

Title:Development of Self Directed Work Teams in ClackamasCounty Department of Utilities

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Abstract: Art Louie, Thomas A. Rak, Don Smith, Rini Tanoko, Ela Whelan, Wira Yuwana Clackamas County Department of Utilities (DOU) reorganized to flatten the hierarchical structure and develop Self-Directed Work Teams. Surveys and an interview were conducted to determine the level of success of this effort. The change process is meeting resistance. Some elements of change were analyzed, and four major causes were identified. The team recommend that DOU continue to implement the reengineering process.

Development of Self Directed Work Teams in Clackamas County Dept. of Utilities

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TEAM PROJECT: "Development of Self Directed Work Teams in Clackamas County Department of Utilities"

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Acknowledgment

The Self Directed Graduate Team would like to express our appreciation to Helene Lichtman, the Director for the Department of Utilities, for her assistance in preparing this project. Helene took several hours to meet with us to answer our questions and offered us any assistance we might need in acquiring additional information.

Executive Summary:

Clackamas County Department of Utilities (DOU), as part of their re-engineering effort, reorganized to flatten the hierarchical structure and develop Self-Directed Work Teams (SDWT). DOU is one year into the change process that is implementing the re-engineering effort. Surveys and an interview were conduct to determine the level of success of this effort. The data from those surveys and interviews suggest that the change process is meeting resistance.

The following elements of change were analyzed as potential causes for the difficulties : The method of change implementation, leadership role during the initial phase of the change process, validity of the objective (are SDWT the correct objective?), and the culture of DOU. The data from the surveys and interview were reviewed with a focus on each of the elements and a Cause to Effect Diagram was developed.

The authors identified four major causes for the difficulties being experienced at DOU as a result of the re-engineering effort. They are Leadership style, Human Resource Development, Change itself, and Employee morale. Once the causes were identified the authors considered five alternatives that would remove those causes as barriers to implementing SDWTs as part of the re-engineering effort.

It is the authors recommendation that DOU continue to implement the reengineering process as defined by Helene Lichtman. However, in doing so it is further recommended that a change manager be identified, a champion among the employees, and that the planned training be accelerated.

Project Scope: Use the seven step method [7] as a structured approach to develop Self-Directed Work Teams (SDWTs) at the Clackamas County Department of Utilities (DOU).

Step 1: The DOU was organized as shown in appendix A until December, 1992. Due to public perception and employee frustration, there was a need to implement quality management, specifically to improve customer service and to control cost increases. The Director responded to this need by re-engineering the DOU. Re-engineering involved flattening the management structure and implementing (SDWTs). Changes that have occurred in the DOU created difficulties for employees at all levels within the organization.

Step 2: The current situation is that the DOU Director has implemented a new organization (appendix B) and the department is a little over one year into the process of developing SDWT. Existing information from reports and surveys was collected to understand employee concerns about the changes. Additional information was gathered in the form of an interview with the Director and through research of literature on: SDWT, the Change Process and Total Quality Management.

Step 3: The following items were analyzed as potential causes for the difficulties being experienced in implementing the change to SDWTs:

- method of change implementation, are self directed work teams the correct tool?
- Leadership role and culture, and
- are these the intended effects?.

Step 4: The team synthesized the practical results of the organizational change at DOU with the more theoretical ideas on self directed work teams. This comparison was the basis for recommendations to improve upon unanticipated short comings originating from the DOU re-engineering.

Step 1: Define the Project

1. Define the Problem in terms of a gap between what is and what should be.

Clackamas County Department of Utilities (DOU), as part of their re-engineering effort, recently reorganized to flatten the hierarchical structure and to implement self-directed work teams (SDWT). The reorganization to flatten the structure occurred in December of 1992, approximately 6 months following the hiring of a new Director. While some readjusting of personnel is occurring (existing managers are stepping down to be replaced by new hires), the basic organizational restructuring is complete. The organizational structure is not expected to change according to an interview with the Director of the DOU (Director interview, see Appendix D). Implementation of SDWT throughout the department is still in process.

The new Director, the reorganization, and the implementation of SDWTs, have caused difficulties for many employees. The intent of the re-engineering was to improve process efficiency, however, the resistance among the employees to these changes has resulted in diverting energy to resisting the change rather than improving productivity.

2. Document why it is important to be working on this particular problem.

Specific complaints received from some of the external customers indicate a frustration with service received from the County. Customers are frustrated with costs and perceived lack of service. Evidence for this is available in the form of two recent ballot measures: Measure 5 which limited the imposition of taxes,

and, what is being called "Son of 5", a ballot measure requiring a public vote prior to allowing special service districts to raise fees.

Resources will continue to be limited for the foreseeable future. As the workload increases, without an equivalent increase in resources, the department must explore innovative solutions. The future of the department is dependent on the successful completion of the re-engineering effort and implementation of SDWTs. Continued inefficiencies will result in privatization of services and dissolution of the Department.

3. Determine what data you will use to measure progress.

The necessary data to determine progress as recommendations are implemented:

1. is customer satisfaction with the DOUs services improving?

2. is employee morale improving?

3. is internal communication improving?

4. is productivity improving?

This data can be acquired through customer surveys and employee surveys.

Step 2: Study The Current Situation

The current situation is the result of the re-organization to date. The process of implementing SDWTs is only one year into the three year implementation plan, see appendix E.

1. Collect the baseline data.

A survey was conducted, following the reorganization, by John Romero, a Lewis and Clark Graduate Student (employee survey, see Appendix C). Published on May 21, 1993, the employee survey indicated there were three major issues of concern by employees including:

- 1. Staff is not receiving enough information about the change process.
- 2. Staff needs more training to accomplish the change to work teams.
- 3. Staff does not trust management to be supportive during the change.

2. Develop flow charts of the process.

The implementation of change is the process being considered for this paper. The Gantt chart, in appendix E, shows the schedule for completing the reengineering. Staff training is the first stage of the process with implementation of SDWT starting with two units in January 1994. The first teams to implement the transition are scheduled for completion by the fourth quarter of 1994.

3. Identify the variables that might have a bearing as to the problem.

Sanders and Eskridge [12] identified several significant aspects of the change process. Some of these variables are:

- Motivation to Change
- Corporate Culture
- Planning
- Training
- Communication and Feedback

The motivation to change as recognized at the top management level is not shared by the other levels, as indicated in the employee survey. Although the Director identified some compelling reasons for change, the degree to which employees believe that change is necessary will influence their cooperation. At this point the baseline data shows that the staff is not convinced that the change was necessary. Although the need for change is a key factor in the implementation of the re-engineering objectives, at this time, additional justification will seem like rationalization on the part of management.

Corporate culture can be a key element in the successful implementation of change [12,14]. The corporate culture of DOU does not seem to be one that favors change, as can be seen from the difficulties it is presently experiencing. Because corporate culture is very slow to change; it is a lagging indicator of the success of the re-engineering process [12].

Planning is very important to change. The details of the change should be complete before the change is started [12]. Planning details include information about specific roles of staff, responsibilities, spans of control, reporting, and performance measures, to name a few. The planning that occurred prior to the implementation of the re-engineering is one variable affecting the success of the change.

Training is stressed as a requirement for change implementation and for SDWT [12,8]. The purpose of training is to prepare the employee to perform the new tasks that will be required during and after the change. Training of staff is a variable affecting the success of the re-engineering process.

Communication and feedback are vital to any change process. The type and quantity of two-way communications was evaluated as a variable affecting the success of the re-engineering effort.

Each of these variables is discussed in the next section to show why there is resistance to the SDWTs.

4. Design data collection instruments.

Data collection on the above variables is best accomplished by communication with the employees. This can be accomplished through indirect measurements of attitudes, surveys, productivity indices, and tests (performance, attitude, or personality tests), which all measure variables.

5. Collect the data

The collection of data for this project includes the employee survey, an interview with the Director, and a literature review on the subject. The data collected provides information on evaluating the motivation to change, planning for change, training for change, and communication of change.

The data does not adequately address corporate culture. Corporate culture data is very difficult to obtain. An approach described by Schwartz and Davis [13] is to ask managers to describe the survival rules as they would to a new member of the organization. Survival rules are informal rules of the organization indicating required procedures for processing work. These rules are synthesized into cultural norms for the organization. The scope of this project does not provide a good basis to benchmark the corporate culture; however, it is recommended that the culture is examined as part of the implementation planning process.

Measurement of planning can only be done by the planner, who in this case is the Director. She suggested that the plan did not allow for some of the problems encountered. The plan also was developed from the top down. There is a paradox in not including lower levels to participate in the development of a plan to give more authority and responsibility to lower levels. Dallavalle [5] says that involving employees in the early planning and implementation of internal changes produces better planned changes and more employee commitment to the change.

Training can be measured by asking the employees about their readiness to handle the additional responsibilities of the new organization. Self directed work teams should have facilitation and support for teams continuously during implementation [8].

Communications and feedback seem to be ongoing and inadequate at the same time. The employee survey indicated employees feel that there are too many meetings, however not enough information.

6. Determine additional information that would be helpful.

Customer surveys would focus on how successfully the department is meeting customer expectations. This additional information would be helpful in the analysis of the problem.

STEP 3: Analyze the Potential Causes

1. Determine the potential causes of the current conditions:

Using the data collected in the Director interview and the employee survey, and analyzing the variables identified in Step 2, the following conditions were identified that may have caused the existing lack of employee acceptance of SDWTs at DOU. The method used to identify these causes was the construction of a Cause to Effect Diagram, Figure 1, by the team members. SDG1 Project

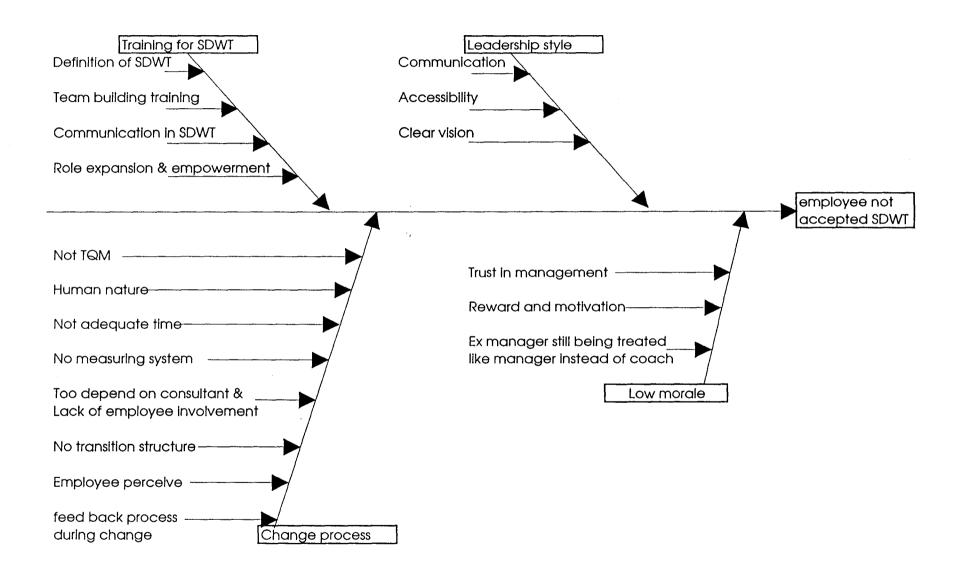


Figure 1

Cause and Effect Diagram

The team identified four major causes: Leadership style, insufficient Human Resource Development (Training), Change itself, and Employee Morale.

Leadership Style:

Leadership style was one of the major causes of the DOU employee's reluctance to accepting SDWTs, as indicated in the following three observations:

(1) The interview with Helene Lichtman and the employee survey document a less than adequate communication to the DOU employee's as to the need for the change to SDWT. In the employee survey only 12% of the employees interviewed believe the cause for the change was to improve operations at DOU. While the interview with Helene Lichtman does not clearly state the intended results which would justify the change, it appears from the data that the change was a management directive rather then an employee consensus.

(2) Helene Lichtman stated in the interview that during the last eight months, the initial phase of the change, she was quite "tied-up" with the County Executive Team, which limited her time and access with DOU employees. Helene's absence during the initial phase appears to have weakened the change process by creating a feeling of distrust among the DOU employees. In fact 62% of the employee's interviewed believe that the change is a management tool to accomplish a hidden agenda. Our research indicates that the Directors intentions were sound however those intentions were not effectively communicated to those individuals involved in the change.

(3) During the interview the Director repeatedly uses the term SDWT to explain the new organization and the means for improved performance at DOU.

Orsburn and Moran [11] defined SDWTs as "A group of employees who have day-to-day responsibility for managing themselves and the work they do with a minimum of direct supervision. Members of self directed teams typically handle job assignments, plan and schedule work, make production and/or service related decisions, and take action on problems". The definition of SDWT, at first, appears frightening, especially when viewed by middle managers who might be losing their authority. The name self directed work team can be misleading. Middle managers might think that it indicates an absence of middle management personnel, rather than a <u>change</u> in middle management role. The fear of losing authority or position can generate resistance to the adoption of SDWTs. However, the Director has indicated that the present organization structure will not change when SDWTs are implemented.

Human Resource Development (Training)

To change an existing system at work is rarely accepted when first introduced. The Director must provide a clear explanation of what the issues are, the reasons for implementing SDWT, and define specific goals for the organization. SDWT require a large amount of employee involvement. Intensive training is the key to implementation of SDWT. The two areas which require training are: •Technical skills; in order to be flexible in a team, and •Interpersonal skills; to ensure good communication The lack of training preceding the implementation is viewed as a potential cause of resistance to change among staff.

Change Process:

Many of the problems of resistance, skepticism, low morale, and low trust of management direction could be linked to the method used in implementing the

re-engineering of the DOU from a hierarchical organization to one structured along functional lines. The move to SDWT is being hampered because many employees may have not yet made the journey through the so-called "neutral zone" from the hierarchical organization to the new team organization. This psychological journey that individuals and thus organizations go through during a change process is called a "transition".

William Bridges in his two books "Transitions, Making Sense of Life's Changes" [3] and "Managing Transitions, Making the Most of Change" [4] points out that every individual goes through a three step process when going through a change. These three steps are the ending, the neutral zone, and the new beginning. Unless an individual can successfully complete this three step process the change will not be fully implemented. Therefore, it is management's responsibility to assure that the transition process is managed so that the change process does not become unmanageable for those people who are affected by the change.

The first step in the transition process to adopt change is the ending or the symbolic death of something before the renewal process can begin. According to William Bridges [3,4], an ending consists of four stages; disengagement, disidentification, disenchantment, and disorientation.

 Disengagement - The first step in an ending is to separate ourselves from the old cue system which served to reinforce our roles and to pattern our behavior. However, as long as the old system is working it is very difficult for any member of it to imagine an alternative way of life and an alternative identity. Therefore, it is extremely important for management to show that a change is necessary before any members of the organization will leave their

old ways of doing things to begin the renewal process. In other words, show that the person has died before any of the friends and relatives are willing to take part in the funeral.

- Disidentification In breaking free or disengaging from the old organization, a person loses their method of self-identity. The disidentification process is the inner side of the disengagement process. Where the old roles and titles were an important part of the person's identity, the impact of this loss can be greater than one can imagine in advance.
- Disenchantment when a person realizes that the old organization cannot fulfill its' intended purpose the person becomes disenchanted or they realize that some right things about the organization only existed in their minds and not in reality. Whether it is a minor disappointment or a major shock, disenchantment is a sign that a transition is coming. Without disenchantment, a person will continue in their previous expectations of their old organization and the movement to change is retarded.
- Disorientation After disengagement, disidentification, and disenchantment with the old organization comes the last stage of the ending and that is disorientation. Disorientation is the uncertainty of what lies ahead in the future after we let go of the familiar roles and identities of the old organization. It is this fear of the unknown that many times prevents the organization from moving through the transition process.

The second step in the transition process is the neutral zone. It is a time when people feel there is an emptiness or absence of the purpose, relatedness, or identity that their organization brought to them. Because of this lack of purpose, transition managers must lead the organization through the neutral zone experience as quickly as possible. It is similar to crossing a busy street. Once

you step off the curb, you must lead the organization to the other side as stopping in the middle only leads to certain doom. The transition manager should realize the neutral zone experience is an extremely creative time for the persons going through the change process. A wise manager will use this creativity in their personnel to help shape the vision and future of the organization, to establish new identities and roles in the future organization, and to develop new ways of doing things. The amount of time that persons in the organization stay in the neutral zone depends on the individual. Transition managers minimize the amount of time each person takes to cross the neutral zone.

The last step in the transition process is the launching of the new beginning. Only after the people in an organization have been through the ending process and a time of neutrality can they be ready to launch a successful new beginning. After the time of discovery and creativity in the neutral zone, the next step is to act and launch out with the change. The second step is to identify with the final results of the new change or the new beginning. The third step in launching a new beginning is to take things one step at a time and resist trying to achieve too much in a short period. The final step is to celebrate when the process of the new beginning is complete.

DOU has not completed the first stage of transition, described above as the ending. This impacts the ability of the change process to move forward.

Employee Morale:

Based on the employee survey we found that one of the major causes of resistance to change is low morale among the employees. Resistance to

change can be caused by lack of trust in management and lack of the appropriate reward for the employee. Organizational reward systems can only be truly effective if applied three dimensionally That is, the system must contain one or more components from each of three categories [9]:

- Individual monetary reward
- Group monetary reward
- Non-monetary reward

Criteria for rewards should be in proportion to the work accomplished, and should be available to all staff in the organization. Clear and specific criteria must be established for rewards, otherwise, the rewards will be regarded as "something for the apple polisher" [2]. The Director, in the Director interview, acknowledges the inadequate opportunities currently available in the public sector to reward employees based on performance.

It is advisable that the manager provide a strong influence in the beginning, to provide the necessary coaching for the development of a productive and efficient team. Thereafter, it is important to reduce the role of the coach gradually in order to enable the team to increase the self direction of the team. It is necessary for the team to walk through several stages with a coach prior to becoming fully self directed. Both the coach and the team must continuously work toward the goal of self direction for the team, as there will be stages of development in which team members and the coach are in confusion. Nevertheless, the role of coach as the decision maker must be reduced and the role of the team as decision makers must be extended [11].

Step 4: Implement a Solution

1. Develop a list of solutions to be considered.

The project team reviewed four organizational alternatives as potential future actions for DOU:

1) Return to traditional organization.

2) Continue the change process to develop work teams where the manager is a coach. Manager is responsible for change process.

3) Continue to develop self directed work teams, using the work team with a coach as a transition structure. Team is responsible for change process.4) Hire a consultant.

5.) Appoint a transition manager from within the Department.

- 2. Decide which solutions should be tried.
- 1). Returning to the pre-existing organization would not meet DOU goals and objectives. It may increase morale, but this is not guaranteed. Once change has occurred, some will benefit in each direction. There were dissatisfied staff before the change, there are dissatisfied staff during the change, and there would undoubtedly be dissatisfied staff if the changes were to revert to the old order. Returning to the preexisting organization is not acceptable because it does not promote continuous self improvement.
- 2.) Continue the change process to develop work teams, where the manager fills the role of a coach, puts all the responsibility and accountability on the manager. This process continues the top down approach that has occurred to date. The senior management team provides training and information on an as needed basis. Managers provide coaching for the team, and determine the schedule for the training process.

This process meets the departments needs to implement SDWT and implement quality management, but only allows the team to move as fast as the manager is able to absorb the information and pass it along. This option may stifle creativity while the implementation process occurs.

3.) Continue the change process to develop work teams where the manager fills the role of a coach during transition, but the team is in control for implementation toward SDWT. The team members dictate how fast training occurs and how soon they are ready to move forward with the implementation process.

This option has the advantage of increased employee participation. However, without careful planning, and an emphasis on accountability, this option can provide chaos, expectations which can't be met, and frustration with staff that are at different parts of the learning curve.

It is advisable that the manager provide a strong influence in the beginning, to provide the necessary coaching for the development of a productive and efficient team. Thereafter, it is important to reduce the role of the coach gradually in order to enable the team to increase the self direction of the team. It is necessary for the team to walk through several stages with a coach prior to becoming fully self directed. Both the coach and the team must continuously work toward the goal of self direction for the team, as there will be stages of development in which team members and the coach are in confusion. Nevertheless, the role of coach as the decision maker must be reduced and the role of the team as decision makers must be extended [11].

- 4.) Hiring of a consultant to assist with the change process provides a view of the organization which cannot be found within. As staff are going through changes, they are impacted themselves, and it is very difficult to provide impartial input into the change process. Consultants can provide information to team members and management to improve the implementation process. Training can be provided by the consultant or a program can be recommended by the consultant. Consultants can provide the role of a facilitator to guide the different units through the process of implementation of SDWTs. The biggest disadvantage to hiring consultants is the threat of becoming too dependent on the assistance. Too often, when the consultant leaves they take all the information with them, leaving an organization without the skills to proceed on their own.
- 5.) Appointing a transition manager from within the Department has the advantage of someone not only knowing the system, but also having an interest in seeing the process move forward. This transition manager can be someone newly hired to the Department or one of the managers of the two units that are currently receiving training on working as SDWTs. The transition manager would be responsible for implementing SDWTs throughout the Department. Building 'champions' among the employees has other advantages, including :
 - Reduction of resistance because the consultant is an 'outsider'.
 - Creation of better feedback to build a stronger work team.

2. Decide which solutions should be tried.

The recommended option is the fifth alternative, promote a transition manager from within the Department to provide direction through the change process. The first alternative is not an acceptable solution in the current business and political climate. The second alternative is currently being implemented and is resulting in confusion and frustration. While some of the units within the department are being trained to work as SDWTs, the remaining staff are in a holding pattern, unable to move forward or backward. The third alternative is unattractive due to the potential chaos involved. Once expectations are raised, and employees are unable to have those expectations met, the morale problems may cause the implementation process to flounder. The fourth alternative is rejected due to the lack of needed commitment by the consultant. Information leaves when the consultant contract terminates, and the Department reverts to previously established operations.

3. Determine how the preferred solution should be implemented.

The following elements need to be incorporated into the implementation process to get it back on track. The transition manager should include these elements into the change process:

A. Increased employee acceptance of change will result from constructive communication. "Behavioral research has shown, leadership capabilities include such cumulative abilities as developing relationship, encouraging participation, and maintaining openness with subordinates. [1]. This can be accomplished by defining the vision clearly. There must be at least one reason for change and the vital part of the purpose for change must be communicated [1]. Communication on implementation of the change must be communicated to staff through weekly meetings. Communication in both

directions is important in order to understand both staff needs and staff capabilities to change.

- B. Employee morale can be improved through the correct reward system. The reward system must be designed to reach the agreed upon goal. However, the reward system can not be fully evaluated by itself. It's effectiveness depends on how it is combined with other reward systems and an the culture in which they are implemented. To build a good team, it is advisable to pay for increasing knowledge and to pay for group improvements. These elements will improve employee morale.
- C. Working effectively in a team requires training. All staff will require internal and external training for development of a strong team.
- D. Trust between management and staff is needed to achieve success in an organization's change. Employees need to know that management supports them during the change. Employees should be encouraged to give feedback to management to improve the implementation process. A great deal of time should be spent with employees at this stage. Informal meetings, such as lunches, can be very effective [11].
- E. It is common for people in transition to experience fear and ambiguity. Many people resist change. To reduce resistance, it is important to communicate and to give employees a complete understanding of all available information about the purpose of change. It may take time for employees to accept the information personally and then to eliminate the resistance [10].

The transition manager should lead the organization through the ending process. Three models of the organizational change process are presented in appendix F. Each model follows the same basic steps, i.e. making an ending, a time of transformation or the neutral zone, and then making the new beginning. Perhaps the resistance and fear of change to SDWT at the DOU can be overcome by determining where the department is in the change process using one of the three models of organizational change as presented and developing strategies to help the organization through the next phases of the change.

Some practical steps that should be implemented in assisting the DOU in going through the ending are:

- Identify who's losing what.
- Accept the reality and importance of the subjective losses.
- Don't be surprised at "Overreaction".
- Acknowledge the losses openly and sympathetically.
- Expect and accept the signs of grieving.
- Compensate for the losses.
- Give people information and do it again and again.
- Define what is over and what isn't.
- Mark the endings.
- Treat the past with respect.
- Let people take a piece of the old way with them.
- Show how endings ensure continuity with what really matters.
- F. Use incremental changes rather than large changes. This may reduce the fear among the employees. With incremental changes, it is possible to implement the change process without recognizing that the organization is in the process of change until the objective is reached. This also is a method for the new changes to become part of the corporate culture.

G. Clearly define the measuring system using business indicators. Customer satisfaction is the best indicator for success. Define clearly who the customers are and what expectations they have.

Closing Comments

The DOU has an excellent opportunity to succeed in the effort to develop SDWT and become a quality organization. From the Director interview, the following are strengths of the Department:

- a good reputation with customers
- strong market position (lower rates)
- high level of support from Board of County Commissioners

The recommendations provided in this report are not expected to change the

path of the Department, but possibly to smooth the road for the staff and the

Director.

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