AND ACTIVITIES) IN THOSE AREAS OF AGREEMENT WHICH CAN PROVIDE A CONTEXT FOR LEARNING AND/OR ENHANCING WORKPLACE SKILLS; AND TO IDENTIFY THE WORKPLACE SKILLS ASSOCIATED WITH THOSE LEARNING OPPORTUNITIES AND AREAS OF AGREEMENT.

AREAS OF AGREEMENT	LEARNING OPPORTUNITIES	WORKPLACE SKILLS
<p>SAFETY * To protect people * To save money * To stabilize workforce movement in order to reduce accidents * To understand accident rates and the nature of accidents * To improve ergonomics * To improve safety behaviors * To promote health and wellness * To utilize sources of expertise, information, and training (e.g., XXXX International)</p>	<p>* Reading manuals & resource material (esp. JSAs) * Understanding technical dynamics of equipment * Communicating with co-workers * Gathering information * Interpreting data</p>	<p>* Reading enhancement * Analytical mathematics * Learning how to learn</p>
<p>COMMUNICATION * To improve listening skills to understand what people are saying about processes, events, etc. * To understand the most effective means</p>	<p>* Record communication logs * Make proposals * Present ideas * Conduct meetings * Identify solutions as well as problems * Use computer-based work orders, planning, and</p>	<p>* Interpersonal skills * Team skills * Writing * Computer literacy, including Maximo and e-mail * English language skills * Reading</p>

and location for sharing information

- * To receive and give accurate information, and to use it in decision-making
- * To develop the capacity for mutual problem solving
- * To improve formal communication in order to reduce rumors
- * To understand the impact and effective use of informal organizations and communication systems
- * To increase the effectiveness of communication systems (e.g., newsletter and start-up meetings)
- * To understand the decision-making process:
 - Which ones are made where?
 - How do we get feedback on the effectiveness of decisions?
 - Which decisions are consultative; which are command?

EMPLOYEE INVOLVEMENT, especially PARTICIPATORY PROBLEM-SOLVING

- * To understand that employee

scheduling

- * Discussing and charting how decisions are made

- * Team functions
- * Leadership roles
- * Data gathering
- * Involvement in change processes

enhancement

- * Oral presentation
- * Checking for understanding
- * Participatory decision-making
- * Consultative decision-making

- * Analytical mathematics
- * Creative problem-solving
- * Dealing with change
- * Dealing with

involvement is better for the individual, the union, and the company

- * To look at better understanding the roles that everyone plays in the plant
- * To develop problem identification and problem-solving skills

SECURITY

- * To work towards adapting to external environment, in order to ensure the security of both the plant and individuals
- * To increase knowledge and skills in order to increase value
- * To understand that improving the effectiveness of the individual improves the effectiveness of the team, which improves the effectiveness of the organization
- * To understand that the future of XXXX depends on increasing effectiveness and customer focus.
- * To increase flexibility related to equipment changes in order to allow the manufacture

differences

- * Existing job-specific skills
- * Future job-specific skills (both existing jobs that a given employee may hold in the future, and jobs which do not at present exist but which will in the future)
- * Financial reports
- * Production reports
- * Financial and retirement planning
- * Benefit interpretation

- * Enhancing job-specific skills
- * Increasing the depth of job-specific skills
- * Creative thinking
- * Enhanced reading and math
- * Analytical mathematics
- * Data interpretation (e.g., percentages, trends, histograms, graphs, etc.)

of new sizes
and/or new
products.

* To reduce cost
through more
efficient use of
raw materials
and/or uses of
different raw
materials.

* To become the
preferred
supplier of labor
(irreplaceable
workforce) and
the preferred
supplier of
product.

PRIDE

* To understand
that improved
skills and
knowledge enhance
pride in who we
are, what we do,
and what we make
* To understand
that pride is an
important
component of high
performance
workplaces

* Skill and
knowledge
development

* Self-esteem
* Creative
thinking
* Goal-setting
* Negotiation
* Valuing
* Interpersonal
skills

Appendix R

(Union Logo)

(Company Logo)

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Local Union XXXX

XXXXXXXX Corporation
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXX Food Plant

XXXXXXXXXXXXXXXXXXXX

Toward Common Ground

A Working Document

April, 1995

Introduction

During 1994, the Senior Management Team of the XXXXXXXXXXXXXXXXXXXXXXX Processing Plant engaged in a strategic planning process which resulted in a document entitled XXXXXXXXXXXXXXX Food Plant STRATEGIC PLAN: 1995-1997." At the same time, XXXXXXXXX was engaging in a planning process which resulted in a document entitled XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX Local Union XXXX Strategic Plan: A Working Document, Spring 1994."

Each of these documents contained vision, and mission statements out of which grew goals, and action plans.

In January 1995 XXXXXXXXXXXXXXXXXXXXXXX senior management staff and the XXXXXXXXX began a process of identifying the common ground in those two documents.

This report is the result of that process. It begins with a side-by-side display of the union's Vision, Purpose, and Mission and the company's Vision, Mission, and Principles. These two statements, which contain similarities, differences, and a variety of perspectives, provide the framework for the set of tasks, structures, and opportunities described in this mutually developed document.

XXXXXXXXXX

Vision

- * To be an irreplaceable workforce of undisputed value.

Purpose

- * To be strong through unity.
- * To take control of our own destiny.
- * To bargain effectively for better working conditions and better lives.

Mission

- * Inspire pride.
- * Excite people.
- * Communicate effectively.
- * Provide information.
- * Take responsibility.
- * Share accumulated knowledge.

XXXX

Vision

- * The XXXXXXXXXXXXX Plant will be the preferred supplier of shelf-stable products.

Mission

Through empowered teams of skilled, diverse and accountable individuals, we will continuously strive to be the preferred supplier of shelf-stable food products by:

- * driving down costs.
- * providing a plant that is flexible to meet future business needs.
- * producing products of the highest value.
- * providing superior customer services.

Principles

- * The XXXXXXXXXXXXX Plant exists to provide products for the Food Division at a cost advantage over our competitors.
- * Our prosperity depends on anticipating and responding quickly to customer needs.
- * Every employee and team must have the responsibility, authority, and accountability for their work.
- * Safe behaviors are considered a condition of employment.
- * We are committed to providing an equal focus on safety, quality, morale, cost, and productivity.
- * We believe in the importance of individuals, the diversity they bring, and the power of teamwork.
- * Our future depends on innovations and continuous improvement in our products, processes and ourselves.
- * We must achieve, recognize, and reward excellent performance.
- * We are committed to environmental responsibility.

* Our processes will be understood, under control, and continuously improved to ensure only value-added activity is conducted.

* Fact-based decisions will be used by individuals and teams to ensure the best possible actions are taken.

TASK: CREATE A COMMITTEE STRUCTURE FOR GUIDANCE AND IMPLEMENTATION OF THE WORK AND LEARNING GRANT.

There will be two newly created groups, each with different responsibilities for ensuring that the Work and Learning Grant is implemented in a way that meets the relevant goals of XXXXXXXXXXXXXXXX, while complying with the guidelines for such grants set forth by the U.S. Department of Education. XXXXXX existing Leadership Team will provide consultation to the Work and Learning implementation process.

The following process will be used for implementing Work and Learning education and training activities:
 (Steering Committee makes decisions after Implementation team presents to Leadership Team and Steering Committee)

Recommendations -----> Consultation -----> Approval
 Implementation Team Leadership Team Steering Committee

Steering Committee

According to the grant contract, the Steering Committee must have the capacity to review and evaluate the project, contribute to the development of curricula, assess the effectiveness of communication, and address issues of skill acquisition among XXXX employees.

Responsibilities:

- Conduct project oversight at the policy level.
- Ensure that the project is financially sound.
- Ensure that grant-funded activities are moving in the appropriate direction.
- Ensure alignment of grant-funded activities with the overall strategic direction described in the XXXXXXXXXXXXXXXX "Areas of Agreement."
- Conduct monthly program review with the Implementation Team.
- Maintain the capacity to add new issues to the mix of needs and skills addressed by the project.
- Review evaluation reports and feedback.
- Assure that grant-funded activities are appropriate within the boundaries of the grant's guidelines.
- Disseminate project findings and materials describing operational models, and demonstrate the project's operation on-site and/or in presentations to interested groups.
- Conduct future planning for expansion of the project.
- Approve curriculum and course schedules.

Membership:

Initial membership of the Steering Committee will be nine (9) individuals who have leadership roles in the three-part partnership involved in the Work and Learning Project.
 Ernie XXXXXX, Union President
 2 Executive Board members to be named

Jim XXXXXXXXXXX, Plant Manager
 2 Senior Management Team members to be named
 Noel XXXXXXXX, XXXXXXXXXXXXXXXXXXXXXXXX Community College Dean of
 Continuing Education
 2 XXX Senior Continuing Education staff to be named

The Steering Committee may draw on other organizational levels to assist in their process. This may take the form of a permanent expansion of the Committee, or it may take the form of *ad hoc* membership brought in to address specific issues.

Implementation Team (Needs more guidelines from Leadership Team)

Responsibilities:

- Conduct tasks and fulfill responsibilities detailed on page 17 of the Work and Learning grant document.
- Make recommendations regarding who should participate in education and training activities, what should be in the courses, and when they should be delivered.
- Make recommendations regarding how the Implementation Team relates to the Steering Committee, for example:
 - Provide monthly status reports.
 - Provide the conduit for evaluation feedback, particularly as it relates to responsibilities for fulfilling terms of grant contract.
- Provide periodic program and progress reports to the Leadership Team.
- Manage the budget and on-going expenditures associated with the grant.
- Oversee the development of customized curricula by instructors and approve curriculum content and processes.
- Make others aware of any changes. (e.g. At Leadership meetings give updates as to where we are.)
- Update and document deviations and progress.

The Leadership Team would like for the Implementation Team to address the following issues:

- Survey the workforce to determine needs and interests.
- Offer college credit for some of the education and training activities included in the Work and Learning Project.
- Develop an action plan for the preparation and use of the Blue Conference Room as the on-site learning center (including alternatives for current uses of the Blue Conference Room).

Membership:

The Implementation Team will be made up of the staff members from each of the three Work and Learning partners who have direct responsibility for creating and delivering project education and training activities.

Tom XXXXXXXXXXXXXXXXX
 Christina XXXXXXXXXXXXX
 Ron XXXXXXXXXXXXXXXXX

The Implementation Team may expand its group on a permanent or an *ad hoc* basis to include appropriate experts and organizational level representation.

Leadership Team

Responsibilities:

- Communicate and consult.
- Review recommendations of Implementation Team and provide feedback.
- Mechanics (e.g. staff replacements, training times, courses/times, instructor schedules).
- Ensure understanding by the entire group.
- Keep all informed.
- Recognize the successes of the grant.
- Review audit findings.
- Provide input for evaluations.
- Provide feedback to Implementation Team.
- Provide feed forward to Steering Committee.
- Conduct informal small group discussions.

Membership:

All Senior Management and Executive Board Members, including those not on the Implementation Team and Steering Committee.

Facilitation by the Leadership Team is key to obtaining employee buy-in. This process needs the buy-in of all managers, coordinators, the entire Executive Board and stewards. Managers need to communicate to the Coordinators and the Executive Board needs to communicate to the Stewards.

TASK: **CREATE A TIME LINE FOR IMPLEMENTATION OF THE WORK AND LEARNING PROJECT.**

Draft revised working document	by 1/25/95	Twila XXXXX
Review draft	2/6/95 9:30 a.m. - 12:00 p.m. XXXXX	Leadership Team
Recommend Project Implementation Plan and Time Line to Leadership Team	2/6/95	Implementation Team
Begin Work and Learning classes	March, 1995	All partners

Implementation Issues

- Release time
- Time line
- Equity among shifts
- Location and scheduling of training center
 - cost factors
 - recommendations of Implementation Team

Next action:

- Steering committee meeting on February 16, 1995. (Make sure the entire committee is available.)
- Approve at this meeting:
 - Names - if possible (one instructor may be available for this meeting)
 - Job Profiles
 - Review of instruments
 - Methodology - curriculum

TASK: TO IDENTIFY THOSE AREAS OF AGREEMENT WHICH CONSTITUTE A COMMON GROUND OF SHARED INTEREST IN THE STRATEGIC PLANS OF BOTH THE XXXX XXXXXXXXXXXXXXXX PLANT AND XXXXXXXXXXXX; TO IDENTIFY THE OPPORTUNITIES (MATERIALS, SITUATIONS, PROCESSES, COMMUNICATIONS, AND ACTIVITIES) IN THOSE AREAS OF AGREEMENT WHICH CAN PROVIDE A CONTEXT FOR LEARNING AND/OR ENHANCING WORKPLACE SKILLS; AND TO IDENTIFY THE WORKPLACE SKILLS ASSOCIATED WITH THOSE LEARNING OPPORTUNITIES AND AREAS OF AGREEMENT.

AREAS OF AGREEMENT	LEARNING OPPORTUNITIES	WORKPLACE SKILLS
<p>SAFETY</p> <ul style="list-style-type: none"> * To protect people * To save money * To stabilize workforce movement in order to reduce accidents * To understand accident rates and the nature of accidents * To improve ergonomics * To improve safety behaviors * To promote health and wellness * To utilize sources of expertise, information, and training (e.g., XXXX International) 	<ul style="list-style-type: none"> * Reading manuals & resource material (esp. JSAs) * Understanding technical dynamics of equipment * Communicating with co-workers * Gathering information * Interpreting data 	<ul style="list-style-type: none"> * Reading enhancement * Analytical mathematics * Learning how to learn * Confronting skills
AREAS OF AGREEMENT	LEARNING OPPORTUNITIES	WORKPLACE SKILLS
<p>COMMUNICATION</p> <ul style="list-style-type: none"> * To improve listening skills to understand what people are saying about processes, events, etc. * To understand the most effective means and location for sharing information * To receive and give accurate 	<ul style="list-style-type: none"> * Record communication logs * Make proposals * Present ideas * Conduct meetings * Identify solutions as well as problems * Use computer-based work orders, planning, and scheduling * Discussing and 	<ul style="list-style-type: none"> * Interpersonal skills * Team skills * Writing * Computer literacy, including Maximo and e-mail * English language skills * Reading enhancement * Oral presentation * Checking for

information, and to use it in decision-making

* To develop the capacity for mutual problem solving

* To improve formal communication in order to reduce rumors

* To understand the impact and effective use of informal organizations and communication systems

* To increase the effectiveness of communication systems (e.g., newsletter and start-up meetings)

* To understand the decision-making process:

-Which ones are made where?

-How do we get feedback on the effectiveness of decisions?

-Which decisions are consultative; which are command?

charting how decisions are made

understanding
* Participatory decision-making
* Consultative decision-making

AREAS OF AGREEMENT

EMPLOYEE INVOLVEMENT, especially PARTICIPATORY PROBLEM-SOLVING

* To understand that employee involvement is better for the individual, the union, and the

LEARNING OPPORTUNITIES

* Team functions
* Leadership roles
* Data gathering
* Involvement in change processes

WORKPLACE SKILLS

* Analytical mathematics
* Creative problem-solving
* Dealing with change

company
 * To look at better understanding the roles that everyone plays in the plant
 * To develop problem identification and problem-solving skills

* Dealing with differences *
 Managing conflict/conflict resolution

AREAS OF AGREEMENT

SECURITY

* To work towards adapting to external environment, in order to ensure the security of both the plant and individuals
 * To increase knowledge and skills in order to increase value
 * To understand that improving the effectiveness of the individual improves the effectiveness of the team, which improves the effectiveness of the organization
 * To understand that the future of XXXXX depends on increasing effectiveness and customer focus.
 * To increase flexibility related to equipment changes in order to allow the manufacture of new sizes and/or new products.

LEARNING OPPORTUNITIES

* Existing job-specific skills
 * Future job-specific skills (both existing jobs that a given employee may hold in the future, and jobs which do not at present exist but which will in the future)
 * Financial reports
 * Production reports
 * Financial and retirement planning
 * Benefit interpretation

WORKPLACE SKILLS

* Enhancing job-specific skills
 * Increasing the depth of job-specific skills
 * Creative thinking
 * Enhanced reading and math
 * Analytical mathematics
 * Data interpretation (e.g., percentages, trends, histograms, graphs, etc.)
 * Memory skills

* To reduce cost through more efficient use of raw materials and/or uses of different raw materials.

* To become the preferred supplier of labor (irreplaceable workforce) and the preferred supplier of product.

AREAS OF AGREEMENT

PRIDE

* To understand that improved skills and knowledge enhance pride in who we are, what we do, and what we make
 * To understand that pride is an important component of high performance workplaces

LEARNING OPPORTUNITIES

* Skill and knowledge development

WORKPLACE SKILLS

* Self-esteem
 * Creative thinking
 * Goal-setting
 * Negotiation
 * Valuing
 * Interpersonal skills
 * Art of positive thinking

Appendix S

(On XXXXX Corporation Letterhead Stationery)

March 10, 1995

Mr. Tom Glenn
 Labor Institute for Workforce Development
 South Central Iowa Federation of Labor, AFL-CIO
 1435 NE 54th Avenue, Suite B
 Des Moines, Iowa 50313

Dear Tom,

We wanted to extend to you our sincere thanks for your work with us at XXXX Corp's XXXXXXXXXXXXX Food Plant. Your efforts have assisted us in identifying common strategic goals and intents - information which will help enhance our desire for a mutually beneficial relationship between the company and the Union. Local XXXXX is particularly grateful for your assistance in preparing their strategic plan. Your work with us will assist us in the administration of the educational grant, and will help ensure that it accomplishes its purposes of developing employees and improvement of our business results.

On a larger scale, the work you have done in helping us identify common objectives will assist us in managing our respective resources. We hope to apply the information gained over the past months to other areas of our day to day relationship; and, of course, in our long term planning. We have several challenges to our industry and to our particular plant at this time. We hope to further analyze areas in which we can problem solve these challenges based on our strategic plans. In this way, we can foster the success of our business and thereby improve the security of all our jobs.

We look forward to a continued association with you as we face the challenges ahead.

Sincerely,

(signed)
 Earnest XXXXXX
 President, Local XXXXXX

(signed)
 Scott XXXXXXX
 Employee Relations Manager

cc: XXXXXXXXXXXX, Director of Operations
 XXXXXXXXXXX, President, XXXXX International, AFL-CIO, CLC