

Lindenwood University

Digital Commons@Lindenwood University

Theses

Theses & Dissertations

1997

Working with Your Employees to Move Through Change Using Communication and Motivation: A Case Study

David G. Buck

Follow this and additional works at: <https://digitalcommons.lindenwood.edu/theses>



Part of the [Business Commons](#)

**WORKING WITH YOUR EMPLOYEES
TO MOVE THROUGH CHANGE
USING COMMUNICATION AND MOTIVATION**

A Case Study

David G. Buck, B.S.

An Abstract Presented to the Faculty of the Graduate
School of Lindenwood College in Partial
Fulfillment of the Requirements for the
Degree of Master of Business Administration

1997

ABSTRACT

This thesis focuses on effecting change in a government agency by the use of communication, motivation through incentives, and other management tools.

The United States Army Reserve Personnel Center (ARPERCEN) manages, trains, and mobilizes Army personnel. Its largest directorate is the Personnel Records Management Directorate, which houses the Accessions Division. At least 200,000 hard-copy personnel records pass through the Division for verification and processing in a typical year.

Eighty percent of hard-copy records transferred to ARPERCEN were also transferred electronically; however all were hand-processed as if new. This entire accessioning process was redundant and inefficient.

Change was coming. The Reserve Database Maintenance System (RDMS) was created, allowing on-line real-time add, delete and update capabilities to the new database, Total Army Personnel DataBase - Reserve. Could the author motivate the Accessions Division to become efficient under the new system?

In July 1993, ARPERCEN top management stated RDMS would come on-line 1 November. The author decided to keep his staff informed of RDMS-related

effects and to coordinate working-environment changes with union representatives.

The author rejected the train-the-trainers approach top ARPERCEN management supported. His staff members were barely computer literate; he had no one qualified to conduct such training. The author created a worksheet showing data fields exactly as the data-entry screens. After two days of general keyboard training, employees brought records from their work areas, entered required codes on the worksheet, and entered data into the system exactly as would be done during production mode.

When RDMS was brought on-line, the Accessions Clerks were ready. The author used words of praise and MoonPies ® to motivate his staff until a monetary bonus plan could be designed and implemented. The Accessions Division reduced their backlog of records from 55,000 in April 1994 to 17,000 in July, an interval of just 90 days.

**WORKING WITH YOUR EMPLOYEES
TO MOVE THROUGH CHANGE
USING COMMUNICATION AND MOTIVATION**

A Case Study

David G. Buck, B.S.

A Culminating Project Presented to the Faculty of the Graduate
School of Lindenwood College in Partial
Fulfillment of the Requirements for the
Degree of Master of Business Administration

1997

COMMITTEE IN CHARGE OF CANDIDACY:

Assistant Professor Dr. Betty Lemasters, Chairperson and Advisor

Associate Professor Dr. Marilyn Patterson

Adjunct Professor Joe Ancona

Disclaimer

The views expressed in this culminating project are the author's and may not reflect the official views of the Department of Defense, the U. S. Army, or the U. S. Army Reserves.

Dedication

This project is dedicated to the Employees and Supervisors of the Accessions Division at ARPERCEN. Their accomplishments far exceeded everyone's expectations. I am proud of them.

This project is also dedicated to my friends and family, all of whom knew I could finish it even when I was skeptical. Specifically, I dedicate this project to MAJ Dan and to BJ. MAJ Dan talked me into pursuing a degree in this Master's program while I was assigned at ARPERCEN and has never spoken to me since without asking "How's it coming on the 'T' word?" BJ cajoled me into finishing this project and provided encouragement daily from the office next to mine at Defense Manpower Data Center.

TABLE OF CONTENTS

Disclaimer	ii
Dedication.....	iii
List of Figures.....	vii
I. Introduction.....	1
ARPERCEN.....	1
The Total Army.....	2
The United States Army Reserve	2
The Selected Reserve	3
The Individual Ready Reserve	3
The Retired and Standby Reserves.....	4
ARPERCEN's Role And Missions	5
Personnel Management Records Directorate.....	7
Accessions Division.....	8
The Accession Process	10
A New System.....	13
Desert Storm.....	15
FY92—Not A Very Good Year.....	16
December 1992, More Bad News	18

Mission Impossible?.....	19
Statement Of Purpose.....	20
II. Literature Review.....	22
Why Do Things Change?.....	22
Sources Of Change.....	23
Organization Life Cycles.....	23
The Change Process	25
Why Do People Resist Change?.....	27
Field Force Theory	29
The Negative Cycle	30
Overcoming Resistance To Change.....	31
Communication	32
Commitment.....	33
Management Participation.....	33
Employee Participation.....	34
Training.....	35
Planning And Change	36
Leading	38
Motivation.....	39
Recognition.....	40

Incentives	42
The Final Frontier?	44
The Manager's Challenge	46
III. Case History	48
Communications.....	52
Unfreezing.....	54
Change.....	57
Refreezing.....	61
IV. Results.....	64
V. Discussion.....	67
Summary.....	67
Additional Benefits and Problems	74
Path to Success	76
Appendix	78
Works Cited.....	109
Vita Auctoris	112

List of Figures

Figure 1. Total Army.....	2
Figure 2. The Army Pretrained Mobilization Force	6
Figure 3. ARPERCEN Organization.....	7
Figure 4. Accessions Division Organization.....	9
Figure 5. Moving an Organization Equilibrium	30
Figure 6. The Negative and Positive Cycles	31
Figure 7. Examples of Nonverifiable and Verifiable Objectives	37
Figure 8. ARPERCEN Accessioning Process	50
Figure 9. ARPERCEN Revised Accessioning Process	52
Figure 10 Monthly Backlog of Records FY93 - CY94.....	64
Figure 11. Records to be Accessioned as of Selected Dates	65

Chapter I

INTRODUCTION

This project attempts to familiarize the reader with the U.S. Army Reserves, its structure and some of its recent missions. Further, it introduces the Army Reserve Personnel Center in St. Louis, an organization with the mission of supporting the Army Reserves and the individual reservists. The challenge of the author was to implement change. Changing a bureaucratic government organization is often characterized more by resistance than acceptance.

The Appendix provides background materials on the events and documents discussed in this paper. Some of the Appendix items are cited separately in the text.

ARPERCEN

The United States Army Reserve Personnel Center (ARPERCEN) located at 9700 Page Boulevard in St. Louis, Missouri, is a field operating agency of the Chief, Army Reserve (CAR). The ARPERCEN mission is to provide command and control of the non-aligned (i.e., not attached to a unit) U.S. Army Reserve force, mobilizing these trained soldiers in support of defined readiness requirements, and providing life cycle personnel management services for U.S.

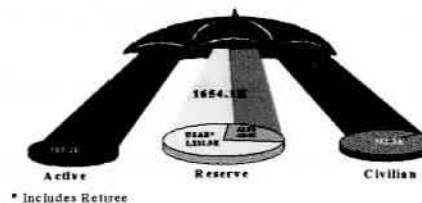
Army Reserve soldiers and all Army retirees and veterans (ARPERCEN Fact Sheet 1).

The Total Army

The Army Reserve military force ARPERCEN manages is neither highly visible nor clearly understood by individuals unfamiliar with mobilization planning. The majority of Army reservists managed by ARPERCEN are non-aligned, belonging to the Individual Ready Reserve (IRR) and the Retired Reserve. The balance are aligned, belonging to the Individual Mobilization Asset (IMA) and the Active Guard/Reserve (AGR) programs. The Army Reserve is a real force important to the Total Army (ARPERCEN Command Overview 2).

The Total Army includes the active Army, the Army Reserve and the Army National Guard Reserve components, and the Department of Army Civilians (see Figure 1). Civilians are important to the Total Army, accounting for around 65 percent of ARPERCEN's work force (2).

Figure 1. Total Army



SOURCE: ARPERCEN Command Overview Slide 6 (1993).

The United States Army Reserve

The Army Reserve component is made up of the Ready Reserve, the Retired Reserve, and the Standby Reserve. The Ready Reserve is further broken down into the Selected Reserve (SELRES) and the Individual Ready Reserve (IRR) (2).

The Selected Reserve

Most Selected Reservists belong to the Troop Program Units (TPU). Since the TPU members are located in communities throughout the United States and drill monthly in local armories, they are the more visible part of the Selected Reserve. However the Selected Reserve also includes members of the Individual Mobilization Asset (IMA) and the Active Guard/Reserve (AGR) programs, all of which are managed by ARPERCEN (3).

Selected Reservists are subject to call to active duty at the order of the President (10 U.S.C. 12304). Recent examples of Selected Reservists being called to active duty are Operations Restore Hope in Haiti and Uphold Democracy in Somalia. Around 850 Army Selected Reservists were involuntarily called to active duty to support these operations (ARPERCEN, Mobilization, Operations and Training Directorate Briefing 16-17).

The Individual Ready Reserve

The IRR is composed mostly of soldiers who have served in the active Army, in the National Guard, or in the Troop Program Units but still have a portion of their military contract to fulfill (Reserve Components of the United States 11).

Unlike the Presidential order required for the Selected Reservists, declaration of a national emergency by the President (10 U.S.C. 12303) or a state of war by Congress (10 U.S.C. 12301) is required to involuntarily call a soldier in the Individual Ready Reserve (IRR) to active duty. In 1990 and 1991, in addition to members of the Selected Reserves being called to active duty, more than 20,000 members of the IRR were mobilized to support Operation Desert Shield/Storm (ARPERCEN, Mobilization, Operations and Training Directorate Briefing 16-17).

The Retired and Standby Reserves

The balance of the Army Reserve is the Retired Reserve and the Standby Reserve. The Retired Reserve is made up of 1) soldiers receiving retired pay based on active duty or reserve service and 2) reservists who are qualified for retired pay at age 60 but have not yet reached that age (Reserve Components of the Armed Forces 13-18). Their importance is reflected in The United States Army Reserve Personnel Center Desert Storm Mobilization Briefing of May 1992. This briefing

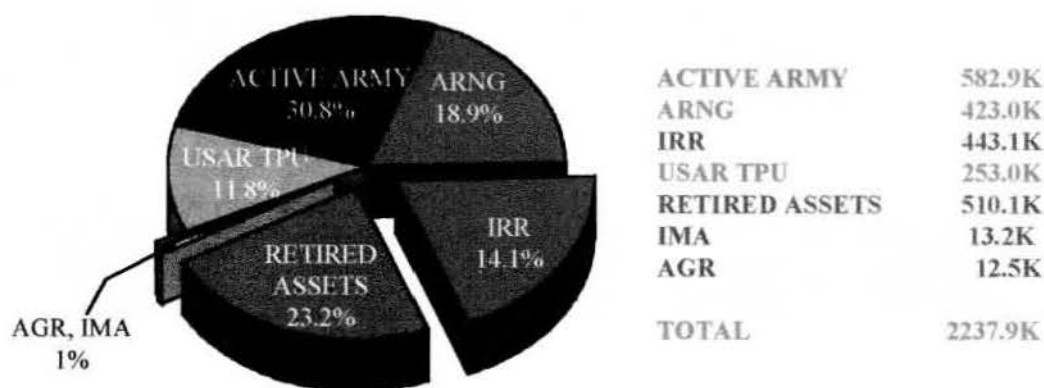
recounts that over 9600 retirees volunteered for recall to active duty during Operation Desert Storm and that over 1450 of these were activated (6).

The last category is the Standby Reserve. This group of Reserve personnel are designated key civilian employees, Active-duty missionaries, or Reserve members with a temporary disability or hardship. They can only be mobilized if approved by the Secretary of Defense to supplement the Ready Reserve (Reserve Components of the Armed Forces 13). The Standby Reserve has numbered under 1200 since 1984 (Official Guard and Reserve Manpower Strengths and Statistics FY 1984 Summary 10).

ARPERCEN's Role And Missions

ARPERCEN manages, trains and is responsible for mobilizing a sizable portion of the Total Army in case of a national emergency (see Figure 2). Maintaining the capability to accomplish these tasks is, therefore, an important part of ARPERCEN's daily work (ARPERCEN Command Overview 3).

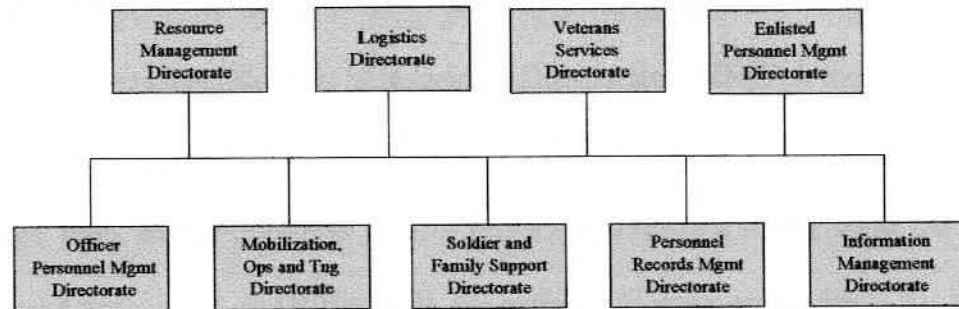
Figure 2. The Army Pretrained Mobilization Force



SOURCE: ARPERCEN Command Overview Briefing Slide 9 (1993).

ARPERCEN accomplishes its readiness mission and provides other services through its work force of over 2000 civilian and military personnel. The agency has nine directorates (see Figure 3) and 21 offices designed to support the missions assigned to ARPERCEN. Besides the primary mission of mobilization, ARPERCEN performs many personnel actions for its managed population. Some of the actions include: tracking and providing training opportunities; making transfers and reassignments; verification of benefit entitlements; tabulation of retirement points; discharges; and maintaining personnel files and jackets for these soldiers (ARPERCEN Fact Sheet).

Figure 3. ARPERCEN Organization



- Secretary of the General Staff
- Civilian Personnel Office
- Office of the Inspector General
- Program Analysis & Evaluation Office
- Office of the Chaplain
- Public Affairs Office
- Internal Review Office

- Equal Employment Office
- Headquarters Company
- Command Judge Advocate Office
- HQDA, Policy Coordination Office
- Office of the Surgeon
- National Guard Affairs Office
- Total Quality Management Office

- Equal Opportunity Office
- Personnel Service Center
- Security and Counter Intelligence Mgmt Office
- Ocumus Support Office
- Human Resource Support Office
- Safety Office
- Full Time Support Management Center

SOURCE: ARPERCEN Organizational Chart (1994).

Personnel Management Records Directorate

The largest directorate at ARPERCEN is the Personnel Records Management Directorate (PRMD). The purpose of PRMD is to provide administrative management and control functions pertaining to United States Army Reserve (USAR) personnel records and to manage the USAR Evaluation System. The Directorate cares for over 1,300,000 military personnel records and annually processes over 225,000 Officer and Enlisted Efficiency Reports. The PRMD has five divisions with which to accomplish its mission: Accessions, Personnel

Records, Micrographics, Evaluation Reports and Personnel Electronic Records Management Systems (ARPERCEN Fact Sheet; Command Overview Briefing 8).

The Personnel Records Management Directorate (PRMD) is the cornerstone to the ARPERCEN accomplishing its mission. In order to mobilize, manage, train, answer questions from or provide benefits to a soldier under the command and control of ARPERCEN, the individual soldier and his/her qualifications must be identifiable. Whether the individual's personnel record is in a hard-copy, electronic, or microfiche format, it passes through the PRMD for verification and validation. The verification and validation process is the primary mission of the Accessions Division (PRMB Briefing 3-8).

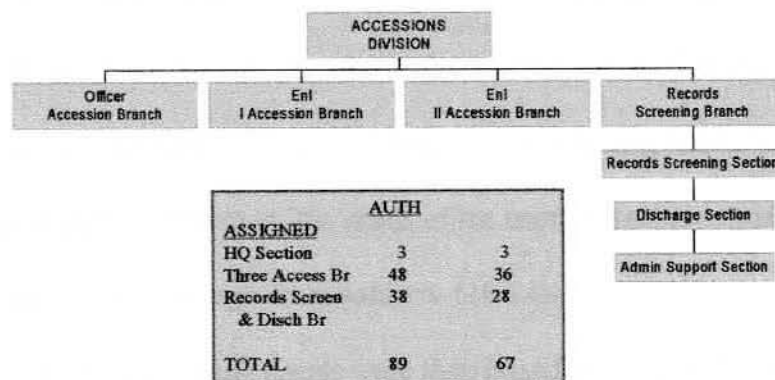
Accessions Division

The Accessions Division receives, screens, and processes an average of over 200,000 military personnel records every year. Processing time from receipt to shelf ranged from 70 to 120 days and the on-hand balance of records to be worked ranged from 40 to 50 thousand (Kelby 1).

The hard-copy records can arrive individually, in boxes, or by pallet. After the records are counted, they are screened to determine the service member's status. That status determines whether 1) ARPERCEN retains the record, 2) the National Personnel Records Center retires the record, or 3) another agency receives the record (Accessions Briefing 3-9). The Accessions Division reviews,

captures, and enters data into the automated personnel database known as the Personnel Master File (PMF) for records retained by ARPERCEN. ARPERCEN employees and other organizations worldwide then have access to this information. Records for soldiers who have completed their military obligation are transferred to the National Personnel Records Center and archived. Records sent to ARPERCEN in error are forwarded to the proper agency or returned to the sender (Standing Operating Procedures, July 1990, Accessions Division 2-7). The mission of the Accessions Division has not changed in many years, and until recently, neither had the processes nor the structure of the organization.

Figure 4. Accessions Division Organization



SOURCE: Accessions Division Briefing Slide 3 (1993).

The Accession Process

Until November 1993 accessioning of personnel records at ARPERCEN was a labor intensive and inefficient, multi-tasked process, involving moving boxes of records to and from various activity areas. The first step is when the hard copy record, known as a Military Personnel Records Jacket (MPRJ), for a soldier arrived at the ARPERCEN receiving area. The record was added to the monthly count of records received and then moved to the Records Screening Branch to ensure ARPERCEN was the right destination. If the soldier had a remaining military obligation or was a retiree, the MPRJ was moved to one of ARPERCEN's three Accession Branches for processing (2).

An Accession Clerk reviewed the MPRJ and captured or calculated the required personnel information, converted that information to the proper database code, if required, and then hand-entered that data on a coding sheet. The information abstracted reflected the needs of the users to mobilize, manage, train and answer questions about or from soldiers (10-21).

The MPRJ and coding sheets were then boxed, loaded on a pallet holding 36 boxes, and moved to the Administrative Support Section (part of the Records Screening Branch). An Administrative Support Clerk entered the information from the coding sheet into a computer terminal, which was accepted in the holding file as long as its zip code was valid. One day a week a computer batch program processed all of the work done by the Administrative Support Clerks for the last

seven days. This "batch" of records, ranging from one to three pallets of records, was then moved to a temporary shelving area (10).

A Control Clerk (one per Accession Branch) received the processed records, sorted them in Social Security Number sequence, and filed them on the shelf. The clerk also received a list of computer generated self-adhesive labels for all records that passed processing edits and attached them to the MPRJ folder. The record was then moved to the Personnel Records Division to be filed. Simultaneously, records that passed edits were made available to users (individuals and other computer programs) that access the Personnel Master File (PMF). Conversely, records that failed processing edits were not added to the PMF database, no label was generated, and the reason they failed edit processing was printed on an error roster. The Control Clerk then pulled the records that failed edits and delivered them to a Reconciliation Clerk (two clerks per Accession Branch) (10-21).

The Reconciliation Clerk then reviewed the records, coded corrections and moved the records back to the Administrative Support Section to re-enter the data. These records then were moved back to temporary shelving in the Accession Branch and became part of the next batch process. This loop continued until a record passed edit and its label was generated. The file was then transferred to the Personnel Records Division to be stored (10-21).

It should be noted that errors were numerous though untallied. The types of errors included capturing the wrong information from the record, illegible writing, miscoding, keystroke error by Administrative Support Clerks, and erroneous edits in the computer program. Newly arriving records and error corrections involved constant physical movement of tens of thousands of records back and forth within the Accessions Division.

Sadly, eighty percent (Accessions Division Briefing December 1990) of all personnel records transferred to ARPERCEN had already been added to the PMF database electronically by the organization transferring the hard-copy record to ARPERCEN. Yet all the records were still hand-processed as if a new record to the PMF, since the accessioning process reviewed only the hard-copy record and the error rosters. This entire process of accessioning a record had been generally recognized by many staff at ARPERCEN as antiquated, redundant, inefficient, time consuming, frustrating and, in many cases, inaccurate.

Change was coming. In a Total Army effort, each component (Active, Guard, Reserve) was developing a Total Army Personnel Data Base (TAPDB) for its personnel system. These new corporate databases would contain standardized data to support timely and accurate transfer of individual information when soldiers changed components. In addition to the electronic transfer of information between components, a new way of maintaining information was also being implemented. The Reserve Database Maintenance System (RDMS) was created to

allow on-line real-time add, delete and update capabilities to the new Reserve database, Total Army Personnel Data Base - Reserve (TAPDB-R) (TAPDB Briefing 1990 2-7).

A New System

As far back as the mid-1980's, a decision was made to change the way the Total Army stored personnel data. Instead of each component storing data many different ways in many different, non-compatible systems, data would be standard among all components and stored in a single, corporate Total Army Personnel Data Base (TAPDB) for each component of the Total Army. While each database would be maintained separately and be designed for its own component's functionality, the utilization of standardized data would allow common personnel data to be electronically moved between components with a minimum of conversion and processing (2-7).

Standardization of data by the components began in 1986 and the Reserve database, TAPDB-R, was the first to become operational. The final phase of TAPDB-R came on-line, as scheduled, in October 1990. The goal to re-engineer and migrate the existing 66 ARPERCEN databases and systems into 22 new applications operating off the corporate database was to be achieved by October 1994 (2-7).

The first application scheduled to be implemented was the Reserve Database Maintenance System (RDMS), which was designed to support on-line add, delete and update capabilities to the records in the TAPDB-R (2-7). The RDMS, originally scheduled to become operational around November 1990, would dramatically change the way the Accessions Division did business: Accession Clerks would handle data entry and reconciliation activities in addition to their customary data validation and abstraction, replacing the Administrative Support and Reconciliation clerks. The Accession Clerk would compare any existing electronic record to the hard-copy record. With the built in real-time edits, any errors would be immediately flagged and corrected. Labels and error reports would be obsolete (Accessions Division Briefing Dec 1990).

In 1989 computer terminals were procured for the Accession Clerks. The Administrative Support Clerks were converted from permanent to temporary employees. Preparation was underway for change scheduled to take place in October 1990, a change that didn't happen. But every six months the employees of the Accessions Division were told to be prepared, the new system was getting ready to come on-line. The joke of the directorate was: "They tell us RDMS will be up in June—they just don't say which year."

Desert Storm

In the meantime, it was business as usual. In a normal year approximately 200,000 soldier's personnel records are transferred to ARPERCEN for screening and processing. Processing time from receipt to shelf ranged from 70 to 120 days and the on-hand balance of records to be worked ranged from 40 to 50 thousand (Kelby 1).

In August of 1991 the Reserve Database Maintenance System (RDMS) was still not on-line. However the military situation of our country had changed. The United States became involved in Operation Desert Shield/Storm with Iraq. The backlog of roughly 44,000 personnel records to be accessioned was now unacceptable since it hampered mobilization. A task force of 10 civilians and 50 military members was assigned to supplement the existing Accessions Division staff of 85 civilian and 2 military personnel. The immediate mission of the Accessions Division was to screen all records on hand and abstract minimal data for any soldier not already in the automated database. Working twelve hours a day for ten straight days, all of the records were screened. Data on 18,964 Individual Ready Reservist soldiers were added to the Personnel Master File (PMF) database and the hard-copy records of 40,365 already in the database were stored temporarily for later validation (ARPERCEN, Desert Shield Desert Storm A History, Appendix C 24).

“Prior to implementation of revised procedures, these records were stored in boxes on pallets, often for months, awaiting processing. This resulted in extensive labor and intensive searching when access to personnel records was required. To accomplish these tasks, 4,003.50 hours of civilian personnel overtime was used at a cost of approximately \$54,158.99. Soldier man-hours totaled over 5,000 hours (25).”

While the bulk of the Desert Shield/Storm military operations lasted only a few months, the impact of the termination of this operation and the subsequent (unrelated) downsizing of the active duty force affected ARPERCEN and the Accessions Division for over two years.

FY92—Not A Very Good Year

In April 1992, RDMS failed a Systems Acceptance Test (SAT). The system would not perform simple functionality, and the system was now 18 months late (RDMS Briefing, April 1992).

The number of Accession Clerks fell from 30 to 22, and the number of records received increased 44 percent to 287,000 (Accessions Division Monthly Production Reports, 1992).

An Army Manpower Survey team came to ARPERCEN to provide the Commander a Manpower Management Review. To the directors and mid-level managers, Manpower Teams meant only one thing “how many people am I going

to lose?" For the Accessions Division, that proved to be incorrect. The team recommended an increase of three permanent Accession Clerk positions and five temporary positions to assist in reducing projected increasing backlog of records to be processed (DA Form 140-1 dated Nov 11 1992).

While awaiting a command decision on how and when the manpower recommendations would be implemented, the backlog continued to climb. In October 1992, the Accessions Division Chief submitted a memorandum to the Director of Personnel Records Management discussing factors affecting the Accessions Division over the next 6-8 months. The factors included the non-availability of overtime funds, the loss of five additional Accession Clerks within the next 30 days, the intensive training needed for RDMS and a resulting loss of productivity, a significant increase in active Army officer losses at the end of January 1993, and a nonfunctioning electronic interface intended to add records without human intervention. The memorandum recommended the following actions as remedies: continue to provide overtime funds to the Accessions Division, add a third enlisted branch, create a temporary military task force to assist in the accessioning of records, and concentrate efforts to repair the electronic interface (Accessions Division Memorandum to Director 1-2). These requests were tabled until December 1992.

December 1992, More Bad News

In December 1992, the Reserve Database Maintenance System was still not on-line. The backlog of records was 66,000. There had been no response to the manpower survey team recommendations or to the Accessions Division's request for an increase in resources. However assistance was imminent. A potential new Reserve mission appeared on the horizon, that of Operation Restore Hope in Somalia. Since it appeared this would be more of a humanitarian effort than a combat operation, it was felt the Reserves might have a critical role. Since overtime funds were required for the Accessions Division's civilian employees to work additional hours, the ARPERCEN Commander authorized a 28-soldier detail assigned to the Accessions Division for two weeks (ARPERCEN memorandum dated 4 December 1992). The detail screened the records looking for soldiers with specialized skills of interest should the call-up occur. Due to the continued lack of overtime funds, the increasing backlog of records to be accessioned, and the loss of clerks in the Accessions Division, the Accessions Division Chief requested the detail be extended. The Commander agreed and the detail, reduced to typically 22 members, was extended until April 1993. During that four month period, 80 soldiers were rotated through the detail, and they screened and accessioned over 38,000 records. At the end of the detail, the backlog had been reduced to 45,000 records (Accessions Division Monthly Production Reports, 1993).

Mission Impossible?

The backlog had been reduced by almost 30 percent; however, 45,000 was still an unacceptable backlog. The Personnel Records Directorate considered an acceptable backlog to be 20,000 records on hand, which was considered the number of records that could be accessioned in 30 days using a full staff and no overtime.

In June it was announced the Reserve Database Maintenance System (RDMS) would not be coming on line in July 1993, as scheduled. It was also announced that RDMS would be up and running 1 November 1993. For the first time, this appeared to be an accurate statement. The workers in the Accessions Division were not impressed; however the Division Chief believed the projection.

In July 1993 a staffing action initiated by the Accessions Division through the Personnel Records Management Director requested a third Enlisted Accessions Branch be added for a period not to exceed one year. Justification included: the two current Enlisted Branches were at 70 percent strength for Accession Clerks (14 of 20 authorized), findings of the Manpower Survey recommending the need for 25 Enlisted Accession Clerks, continued downsizing of the Active force and the scheduled downsizing of the Reserve and Guard Troop Program Units, the historical increase in records received at the end of the fiscal year, the lack of

overtime funds, and the anticipated loss of productivity during RDMS implementation.

Even though the Accessions Division Chief felt it was critical to staff the third branch prior to training for RDMS, the request was delayed while command reviewed the impact and implementation of the Manpower Surveys for the entire Center. The situation seemed hopeless. Locked in the jaws of bureaucracy and higher priorities in other missions, it appeared the Accessions Division was doomed to failure. With fewer personnel, more records, and a new fiscal year that promised lower funding, the concept of converting the core of the Accessions Division staff to using computers seemed overwhelming.

In addition, when the backlog of records reached 67,000 on December 1, 1993, the Deputy Commander scheduled a meeting with the Personnel Management Director and the Accessions Division Chief. The Deputy Commander had only one agenda item: how would they reduce the balance of records on hand to 15,000, and by what date within the next 12 months would that be accomplished? To emphasize his commitment to the project the Deputy Commander then reminded the Director and Division Chief that he was their rater and senior rater, respectively.

Statement Of Purpose

The purpose of this study is to examine the knowledge used by one ARPERCEN manager to foster acceptance of the new database system so its productivity capabilities could assist in reducing the accessions backlog to 15,000 records. This manager's skills were used to overcome resistance associated with accepting change and accomplishing higher levels of productivity. Areas of focus include why people resist change and what steps might be taken to overcome this resistance.

Chapter II

LITERATURE REVIEW

On an almost daily basis, our newspapers and nightly news mention downsizing, rightsizing, restructuring, reorganization, reduction-in-force, early retirement, layoffs, and cutbacks. Why, then, are opportunities to learn new skills that increase productivity and efficiency not seen as a move to ensure job security? "Resistance is a natural part of the change process: it is the force that opposes any significant shift in the status quo" (Conner 125).

Good executives recognize change as a part of the future and prepare for it. That preparation involves the development and training of managers so they are able to cope with new demands, new problems, and new challenges (Koontz 363).

Why Do Things Change?

"Change is an inevitable feature in both the lives of individuals and the lives of organizations" (Vecchio 502). It can occur slowly, almost imperceptibly, or quite rapidly. Additionally, the impact of change can range from quite minor to truly substantial. New competitors, innovations in technology, new company leadership, and evolving attitudes toward work are among the most common and influential forces of organizational change (502).

Sources Of Change

Change can be classified as external or internal relative to the organization. External sources include customers, suppliers, and competitors, as well as the economic climate, the labor force, and the legal environment (502). Internal sources of change can originate anywhere from the bottom to the top of the organization. If employees have a shift in their attitudes toward their supervisor, their benefits package, or even changes in key personnel, it can result in changes in job satisfaction, attendance behavior, and commitment. Likewise, a shift occurs if the top officer of an organization wishes to change his/her staff's emphasis on corporate ethics and customer service. Those concerns will be reflected in the creation of new programs, the restructuring of the organization, and the evolution of a different organizational culture (502-503).

Organization Life Cycles

Barbara Bartocci's article "Corporate Passages: how the Company's Life Cycle Affects Your Career" was written to assist the reader in deciding whether they were suited to a company.

...a definite correlation exists between a company's position on the growth-decline curve and the management style it demands. Each stage has its own mores, its own dress code, its own methods. Learn to read corporate life cycles, and you'll know how well you

fit your company-or whether to look for a new one that's more your style. (89)

However, the article also explains the evolution of a company through its growth and decline by comparing the life cycles of an organization to those of a human being. It becomes obvious: an organization's life cycle from creation to death is simply a reaction to the *sources of change* listed above (88).

Bartocci writes that in its infancy, the first cycle, the organization only looks at achievement, "Produce! Produce! Produce!" is the cry. There is no time for organized, efficient administrators and there are no long term goals. In adolescence, the second cycle, the company is now too big for the founder to handle. Administrators are hired. Some of the go-go momentum is lost. The office memo starts replacing notes scratched on a piece of paper (88).

The next cycle is maturity. Profits and Sales are predictable and acceptable. Long term plans and goals are well defined. There is a sense of security. Management is efficient and organized. This is usually a short lived cycle. In the middle-aged aristocracy stage, the organization no longer concentrates on what you do but how you do it. New ideas are not welcomed since the organization has risen above the competition. Rituals take over; dress is dark suits (88).

The early bureaucracy cycle follows. New competition emerges but, instead of joining together to fight, managers turn against each other. Personal survival is the number one goal. Scapegoats are fired and profits decline. Next is the senility or late bureaucracy stage.

At this stage, managers become nice to one another and agree a lot, but nothing ever happens. There is no results-orientation, no inclination to change, no teamwork to get things done. Systems and procedures are no longer a means to an end; they are the end. The written work is worshipped. Floods of memos are emitted, only to be filed (some on microfiche). They precipitate no action. It becomes difficult for an outsider to get through to anyone. No one takes any responsibility. In private business the next stage is death, although violent contractions and rebirth may be attempted. Senile government agencies and monopolies may continue indefinitely on life-support systems. (88-89)

This life cycle could and does happen, but it can be avoided. Awareness of how organizations change and grow allows managers to foster organizational growth and continued success. While managers are planning for change, they can be alert for the causes of failure (Vecchio 501).

The Change Process

According to behavioral scientist Kurt Lewin, the process of change involves three basic phases: unfreezing, changing, refreezing.

Unfreezing is recognizing that the current situation is not adequate to accomplish the required task efficiently. "The recognition that employees' attitudes or skills are insufficient, or that rules and procedures generate problems that hinder task completion, may trigger the unfreezing process" (Vecchio 511).

Discomfort with the present situation motivates change (Koontz 375).

The essence of unfreezing includes:

- removal of support for outdated attitudes,
- communication of the new values,
- minimization of threats against change, and
- reinforcement for change in the desired direction (Hampton 687).

Change itself is the second stage. "This change may occur through new information, being exposed to new concepts, or looking at the situation from a different perspective" (Koontz 375). During this transition period new attitudes and behaviors are developed (Conner 88). Internalization replaces emulation. People learn new attitudes and behavior for themselves, somewhat by trial and error (Hampton 688).

Once the conversion training is concluded, refreezing the new attributes and behavior takes place (688). These newly created patterns of behavior and techniques then become part of ongoing organizational processes. It is necessary in this phase to appraise the effectiveness of the change (Vecchio 511). In order to stabilize the change, the change must be congruent with one's self-concept and one's values. "If the change is incongruent with the attitudes and behaviors of others in the organization, chances are that the person will revert back to the old behavior. Thus, reinforcement of the new behavior is essential" (Koontz 375-376).

Why Do People Resist Change?

As stated earlier, people resist change. Resistance to change is a natural reaction to anything causing this kind of disruption and loss of equilibrium. Consequently, resistance accompanies any major change whether it is self initiated or presented by others, and it occurs without regard to how the event was originally perceived -- positively or negatively" (Comner 126).

The intrusion of something new into our lives is less unwelcome than the resulting loss of control, even though the common phrase about change is "resistance to change" rather than one addressing the control issue. "People don't

resist change as much as its implications -- the ambiguity that results when the familiar ceases to be relevant" (Conner 126).

David Bain agrees there is the tendency to perpetuate the status quo and resist change. He relates employee resistance to individual needs, categorized as economic, psychological, or social, and summarized as follows:

- | | |
|---------------|--|
| Economic | • Fears unemployment |
| Reasons | • Fears a reduction in available work hours |
| | • Fears a demotion and reduced wages |
| | • Fears a speedup and reduced incentives |
| Psychological | • Dislikes others disrupting "her" or "his" work area |
| Reasons | • Resents implied criticism |
| | • Dislikes having to go through a relearning process |
| | • Fears that personal skills will be less valuable |
| | • Fears the unknown |
| Social | • Dislikes making new social adjustments |
| Reasons | • Visualizes the change as benefiting the company at the group's expense |
| | • Dislikes persons outside the work group being involved |
| | • Fears reduced social satisfaction (210-211) |

He feels this list suggests resistance to change could be more focused on human relation problems rather than the technological aspects of change. People resist change because it affects their social relationships, it upsets their status, and it threatens their security (210- 211).

Darrel Brown states employees resist change because they see some kind of threat to themselves in the proposed change. Employee fear of the unknown or of uncertainty is common. Additional resistance results from employees' anticipation of change. Even perceived threats to an employee's prestige may create problems (24-25).

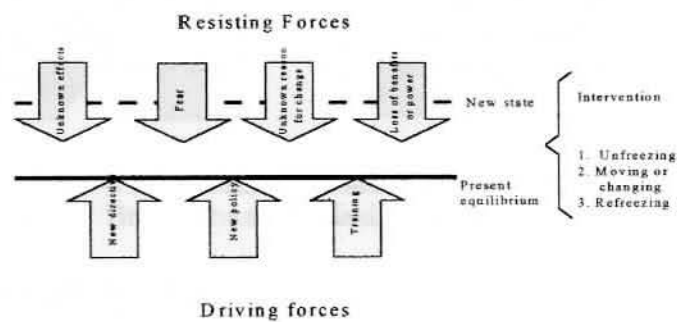
Vecchio also agrees resistance comes from employee fear of change, due in part from the security of and contentment with the status quo. They may be quick to find shortcomings in the proposed plan for change. "If their objections are registered but not redressed, they may act to ensure that the identified problems actually do undercut the program for change" (Vecchio 511).

Field Force Theory

Kurt Lewin addressed this attempt to maintain the organizational status quo equilibrium in his field force theory (Figure 5). The status quo of an organization is the point where driving forces and resisting forces meet. In order to implement change, the status quo must be moved to the new desired level. In that the movement can only occur by increasing the driving force or, lowering the

resisting force, management usually increases the driving force. While this approach may produce some movement, it also tends to increase the strength of the resisting force (Koontz 375; Bartol 243).

Figure 5. Moving an Organization Equilibrium

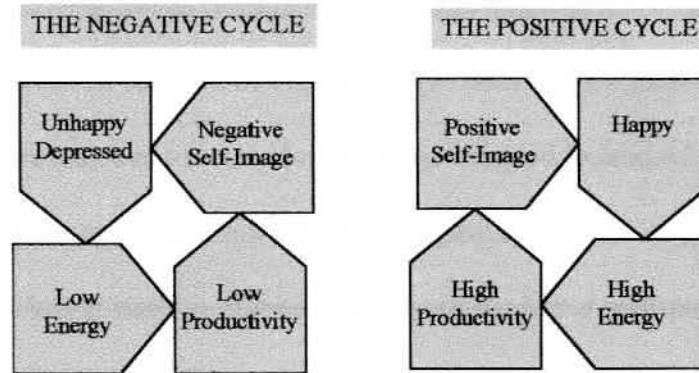


SOURCE: Kurt Lewin, Field Theory in Social Science: Selected Theoretical Papers (New York Harper Brothers, 1951).

The Negative Cycle

In Steve Goren's book Productive Management: Inspiring People to Excel, he states that people follow cycles and these cycles affect employee productivity. "If needs go unmet, and employees become angry, jealous, hostile, depressed, frustrated, or unhappy, they are less efficient" (6). This is a negative cycle, as shown in Figure 6.

Figure 6. The Negative and Positive Cycles



SOURCE: Steve Goren, *Productive Management: Inspiring People to Excel* Acton: Brick House Publishing Company (7).

Overcoming Resistance To Change

Unfortunately, in our society, we are in the negative cycle more than in the positive one. In fact, one researcher reports that at any given time nearly 77% of the population has a measurably negative self-image. This means that most of us spend more time being negative and not very effective, than we do being positive and highly productive. (6)

When management fails to recognize the effect of change in the work place, it cannot properly lead the organization through change. Management often does not recognize that change can lead to insecurity, depression and negativity, and therefore lowers productivity and effectiveness (13).

In summary, Conner considers resistance to change natural, Bain relates the resistance to individual needs, Brown sees it as a fear of the unknown, and Vecchio points out that change threatens the security and contentment of the status quo. How, then, do we overcome the resistance?

Management can change its approach to bringing about change. Instead of increasing the driving forces (Figure 5) to move to a new level of equilibrium, the resisting forces can be reduced or eliminated (Koontz 375). Goren stresses that while today's management is considered people-oriented instead of product-oriented, most managers have not learned how people respond (5). So, how can management reinvent itself to reduce or eliminate employee resistance to change?

Communication

"Communications, or lack thereof, is a major problem in large organizations today" (Goren 14). It is management's job to keep the employees informed on what is happening in the organization. The absence of facts provided by an authority figure in the organization generates security stress among employees. Security stress dissipates individual employee's productive energy. "Sharing the grand design with employees increases their motivation and commitment to achieving organizational goals while dispelling rumors and the waste of energy associated with security stress" (Bain 208). Additionally, if employees find out about changes on the six o'clock news, the message sent to the employees is that they are "inconsequential" and meaningless to the organization. This notion leads to depression, a negative cycle -- it is the job of management to

prevent it. Management must broadcast the changes and portray the hopefulness of the business picture (Goren 14-15).

Commitment

Management Participation

"Successful change is rooted in commitment. Unless key participants in a transition are committed to both attaining the goals of the change and paying the price those goals entail, the project will ultimately fail" (Conner 146).

Management from the top down must lessen their emphasis on holding down short-term costs in favor of increased emphasis on long-term commitments to quality improvement. Quality improvements mean accepting temporary cost increases or lower output (Poirier 5).

Conner sees commitment as critical to change. Commitment to a specific outcome is evident when you:

- Invest resources (time, energy, money, etc.) to ensure the desired outcome.
- Consistently pursue the goal, even when under stress and with the passage of time.
- Reject ideas or action plans that promise short-term benefits but are inconsistent with the overall strategy for ultimate goal achievement.
- Stand fast in the face of adversity, remaining determined and focused in the quest for the desired goal.
- Apply creativity, ingenuity, and resourcefulness to resolving problems or issues that would otherwise block the achievement of the goal. (147)

Given that committed people will devote the time, money, endurance, persistence, loyalty, and ingenuity necessary, it is easy to see why commitment is critical for successful change. It is the glue that provides the vital bond between people and change goals. It is the source of energy that propels resilient people and organizations through the transition process at the fastest, most effective pace possible-the optimum speed of change. (147)

Employee Participation

Commitment of the employees actually affected by the change is also needed. "If they are not a part of the change effort, chances are they won't support it" (Blake 75). Also, it makes sense to involve the people affected by change. After all, who would know more about an operation than the employees in the center of that operation? They have knowledge of both the problems and solutions. As a consequence, the right kind of participation yields both motivation and knowledge valuable for enterprise success (Koontz 425).

"Participation is also a means of recognition. It appeals to the need for affiliation and acceptance. And, above all, it gives people a sense of accomplishment" (425). "Participative strategies that alter the job itself tend to have a lasting impact on attitudes and productivity if the new job involves substantial increases in responsibility and autonomy" (Cascio 29).

Unfortunately, employee participation does carry a warning for managers. Increased participation leads to greater awareness of individual differences. Just

because a subordinate participates and is involved in the decision making process does not mean that person's preferences will be put into action. When a participant's preference is not accepted, a result can be increased conflict -- a turnabout since one of the motivations for participation is to reduce conflict (Vecchio 381).

Participation programs are generally perceived positively by those who directly participate but negatively by workers who do not. In one case non-participating union members pressured management to terminate a large union-management work redesign effort because of perceived salary inequities. (Cascio 29)

Training

In Lewin's field force theory (Figure 5), training is viewed as a driving force. Training can also be a resisting force, specifically fear. For example, some employees may harbor the fear of not being a rapid learner, and therefore see training as a source of personal embarrassment and discomfort. However, training results in increased productivity in a shorter time than providing no training (Blake 3). Focusing on increased productivity provides a means to reduce or remove resistance.

Measuring the effectiveness of a training program is difficult; however it is extremely important that the criteria used in the classroom training situation closely match the working environment (Koontz 373).

In order to be effective, training should:

- systematically address the whole plant environment
- give workers control over all of the processes used in their jobs
- be a line function, where everyone is responsible for training everyone else.
- apply to everyone
- be functional -- learning should take place in the context of the work to be done (Estrada 18-19).

Planning And Change

Of the five basic functions of a manager, i.e., planning, organizing, staffing, leading and controlling, planning is the most basic.

If a group effort is to be effective, people must know what they are expected to accomplish. **Planning** involves selecting missions and objectives and the actions to achieve them; it requires decision making, that is, choosing from among alternative future courses of action. (Koontz 58)

"Planning helps reduce the uncertainty of the future and thereby enables us to do a better job at coping with it" (Cascio 152).

In short, *planning leads to success*-not all the time, but studies consistently show that planners outperform non planners. Another way of looking at it is that *planning helps organizations do a better job of coping with change*. If there were no change, there would

be no need to plan. But change-technological, social, political, and environmental-is a bald fact of organizational life. (153)

It is important in the planning function to establish objectives, or goals, that are measurable. Figure 7 provides an example of nonverifiable and verifiable objectives (Koontz 93).

Figure 7. Examples of Nonverifiable and Verifiable Objectives	
Nonverifiable objectives	Verifiable objectives
To make a reasonable profit	To achieve a return on investment of 12% at the end of the current fiscal year
To improve communication	To issue a two-page monthly newsletter beginning July 1, 1988, involving not more than 40 working hours of preparation time (after the first issue)
To improve productivity of the production department	To increase production output by 5% by December 31, 1988, without additional costs and while maintaining the current quality level
To develop better managers	To design and conduct a 40-hour in-house program on the "fundamentals of management," to be completed by October 1, 1989, involving not more than 200 working hours of the management development staff and with at least 90% of the 100 managers passing the exam (specified)
To install a computer system	To install a computerized control system in the production department by December 31, 1988, requiring not more than 500 working hours of systems analysis and operating with not more than 10% downtime during the first 3 months

SOURCE: Koonz & Weihrich, *Management*, 9th ed. (1988): 93.

Management by objective (MBO) makes goals and objectives the heart of the practice of management (Hampton 379). One of its key steps is applicable in the planning function -- the integration of workers and management to achieve a company's goals (Simpson 380). Mutual involvement in determination of company objectives is necessary to improve motivation and performance (Hampton 378).

Leading

Managing and leading are sometimes thought of as being the same. But as Gen. Norman Schwarzkopf would say, "You manage companies, you lead people." He said there has never been a tank, plane or piece of equipment that has won a war. It is the people that win wars (Schwarzkopf 1994). You can be outstanding in all other management functions, but if you cannot lead people, it is hard to produce the desired results.

The managerial function of leading is defined as the process of influencing people so that they will contribute to organization and group goals. Effective managers draw from various theories and experiences in their effort to harmonize individual and organizational objectives, which is the key to leading. (Koontz 392)

Motivation

Theories of human motivation are generally classified into one of three categories: need, reinforcement and expectancy. However they all have one common driving principle: "People do what they are rewarded for doing" (Cascio 428).

Need theory suggests that individuals are motivated in their attempts to satisfy certain physical and psychological needs. Once those needs are satisfied (e.g., hunger, thirst, or social approval), the motivator no longer exists. Maslow, Herzberg and McClelland have provided the most popular need theories (428).

Reinforcement theory, also known as incentive theory or operant conditioning, is based on a fundamental principle of learning.

Its statement is simple: *Behavior that is rewarded tends to be repeated; behavior that is not rewarded tends not to be repeated.* If management rewards behavior such as high-quality work, high productivity, timely reports, or creative suggestions, these behaviors are likely to increase. However, the converse is also true: Managers should not expect sustained, high performance from employees if they consistently ignore employees' performance and contributions. (428)

Reinforcement theory addresses the relationship between performance and rewards (429).

Expectancy theory considers perceived relationships, such as what the person expects. "Employees who believe that their efforts will lead to effective performance and who anticipate important rewards for their accomplishments become productive and stay productive as the rewards meet their expectations" (429).

Recognition

"Recognition is a form of employee motivation in which the company identifies and thanks employees who have made positive contributions to the company's success" (Carder 25). It is an important form of feedback on the results of individual or team efforts (26).

"The reason recognition systems are important is not that they improve work by providing incentives for achievement. Rather, they make a statement about what is important to the company" (25). The employee recognition system reflects the company's values, and it is these values that actually drive employee behavior. These recognized values are not necessarily the same as management's stated values. For example, if a company claims to value customer satisfaction but only recognizes sales achievements, customer satisfaction is probably not one of its priority values. This concept is important during times of change when new

recognition practices can alter the company's values and thereby positively change the company culture (25).

Recognition should be personal and used to reward accomplishments that benefit the organization. In most cases, public recognition is better than private. The act of public recognition tells all employees about the priorities of the organization. Recognition can range from a "pat on the back" to a small gift to a substantial amount of cash (26). Anyone can understand "substantial amount of cash" but, can the low end of the recognition range be effective?

The 1993 ceremony honoring the Malcolm Baldrige National Quality Award winners started as usual. President Clinton and Commerce Secretary Brown entered amid applause and cheers. After short addresses and presentation of the awards, the President and Secretary normally walk off the stage waving good-bye to the audience. Instead, they walked into the crowd to personally congratulate the employees, not just the leaders. "The smiles on the employee's faces revealed that the 15 minutes that Clinton and Brown took to pat the employees on the back was worth a thousand words of congratulations" (Bemowski 51).

Pat Blake is an employee at the Sunnen Products Company in St. Louis. While satisfied with her salary and benefits, what makes her happy is "a kind word from her boss" (Hick 1C). Ray Hilgert, a professor at Washington University

agrees, while noting that a pat on the back is not a substitute for fair wages. "If you want to increase employee productivity, you have to approach self-worth issues" (1C).

Recognition should not be confused with compensation. Compensation, e.g., pay, is based on long-term considerations such as tenure, education, skills and responsibility. Recognition, on the other hand, is an immediate response to specific accomplishments (Carder 26).

Carder talks about recognition:

Recognition should be given for efforts, not just for goal attainment. Many companies tend to recognize only what is easy to measure. It is relatively easy to measure sales dollars or revenue. It is often possible (if not misguided) to measure dollars saved. It is more difficult to define and measure behaviors that contribute to customer satisfaction, employee morale, teamwork, and process improvement. However, such activities are essential to the good health of the company and must be recognized if they are to flourish. (27)

Incentives

We know what motivates the employees but, how is the behavior energized? Casio recommends utilization of an effective incentive system (Cascio 437). "Incentive systems attempt to reward employees in proportion to what they do" (Griffin 462). Incentives can be especially effective during periods of change when it is also necessary to "change people."

An organization might decide to change the abilities or skills of its work force. This change might be prompted by changes in technology or by a general desire to upgrade the quality of the work force. Thus, training programs and new selection criteria might be needed. The organization might also decide to improve the level of performance being demonstrated by its workers. In this instance, a new incentive system or performance-based training might be in order. (Griffin 403)

Effective incentive programs must follow four simple rules:

Be simple. The rules of the system should be brief, clear, and understandable.

Be specific. It is not sufficient to say, "Produce more, or "Stop accidents." Employees need to know precisely what they are expected to do.

Be attainable. Every employee should have a reasonable chance to gain something.

Be Measurable. Measurable objectives are the foundation on which incentive plans are built. Program dollars will be wasted (and program evaluation hampered) if specific accomplishments cannot be related to dollars spent. (Cascio 437-438)

The decision to use individual, departmental, or organizational incentive plans depends on the evaluation of each plan and its side effects. However, regardless of the plan, larger gains are possible if the following conditions exist:

- The plan is clearly communicated.
- The plan is understood, and bonuses are easy to calculate.
- The employees have a hand in establishing and administering the plan.
- The employees believe they are being treated fairly.
- The employees have an avenue of appeal if they believe they are being treated unfairly.
- The employees believe they can trust the company; therefore, they believe they have job security.

- The bonuses are awarded as soon as possible after the desired performance. (Schuler 348-349)

The Final Frontier?

The value of employee participation was reviewed in the preceding pages; however it may be against the law. If employees have formed a union for the purpose of negotiating with management about conditions relating to work, negotiation must with *that* group. A failure to negotiate with that group can result in an unfair labor practice (ULP) complaint being filed against your agency with the National Labor Relations Board (NLRB) (Bartol 429).

Relationships between management and labor unions in the United States have generally not been cordial. At times it has been, and still is, acrimonious and violent on both sides. Labor unions have traditionally favored an adversarial relationship. "They have believed that this posture would, throughout the collective bargaining process, better achieve their major aims: improved wages, improved benefits, job security, and preservation of the union organization" (Steiner 515).

Union and management groups provide perhaps the most vivid example of win-lose conflict. Even though they depend on one another to achieve their objectives, their relationship is frequently characterized by bitterness, hostility, and mutual antagonism, rather than by cooperation. Like true enemies, either may be willing to place itself in peril to deprive the other of a

victory. Legally, each group is equally powerful in terms of influencing outcomes, and therefore neither can impose its will unilaterally on the other. (Cascio 467)

Direct employee involvement in helping management redefine working conditions violates the legal rights of the union. In the "Supervisor's Guide To Federal Labor Relations," the authors give three reasons for thinking about maintaining good labor relations with the union when considering change in the organization (Reischi 32).

First, many changes affect the working conditions of bargaining unit employees, and therefore bring into play the union's right to bargain with agency management. Second, failing to recognize the union's right to become involved when changes occur generates more than three-fourths of all ULP disputes in the Federal service every year. And third, if you understand and recognize when changes in your operation bring the union's right into the picture, you will avoid one of the biggest causes of time-wasting disputes and problems that plague operating managers (32-33).

Even when notifying the union and requesting their blessings, you may still have problems. Unions have traditionally been suspicious of the participatory (other than collective bargaining) process that has often been used to defeat unions (Marshall 158).

However, in some cases the unions are cautiously embracing worker participation systems. The Communication Workers of America (CWA) looked at

participation as a long-term change in management style based on a philosophy of trust and respect for employees. Glen Watts, former president of the CWA, felt this effort makes good business sense. He expressed this in his statement to the Economic Policy Council of the United Nations Association:

In a rapidly changing economy with increasing pressure from international competition, authoritarian management is a liability; it produces organizations which are slow to adapt to change and full of conflict. That is why many of our most successful companies are searching for ways to involve their employees in decision making. (159)

Watts also feels participatory management strengthens collective bargaining because it allows labor to deal with many issues that were beyond traditional collective bargaining (159).

The Manager's Challenge

Three things are essential in reducing the resistance to change: company commitment, employee/labor participation, and management leadership. Without all three, implementing change transforms from being just a hard job to a nearly impossible one.

Commitment of the company is needed for access to company resources and forgiveness of a potential short-term drop in accomplishment. The company's

actions must support any short-term loss in exchange for the long-term gains associated with the change.

It is this author's view that employees and their lawful representatives should assist in the change process. The employees generally know what they do better than anyone else. Asking for their input not only increases their self-esteem, but they may discover something you missed. If the employees are represented by a bargaining unit, bring the unit in early in the process. It is mandatory that labor be dealt with from other than an adversarial position. Up front cooperation can save a lot of problems at the time of implementation.

Managerial leadership is the final key. The goal as a manager is to accomplish the job; it cannot be done without staff involvement. Keep them advised of potential changes. Try to realize the fears they are confronting any time change looms on the horizon. Do what you can to reduce the stress and fear that is associated with change. In that light, change is a total package.

People can only change when they have the capacity to do so. Ability means having the necessary skills and knowing how to use them. Willingness is the motivation to apply those skills to a particular situation. If you lack either ability or willingness, it is unlikely that you will successfully adapt to a change. (Conner 127)

A successful manager will lead his/her organization through change and allow the employees to re-establish their positions of comfort.

Chapter III

CASE HISTORY

In the five years prior to his assignment to the Accessions Division, the author served as the Data Administrator in the Information Management Directorate at the United States Army Reserve Personnel Center (ARPERCEN) and was responsible for standardizing many of the data fields in the Total Army Personnel DataBase - Reserve (TAPDB-R). TAPDB-R was the corporate database newly designed to convert ARPERCEN's 66 old, non-standardized databases and systems to an integrated database with approximately 22 applications. During its development the author performed systems and data analyses to ensure the data stored in TAPDB-R could provide the same results and functionality as the old systems.

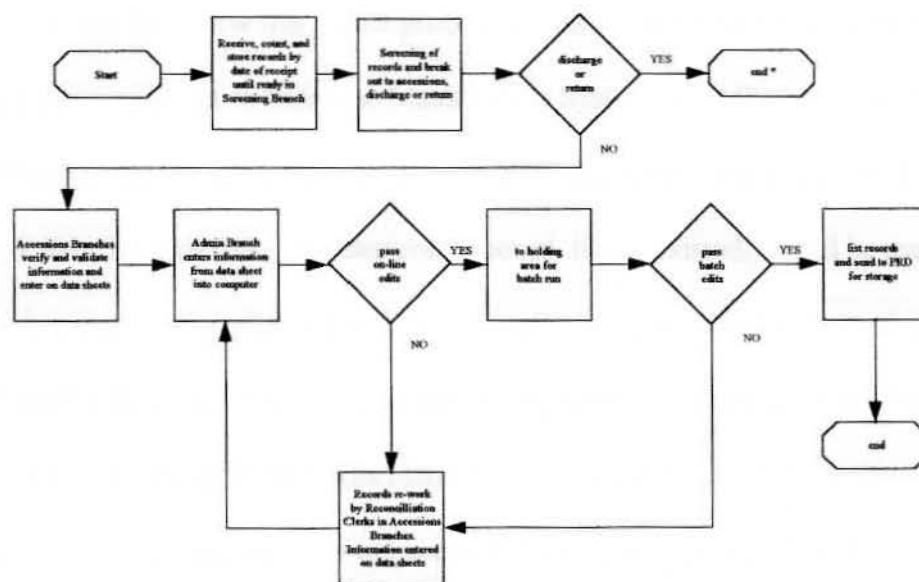
The author was assigned as the Chief of the Accessions Division in June, 1992. His military experience prior to this position was in technical roles, but this new position put him in charge of a functional area and into management. He also was to receive his first experience working with Department of the Army civilians and working with a very active bargaining unit, the American Federation of Government Employees (AFGE) Local 900.

The primary mission of the Accessions Division is to verify and validate information on soldiers when their hard-copy personnel records are transferred to ARPERCEN. The Division entered that information into the Personnel Master File (PMF), one of the old, automated databases and then transferred the record to the Personnel Records Division for storage. As soldier data were captured in the database, multiple users and systems accessed it. The data are used to train, maintain and mobilize those Reservists under the control and management of ARPERCEN.

The process used to capture these data was labor-intensive and error-prone (Figure 8). Accession Clerks captured all required personnel data on a coding sheet by reviewing the soldier's actual Military Personnel Records Jacket (MPRJ). The MPRJ contains the originals of various military forms showing training, qualifications, promotions, assignments, etc. The clerks then boxed coding sheets and MPRJs, loaded the boxes onto a pallet, and moved the pallet containing 850-1050 records in 36 boxes to the Data Entry Section. Data Entry Clerks entered the coding-sheet data into a mainframe holding file via terminals. The accumulating data for the Section were batch processed once a week and electronically edited for required validity and compatibility. Records passing the edits were added to the PMF database, which was signaled by an adhesive label

being printed for each of the records. Those records failing the edits were not added to the PMF database, which was signaled by their being listed in the error roster generated by the batch process. Clerks assigned full-time to making corrections recoded each record failing edit—there were two clerks in each of the three branches who performed this function. The new coding sheets and MPRJs were then returned to the Data Entry Section where Accession Clerks entered them.

Figure 8. ARPERCEN Accessioning Process

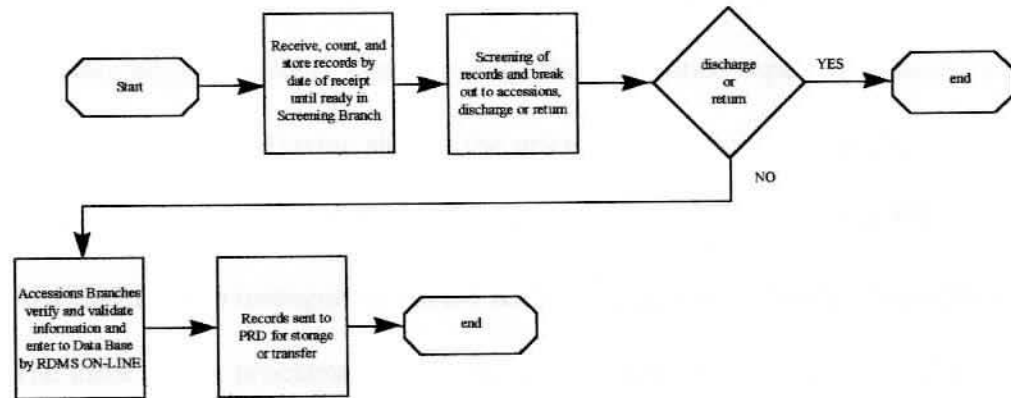


SOURCE: Author developed from the Accessions Division Standing Operating Procedures (1990).

In most cases, electronic transfer of a soldier's record occurred including it in one or more of ARPERCEN's old databases before the MPRJ arrived in the Accessions Division. Even when the electronic record was not current, only some database fields needed to be edited. Unfortunately, no tools existed for review or change of the information on-line. Additionally, due to the extensive backlog of records, some soldiers' records had been updated by users of the information prior to the Accessions Division verifying and validating the record. In this situation, the Accessions Division's processing overwrote previously-updated information.

The author knew this whole process would change with the implementation of the corporate Reserve Database Maintenance System (RDMS). Instead of preparing coding sheets, the Accession Clerks would verify data and enter it directly into the database. The electronic record, if one existed, would be available for review and editing. Real-time data entry edits would notify the clerk of an error and require correction for proceeding (Figure 9). Data entry clerks would no longer be needed and six reconciliation clerks would revert to Accession Clerks. These changes alone would account for a significant increase in productivity.

Figure 9. ARPERCEN Revised Accessioning Process



SOURCE: The author.

The author's problem was how to move employees from, typically, 20 years of manually working records to a new status quo, where each clerk would directly perform data entry and error corrections. Additionally, how could performance standards be increased to reflect this more efficient (faster) method of accessioning records? The author had already learned that some of the employees, as well as the union that represented them, interpreted any increase in performance as a threat to job security. How would the author overcome the resistance to change?

Communications

At his first staff meeting, in June 1992, the author held up his thumb and index finger about one inch apart and said "RDMS is this far away; are you

ready?" The supervisors under him laughed. They had been told RDMS was imminent for two years and nothing had happened yet! They would become believers when it arrived. Unfortunately, these seasoned supervisors were correct in their skepticism. Having slipped the original production date of October 1990, the system was destined to miss two more deadlines. Then, in July 1993, ARPERCEN top management stated RDMS would come on-line 1 November. The force of that proclamation convinced the author it would happen. The decision was made to keep staff informed of RDMS related effects, but the author felt a related decision was critical to the successful transition to the new system. The author decided all RDMS-related changes to the working environment would be coordinated with union representatives prior to the employees being notified.

The existing labor agreement required this coordination; however, it was seldom honored. Union leadership and ARPERCEN management often did not view "coordination and change" equivalently. Even when issues were presented to the union in advance, it was to tell the union what management would be doing. The author felt the lack of trust between management and the union created many barriers to change and believed it was critical to take time up front to answer questions and resolve potential problems. Any short-term delays to implementation would be more than recovered in the long run. His position was to

not hide anything. If he garnered the respect and support of the union, the transition would be much easier in general and the negative reactions from his “difficult” employees would be reduced.

Unfreezing

Communication and information are required throughout the change process. The unfreezing process actually started prior to the author becoming division chief. His predecessor established a pretraining program, offering employees a keyboard class to augment typing skills. Many had taken the course but the delays in implementing RDMS allowed new skills to be lost. The author stressed typing was not a requirement; keyboard familiarization, not actual typing skill, was needed. With the exceptions of name, address and Social Security Number, clerks would be entering codes. Their jobs would continue to be verifying and validating information from soldiers’ military personnel files—the change would be to replace writing on a coding sheet with entering codes directly into a computer terminal. It would still take longer to verify and validate the data than to enter it.

On October 7, 1993, the union and clerks were advised of the training schedule and how training would be conducted. All production standards were

dropped. Only urgent records would be worked for the next three weeks, and they would be worked by supervisors and management. The author rejected the training approach called train-the-trainers that top ARPERCEN management supported. Since his staff members were barely computer literate, he had no one, including supervisors, who was qualified to conduct such training. Further, the Accessions Division was responsible for initial data entry and correction on over 60 different data elements for all soldiers entering ARPERCEN's jurisdiction. Other functional areas at ARPERCEN were only responsible for portions of data. For example, the Physical Evaluation Section was only responsible for capturing and updating five data fields relating to soldiers' physical condition. Other sections were responsible for updating soldiers' addresses or skill information. The data and codes these other groups were responsible for were limited compared to that of the Accession Clerks.

The clerks were divided into three groups. Each group would have two hours of classroom training each day, with the duration spent in the work area. A worksheet (see Appendix) was created laying out the data fields exactly as they appeared on the data entry screens. After two days of generic training on terminals, each employee brought a record from her/his own work area, entered all the required codes on the new worksheet, and then entered the data into the

system exactly as would be done during production mode. Next, the employees were asked to take five of their assigned records and complete worksheets for these outside of class for data entry during class the next day. This approach to training served several purposes. It allowed the clerks to train on records like those they would be key-entering when RDMS went into production. It allowed them, in a non-stressful environment, to see "real life" problems as they arose. It allowed for team work in resolving systems problems.

After a few days working with real data, the clerks began "show and tell." Each would go to the front of the room, discuss the type of record being worked, and talk through entering the data while using an overhead projector to demonstrate. Questions and group discussion intermingled with this process. In the author's opinion, this stage of training created tangible confidence and self esteem in his employees. The clerks formed a team where everyone was accepted. Some were more skillful than others, but no one felt intimidated.

A real bonus from this form of training was problem detection. Many systems problems were discovered and corrected prior to implementation because the clerks were using live data to test the system. Even when corrections could not be made, a group/management consensus was reached prior to

implementation. Feedback was excellent. When 1 November arrived, the last step of unfreezing was accomplished; the old system was disconnected.

Change

After some initial system problems, the production version of the RDMS system was brought on-line 1 November 1993. The Accession Clerks were ready on schedule; the author was confident his clerks would perform. As part of an agreement the author had reached with upper management, the designated RDMS trainers came to the work area the first two days. They walked around, answered questions, and commended the staff on the work being done. It appeared success was within reach; everything was starting out well.

The first threat to the success of the change became apparent about four weeks into production. Some employees were taking advantage of the absence of production standards, which had been removed when RDMS was brought into production. Without standards, employees could not be rated on their levels of productivity (or non-productivity). The author was aware that many of his employees historically worked just hard enough to receive an outstanding rating. He also knew RDMS should increase productivity between 50 and 100 percent from the previous levels.

New performance standards needed to be established. After clearing the idea with his manager, the author met with union representatives and proposed that a team of employees develop the new standards. The team would be selected by fellow employees without input from supervision or management. The team would then, under broad guidance, propose new standards to management. The union was free to attend any meetings that management attended. Once proposed standards had been submitted by the team and reviewed by management, they would be submitted through formal channels to become interim standards. The union was skeptical of the author's approach but agreed.

While the standards team met, the author remained in the work area, checking on how the clerks were doing, and discussing coding problems and solutions with employees. One day a clerk approached him while he was eating a MoonPie ®. She commented she had not eaten one since she was a child and asked if he would he give her one. The author replied, "What have you done for me lately?" She responded she had worked 25 records that day, a personal best. He gave her the MoonPie ®. The office grapevine worked—the story got around. Other clerks asked for MoonPies ®. The response was always the same, "What have you done for me lately?"

The author gave out over 30 MoonPies ® in all before the new production standards were in place; three employees received theirs after working 100 records in a single day. He also autographed their MoonPie ® wrappers, dating them with a gold pen to mark their becoming members of the “century club.” This entire venture of recognizing the employees cost less than five dollars, but resulted in thousands of dollars of increased productivity and jumps in self esteem.

The author continued with words of praise, MoonPies ® and pats on the back. One self-motivated clerk in the Officer Accessions Branch went well beyond such recognition schemes. Charles King developed a way to make his job easier and gladly shared it with his coworkers. He reduced the 800-plus page coding manual to nine pages of encrypted notes and codes in compressed print, covering the codes used daily. An excerpt is given in the Appendix. Dropping definitions and detailed information , it crosswalked the old data field name with the new standardized name showing only codes and values used for officer accessions and presented this information in the order used in the RDMS screens.

Mr. King worked on this “crib sheet” at home on his own time. He gave a copy to all the clerks in his branch and then gave the author a copy. The Officer Accessions Branch clerks were so pleased with this handy, straightforward guide that the Enlisted Accessions Branch clerks asked Mr. King to create one for their

use. Without hesitation, he agreed and created a guide for them, again on his own time. About 80 percent of the two crosswalks were the same, with the remainder of the enlisted version comprising new work. Such selfless contributions by Mr. King and other employees played an important role in making the transition to the new system easier.

The author recommended Charles King for a Special Act Award and nominated him for the ARPERCEN Civilian Employee of the Quarter, for which he was selected. Chuck was also nominated for the St. Louis Federal Executive Board's Employee of the Year Award for his contributions. An article in the ARPERCEN Monthly publication HUB is found in the Appendix.

The standards team met many times for six to eight weeks. This effort was a unique experience for them—one they both liked and feared. They were now in a position of developing recommendations that would affect all of their fellow employees, and they wanted standards established so everyone could excel. The author found this approach unacceptable; he wanted the minimum standards established at productivity levels of a fully trained, typical employee. Additionally, he pointed out that many employees did not seem to be working very hard since they had no imposed goals. He was able to support this allegation. One of the by-products of the new automated systems was a security feature that identified the

user id entering changes to the system and time stamped these transactions. By developing an automated report, the author was able to track the production of his accession branches to the minute a record was completed. An example is given in the Appendix. After several sessions the standards team came up with a range that was acceptable to the author and other managers.

Despite objections raised by some employees, the union supported the new standards and agreed to provide another appraisal once the standards had been in effect for a while. A letter to the union officially announced that the new standards would go into effect 1 March 1994.

Refreezing

Most employees adapted well to the new standards. Others had a hard time making the transition from the old way of doing business to the new. In the author's opinion, they had accepted a defeatist attitude and were not trying. He needed to convert these stragglers to achievers. He had been given a directive to reduce the backlog to an acceptable level by 31 December 1994. There were no overtime funds available and the request for a military detail was denied. Although a third branch was approved, there were no funds to hire. The Director of Personnel Records Management did, however, provide a four-person interim detail

comprised of former Accession Clerks to assist in reducing the backlog. To accomplish this mission, the author felt all his staff must be working at or exceeding the new standards.

On 23 March 1994, the final instrument needed to complete acceptance of the new RDMS process was granted. Even though new standards had been implemented effective 1 March 1994, some of the employees were still lagging in meeting production standards. The author felt they would continue at this low level until time for a performance rating, at which time they would object and the standards would be renegotiated. The Deputy Commander approved the author's initiative of a bonus for employees who met certain production goals. With his director's commitment of funds, he met with his supervisors and established the rules for these "upgraded MoonPies ®." His original plan was to recognize the branch achieving the highest performance. Since several of the lowest performers were in one branch and several of the highest performers were in the other, he revised the plan.

The author established individual performance goals. For example, during the 64-work day period from 1 April to 30 June 1994, if an employee in one of the Enlisted Branches worked 3050 records, she/he would receive a \$500 bonus. An extra \$25 was added for each five percent over that amount, with the total limited

to \$750; quality had to be to standards. The \$500 bonus was determined by using the high end of "meets requirements" from the new performance standards reduced by three days productivity (150 records) to allow for bad days, leave, meetings, etc. Supervisors were to provide feedback to the Accession Clerks on a regular basis (even though the employees also kept their own counts). The union requested additional reductions beyond the three days built into the cutoff if an employee was out sick or on other leave. This request was rejected since the stated purpose of the bonus was to reduce the backlog of work. As a compromise, a \$300 bonus was offered if 2900 records were worked (another 150 record reduction). The bonus plan is given in the Appendix.

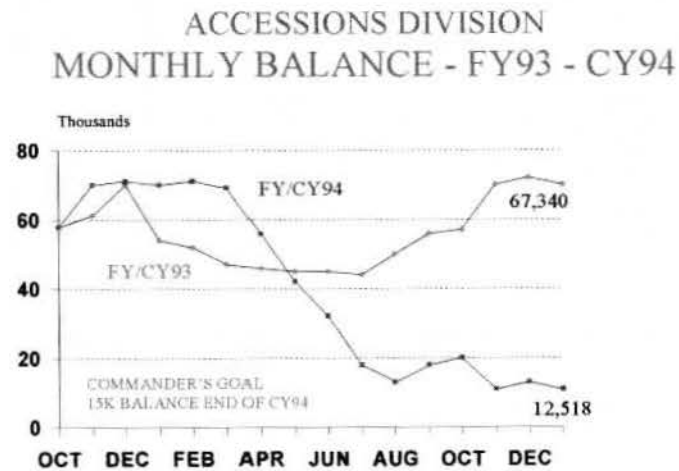
Over time several administrative changes to the bonus plan were made. Each was coordinated with and agreed to by the union, and each lowered the number of records required for employees to receive a bonus. The author was proactive in making these changes, keeping the best interests of his employees foremost. The union and the employees recognized these as unusual concessions by management. The author felt the price was small compared to the end results he anticipated. He and his division successfully reduced the backlog as directed by 31 December 1994.

Chapter IV

RESULTS

Figure 10 compares the balance of Military Personnel Record Jackets (MPRJ) backlogged for accessioning in FY/CY93 (1 October 1992 to 1 January 1994) to FY/CY94 (1 October 1993 to 1 January 1995). In brief, the backlog of records had climbed to 57,156 by 1 October 1993 and was reduced to 12,518 on 31 December 1994.

Figure 10 Monthly Backlog of Records FY93 - CY94



SOURCE: The Author

FY/CY93 began typically, with the backlog climbing from 57,156 to 67,628 by the end of the calendar year. The military task force accessioned approximately 38,500 records from 4 December 1992 through 12 April 1993. Even so FY/CY94 began with a backlog 55,699, which was not very different from the previous year (Figure 10 and Figure 11).

Figure 11. Records to be Accessioned as of Selected Dates

Fiscal Year	Date	Backlog of Records to be Accessioned
FY93	10/1/92	57,156
	12/1/92	67,628
	5/1/93	47,040
FY94	10/1/93	55,699
	11/1/93	67,226
	2/1/94	71,000
	3/1/94	65,967
	4/1/94	55,303
	7/1/94	17,397
	12/31/94	12,518

When the Reserve Database Maintenance System (RDMS) became operational 1 November 1993, the backlog was 67,226 records. On 11 December 1993, the ARPERCEN deputy commander announced that the backlog was to be reduced to 15,000 by the end of the next calendar year. The new production standards were implemented 1 March 1994 and the incentive plan went into effect 1 April 1994. When the incentive plan ended 1 July 1994, the backlog had been

reduced an impressive 37,906 records. The calendar year ended with the backlog only 12,518, which exceeded the deputy commander's goal.

Chapter V

DISCUSSION

Summary

The number of records waiting to be accessioned each year at ARPERCEN follow an established pattern. Between the start of the fiscal year and the start of the calendar (October through December), the number on hand jumps twenty percent. The author attributes this increase to a combination of factors:

- Due to problems related to approving the Defense budget each year, Defense organizations are not authorized overtime funds except for emergencies during this three-month period.
- These three months are a holiday season so many employees are taking leave. Additionally, employees use accrued leave that would be lost at the end of the year.
- The incoming workload is usually slightly higher due to personnel being released at the end of September to meet FY end-strength caps.

In December 1992, a military detail was attached to the Accessions Division for two weeks to screen the backlog of records. They were tasked to look for special skills that may be required for a possible Reserve mission to Samolia. That detail of 20-plus military personnel stayed for four months and accessioned a total of 38,000 records. In addition, starting in March 1993, over

\$130,000 was spent for overtime in the division for the remainder of the FY. Approximately one-half went to the Accessions Branches and the rest to the division's support staffs. As the overtime funds dwindled, the backlog of records climbed, ending FY93 with a total of 55,699. This number was 1500 fewer than the ending backlog for the previous year. It should be noted that the number of records received in FY93 was 237,000, which was lower than the 287,000 the year before, but it was approximately fifteen percent higher than the typical yearly count of around 200,000. Even though the Active Army had completed its major effort of downsizing, the Reserve units were scheduled to start theirs in FY94. As a result, the anticipated volume for FY94 was the same as experienced in FY93.

The start of FY94 preceded the implementation of the Reserve Data Management System (RDMS) by one month. With the implementation of the RDMS, it was a given that productivity could increase drastically—if the employees accepted this change. Over 80% of the employees in the division were computer illiterate and many had only minimal keyboarding skills. Excluding the Administrative Support Section, the few that were accessing the existing automated database only read data based on entering the service member's social security number.

The Accession Clerks would have to get over any fears of working with computers, as well as learn an entirely new set of codes and values for all the

information they had been manually coding for years. Training was geared to overcome these fears. Up front, production standards were removed. The author deemed this approach necessary to relieve the stress associated with being held accountable to established production standards while learning a new way of processing records. Management recognized this suspension of standards put reaching production goals at risk.

Even though the final objective was to enter required data directly from the MPRJ into the database (TAPDB-R), a worksheet was created that replicated the accession screen data fields as they appeared in the development system. The sheet served two purposes. First, it allowed the Accession Clerks to code information from records in their work area and to take them to class the next day for entry. During class, functional and technical experts walked around while the clerks were entering data during class and resolving individual problems. They also noted system problems preventing the clerks from entering data correctly. The trainers took these problems back to the programmers after class and corrections were made to the production and development databases where possible. If a correction could not be made, consensus solutions on how to handle specific problems were documented and provided to all clerks and supervisors prior to implementation of the production system. Secondly, the worksheet was a way to increase productivity initially. By capturing the data on worksheets, clerks would be ready

to enter data into the production database when the system came on-line 1 November . They would not need to abstract data from these records again to enter them for real.

After only a few days, the instructors turned the class over to the clerks. They used an overhead projector connected to the training database to review individual records. Each presenter would state the record data (e.g., gain from Active duty, married, and completed advanced training) allowing the audience to call out the appropriate codes. These codes were then entered and corrected based on built-in real-time edits.

Learning the codes was especially challenging for the clerks. These codes and values were all new to them. The reference manual was more than 800 pages long and split into two volumes. Clerks were marking pages and creating reminder notes that cluttered their desks. But when 1 November arrived, they were ready.

Even though the clerks were rapidly learning the new system, the backlog had increased to just under 70,000 by 1 December 1993 (FY94). Since the backlog was monitored by the ARPERCEN commander, the deputy commander met with the Personnel Records Management (PRM) Director and the Accessions Division Chief. He had only one request: come up with a plan to reduce the backlog to 15,000. There were also two limitations: 1) no military detail would be assigned, and 2) there would be no additional overtime funds. Overtime funds

spent by the Accessions Division in FY93 exceeded \$130,000. For FY94, the five divisions in the directorate shared this amount.

The plan and recommendations developed in response to the deputy commander were:

1. The creation of a temporary detail of four prior Accession Clerks. This was approved by the PRM Director.
2. A reduction in the number of data fields captured when the record already existed.
3. A temporary, third enlisted branch that would be dissolved after one year.
4. A team of employees be allowed to develop the recommendations for new production standards. This was approved by the PRM Director.
5. A production bonus be given to employees who meet standards over a fixed period of time.

Recommendations 2, 3, and 5 were reviewed by all ARPERCEN directors and were approved by the Deputy Commander in March 1994.

In December 1993, a team of seven employees volunteered to create new proficiency standards. This idea was first coordinated with union representatives, who agreed upon the condition that they be allowed to review the standards before approval. The Division Chief negotiated a revised set of standards with the clerks. The union representatives agreed to implementation of the employee-developed standards on 1 March 1994, but they reserved the right to review them after 120 days. They chose this duration since it is the minimum time until a performance review for an individual.

It was obvious some of the employees did not like the new standards and would not attempt to meet them. Failure to meet the standards could be turned into a union-sponsored unfairness grievance even though some employees were exceeding the new standards. In order to reduce the accessions backlog to 15,000 by the end of the calendar year, performance at or above the standards was needed from all the employees. An accurate method was needed to track production and the performance of each Accession Clerk.

There was a security feature in RDMS that allowed tracking changes to the database—a capability that existed primarily because of the sensitivity of data used in mobilization and training decisions for individuals. Specifically, the “Edited Record Indicator” data element was programmed to flip from “no” to “yes” once a record was opened by someone in the Accessions Division and then passed real-time compatibility and validity edits during processing. By tracking that data field, the number of records processed by whom and the associated exact time could be tallied. The author and a systems analyst created a productivity report that gave the daily, weekly, and monthly totals for each Accessions Clerk. The report demonstrated that some employees were not attempting to increase their production levels or meet the new standards. The author decided to correct this situation immediately.

The author, a labor-relations specialist, and union representatives met the second week of March 1994 to discuss productivity using the automated report. The productivity records for various individuals were reviewed, showing great differences among the employees. The labor-relations specialist discussed the penalties for intentional work slow-downs and for slothfulness, being careful to not sound threatening. Subsequently, the author directed all supervisors to meet with their branches and give union representatives and employees the report reflecting several days of their own production. The grumbling did not cease; however, productivity began a gradual increase.

On 23 March, the Commander approved the incentive plan, the temporary branch, and a reduction of the data elements to be verified. This latter was justified, in part, by the fact that management officers had the capability to make on-line changes to soldier records using RDMS while talking with the affected individuals. Even though the temporary branch was approved, no money was authorized for it. Most importantly, the productivity incentive plan was approved with the condition that the Personnel Records Management Directorate use its own funds. Once the Director allocated \$25,000 originally slated for overtime funds, the incentive plan was developed with the cooperation of the union. The plan is summarized below; the actual plan is given in the Appendix.

- Any employee who worked at a level at the top of the new production standards was promised \$500.
- Any employee who exceeded this quota additionally received \$25 for each five percent over, the total monies not exceeding \$750.
- Quality standards had to be achieved.
- The incentive plan would be for the April through June quarter.

These rules were in writing. The union representatives quickly realized that in addition to employees setting the standards, they would be awarded productivity bonuses for meeting or exceeding these standards. The employees realized the bonuses replaced the overtime funds they had grown to expect.

The figure given in Chapter IV shows that the backlog dropped from 55,000 in April 1994 to 17,000 in July. That reduction was achieved in 90 days and under the new RDMS system. The figure also shows that the backlog was less than 13,000 on 31 December 1994, well within the goal of 15,000.

Additional Benefits and Problems

Given the length of time it took to accession a record before the implementation of RDMS, many service members had changed status, leaving ARPERCEN control (e.g., transferred to a troop unit or to another Reserve component) before their records were ever accessioned there. TAPDB-R captured

that status change and stopped the Accession Clerk from entering more than the social security number. The record was then forwarded to the gaining organization. Prior to RDMS, these records were processed. Between December 1993 and June 1994, more than 6,300 records were transferred to another organization without being accessioned.

Using RDMS along with the productivity bonus yielded results beyond everyone's expectations. It also revealed a problem. Because the manual accessions process was so inefficient, there had never been any analysis of the screening process. The screeners had always stayed two to three weeks ahead of the accessions branches. RDMS changed that pattern. Accession Clerks had to assist in the screening of records. The bonus productivity standards were adjusted downward to compensate for this duty. This adjustment was coordinated with the union and led to a request for a Business Process Review for the division as a whole.

The success of RDMS and the productivity bonus set clerks in the Accessions Branches apart from others in the division. The training effort bypassed the Screening Branch even though RDMS would have allowed them to screen records faster by checking the status of incoming records. The 25 employees in the Screening Branch felt overlooked and excluded from the chance to earn a bonus. Within the Accessions Division, a total of \$15,150 was awarded

to Accession Clerks, and \$4,600 was awarded to their supervisors and support personnel. Not all of the original \$25,000 had been claimed. The Director approved the recommendation that the other 25 employees be given awards ranging from \$100 to \$400. The Screening Branch employees were surprised and appreciative.

Path to Success

The author summarizes his success in leading employees to change as follows:

Communications	The author kept employees and their union representatives informed of decisions and upcoming changes.
Training	The training techniques used replicated the upcoming RDMS production process.
Tools	RDMS, the software designed to interface in real time with the new database, had advantages with respect to accessioning records that were apparent to every employee. The major disadvantage, from their perspective, was its use of new codes and values.
Management by Walkthrough	The author walked through the work area each day to check with employees and address problems.
Trust	The employees trusted the author as their advocate.
Employee Involvement	From training to recommending new performance standards, the employees were involved in bringing about change.

Motivation through Recognition	Employees were recognized for their good work and even for their efforts. Recognition included (real) pats on the back, MoonPies ®, words of praise (often in front of others), local newsletter articles, and door plaques.
Motivation through Incentives	The monetary incentive for productivity allowed the employees to really understand that this new approach was the real thing and they became self-motivating. Most of them accepted the challenge to earn as large a bonus as their capabilities allowed.
Leadership	By skillful use of communication, training, tools, management by walkthrough, trust, employee involvement, and motivation, the author successfully lead the Accessions Division to change from an old, comfortable way to a new, comfortable way of accessioning records.
Goals	The author's objective was to successfully implement permanent change in the accessioning process, and the division's production goal was to reduce the balance of records to 15,000 by the end of the year. The goals were well <u>defined</u> and <u>obtainable</u> within an adequate time frame. Employees knew <u>what</u> was required and the measures of success.

The author is very proud of the accomplishments achieved even though bureaucratic redtape added to the challenges. He feels the techniques discussed in this paper are appropriate for many situations, whether in the government or the private sector.

APPENDIX

Timeline

- Memorandum to Union, dated 26 July 1993 (RDMS Meeting with Employees)
- Memorandum to Union, dated 7 October 1993 (RDMS Meeting with Employees)
- Copy of Coding Sheet
- Memorandum to Union, dated 9 December 1993 (Implementation of Temporary Performance Standards)
- Letter from Union, dated 10 December 1993
- Memorandum to Union, dated 9 February 1994 (New Performance Standards)
- Memorandum to Union, dated 24 February 1994 (Implementation of New Standards for Enlisted and Officer Military Personnel Clerks)
- Letter from Union, dated 4 March 1994
- March 1994 HUB article featuring Selong Smith and RDMS
- Example Computer-generated Production Report including date/time stamp for each record worked by each clerk
- Example Computer-generated Production Report showing total daily production for each clerk
- Memorandum to Union, dated 29 March 1994 (Implementation of a Production Incentive Bonus) and attachment (Notes on Meeting to Use Incentive Bonus)
- Memorandum from Union, dated 29 March 1994 (Implementation of Production Incentive Bonus)
- Memorandum for Accession Clerks, dated 30 March 1994 (Incentive Bonus Plan)
- Memorandum to Union, dated 18 April 1994 (Change to Conditions Production Incentive Bonus)
- April 1994 HUB article featuring Charles "Chuck" King and his RDMS "crib sheet"
- Excerpt of RDMS "crib sheet"
- June 1994 HUB article featuring the Accessions Division and its reduction of the accessions backlog
- Justification for Accessions Division group award in the amount of \$25,300
- Memorandum to LTC David G. Buck, dated 18 October 1994 (Memorandum of Congratulations)
- Information Paper, dated 19 December 1994 (Reducing the Excessive Balance of Records on Hand in the Accessions Division)
- Gary Anderson cartoon ©1993 (Be Receptive to Change)

TIMELINE	
1993	
JULY	
	26 Clerks and Union advised RDMS would go into production on 1 November 1993
OCTOBER	
	1 BACKLOG = 56,000 Records
	7 Clerks and Union advised of RDMS training schedule
	15 Accession Clerks stop processing records using old process
	15 - 30 Formal training in classroom and SOJT at workstation
NOVEMBER	
	1 RDMS in production ability to enter data under old systems ends
	BACKLOG=63,000 Records
DECEMBER	
	3 Memo to Director PRMD requesting authority for employees to propose new standards, use of Overtime incentive and \$5000 group award incentive
	9 Notice to union requesting temporary standards and creation of team of employees to establish new production standards
	10 Union agrees to new temporary standards and team to recommend new standards
	Five Accession clerks and one lead clerk volunteer to recommend new standards
	11 ARPERCEN Deputy Commander requests briefing on PRMDs plan to reduce excessive backlog in Accessions Division
	18 Briefed Deputy Commander on plan. He chose three options and directed they be staffed with all Directors at ARPERCEN for impact and comments
JANUARY	
	Team still reviewing standards, discuss progress with Division Chief
	11 Staffing plan and supporting documentation sent to all Directors
FEBRUARY	
	4 BACKLOG = 71,000 Records
	Briefed BG Kilmartin on plan to reduce backlog to 15,000 by 31 December 1994
	9 First meeting with branches and union to discuss new proposed standards
	15 Article in HUB magazine with Accession Branch supervisor discussing RDMS
	24 Letter to union advising of implementation of new standards effective 1 March
MARCH	
	4 Union agrees to new standards but reserves right to re-look later
	23 Deputy Commander approves plan to reduce backlog
	28 Letter to union advising of proposed incentive bonus plan (verbal agreement in place)
	copy of performance measurements provided to union
	29 Union acceptance, request consideration - negotiated compromise
	30 Memo to clerks on details of incentive bonus plan
APRIL	
	1 Incentive program begins- Backlog 55,303
	15 HUB article on "User Guide" created by one of the Accession Clerks
	18 Memo to union on minor changes
MAY	
	5 Memo to union on minor changes to incentive program - bonus potential not impacted
	9 Memo to union on minor changes to incentive program - bonus potential not impacted
	17 Memo to union on minor changes to incentive program - bonus potential not impacted
JUNE	
	15 HUB article on plan to reduce accessions backlog
	30 Incentive program ends - Backlog 17,400
July	
	1 Information Paper on Reduction of Backlog
August	
	1 Request for Awards (bonuses) submitted
	30 PRMD town hall. Accessions Division recognized and bonuses given to employees
October	
	18 Memo from Deputy Commander on accomplishment
December	
	14 Information Paper on Reduction of Backlog to less than 15,000

Source: Author.

DARP-PRA

26 July 1993

MEMORANDUM FOR Andrew Wallace, Union President

SUBJECT: Meeting - PRA Division

This is to inform your office that there will be a meeting with all PRA Division personnel on 27 July 1993, from 0810-0850 hours in the PR Breakroom if you would like to attend. This meeting is to discuss the upcoming move and the RDMS System.



DAVID G. BUCK
LTC, EN
Chief, Accessions Division

*Good
copy
[unclear]*

Source: Author.

DARP-PRA

7 October 1993

MEMORANDUM FOR AFGE Local 900

SUBJECT: RDMS Meeting

There will be a meeting of the Officer and Enlisted Accession Branches at 1300 hours in the Personnel Records Management Directorate Conference Room, 4th floor, 4B-19 to discuss the new RDMS system.



DAVID G. BUCK
LTC, EN
Chief, Accessions Division

Source: Author.

need
10/7/93


ENLISTED ACCESSION**SCREEN ONE**

SSN	Curorg	MPCRES	MPADT	MPARSN	MPATYP
□□□□□□□□□□	□	□	□□□□□□□□	□□	□□

NAME

□□□

LNID

□

ADSTRM

□□□

ADZIPC

□□□□□□□□

ADCAT

□

CACED

□□□□□□□□□□

SEX

□

DOB

□□□□□□□□□□

RACEPOP

□

ETHGRP

□

DTLPE

□□□□□□□□□□

PHYC

□

PHPFAC

□□□□□□□□□□

TBPEIN

□

CTZUSO

□

MARST

□

DEPNBR

□□□□

RELDEN

□□□□

SMPGEN

□

PPNREN

□

DIEMS

□□□□□□□□□□

DTIGRC

□□□□□□□□□□

PEBD

□□□□□□□□□□

EXSMOD

□□□□□□□□□□

EXRROD

□□□□□□□□□□

MOENLX

□□□□□□

GRDRES

□

DORRES

□□□□□□□□□□

DTLRAD

□□□□□□□□□□

NMAFS

□□□□□□

CHRSVC

□

SCREEN TWO**RYE**

□□□□□□

AFQTPS

□□□□□□

CELC

□

CVEDCC

□

LANG

□□□□□□

LANG

□□□□□□

MLFLST

□

DDPSTA

□

PSII

□

DTPSIC

□□□□□□□□□□

MEL

□

MES

□

MCRDCC

□□□□□□□□

RPSA

□□□□□□

SCREEN THREE**PMOSEN**

□□□□□□

SQIEN

□

ASIEN

□

SMOSEN

□

SMOSEN

□□□□□□□□

AMOSEN

□□□□□□

DRAFT

9 DECEMBER 1993

MEMORANDUM THRU Director, Personnel Records Management

FOR AFGE Local 900 ATTN: Mr. Wallace

SUBJECT: Implementation of Temporary Performance Standards

1. This memorandum is of a meeting held 7 December 1993 with Ms Mary Cooper, representing AFGE Local 900, and the undersigned to discuss implementation of Temporary Performance Standards.

2. On 1 November 1993, the Accessions Process for Military coming under the control of ARPERCEN changed significantly.

3. Accessioning changed from a manual/batch process to immediate on-line data capture and record creation. This came into effect with the implementation of the new Reserve Database Maintenance System (RDMS).

4. Formal classroom training and an on-line training in a test database was conducted in October and On-the-job training has continued since. Neither the workforce, nor all the individual are currently 100 per cent trained. The percentage trained does vary by individual. However, full training should be completed within 60 days and coincide with a work study that will be conducted by Resource Management.

5. Since starting training in October, the MPCs have not been under performance standards. Because this is a new system, as well as a new procedure, it is necessary to do a complete revision of the standards and performance rates for all the MPCs and lead clerks. We need to start with the MPCs.

6. I discussed this with Ms. Cooper and she agrees with the following concept to establish those standards. I am creating a team of employees that will look at the task they perform as related to the accession branch mission and make recommendations to management on what the elements, critical elements and performance should be.

6. Basically the team would consist of 2 MPCs from each branch and a lead clerk from one of the enlisted branches. The personnel and lead will be determined by the employees. Taking broad guidance from me and their old standards, they will propose new standards. Management will review and comment, and then give back to the committee to re-review. Management will then formalize and submit in draft format to the employees and bargaining unit. After review and comments, this will form the interim standards.

Rec'd
0815
9 Dec 93
[Signature]

DRAFT

7. Resource Management directorate is scheduled to conduct Management Engineer Standards Studies in late January and February. Their report will be reviewed for potential changes to the standards. Any proposed changes will again be submitted in draft to the employees and bargaining unit for review and comment prior to implementation.

DAVID S. BUCK
LTJL EN
Chief, Accessions Division

DRAFT

Source: Author.

*9 Dec 93
JAW*

American Federation of Government Employees

Andrew Wallace
President

Local 900

Leon Walter
Vice-President

9700 Page Blvd., St. Louis, MO 63132
(314) 423-2220 (314) 538-3992

December 10, 1993

LTC David G. Buck
CH. Accessions Division
9700 Page Boulevard
St. Louis, Missouri 63132-5200

Dear LTC Buck:

The Union is in receipt of your memorandum dated 9 December '93. The Union concurs with your proposal to secure your sign in and out sheets by moving them to the late duty supervisor's desk after the supervisors have left for the day.


The Union feels that a 2 day trial for the overtime quota sounds fair. However, the Union requests that after the two days are up and the decision to dismiss overtime for certain employees (contingent upon their production), that the Union be provided a list of employees or the number of employees, who volunteered for overtime and the number of employees who were cut from overtime.

Furthermore, the union request that the implementation of Temporary Performance Standards are reviewed by average producing employees.

And not by the top performers in each section. Also, once the temporary standards are completed, the union request to meet with the bargaining unit employees in each section to determine if the standards are obtainable.

The Union appreciates your professionalism in attempting to resolve your problems and concerns in a fair and equitable manner. If there is a problem with any request made by the Union, please feel free to contact the undersigned.

Sincerely,


Mary Cooper
AFGE, Local 900
Representative

*10 Dec 93
Still - foy*

"We Accept the Challenge"

Lesia G. Jones-Sgt-at-Arms
Rayburn Wilkins-Chief Steward

Mary Cooper-Secretary
Georgia Stewart-Treasurer

Source: AFGE Local 900 letter to author, 1993.

ARPC-PRA

9 February 1994

MEMORANDUM FOR President, AFGE Local 900

SUBJECT: New Performance Standards

There will be a meeting of the Officer and Enlisted Accession Branches at 0930 hours in Room 110 on 15 February 1994 to discuss any issues prior to implementation of new performance standards. Enclosed are copies of old and new performance standards. Proposed implementation date is 21 February 1993.

15/
DAVID G. BUCK
LTC, EN
Chief, Accessions Division

Ray Wilkins
2/10/94

Source: Author.

ARPC-PRA

24 February 1994

MEMORANDUM FOR PRESIDENT, AFGE LOCAL 900

SUBJECT: Implementation of New Standards for Enlisted and
Officer Military Personnel Clerks

The following changes and points of clarification are made to the proposed standards for the officer and enlisted military personnel clerks. These changes result from the recent meetings held between management, the employees and representatives of the Bargaining Unit.

1. The standards will be implemented 1 March 1994.
2. They will be revised as necessary, when required. A meeting between management and bargaining unit representatives will be held around the first of July to discuss the entire implementation process and possible improvements.
3. Error rate per job element/sub-element will be changed to will not exceed 3 critical, 6 major or 9 minor within a 6 month period.
4. Since paragraph 3 is a concern with the employees, the following policy will be used in its implementation. When an error is discovered it will be discussed with the employee to determine if there was a problem in training/interpretation of the policy itself. If the policy is not clear, this opportunity will be used to review and correct internal procedures, if needed. Unless errors are repeated **after** clarification of procedures, they will not be held against the rated employee.
5. Fifteen minutes a day are authorized to complete administrative work associated with production and other reports.
6. In order to be rated "Exceeded" on a Job Element that has sub-elements, you must exceed all rated sub-elements. In order to be rated "Met" on a Job Element, you must meet or exceed all rated sub-elements.
7. The line "For a fully successful level of performance.." will be deleted from Officer and Enlisted Standards. This is redundant since that is level of standard.

Rec'd By
C. Williams
2-25-94

8. Unless there are additional points for clarification, the standards will be distributed at branch meetings starting at 1000 February 28, 1994. Meetings should last about 20 minutes each.

DAVID G. BUCK
LTC, EN
Chief, Accessions Division

Source: Author.

American Federation of Government Employees (AFL-CIO)

Andrew Wallace
President

LOCAL 900

Leon Walter
Vice-President

9700 Page Blvd., St. Louis, MO 63132

(314)423-2220 (314)538-3992

4 March 1994

LTC D. Buck
Chief, Accessions Div (PRA)
9700 Page Boulevard
St. Louis, MO 63132-5200

RE: Trial Standards

Dear LTC Buck:

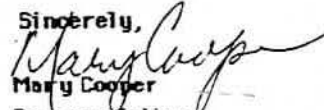
This letter is written concerning the implementation of standards in the Accessioning Branch. The Union concurs with these standards for 120 days. However, should valid concerns and problems occur before the 120 days are up, the Union reserves the right to Negotiate over any section or the entire standards.

The Union's concerns are the error rates, the abundance of critical elements, and critical sub elements. Also, we are concerned that in order for the bargaining unit employees to receive a Met, they must meet ALL sub elements of the main Job element.

The Union recognizes that these standards were created by bargaining Unit employees, because there was a need to have established workable standards. And in so creating these standards, there may be certain aspects of the jobs that were overlooked.

This Union commends the manner of professionalism and total cooperation on your part. We are confident that both Management and Union have the employees best interest at heart. If there are any problems or concerns with the Accessioning Branch, feel free to contact the undersigned at EXT. 3992.

Sincerely,

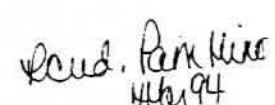

Mary Cooper
Representative
AFGE Local 900

C:F:

Andrew Wallace, President

LESLA G. JONES -
SGT - AT - AAMS
ARVEMAN WILLIAMS - CHIEF STEWARD

"We Accept the Challenge"


MARY COOPER -
SECRETARY
GEORGE STEWART
TREASURER

Source: AFGE Local 900 letter to author, 1994.

**THE LAST
WORD**

What are some positive changes you've seen at ARPERCEN in the last 10 years?

Winifred Jones

"Positions have become more plentiful and minority employees are holding higher graded positions now.

When I first came in 1965, no blacks held secretarial positions. I was hired as a stenographer but I couldn't get that job. There's more chance for upward mobility now.

The opportunities for minorities to become supervisors have increased greatly in the last 10 years. There are some positions we were not considered for years ago that we now hold. I believe that if we continue along our present course, ARPERCEN is going to be as equal as any other employer in the St. Louis area."


Art Hahn

"One of the most obvious changes is the new Prevedel Building. Ten years ago we didn't have anything like this in terms of surroundings.

The Just U.S. Kids Child Care Center is another big change. It was something that people talked about.

We see a great use of personal computers now. Ten years ago, I guess the secretaries were lucky if they had a correcting typewriter. We're talking about magnetic card typewriters. We thought they were a great step forward, but they soon became dinosaurs. Then we had magnetic tape with big bins on the side. What a mess.

The conversion of military jobs to civilian jobs has taken a big step, and it's an ongoing thing with intentions for more conversions. That's a definite plus."


Selong Smith

"Under RDMS, Reserve Database Maintenance System, you get the records in the system much quicker.

Prior to Nov. 1, 1993, it would take days or a week before the information

hit the system. But now you can pull records up in a matter of minutes. Before, information was manually coded on a worksheet by the audit clerks who would send it down to a typing pool and they would input the data.

Now we don't have to code worksheets anymore, and we can input the data ourselves. RDMS has made my life a lot easier."


Nancy Gray

"One of the most significant changes I've seen is the increased training for employees. I can remember when I came into personnel the training was almost nonfunctioning, and less than 200 people a year went to training. Now we have a great training program. We've got increased tuition assistance and on-site college classes. None of this existed 10 years ago.

Contrary to what a lot of people think, I think the increased military function at ARPERCEN has provided greater opportunity for civilians. It has created jobs that weren't here previously. I think if people apply themselves and dedicate themselves to improvement, they will be successful."

Source: Author.

04/05/95
09:24:24

SUBJECT TO PRIVACY ACT OF 1974
ACCESSIONS REPORT (SUMMARY)
BY NAME - RANGE TRNSDT - PROTYP

PAGE 173
DETAIL

TRNSDT	SSN	TRNSTH	NAME (CLERK)
19950310	1	13470500	[REDACTED]
	1	13523400	[REDACTED]
	2	14413200	[REDACTED]
	1	14482800	[REDACTED]
19950313	1	07321400	— FIRST Record 0731 — 13 MARCH 1995
	3	07372700	[REDACTED]
	5	07423500	[REDACTED]
	0	07472700	[REDACTED]
	5	07534500	[REDACTED]
	2	07592600	— NO WORK 0759 — 0930
	2	09304500	[REDACTED]
	2	09342600	[REDACTED]
	5	09383300	[REDACTED]
	4	09432000	[REDACTED]
	3	09474600	[REDACTED]
	2	09513800	[REDACTED]
	2	09573300	[REDACTED]
	5	10021800	[REDACTED]
	2	10063800	[REDACTED]
	4	10105200	[REDACTED]
	5	10173200	[REDACTED]
	5	10230200	[REDACTED]
	2	10270700	[REDACTED]
	5	10565000	[REDACTED]
	5	11005700	[REDACTED]
	5	11050100	[REDACTED]
	4	11110200	[REDACTED]
	3	11144900	[REDACTED]
	5	11180300	[REDACTED]
	2	11222100	[REDACTED]
	3	11263500	— NO WORK 1126 — 1317
	0	13173500	[REDACTED]
	3	13230200	[REDACTED]
	2	14534600	— LAST RECALL FOR DAY 1453
19950314	2	09383500	— FIRST Record 0938 — 14 MARCH 1995
	2	09442500	[REDACTED]
	4	09481500	[REDACTED]
	0	09530200	[REDACTED]
	2	09563600	[REDACTED]
	4	10060500	[REDACTED]
	5	10200500	[REDACTED]
	1	10270600	[REDACTED]
	1	10310100	[REDACTED]
	1	10391600	[REDACTED]
	1	10432500	— NO WORK 1043 — 1307
	2	13074000	[REDACTED]
	1	13130000	[REDACTED]

Report USSE AS Management tool
FOR SUPERVISORS. Employee
MAY BE ON OTHER TASKS OR ON
LEAVE DURING NO PRODUCTION TIMES.

05/03/94
17:26:38

SUBJECT TO PRIVACY ACT OF 1974
ACCESSIONS REPORT (SUMMARY)
BY CLERK - KEY = EDRECI = "Y"

TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK
TOTAL FOR CLERK



1 *
51
68
24
51
53
7 *
78 *
4 *
48
54
50
34
59
61
54
5 *
67
60
57
37
21
88
33
59
70 *
74
64

5/2/94
DAILY
Production
BY
CLERK

NUMBER REQUESTED: ALL
NUMBER FOUND: 1324

COMPLETION DATE: 05/03/94
COMPLETION TIME: 17:26:38

FIND TERMINATED BECAUSE: NORMAL END OF SEARCH WAS REACHED

* LEAD CLERK

Source: Author.

29 March 1994

MEMORANDUM THRU Director, Personnel Records Management

FOR AFGE Local 900 ATTN: Mr. Wallace

SUBJECT: Implementation of a Production Incentive Bonus

1 This memorandum is of a meeting held 28 March 1994 with Ms. Mary Cooper, representing AFGE Local 900, and the undersigned to discuss implementation of a Production Incentive Bonus.

2. The goal of the Accessions Division is to reduce the excessive balance of records on hand to a manageable amount. There are insufficient funds to be able to do this using overtime. Therefore, I have requested and been allowed to offer an incentive to the employees to help us accomplish that goal during normal working hours.

3. The plan, as recommended, is outlined in the attached memorandum. It allows for all of the Accession branches as well as the detailed personnel to participate. It is based on the clerks accessioning a fixed number of records over the 3rd quarter of FY94. In return, a bonus of \$500 will be paid for accomplishing the goal and up to \$750 can be paid to an individual for exceeding the goal.

3. The base number is based on the upper end of the standard but, allows for up to 3 days of non-production (bad day, leave, ARPERCEN programs, etc.)

4. There are several unique rules:

a. Enlisted branch clerks must work 28 full accessions a week. This is the equivalent of 1 day of full accession a week. The records will be provided by the leads. Once they are worked, the clerks may work expeditious records.

b. Officer branch clerks must work officer records every other week. Once the weekly quota of officer records is met, they may work enlisted retired records. In order to qualify for the bonus, the clerk must be working to standards in officer records.

c. The detail will only work expeditious records.

d. Quick Accessions for PMOs will be worked by the leads.

5. All other standards are in effect.

Rory Wilton
3-29-93

6. To reemphasize, the goal of the Accessions Division is to reduce the backlog. This plan provides a reward to those producing at a higher rate and is an incentive to those who are producing at the lower end.

7. If you have any comments, suggestions, or recommendations, please advise. The bottom line is still our obligation to provide the best service possible to the customer. This cannot be done when we have so many records to process.

Signed

DAVID G. BUCK
LTC. EN

Chief, Accessions Division

NOTES ON MEETING TO USE INCENTIVE BONUS

1. BONUS BASED ON PRODUCTIVITY.
 2. TIME PERIOD IS 1 APRIL THRU 30 JUNE.
 3. There are 64 work days during these 3 months.
 4. Bonus is \$500 for meeting goal plus \$25 every 5% over goal.
3. RECORDS TO BE WORKED:
- A. ENLISTED:
1. Must work 28 Full accessions as provided by Leads per week total of 12 weeks.
 2. Must work expeditious records rest of time.
- B. DETAILED:
1. Must work expeditious only.
- C. OFFICER:
1. Must work Officer one week and Enlisted Retired next.
 2. If working officer records and **daily standard** exceeded, may work enlisted records rest of day.

NUMBER OF RECORDS TO BE WORKED:

1. ENLISTED

DAYS X STANDARD = TOTAL RECORDS

32 x 55 = 2860

12 x 28 = 336

TOTAL = 3196

- 146

TOTAL = 3050

FOR ABOUT 3 DAYS OFF DURING 3 MONTHS
BASE NUMBER OF RECORDS TO RECEIVE BONUS

2. OFFICER

DAYS X STANDARD = TOTAL RECORDS

32 x 38 = 1216 ENLISTED RETIRED

- 57

TOTAL = 1159

FOR ABOUT 1 1/2 DAYS OFF DURING 3 MONTHS
BASE NUMBER OF ENLISTED RECORDS TO REC. BONUS32 x ? = OFFICER RECORDS --MUST MEET MINIMUM DAILY STANDARD
TO RECEIVE BONUS

3. DETAIL:

64 x 55 = 3875

- 150

TOTAL = 3425

FOR ABOUT 3 DAYS OFF DURING 3 MONTHS
BASE NUMBER OF RECORDS TO RECEIVE BONUS

Source: Author.

American Federation of Government Employees (AFL-CIO)
Local 900
 9700 Page Blvd., St. Louis, MO 63132
 (314)423-2220 (314)538-3992

Andrey Wallace
 President

Leon Walter
 Vice-President

March 29, 1994

Memorandum For Record For Col. Buck

SUBJECT: Implementation of Production Incentive Bonus

1. This memorandum is sent in regards to a meeting held on March 28, 1994 with you and myself.
2. The President, Mr. Wallace, has been briefed on the meeting as well as read your memorandum dated March 28, 1994.
3. This Union concurs with your plan to implement a production incentive award. We also request that consideration is given to employees for unforeseen problems on a case by case basis.
4. We request to be present when you and/or your supervisors, inform the bargaining unit employees of the production incentive bonus. Should no valid concerns be raised, this Union believes the bargaining unit employees in your division will greatly benefit.



Mary Cooper
 Representative
 AFGE, Local 900

"We Accept the Challenge"

Rec'd. Pam King
 29 Mar 94
 1340 Ms.

Source: AFGE Local 900 memorandum to author, 1994.

30 March 1994

MEMORANDUM FOR ACCESSION CLERKS

SUBJECT: INCENTIVE BONUS PLAN

1. The attached was provided to and discussed with AFGE Local 900.
2. A few notes: The maximum bonus is \$750. Officers must work officer records every other week as scheduled. Enlisted branches must work 28 full accessions, as provided by the leads a week. During this period, the leads will work all quick accessions and walk-in customers. All other standards are in effect.
2. Local 900 has given concurrence but request consideration be given for "unforeseen problems" on a case by case basis.
3. Because there could be to many exceptions, I cannot do that. However, I will agree to one generic concession. IF the employee is out in an approved status for a total of 3 days, I will reduce the base amount of records to be accessioned by the amount already allowed (146, 57, 150 respectively) and authorize a \$300 bonus.
4. Since the entire purpose of the plan is to increase production and reduce the backlog, that cannot be accomplished if the employees are not present and working.
5. If you have any questions or comments, bring them to my and/or your bargaining unit representative immediately.

LTC BUCK

Source: Author.

18 April 1994

MEMORANDUM THRU Director, Personnel Records Management

FOR AFGE Local 900 ATTN: Mr. Wallace

SUBJECT: Change to conditions Production Incentive Bonus

1. This memorandum is of a meeting I had with Ms. Mary Cooper on today's date to discuss an informal meeting held with my employees last Friday 15 April 1994.

2. The meeting was to discuss the PR Directorate picnic. After the meeting, the employees of the Accession Branches brought a problem to my attention and asked for resolution. I told them I would listen to the problem and discuss but no implementation could take place without going through the Union. They understood.

2. The problem was "we don't have enough 'full' accessions to each work 28 one day a week." (This is currently only applicable to enlisted branches and not officer or the detailed personnel.) After some discussion it appears they would rather not work fulls next week and the week of May 9 (The PR picnic is 13 May.) In exchange for not working fulls (28 per day), they would work expeditious (55 per day). That would change the number of records required for the bonus to:

54 X 55 =	2970	
10 X 28 =	280	
TOTAL	= 3250	
	- 146	
TOTAL	= 3104	BASE NUMBER OF RECORDS FOR \$500
	- 146	
	2958	NUMBER FOR \$300

3. A second problem then came up "are we suppose to go to the picnic or work?" I told them go to the picnic. What about the 4 hours authorized to attend the picnic and its affect on production? I asked what they wanted and they wanted the required amount to be cut in half. I advised I would reduce to 30 the number of records required for that day (reduce by 25) if the union concurred. (They laughed.) If the union agrees, all total production numbers would be reduced by 25.

4. They then surfaced a third problem which is a concern over downtime with the computer. (The system was down for up to 4 hours for some people this week.) I advised we - and they - should keep track of this. I would not re-adjust on a daily/weekly basis but, around the middle of June, we would see if we needed to relook at the required production and make adjustments.

5. The original purpose of the meeting was to be briefed by the division POC on the directorate picnic 13 May. It ended up more than that. I have given tentative responses to my people. However, I am now requesting the union to review my responses and concur or make recommendations upon my initial guidance. Until you have had an opportunity to respond, I will hold implementation in abeyance except that the clerks are not working this week.

DAVID G. BUCK
LTC, EN
Chief, Accessions Division

Source: Author.

PERSONNEL**ACTIVITIES****Civilian Arrivals**

Vanessa E. Allen
Robert L. Barnard
Verna M. Brown
Janet M. Pearce
Lora D. Greene
Betsy L. Haynes
Donna L. Hill
Zerlynn G. Macklin
Debra A. Wills

Civilian Departures

Betsy A. Allen
Ernestine J. Bailey
Doris C. Brauks
Lisa M. Bridges

David B. Brooks
Daniel J. Curcuru
Ronald W. Dill
Franciaka M. Franklin
Mae E. Hampton
Aaron H. Haspiel
Donna H yson
Shillie R. Jolliff
Donald E. Koester
William E. Kumpe
Adrienne Y. Mitchell
Nickie N. Moton
Connie J. Rabel
Louis Randle
Carl O. Stratton

Bruce A. Sublette

Civilian Promotions

Catherine M. Brooks
Rose M. Brown
Jonell Y. Calloway
Jimmy Christenson
Rosemarie Dibley
Carmen E. Eagle
Paulette C. Feldman
Margaret A. Hahn
Lorice M. Harris
Regina L. Johnson
Jennifer R. Jones
Patricia A. Jones
Geraldine Letourneau

Diane E. Looser
Larry A. Oliver
Doris J. Phillips
Mavourneae J. Poole
Diane Raspberry
Geraldine K. Retherford
Kisacha M. Rice
Wanda L. Sams
Denise J. Steele
Delores A. Vogt
Connie A. Walker
Tyrone Watson
Beverly F. Whitlock
Jo Ann Wilson

TOM TALK**Employee tames an 800-page beast on own time**

Coping with constant change has become synonymous with living in the modern world. Learning new work methods challenges us and conflicts with our comfort zone of "that's the way we've always done it!"

The new Reserve Database Maintenance System (RDMS), alternately cheered and cursed by its users as they become familiar with it, represents a quantum leap in records maintenance technology and the improved service we will be able to provide our customers.

The employees of the Officer and Enlisted Accessions Branch, Accessions Division, Personnel Records Management Directorate, understood the great improvement RDMS represented. However, they were faced with the prospect of learning the system by using an 800-page coding manual.

Charles "Chuck" King, a military personnel clerk in the Officer Accessions Branch with more than

30 years of combined military and civilian experience in military personnel records, was determined to tame the beastly manual.

Using his PC at home on his own time (as much as two hours per night for one and a half months), King reduced and reorganized the coding manual to just nine pages.



Charles "Chuck" King

He produced a user guide for his office first and one for the Enlisted Accessions Branch.

King shared this new tool with his co-workers. "A lot of people develop shortcuts in their work but

never make an effort to share that information with anyone else," said Lt. Col. Dave Buck, Accessions Division Chief. "Chuck was willing and eager to help his coworkers."

As a retired Air Force veteran, King knows first hand how important an accurate record is to the soldier. He rejected suggestions that he submit his idea formally under the Ideas for Quality Program for a possible cash award. He says he feels that his user guide really belongs to the Army. Besides, King said, he doesn't feel like he did anything that wasn't his job anyway.

His supervisors and fellow employees disagree. King was selected to be ARPERCEN's Civilian Employee of the Quarter for first quarter and has been nominated for the St. Louis Federal Executive Board's Employee of the Year Award for his selfless devotion to duty and team contributions.

Program reduces accessions overflow

Gina Raymond

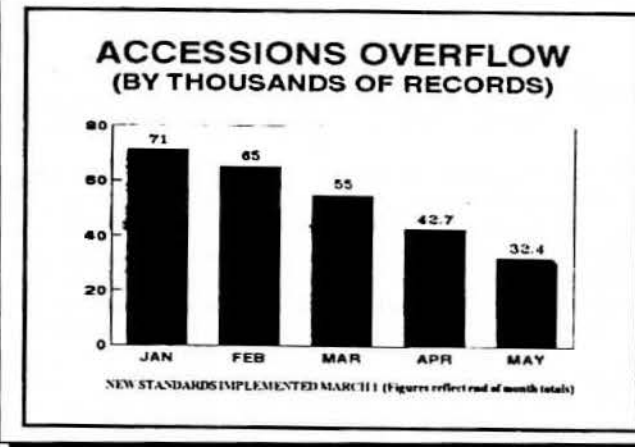
We all know how hard it is to change, to accept new ways, new jobs, and even new people. Even though changes may be for the best, we still don't embrace change readily. Sometimes we need a spark to motivate us.

Automation is one major change that, in spite of its obvious benefits, has encountered great resistance. The new Reserve Data Base Management System [RDMS] has enabled the accessions division, Personnel Records Management Directorate [PRMD] to convert from a manual to an automated process of accessioning new records. However, PRMD's management fostered this change by creating a profitable opportunity for employees.

A NEW HIGH of over 71,000 records required processing by January 1994. Accessions Division Chief Lt. Col. Dave Buck's clear marching orders were to reduce the excess overflow -without overtime! He knew that with the increased processing speed capability under RDMS, cutting the overflow down to size was possible, even with recent losses in personnel.

The advent of RDMS presented challenges for employees to learn new work processes, coding manuals and values. These issues posed obstacles for Buck in accomplishing his goal of reducing the overflow. He also knew that new performance standards would need to reflect the capability for an increased level of efficiency.

BUCK DECIDED on a bold and challenging two-edged approach. First, he formed a committee of knowledgeable employees to draft new standards that were challenging but achievable. With full cooperation and assistance of Mary Cooper, union steward for the local chapter of the American Federation



of Government Employees, the employee team drafted the new standards to take effect March 1.

According to Cooper, the key to success of this joint union/management/employee venture was the degree of up-front honesty and trust that was built with the employees and the union. "If there was a problem, Lt. Col. Buck would bring it to my attention even before the employees brought it to him. He is always fair," said Cooper.

THE REAL CATALYST for change, however, is an incentive program for high levels of production that began April 1. Under the incentive program, total productivity is what counts towards achieving award levels. Based upon their individual efforts, employees could earn up to \$750 as part of a group effort. Buck said he believes that all of the 26 eligible employees will be nominated for their effort.

This incentive system is short-term because Buck admits that his employees are pushing hard to reduce the overflows and said he feels that on a long-term basis, employees would burn themselves out. "The whole idea was to provide that spark to get employees used to this great new tool [RDMS]

available to them. Now that they are comfortable with it, there really isn't as much need for the incentive program."

THE ACCESSION DIVISION'S success has not gone unnoticed. Other divisions in the directorate, such as the personnel electronic records system and the personnel records divisions, are currently working on incentive programs to boost production and reduce overflows. Cooper said she has received several inquiries regarding the incentive program.

John Slazinik, Director of PRMD, has strongly advocated the incentive program. "These cash incentives improve the quality of the employees' lives while still accomplishing the mission. The work is being done in a normal workday without overtime. The employees are being compensated for high productivity instead of long hours," he said.

IT'S BEEN PROVEN that money alone does not motivate employees to excel. However, for these 26 employees of the accessions division, the incentive program has motivated them to embrace a change that has increased their productivity.

J U S T I F I C A T I O N

During the period 1 April through 30 June 1994, employees assigned and detailed to the Accessions Division, made significant contributions in reducing the balance of records on hand from 55,300 to 17,400. This is the lowest the balance has been in recent memory and almost 30,000 less than the lowest balance in FY93. This is also less than 2500 from commanders goal of having a 30 day balance on hand (previously thought to be 15,000) by the end of DEC 94. Accomplishment of this contribution was truly a group/team effort on the part of the entire Accessions Division.

The reduction of records on hand has a direct impact on the many missions assigned to the United States Army Reserve Personnel Center (ARPERCEN). While reducing the number of personnel records to be processed and stored in a searchable sequence, the reduction concurrently increases the number of soldiers on the automated database. The readiness posture of the United States increases when mobilization asset data is readily available during times of national crisis or emergency. Additionally, processing the personnel records and adding/updating the automated database also allows for more timely life cycle management of soldiers supported by ARPERCEN. Availability of data and records also impacts favorably on organizations outside of ARPERCEN ie. VA, DA and DOD organizations.

This contribution was completed with no overtime funds for the accessions clerks. In FY93 over \$130,000 was spent on overtime in the Accessions Division, most of it for screening and accessioning records, with less impact than accomplished during this period.

Additionally, in FY93:

- 1) More personnel were assigned to the division,
- 2) A 20+ soldier task force was detailed in for 5 months,
- 3) Approximately 20 personnel were internally detailed to assist accessioning records for periods of 30-120 days.

During this period, four people were detailed internally.

The above contribution was accomplished by two groups of personnel. The clerks that actually accessioned the records and, the support personnel that worked this increased production and reduced some of the distractions the accession clerks would normally have. One specific example, the Records Screening Section's productivity increased 70% during this period over the previous 2 quarters in FY94.

This Group Special Act award is based on tangible and intangible benefits of exceptional value with a general application. Based on the above, the results show a tremendous improvement to the quality and service provided to the customers of the Accessions Division who in turn serve the soldier and our Commander in Chief.

Recommended Group Special Act award total is \$25,300. This is to be distributed to 66 personnel involved in this project.

Source: Author.



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
U.S. ARMY RESERVE PERSONNEL CENTER
9700 PAGE BOULEVARD
ST. LOUIS, MISSOURI 63132 - 5200



ARPC-ZB

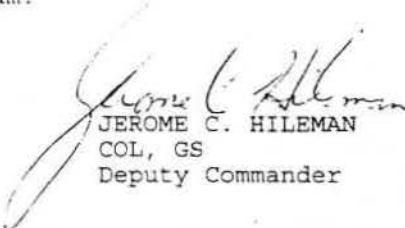
18 Oct 94

MEMORANDUM THRU Director, Personnel Records Management
Directorate, ATTN: ARPC-PR

FOR LTC David G. Buck, Chief, Accessions Division

SUBJECT: Memorandum of Congratulations

1. I extend to you my personal note of congratulations and appreciation for your superb accomplishments in reducing the backlog in the Accessions Division throughout fiscal year 1994.
2. Through aggressive and innovative management techniques, you developed a plan which successfully capitalized on individual initiative, team spirit, new automation technologies, and incentive programs to deliver superior results. By any measure, the results achieved by the Accessions Division in 1994 will long be remembered as one of the most significant success stories in ARPERCEN's history.
3. The rapid changes taking place in a downsizing Army, and diminishing resources each fiscal year cause managers at all levels to take extraordinary measures and get pro-active to meet the challenges we face. When you were faced with a backlog of records exceeding 70,000 last January I challenged you to get creative. You met that challenge and far exceeded my best expectations in reducing the backlog to an acceptable working balance.
4. I congratulate you on a job well done, and encourage you to share these sentiments with all personnel who played an active role in this remarkable success. I am proud to have professionals of your caliber on my team.


JEROME C. HILEMAN
COL, GS
Deputy Commander

Source: COL Jerome Hileman memorandum to author, October 1994.

INFORMATION PAPERARPC-PRA
19 December 1994

SUBJECT: Reducing the Excessive Balance of Records on Hand in the Accessions Division

1. ISSUE: To provide status of excessive balance of records on hand in the Accessions Division

2. FACTS:

a. On 1 October 1993, there were 20 Military Personnel Clerks on hand out of 30 authorized.

b. On 15 January 1994, the number of records on hand to be processed in the Accessions Division reached an all time high of 71,000. This was up 16,000 from the end of FY93.

c. No overtime money was authorized or available.

d. A military task force that worked 5 months during FY93, and that accessioned over 38,000 records, could not be used.

e. The balance of records on hand 1 July 1994 was 17,400.

3. DISCUSSION:

a. How did this occur? Because we had a great tool, proper employee training, and motivated employees.

b. On 1 November 1993, ARPERCEN implemented the Reserve database Maintenance System (RDMS). This tool allowed on-line data entry and capture. This replaced the manual capture of data on a paper form, and separate batch data entry function, used to add and update information in the personnel database. On-line data entry allowed for on-line data editing and correction. Six personnel were no longer required to do error correction and became Accession Clerks. Since the record could be reviewed on-line, approximately 6,000 records were not worked because their status had changed since their gain date to ARPERCEN.

c. When a final decision was made to implement RDMS on 1 November 1993, intensive training was made available to the Accessions Clerks. The training started in October and continued through implementation. Upon implementation, technical and functional help was on-site to aid with system and processing problems. This helped reduce stress and allowed the employees to gain confidence in the system and themselves. This allowed management to empower the employees, with Union concurrence, by creating their own team to develop performance standards.

ARPC-PRA

SUBJECT: Reducing the Excessive Balance of Records on Hand in the Accessions Division

d. Lastly, a unique incentive program was offered to the employees. In exchange for meeting certain productivity levels over a 90 day period, the employees would be given a bonus. For every 5 percent production over the base amount, an additional amount was given. This incentive was additional motivation to adapt and make the new tool work.

e. Results. Over \$100,000 in overtime funds were saved over FY93. Since this was truly a team effort on the part of the entire division, the number of employees nominated for an award was expanded from 26 to 66. The awards ranged from \$100-\$950 and totaled \$25,300.

f. As of 9 December 1994, the number of records to be accessioned was about 14,000.

(LTC David G. Buck/x3442)

Source: Author.

Be Receptive to Change



© 1993 Gary Anderson

"NO, OG, NO!... THAT'S NOT HOW WE'VE ALWAYS DONE IT."

Source: Gary Anderson cartoon, St. Louis Post Dispatch, 1993.

Works Cited

- Anderson, Gary. "Be Receptive to Change." St. Louis Post-Dispatch, 1993.
- ARPERCEN. Command Overview Briefing, 1993.
- ARPERCEN. Fact Sheet, 1993.
- ARPERCEN. Mobilization, Operations, and Training Directorate (MOTD) Briefing, 1992.
- ARPERCEN. Personnel Records Management Directorate (PRMD) Briefing, 1993.
- ARPERCEN. Desert Storm Desert Shield: A History, 1992.
- ARPERCEN. Organizational Chart, 1994.
- ARPERCEN. RDMS Briefing, April 1992.
- ARPERCEN. TAPDB Briefing, 1990.
- ARPERCEN Accessions Division. Standing Operating Procedures, July 1990.
- ARPERCEN Accessions Division. Monthly Productivity Reports, 1990-1994.
- ARPERCEN Accessions Division. Briefing, July 1990.
- ARPERCEN Accessions Division. Briefing, December 1990.
- Bain, D. The Productivity Prescription: The Manager's Guide to Improving Productivity and Profits. New York: McGraw Hill, 1982.
- Bartocci, B. "Corporate Passages: How the Company's Life Cycle Affects Your Career." Working Woman (August 1984): 88-89.
- Bartol, K.M., and Martin, D.C. Management. New York: McGraw-Hill, 1991.

- Bemowski, K. "A Pat on the Back is Worth a Thousand Words." Quality Progress March 1994: 51-54.
- Benveniste, G. Mastering the Politics of Planning. San Francisco: Jossey-Bass Publishers, 1989.
- Blake, R. R., and J. S. Mouton. Productivity: The Human Side. New York: AMACOM, 1981.
- Brown, D. "Ch-Ch-Ch-Change!? Using Economic Incentives." Management World November/December 1986: 24-25.
- Carder, B., and Clark, J. D. "The Theory and Practice of Employee Recognition." Quality Progress December 1992: 25-30.
- Cascio, W. F. Managing Human Resources: Productivity, Quality of Work Life, Profits. 2nd ed. New York: McGraw Hill, 1989.
- Conner, D. R. Managing at the Speed of Change: How Resilient Managers Succeed and Prosper Where Others Fail. New York: Villard Books, 1993.
- Department of Defense: Official Guard and Reserve Manpower Strengths and Statistics, FY94 Summary.
- Department of Defense Reserve Components of the US, 1995.
- Estrada, _ . "Transforming Workers into Learners to Meet Global Competition: Essential Training Principles." Supervision May 1994: 18-19.
- Goren, S. A. Productive Management: Inspiring People to Excel. Acton: Brick House Publishing Company, 1990.
- Griffin, R. W. Management. New York: Houghton Miffling Company, 1990.
- Hampton, D. R., C. E. Summer, and R. A. Webber. Organizational Behavior and the Practice of Management. 5th ed. Glenview: Scott, Foresman and Company, 1986.

- Hick, V. B. "What Works at Work: Kind Word from Boss 'It Makes You Want to go for the Gold.'" St. Louis Post-Dispatch, January 3, 1994: C1.
- Kelby, Arfella. Personal Interview, February 1993.
- Koontz, H., and H. Weihrich. Management. 9th ed. New York: McGraw Hill, 1985.
- Lewin, K. Field Theory in Social Science: Selected Theoretical Papers. New York: Harper Brothers, 1951.
- Marshall, R. Unheard Voices: Labor and Economic Policy in a Competitive World. New York: Basic Books, Inc., 1987.
- Poirier, C. C., and W. F. Houser. Business Partnering for Continuous Improvement: How to Forge Enduring Alliances Among Employees, Suppliers & Customers. San Francisco: Berrett-Koehler Publishers, 1993.
- Reischi, D. K., and R. R. Smith. The Supervisor's Guide to Federal Labor Relations. 2nd ed. Huntsville: FPMI Communications, Inc., 1993.
- Schuler, R. S. Personnel and Human Resource Management. 3rd ed. New York: West Publishing Company, 1987.
- Schwarzkopf, N. Address at Zig Zigler's "Success 1994" Seminar. St. Louis, Missouri, May 1994.
- Simpson, J. "Management by Objective by Appraisal Firms." Appraisal Journal July 1993: 380-385.
- Steiner, G. A., and John F. Steiner. Business, Government, and Society. New York: Random House Business Division, 1988.
- Vecchio, R. P. Organizational Behavior. Chicago: The Dryden Press, 1988.