

AN ANALYTIC CASE STUDY OF THE FACILITATION  
PROCESS USED BY INDIVIDUALS FUNCTIONING AS  
FACILITATORS IN THE QUALITY IMPROVEMENT  
PROCESS IN THE INTERNAL REVENUE SERVICE

by

Joan E. Cassidy

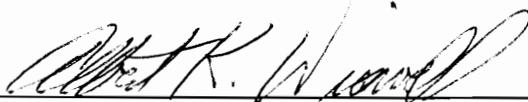
Dissertation submitted to the Faculty of the  
Virginia Polytechnic Institute and State University in  
partial fulfillment of the requirements for the degree of

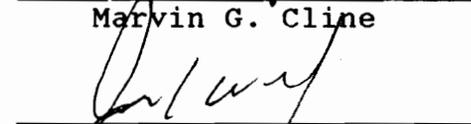
DOCTOR OF EDUCATION

in

Adult and Continuing Education

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November, 1990

Blacksburg, Virginia

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(ABSTRACT)

This dissertation consisted of a case study of the facilitation process utilized by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service. Eight individuals from a pool of fifty identified as "successful" facilitators by team leaders, team members, quality coordinators or other facilitators, were selected as study subjects. Results from administration of the Myers-Briggs Type Indicator and the Herrmann Brain Instruments were used as part of the selection criteria for the study participants.

The study sought to determine the competencies used by the facilitators and how the identified competencies contributed to the individual's performance in their role.

The results of the study demonstrated that facilitators engaged in 28 different activities. The types of activities and the frequency that facilitators engaged in them varied greatly.

A model is presented showing the interrelationship of the study conclusions that includes a set of activities that facilitators engage in to help move quality improvement teams towards their goal. Specific recommendations are made concerning implications for selection and training of QIT facilitators, and for future research.

## ACKNOWLEDGMENTS

Literally hundreds of individuals including family, friends, managers and supervisors, peers, professors and colleagues at the Internal Revenue Service provided me with both moral support and direct assistance to make the completion of this dissertation possible.

I would like to personally thank the members of my committee, Dr. Albert K. Wiswell, Dr. Marcie Boucouvalas, Dr. Marvin G. Cline, Dr. Ronald L. McKeen and Dr. James F. Wolf for their helpful suggestions, firm guidance and continuous encouragement. A special thanks goes to Dr. Wiswell who served as my chairman. He not only provided intellectual guidance throughout the process, but with infinite patience prodded, supported and otherwise exhorted me to the end.

To the Internal Revenue Service, I extend my gratitude for allowing me to conduct this research in the organization. A profound thanks to Judith R. Anderson, my immediate supervisor during the period in which I conducted the research, and Michael P. Dolan, the Assistant Commissioner for Human Resources Management and Support who created the opportunity for me to conduct the research. In addition, I would like to thank the hundreds of IRS employees who believed in what I was

doing and lent their support either through direct participation or through words of encouragement.

Finally, I am indebted to my family-- my mother and father, Ruth and Ben Lowe, and my children, Lori D. Rhoads and Brad C. Rhoads, each of whom earned undergraduate degrees during the time I was completing my studies. They never failed to provide me with the love, support and encouragement that I needed in order to succeed.

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## CHAPTER 1

The purpose of this chapter is to provide an introduction and background into the problem that was investigated. It discusses quality improvement efforts at the Internal Revenue Service and includes a brief description of IRS/NTEU quality improvement teams, training for team leaders and facilitators and roles of individuals involved in the quality improvement effort.

Subsequent sections discuss the problem, the focus of the study, a statement of the problem with specific research questions to be explored, and the significance of the study. The final sections discuss key definitions, assumptions, delimitations, limitations, and a summary.

In late 1985, the Internal Revenue Service (IRS) launched a new process that management thinks will have a major long-term impact on the way the IRS does business. It has been described by some as a "major cultural and management revolution" (Internal Revenue Service, Quality Improvement Facilitator/ Team Leader/Team Member Training Instructor Guide, 1987). Faced with an environment where significant technological, organizational, and

behavioral changes occur frequently, and the problematic 1985 tax filing season which led to a decrease in the public's confidence in the IRS' ability to administer the tax system, management began to investigate the need for improvements in the way they delivered products and services to taxpayers.

After reviewing the philosophies and approaches of several quality experts, namely, Deming, Crosby, Feigenbaum and Juran, IRS management decided to adopt those espoused by Dr. Joseph Juran, who along with Deming, made a significant contribution in helping Japan become known for high quality products during the postwar years following World War II.

To demonstrate their commitment and support to quality improvement in the IRS, executives and managers nationwide have been providing time, training and dollars. Former Commissioner Larry Gibbs summed it up in a statement in a memo dated August 27, 1986 as follows:

The Commissioner's Quality Council is working to facilitate this process. Months and years of hard work undoubtedly lie ahead, but we must be diligent in overcoming the obstacles we encounter and patient in realizing the enormous benefits that will accrue to us and the public. Quality Improvement can be a tremendous motivator for all IRS employees. I will give whatever effort I must to ensure its success and I ask the same from you. (Gibbs memo in Internal Revenue Service, Quality Improvement Facilitator/Team Leader/Team Member Training Instructor Guide, 1987).

In October of 1987, the National Employees Treasury Union (NTEU), joined the commitment to quality improvement by signing an agreement with the IRS making bargaining unit employees full partners in the Quality Improvement Process (QIP) (IRS/NTEU Collaborative Agreement, October, 1987).

#### The IRS/NTEU Quality Improvement Team

The heart of the IRS/NTEU Quality Improvement Process is the Quality Improvement Team (QIT). QITs are groups of people who come together regularly in order to identify opportunities or problems for systemic improvements (i.e., those that are broad or cross-functional in nature). In addition to regular meetings, team members may spend additional time on research and data gathering.

During Team Leader/Facilitator (TL/F) Training team leaders and facilitators are trained in a systematic eight step problem-solving process and a number of tools and techniques. The course covers a brief overview of Juran's quality concepts and is divided into three tracks: the problem-solving process, working with people in groups, and the roles facilitators and team leaders play in the project team process.

A number of problems concerning the training were uncovered as a result of a needs assessment (Cassidy, 1988). One problem concerned the length and content of the training. Some offices provided their team leaders and facilitators with as much as three weeks of training, while others provided as little as three days. Some team members received the same training as team leaders and facilitators, while others did not receive any at all. Finally, very little attention was given to the facilitator role. (This topic will be discussed further in subsequent sections.)

The original training was designed to educate managers and management officials in QIP principles and to enable them to serve as leaders, facilitators, or members of quality improvement project teams. However, as a result of the cooperative agreement mentioned above, it was later modified to include bargaining unit employees.

#### Quality Improvement Team Leader and Facilitator Roles

Each team has a designated team leader and a facilitator. The team leader and the facilitator are supposed to play an integral part in making things happen. At the time of this study, their roles were

similar in many respects. For example, they were both expected to act as catalysts, to serve as role models and to motivate teams to challenge traditional assumptions that were serving as barriers to getting things done. Because of this overlap, however, there was considerable confusion over who was to play what role and when. Theoretically, the roles were intended to differ in their focus.

For example, team leaders were supposed to concentrate most of their energy on what was happening with the task, or the content. In other words, they had the responsibility for planning and conducting meetings and leading the team through the problem-solving process. They were also supposed to work with the facilitator to apply the principles of group development and group dynamics to maintain team momentum.

Facilitators, on the other hand, were supposed to focus on group dynamics to ensure that the team worked together effectively. In other words, they were to pay attention to the group process and make interventions as appropriate. The facilitator was also supposed to teach the QIP and problem-solving techniques and coach team leaders and members before, during and after meetings. Other responsibilities included meeting with other

facilitators, managers, or the Quality Council (a group of senior managers and NTEU officials who develop policy and strategies for the QIP) to keep them informed of program activities and to promote the QIP.

### The Problem

In late November and early December 1987, the IRS conducted what later was known as the "Juran Review" (Juran, 1988). Sixteen randomly selected sites were surveyed to determine progress made in implementing the IRS/NTEU QIP.

Among other things, a perceived need for more training was identified. This researcher, who was part of that survey team, began to collect additional data from team leaders, facilitators and quality coordinators to verify these perceptions. A pattern evolved that suggested a need for additional training in a number of areas such as group dynamics, conflict resolution, data collection and statistical process control. However, even with the limited data, it was hypothesized that different groups (e.g., team leaders, facilitators, quality coordinators) might have different needs. The Juran Report also suggested that "a formal needs assessment of the perceived utility of the quality

improvement training should be conducted, and that modifications and/or additions to the training should be based on user (i.e., team leader, facilitator) requirements" (Juran, 1988).

Subsequently, in April 1988, a formal Needs Assessment (Cassidy) was mailed to approximately 1500 individuals who had been trained to be team leaders or facilitators. Over 900 individuals (approximately 62%) responded by the deadline. Findings from that study indicated that the greatest need for additional training was in group process (making interventions, team building, and making meetings work). Other identified needs included the technical aspects of the problem-solving process itself (e.g., designing survey instruments, drawing samples and statistical process control).

In addition, the data revealed the following:

1. A perception that the facilitator role was too "passive" and therefore undesirable;
2. A need for role clarification (i.e., the specific role of the facilitator versus the role of the team leader).

### Statement of the Problem

Based on the findings of the needs assessment, a decision was made to study the facilitation process utilized by individuals who were functioning as facilitators for the QIP in the IRS. The intent was to identify competencies which could be used to develop a "Successful Practices Model". This model could then serve as the basis for designing future training for facilitators in the Quality Improvement Process. The following research questions were explored:

1. What are the competencies used by individuals who are currently functioning as facilitators for the QIP in the IRS?
2. How do these identified competencies contribute to the individual's performance in their role?

### The Focus of the Study

Findings from the Juran Review (1988) and the Needs Assessment (1988) cited above provided the impetus for this study. The two studies identified perceptions of ineffective training or a need to provide additional training in areas related to group dynamics or group process. Both formal and informal data collection yielded results that called for role clarification,

particularly for facilitators. Overall, there did not appear to be a consensus on what a facilitator should or should not do.

It was reasoned that clarification of the facilitator's role, along with the specific tasks and activities performed during the act of facilitation was essential to the effectiveness of future training, and ultimately, quality improvement efforts in the IRS. Therefore, this study focused on the facilitation process which was being utilized by individuals who were identified as successful facilitators in the IRS.

#### Significance of the Study

Much has been written lately concerning the need for the United States to improve the quality of products and services that are delivered to the American public. The Federal bureaucracy, in particular, has been severely criticized for its red tape and its perceived inability to deliver timely and accurate services.

The IRS, like many other public and private sector organizations, has turned to quality improvement efforts in order to correct problems that prohibit the delivery of quality products and services to their customers. They have invested a considerable amount of time and

money to develop and train managers and employees in QIP practices and principles.

However, data from two separate internal studies (Juran, 1988; and Cassidy, 1988) indicated that existing materials utilized for training facilitators for their role(s) were inadequate. These materials were developed in the traditional IRS manner which means that materials were developed internally by a task force composed of IRS managers not necessarily trained in or well grounded in curriculum design or adult education practices and principles. Rather, some of the members of the task force attended quality improvement training at Florida Power and Light (FP&L). They then used the FP&L training as a basis for developing the IRS training. The end product had a strong orientation for the technical aspects of the problem-solving process while the group process or group dynamics concepts were inadequate.

Data collected from the Needs Assessment supported this claim. As a result, it was decided that new or revised materials were needed in order to improve the training of facilitators. An extensive literature review failed to identify any comprehensive empirical data that spoke to the notion of competencies or knowledge, skills and/or abilities needed by facilitators of QITs.

Therefore, it was reasoned that a systematic approach to the identification of the knowledge, skills or abilities that were utilized by successful facilitators was essential.

Limitations of existing materials for facilitators could in part, be attributed to the fact that there was no evidence of a systematic observation and research into what constitutes successful facilitation nor the types of activities that are engaged. This research effort attempted to fill that void by defining successful facilitation, by providing evidence of successful facilitation practices.

The case study approach was used because it provides a richness of data that would not have been available if other single methods such as surveys were used. Specific findings described in Chapter 4 provide a better understanding of the competencies demonstrated by facilitators for the QIP in the IRS. These findings will provide a much needed research base for those who are responsible for designing and delivering future training programs for QIP facilitators. Hopefully, this will increase the effectiveness of the training and, the QIP itself. It is expected that these data will be useful to other institutions in similar settings that are

implementing or about to implement quality improvement processes.

### Definitions

Competencies - Knowledge, skills and/or abilities utilized by an individual while performing a role.

Facilitation Process - The behaviors or activities performed by an individual, usually the facilitator, in order to assist a QIT as it moves through the problem-solving process; or, a Quality Council in its decision making process.

Facilitator - An individual who monitors the effectiveness of a QIT or a Quality Council as they work together. In particular, the facilitator concentrate on the group process, making interventions when appropriate; teaches the QIP concepts and the problem-solving tools and techniques to members; and, coaches the team leader and/or members before, during and after meetings.

Group Process Skills - Skills needed to focus on the interpersonal dynamics of the group; to be able to draw out ideas from others and to influence groups to accomplish tasks; and, to know when and how to make interventions.

Intervention - Any attempt to change or otherwise redirect the course of discussion or other activities in a group.

Quality Circles/Quality Control Circles/ Participative Work Improvement Circles - All are names given to a participative management technique that involves workers in the solving of work related problems. Typically, workers voluntarily come together, generally from the same work area, and meet on a regular basis to identify, analyze and solve problems they encounter in their work environment.

Quality Improvement Process - Focuses on identifying systemic problems or opportunities for improvement in existing processes and then uses a systematic problem-solving process in order to rectify problems or otherwise reduce the cost of poor quality.

Quality Improvement Teams - Differ to some extent from Quality Circles, at least in the IRS. In the early stages, individuals were selected (not volunteered) from management ranks only. After October 1987, the cooperative agreement entered into by management and the NTEU, expanded the process to include bargaining unit members. Quality Councils, consisting of management and NTEU representatives, generally select team members and

assign problems to teams that are systemic in nature, i.e., they are broad issues that are usually cross-functional. Teams meet together, and use a systematic eight step problem-solving process in order to identify and resolve the root causes to problems.

Quality Improvement Team Leader/Facilitator/Team Member Training (TL/F Training) - An internally developed training course for individuals who are to participate on Quality Improvement Teams, designed to last for approximately eight days. It covers a brief overview of Juran's theory on quality and is divided into three tracks: the problem-solving process, working with people in groups, and the roles facilitators and team leaders play in the project team process.

Team Leader - An individual who has the responsibility for leading the team through the problem-solving process, including planning and conducting meetings and teaching quality improvement techniques to team members. Their main focus is on what is happening with the task, or the content, in contrast to the facilitator who focuses on the process.

### Delimitations

This study focused on the facilitation process that was utilized by individuals who were identified as successful carriers of the process. This approach was based on earlier research conducted by Boyatzis (1982) and Klemp (1977, 1978, 1979 & 1980).

The setting of the IRS was chosen because the researcher was an internal quality consultant for the IRS with responsibility for, among other things, developing/ revising quality improvement training materials, and for providing consulting services to the organization on quality improvement matters. This allowed for a high degree of cooperation during the course of the study.

Finally, a public sector organization in the Federal government was chosen because most of the current research on quality improvement efforts has been conducted in private sector manufacturing organizations. Research needs to be conducted in the public sector, particularly in Federal agencies.

### Limitations

Yin (1987) discusses concerns and limitations of case study research with regard to validity, reliability and generalizability. For example, he says that one of the greatest concerns in case study research has been over the lack of rigor. Other concerns center around the lack of generalizability and the fact that case studies take too long and result in massive, unreadable documents. During the course of this study, every attempt was made to compensate for these purported shortcomings.

For example, validity and reliability of findings has been enhanced by the use of a variety of data collection techniques. A number of existing documents which included reports, training materials, minutes of QIP meetings and other related materials were analyzed. In addition, direct observations were made and interviews were conducted with a variety of individuals. Triangulation of data from multiple sources was utilized in order to compensate for potential interviewee bias.

Both the Myers Briggs Type Indicator (MBTI) and the Herrmann Brain Dominance Instrument (HBDI) were administered in order to provide a basis for selecting cases that represented a diversity of personality

preferences that might be associated with facilitation.

This researcher's role as a quality consultant in the IRS could have led to the formation of preconceived notions resulting in information bias. In order to guard against purposely selecting data to prove a hypothesis, every effort was made to seek alternative hypotheses which may have explained observations emerging from the data. Conversely, it should be noted, that this role afforded the opportunity to have a better understanding of the organization.

The notion of generalizability is more difficult to address for case study research. Case studies are alleged to provide little basis for scientific generalization. Yin (1987), and Guba & Lincoln (1981) discussed the issue and concluded that the answer is not simple. However, Yin provides an alternative that suggests one must view the situation somewhat differently. For example, he says that with regard to experimental research, scientific facts are rarely based on single experiments. Instead, they have been based on multiple experiments which have replicated the same phenomenon under different conditions. Yin then goes on to say that the same approach can be used with multiple

case studies if care is taken to use the appropriate research design (1987).

In brief, Yin says that case studies, like experiments, are generalizable to theoretical propositions and not to populations or universes. In other words, during a case study the investigator's goal is to expand and generalize theories (analytic generalization), not to enumerate frequencies (statistical generalization) (1987, p. 21). This study was exploratory in nature, its goal being to develop a theoretical model which could then be tested and explored further.

#### Summary

This Chapter provided a brief introduction and background of the problem that was investigated. It discussed the QIP in the IRS along with a rationale for the focus of the study. This was followed by a statement of the problem, research questions and the significance of the study. The final sections dealt with definitions, assumptions, delimitations and limitations.

Chapter 2 discusses research that supports the focus of the study. Chapter 3 explains and describes the research methods used to answer the research questions

posed by the study. It includes the research design, the focus of the study, data collection and analysis procedures, and a summary.

Chapter 4 contains the findings organized around the study questions and a final cross case analysis.

Chapter 5 contains conclusions, recommendations and a final summary.

## CHAPTER 2

### REVIEW OF THE LITERATURE

This chapter documents and supports the purpose of the present study. It discusses research that is relevant to the study's questions and attempts to identify gaps in previous research that warrant the need for the current study.

The review begins with an introduction and describes a conceptual model that was developed to link the three components of the literature review together. The review covers a discussion of the relevant literature on the study of groups and group dynamics; a brief history of Quality Circles and barriers to successful implementation of a quality improvement process; and, the notion of competence and competency models. The chapter concludes with a brief summary.

#### Introduction

McGrath (1984) says that "what we know about any given problem at any given time is very much constrained by at least three features of the context within which that problem is studied" (p. 20).

He goes on to describe these three features as follows:

1. History. What have we already learned in the past about the problem? How have the results been interpreted?

2. Theory. How was the problem conceptualized? What patterns of relations were assumed or hypothesized? Which aspects of the problem are causes, and which are consequences?

3. Method. How was the evidence assembled, integrated and interpreted?

Recognizing the validity of McGrath's concerns, this researcher made every effort to address them. For example, this chapter describes the results of an extensive literature review (history). Several theoretical propositions were formulated to guide the inquiry (theory), and the case study method was chosen because it was deemed the most appropriate for the types of questions for which answers were sought.

Elsewhere, McGrath suggests the use of a conceptual model for the study of groups, or for that matter, anything else. He says that:

The point of such a model is to lay out the underlying logic of the problem in a way that can serve as a guiding framework for exploring the problem in its various aspects. For a complex

problem, you cannot study everything at once, you cannot think of everything at the same time. This kind of model lets us take the total problem apart so we can think about and examine evidence about a manageable chunk of it, and then be able to fit the parts back together again. Furthermore, such a framework tells us what batches of things to look at--what sets of variables are likely to be important--and at the same time offers a logic of deciding what sets of relations among these variables are likely to be important to consider (p. 12).

For the purposes of this study, it was deemed appropriate to use such a model. Rather than resort to reductionism by isolating one variable, this study investigated a number of variables, beginning with the historical underpinnings of small group research, followed by group dynamics, the quality movement, and finally, the notion of competence and competencies.

Figure 1 depicts how early research on groups laid the foundation for much of the research that followed during the group dynamics movement. Group dynamics research laid the foundation for the development of Quality Circles and their derivatives. Inherent in quality circles is the need for team building and participative problem-solving, both of which have implications for both task and maintenance functions which are discussed in a subsequent section.

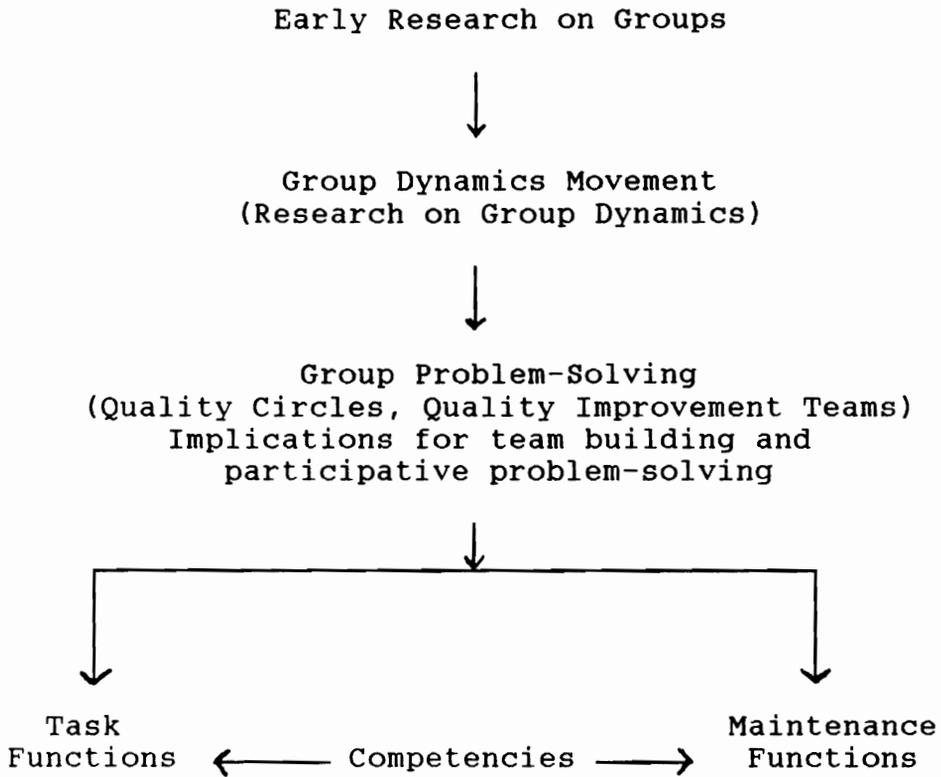


Figure 1.  
Conceptual Model Identifying  
Interrelationship of Topics Under Study

Central to this study was the identification of competencies used by individuals who function as facilitators for Quality Improvement Teams and/or Quality Councils in the IRS.

#### Group Study and Group Dynamics

Hoffman states that the contrived laboratory group often used to illustrate group problem-solving is ineffective in dealing with real-life issues in modern complex organizations. He goes on to say that organizational group problem-solving needs to consider the ambience of intraorganizational life with the corresponding interdependence of technical and functional specialists (1979). More and more researchers are beginning to recognize and accept the fact that multiple factors are involved when trying to analyze how groups function.

This research study in particular has grappled with concepts such as group process or group dynamics, group problem-solving, and the notion of competency in order to study a real-life phenomenon, the "facilitation process" as used by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the

Internal Revenue Service. Following is a discussion of the literature related to the aforementioned concepts.

### Groups

Man has utilized groups to accomplish multiple purposes since the beginning of time, first in the family, then the clan, the tribe, the guild, and finally, the community and the state. In the early stages, man first learned by trial and error how to select leaders, assign work, and make decisions. Over time, he learned to identify and sort out those things that worked better than others. Yet, until recently, attention was directed at control rather than cooperation. Knowles & Knowles (1972), provide a rationale for this phenomenon. They say, "It is natural that in an era of struggle against natural and human enemies the major concern was with assuring disciplined subservience to leadership rather than with improving the ability of group members to work together creatively and cooperatively" (p. 16).

The scope of this paper does not allow for a thorough treatment of this disparate topic; however, a brief summary of its evolution is relevant and will provide a better understanding of the focus of this research.

### A Brief History of the Study of Groups

In ancient times, early Greek and Chinese philosophers concerned themselves with broad aspects of social organization and the behavior of large masses of individuals. Beginning in the late seventeenth century and continuing for the next 200 years, the foundation was laid for the revolution against both the personal and political tyranny that engulfed Europe and America. Noted Europeans such as Hobbes, Locke, Hume, Mill, Smith, Montesquieu and Rousseau joined Madison, Paine, Jefferson and the Adamses (John and Samuel) in this quest (Knowles, M. & Knowles, H., 1972).

The formal study of groups began in the late 19th and early 20th centuries. Early sociologists such as Comte, Spencer, Durkheim, Tarde, and, Lebon were philosophically oriented and were concerned with the pathological nature of crowds, mobs and mass movements, and the fundamental origins of man's social nature (Knowles & Knowles, 1972; Patton, 1973).

Most of these early studies laid the groundwork for the field of social psychology and other group work. They tended to be theory oriented and influenced by Comte's notions of logical positivism (i.e., an emphasis

on collection and interpretation of empirical data based on experiment and direct observation).

Researchers such as Simmel (1950), Cooley (1902) Mead (1934) and, Ross (1908) were concerned with social interaction and the complexities of relationships in small two and three person groups. Hare, Borgatta, and Bales (1955) summarized this early research and pointed out that social control of behavior was the most dominant theme of the early experimental research.

During the 1920's, social psychologists and group researchers borrowed the paradigms and methodologies of the physical scientists when they attempted to bring social and personal problems to the laboratory. For example, F. H. Allport (1920) studied "social facilitation" in controlled laboratory experiments. He chronicled the effects on individual task performance that arose from the presence of other people. And, Eduard Lindeman, in challenging the more speculative nature of previous research, suggested an empirical method for the study of functional groups (Knowles & Knowles, 1972). The reader is directed to Benne and Levit (1953) for a comprehensive review of other research conducted in the 1920's.

As in previous times, the social climate of the 1930's had a major impact on research. While still strongly empirically based, researchers moved beyond the laboratory and began to grapple with problems in real-life settings such as mass movements, lynchings, prejudice, gangs, and delinquency.

The most noteworthy development in research during the 30's can be attributed to Kurt Lewin under whom the group dynamics movement began. Lewin (1948, 1951, 1953) is recognized as the father of the "field theory of group behavior." In 1935, he began conducting research with a group of graduate students at the University of Iowa's Child Welfare Research Station. In the mid-forties, the group moved to the Massachusetts Institute of Technology where they formed the Research Center for Group Dynamics. A year after Lewin's death, the Center was re-established, this time at the University of Michigan.

In England, the Tavistock institute developed its own theory and practice of group and organizational behavior. Trist, Bamforth, Rice, Emery and others proposed an integration of social-psychological issues with technical ones and hence laid the foundation for what has come to be known as the "Sociotechnical System Approach" (Luft, 1984, p. 167).

A central tenet of this approach was the recognition that the primary work group was crucial to the system. Supporters reasoned that "organizations can avoid much of the conflict between productive efficiency and alienated workers by examining the various possible work arrangements for given tools and machinery" and "since a sociotechnical system includes people as well as tools it is appropriate to ask how well it utilizes tools and how well it utilizes the abilities of people and meets their needs." (Katz & Kahn, 1978, p. 277).

Conditions created by World War II spawned an increase in group research. During this period, even though valid and reliable theory remained sparse, the field of small groups was accepted as a legitimate area of study. Extensive methodological improvements were made, some of which included new and refined methods to measure interpersonal feelings and methods to construct experimental groups with different compositions. Vast quantities of empirical knowledge accumulated for a number of areas such as leadership, communications, and attitude change in groups. (Patton, p. 4).

Hare (1962), in one attempt to identify studies of small groups from 1890 to 1958, found that from 1890 to 1899, only one study was published about every two years.

Between 1940 and 1944, the figure rose to approximately 31 studies per year, and by 1953 publication was up to 152 per year. Another study indicates that 3,137 studies were published in 1965 and in 1969, that figure rose to 5,156 (Knowles and Knowles, 1972).

Today, while there are literally thousands of research studies published every year, Goodstein and Dovico (1979) claim that there was a slow and steady decline in the percentage of small group theory and research articles that were published in the Journal of Applied Behavioral Science in the fourteen years prior to 1979. They claim that this was the result of a gradually evolving editorial policy and a number of methodological shortcomings of small group contributions which they purport were too doctrinaire, and in which researchers too readily arrived at generalizations from single cases while simultaneously ignoring idiosyncratic behavior.

The scope of this discussion does not permit for an exhaustive literature review. The intent here is to establish the relevance of small group research to the focus of this study. For this purpose, this researcher used Knowles & Knowles (1972) synthesis of the small group research identified below. Those interested in pursuing the topic further, are referred to the following

researchers who have conducted exhaustive summaries of research on small groups: Bormann, 1975; Cartwright & Zander, 1968; Collins and Guetzkow, 1964; McGrath & Altman, 1966; Cragan and Wright, 1980; and, Shaw, 1981.

Knowles & Knowles (1972) identified seven major approaches to the study of groups that began to evolve circa World War II. These approaches are the field theory approach, the factor analytic approach, the formal organization approach, the sociometric approach, the interaction analysis approach, the psychoanalytic approach, and the social group work approach. Each of these approaches made significant contributions to the field of group study.

#### The Field Theory Approach

As mentioned previously, this approach, pioneered by Kurt Lewin, has had a lasting impact on the field. According to McGrath (1984), Lewin balanced a blend of theory and the use of experimental methodology in the application of socially significant problems such as frustration, leadership styles and attitude changes, that has not been duplicated since. He tested theoretically relevant hypotheses under experimental conditions using simple procedures and was successful in linking group

theory and real world problems and experimentation. Typically, Lewin would create different groups with known characteristics and observe their operation.

#### The Factor Analytic Approach

Raymond Cattell and his associates at the University of Illinois originated this approach which seeks to determine the major dimensions of groups by identifying their elements. According to Cattell (1951),

One would measure a large number of groups on a large number of attributes and determine a decidedly more limited number of independent dimensions by which any particular group in a given population of groups could be most economically and functionally defined. (p. 163)

Cattell used the term syntality to describe the personality of the group. He was especially concerned with such things as energy, ability and leadership (Knowles & Knowles, 1972).

#### The Formal Organization Approach

C. L. Shartle and his colleagues at Ohio State University were concerned with developing a conceptual understanding of organizations and the nature of leadership in formal organizations. Techniques focused on observations of organizational systems interactions

along with detailed descriptions of the formal organizational structure of the systems. This research paved the way for literally hundreds of future studies regarding the nature of leadership and organizational development (Knowles & Knowles, 1972).

#### The Sociometric Approach

Moreno and Jennings developed this approach which focuses on the social aspects of groups. The sociometric test was designed to elicit data from group members concerning such things as who from among the group they would choose to be friends, partners, or teammates in similar situations. Hence the psychological structure of groups could be developed from the data obtained from the test (Knowles & Knowles, 1972).

#### The Interaction Analysis Approach

Robert F. Bales (1958, 1953) and his colleagues at the Harvard University Social Relations Laboratory are noted for their seminal studies of groups in action. They developed a standardized procedure and used elaborate devices in order to classify the interaction among groups. Groups were set up in laboratory rooms with one way mirrors and observed during different phases

of meetings. Careful records were kept on which individuals assumed what roles and the impact their actions had on the group. In this research, attention was shifted from the group's effect on its members to the effects of certain variables upon the effectiveness of the group. For example, Bales was particularly interested in such variables as leadership styles, member personalities and group size (Patton, p. 4).

#### The Psychoanalytic Approach

This method focuses on emotional and usually unconscious elements of the group process and their effects on personality growth. Freud, a major contributor to this approach, analyzed case records to glean information relative to the emotional aspects of group leadership and the formation as opposed to the organization of family members for conscious work.

#### The Social Work Group Approach

In this approach, narrative records of group workers are analyzed and generalizations are extracted from case histories. Follett, a leading researcher of the times, diagnosed human problems in political, social-welfare and industrial settings and focused on the quality, character

and conditions of participation in group process (Knowles and Knowles, 1972). One of the first to focus on the notion of leadership according to function as opposed to personality or position, she exerted a lasting influence on the study and practice of group methods. However, since social workers have been more interested in practice than research, there have not been a large number of validated studies that utilize this approach.

Bednar and Kaul (1979) assert that while small group research has been prolific, there has been very little of a practical nature that can be used by either the practitioner or the conceptualizer. They go on to say that the practitioner is usually not very good when it comes to research and the conceptualizer knows very little about how groups operate. They recommend that the two parties need to direct their attention to the immediate problem of determining what is unique about the group and what the impact is on individual behavior.

### Group Dynamics

Knowles and Knowles (1972) describe group dynamics as the "complex forces that are acting upon every group throughout its existence which cause it to behave the way it does" (p. 14). Lewin (1951), said:

In the field of group dynamics, more than in any other psychological field, are theory and practice linked methodologically in a way which, if properly handled, could provide answers to theoretical problems and at the same time strengthen that rational approach to our practical social problems which is one of the basic requirements of their solution (p. 169).

Over time, group dynamics or group process has come to mean many things to many individuals. Each researcher has formulated his or her own theory while focusing on different aspects of the concept. Following is a brief discussion of the most relevant to this study.

Barnard (1938) analyzed the leadership duties of executives and suggested that two dimensions must be considered: achievement (performance of the task) and efficiency (keeping the members satisfied).

Task accomplishment functions have been classified as helping to set and clarify goals, focusing on information needed, drawing upon available resources, stimulating research, maintaining orderly operating procedures, introducing suggestions when needed, establishing a risk taking environment, evaluating ideas, attending to the task, maintaining a schedule, checking for consensus, and enabling the group to determine and evaluate its progress.

Group maintenance functions include encouraging participation by everyone in the group, keeping everyone in a friendly mood, responding appropriately to the emotional concerns of group members, promoting open communication, listening attentively to all contributions, encouraging with positive feedback, showing enthusiasm, and good humor, promoting pride in the group, judging accurately the changing moods of the group and providing productive outlets for tensions (Patton, p. 68).

Bales (1953) noted that frequently in leaderless groups, the two functions are assumed by different individuals. For example, he suggests that a "task specialist", is one seen as having the best ideas and therefore plays an aggressive role in moving the group towards a solution to the problem. However, he goes on to say that this person may incur hostility in the process. When this occurs, a "maintenance specialist" who is generally well liked, will tend to the socioemotional problems of the group and assist in preserving its unity (Thibaut and Kelly, 1959).

Robert F. Bales (1950), mentioned above, is recognized as the leader in devising methods for analyzing a group's patterns of role behaviors. In this

sense "role" has come to mean a set of expectations shared by group members concerning the behavior of a person who occupies a given position in the group. (Gross, Mason & McEachern, 1958; Levinson, 1959; and, Hare, 1962).

Studies conducted by Bales and Slater (1955) supported the notion that individuals are generally recognized for high task competence, or for effectiveness in dealing with people. Sometimes one individual may be recognized for having both, but usually this is not the case.

Bales and his associates developed a set of categories designed to give a systematic classification of all acts of group participation. The original model was comprised of three areas: 1) a positive social-emotional area (shows solidarity, raises other's status, gives help, reward; shows tension release, jokes, laughs, shows satisfaction; agrees, shows passive acceptance, understands, concurs, complies; gives suggestion, direction, implying autonomy for others); 2) a neutral task area (gives opinion, evaluation, analysis, expresses feeling, wishes; gives orientation, information, repeats, clarifies, confirms; asks for orientation, information, repetition, confirmation; asks for opinion, evaluation,

analysis, expression of feeling; asks for suggestion, direction, possible ways of action); and, 3) a negative social-emotional area (disagrees, shows passive rejection, formality, withholds help; shows tension, asks for help, withdraws out of field; shows antagonism, deflates other's status, defends or asserts self. Since the original model was developed, Bales model has been used in thousands of studies (Bales and Hare, 1965).

Luft (1984), says that role should not be confused with personality. Role, he maintains, is imposed by the context, by the person, or by others. Personality, on the other hand expresses itself from within. The degree of match between the role and personality can be expressed as on a continuum:

Totally----->Partially----->Completely

Role conflict often arises when there is a discrepancy between what is expected (i.e., the role) and one's natural preferences (personality). If there is a significant mismatch, it would not be uncommon for tension, withdrawal, or anger to arise in the individual or the group. In the case of the individual, the result would be a poor job in carrying out the assigned role; in

terms of the group, an inability to complete the assigned task.

Luft continues his discussion by asking one to consider the plight of the group member who is assigned an unwanted role. When this happens, he says that it is quite possible for the group to make the member a scapegoat. Frequently, the individual would be unable to acknowledge the difficulty, especially if there was the perception that it would be dangerous to do so. He suggests that communication is one way of overcoming this problem.

Finally, Luft describes what he calls functional roles of team members. He says that terms such as initiators, opinion or information givers and seekers, evaluators, and recorders are used to describe the behavior of group members concerned with the work of the group. Group building and group maintenance or the social-emotional activities, are described by another set of roles (p. 21).

In summary, he provides an extensive review of the following aspects of group processes: the group mind; focal conflict; interconnection; process and content; Bion's process: fight/flight, paring, dependency; dependence/independence/ interdependence; group structure

and norms; personalities of the members setting the environment; change of structure; cohesiveness; ritual and tradition; social structure and the self; group roles; assignment by covert collusion; group membership: a process in motion; group size; role playing as a tool; conflict; morale; trust and implicit confidentiality; self regard and group evaluation; tension, motivation and learning; listening; rumor, humor and the unknown in group life.

Hollander (1978) maintains that the attainment of task success is tied to group maintenance. He says that in order for groups to be engaged effectively in seeking common goals, there needs to be a sense of "cohesiveness," "unity," or "solidarity" (pp. 88-89). This is primarily achieved through group maintenance activities.

Patton (1973) asserts that every group needs both task and maintenance types of activities to accomplish its problem-solving mission, and that an individual is likely to play one role or another, depending on the requirements of the group. He goes on to say that an effective group will have someone get things started, give direction to the discussion, help keep things on track, and urge the group toward some agreement. The

functions will be either carried out by the group leader or other members of the group.

Gardner (1974) identifies seven task functions as: elaborating, seeking information or opinions, giving information or opinion, evaluating, coordinating, and consensus testing.

He describes maintenance activities as those needed in order to keep the group in good working order, to have a good climate for task work, and to have good relationships that permit maximal use of member resources. These activities include: harmonizing, gate keeping, encouraging, compromising, standard setting and testing, and relieving tension.

Gardner claims that due to 35 years of scrutiny, we have come to know a great deal about group forces and group process. He says that while each group is unique and influenced by a multitude of both observable and hidden variables, much that goes on in groups is indeed predictable, that certain processes will occur during the span of the group's life. He then suggests that there are a number of dimensions of the the group process which help us to understand the forces that work in groups. These are: structural dimensions, stages of development and behavior modes (pp. 33-57).

Burton (1982), in discussing his conceptual model that integrates four aspects of group process, also summarizes Levine's (1979) notion of three schools of thought in relation to what Levine has identified as "group dynamics in therapy groups." As expected, the model draws heavily from the literature in psychotherapy and represents different approaches to the study of group development. Following are the major components of the model:

1. Interpersonal-relations needs (Schutz, 1966).
2. Group development stages (Caple, 1978 and Yalom, 1975).
3. Eight selected group dynamics (motivational processes, norm formation, leadership issues, conflict, power issues, cohesiveness, self-disclosure, and feedback).
4. Twelve curative/growth factors (Yalom, 1975) (instillation of hope, universality, imparting of information, imitative behavior, interpersonal learning, altruism, family recapitulation, catharsis, cohesiveness, socializing techniques, corrective experience and existential factors).

Mink, Mink, and Owen (1987) assert that group literature tends to focus on process and interpersonal

relationships with process. Topics consist of such things as cohesiveness, conflict, high and low communication rates, and group maintenance. Whereas, other topics such as context-purpose (e.g., mission, goals and tasks) shared values, leadership philosophy and group structure have received less attention. They go on to suggest that group literature also focuses on closed, bureaucratic, hierarchical systems, rather than upon systems within systems (i.e., micro level to macro level), all of which are organic, holistic and changing.

Gouran (1972, pp. 23-27) reports that the controlled, laboratory view of problem-solving has been transported into the context of everyday problem-solving, but with little success. This is because he says, even the simplest organizational or group problem yields a number of consequences which far exceed what appeared to be the original scope of the problem. For example, instead of being able to address something that was concrete and easily definable, the scientific method has been contaminated by a host of unpredictable variables such as personality, organizational structures, protocol, norms, historical realities, fear and issues of turf.

Hamilton (1988) conducted a study which included an extensive literature review to identify factors which

could be used to predict effectiveness of change agents. The study subjects consisted of 105 OD (organizational development) consultants in the U. S. Navy. Multivariate analyses showed a strong, significant relationship between consultant effectiveness and the characteristics assigned to three categories: openness and responsiveness to others' needs and concerns, comfort with ambiguity and the ability to make sense of it, and comfort with oneself in relation to others.

Hamilton goes on to report that the Navy has spent considerable time and money in assigning and training enlisted personnel and officers to fill OD consultant positions. However, results have been disappointing. Hackett & McInerny (1984) and Hamilton (1985) report that only about 20% of the consultants have produced 80% of the effective work.

French and Bell (1978) suggest that OD consultants must personally demonstrate as much congruency as possible with the values that they espouse. They must be adaptable, open to experimentation and willing to learn from experience. Above all, they must be involved as persons and not as experts who will cure everyone else.

Other authors (Argyris, 1970; Bennis, 1969; Burke, 1982; Steele, 1982; and Wargo, 1983) have described a

wide array of skills needed by effective change agents. There has been some speculation that most people can master these skills through appropriate training and education. Hamilton (1988), however, addressed the question about whether or not education and training of OD consultants could be effective without their having certain prerequisite personality characteristics and behavioral tendencies. Statistical analyses all indicated a significant relationship between certain personality characteristics and behavioral tendencies and the consultant's effectiveness.

The most effective consultants were found to be empathetic, sensitive, open and tolerant, concerned about others, flexible, patient, friendly, and cooperative. They also tended to develop and use information, wanted to understand "why", were intuitive and imaginative, self-reliant, spontaneous, bold, risk taking and initiating.

On the other hand the least effective consultants had a low tolerance for others, were fretful, impatient, directive, results oriented, impersonal and valued policies and procedures over individual needs. In addition, they were "sensing" types (tending to stay within the bounds of known facts), practical, interested

in details, facts and figures; were more concerned with knowing the "how" of things than the "why". They also were interested in the minimum of information needed to accomplish a concrete task, were hesitant to initiate things or be spontaneous in social or unfamiliar situations, were aversive to risk, and saw problems in new ventures (Hamilton, p. 55).

#### Implications for the Future

Knowles and Knowles (1972) describe the 60's and the 70's as a period of great ferment, expansion, and controversy in the field of group dynamics. They go on to say that among others, two particular trends seem to consist of two competing sets. The first relates to the "growing emphasis on precision of quantitative measurement and statistical sophistication" (p. 28). At the same time, they say there seems to be "a rebellion against the fragmentation and dehumanization of human beings and their relations, and an insistence on a more holistic, creative, subjective, value-oriented approach to the study of man" (p. 29).

The second trend concerns the nature of the phenomena under study. Whereas previously, the emphasis was on small group behavior, current emphasis is on an

individual's "human potential". Meanwhile, there is a simultaneous movement toward social systems with an emphasis on the dynamics and strategies for change. These two competing sets, while seemingly contradictory in nature, embody the integrative principles and practices espoused in the quality movement. In particular, increasing attention has been paid to the impact of group dynamics in work teams that have been established to address organizational problems.

#### Quality Circles

Gmelch & Miskin (1986) maintain that while the United States has been the most productive nation in the world in the past, this is no longer the case. In order to increase productivity and improve the quality of work life, organizations must maximize the contributions of all their resources--particularly their human resources. This requires a major shift from past practices where management typically made decisions and passed them down the line to be implemented.

Pennar (1987) continues the argument by saying that improving quality requires nothing less than an upheaval in corporate culture. Engineers, designers, marketers, administrators, and production workers on the line have

to work together to ensure quality, and they have to know that they are all critical to the process. In order to accomplish this, organizations are turning more and more to a concept borrowed from the Japanese--Quality Circles (QCs).

#### A Brief History of Quality Circles

At the close of World War II, the Japanese were faced with rebuilding their economy. "Made in Japan" was synonymous with shoddy workmanship. General Douglas McArthur is credited with having invited Dr. W. Edwards Deming, an American statistics professor to help the Japanese in their efforts to rebuild their industrial potential. Between 1949 and 1954, Deming delivered seminars on the various statistical techniques used by American industrial engineers. In 1954, Dr. Joseph M. Juran joined Deming in Japan and began delivering management training to executives of leading Japanese companies. Interestingly enough, Deming and Juran found more acceptance in Japan than they found at home (Enrick, Lester & Motley, 1983).

In 1962, the Japanese Union of Scientists and Engineers (JUSE), launched the concept of Quality Circles. Dr. Kauro Ishikawa, professor of engineering at the University of Tokyo is credited for adapting Western

know-how to the Japanese culture, philosophy and mores. He utilized what is known in Japanese as jishua kanri which means autonomous self-management. This thrust was essential since the Japanese culture emphasized egalitarianism, mutual trust, and shared power between management and those who typically performed the work (Middleman, 1984).

The prevailing work culture in the United States, strongly influenced by Taylor's Scientific Management theories, is inherently different from the Japanese. During the turn of the century, Taylor developed an approach which called for a separation of work planning from its execution (Taylor, 1921). Since that time, specialists in quality control departments have typically had the responsibility for solving problems. This entrenched way of doing things has been one of the major inhibitors to the success of QCs in the United States.

It was not until the early 70's that interest in QCs in the United States began to take hold. Six engineers from Lockheed Aircraft went to Japan in 1973 to study that nation's productivity successes. This is an interesting course of events because during the 50's, Japan sent their engineers to our country to study our productivity successes. Donald Dewar, one of the

American engineers, later initiated QCs at Lockheed and went on to become the chief promoter of Circles in the United States (Middleman, 1984).

Since then, interest in QCs, and their various derivations such as Quality of Work Life Programs, Quality Improvement Teams, Productivity Enhancement Teams, and Participative Problem-Solving Teams has grown. It is estimated that over one million individuals in the United States are involved in some type of "Circle" effort (White & Bednar, 1984).

#### Quality Circles Defined

Various definitions have been offered for QCs. Differences arise from the thrust or purpose of the Circle. Basically, QCs are best defined by their elements. That is to say they are:

a small group of employees (no more than 15), who perform similar work, meet voluntarily on a regular basis (usually one hour a week), are trained in Quality Circle techniques, and who identify problems, analyze problem causes, and develop and implement solutions.

Steel and Lloyd (1988) developed a heuristic model of key cognitive, affective and behavioral results of the QC process. They report that the process is theorized to have two direct program-specific consequences.

The first is intensified social contact encountered with one's fellow workers and managers, along with the development of and identification with an efficacious problem-solving group (Griffin & Wayne, 1984; Homans, 1950). The second is the application of problem analysis techniques in studying and correcting work process problems (Juran, 1964).

Steel and Lloyd go on to say that to distinguish between these two types of immediate outcomes is in effect the same as distinguishing between substantive and reactive outcomes. In other words, QC participation requires regular group meetings where individuals work together on shared problems. This activates a number of group and interpersonal processes which constitutes the reactive features of the group process.

Substantive outcomes are the correction of work-process problems. However, according to Steel and Lloyd, the reactive aspect of QC activities has numerous consequences that can become barriers to the group's ability to identify and solve problems (the substantive outcomes). This reactive aspect has specific significance to the present study.

### Content/Approaches of Quality Circles

In reviewing the literature, this researcher found that the same phenomenon existed with Quality Circles as with group dynamics. In other words, each researcher or practitioner provides his or her own description of proposed content and approach to QC's. This makes it difficult to develop generalizations about QCs because they differ from one organization to another. For example, some are more concerned with the quality of work life in the organization. Others, such as the IRS approach described in Chapter 1, have focused more on the technical aspects. For additional information on QC approaches, the reader is referred to some of the more representative descriptions offered by Richards (1984), Williams and Zigli (1987), Dykeman (1985), Brightman (1986), Arbose (1980), Lynch (1981), and Lawler and Mohrman (1985).

Harrington (1987), DiPrimio (1987), Townsend (1984), Ingle (1985, 1982) and Richey (1987) are among those who have developed specific how-to's and/or have described various organizational approaches to Quality Improvement.

Critical to a circle's successful functioning is an individual known as a facilitator, team leader or coordinator. This individual, usually a manager,

receives specialized training in order to help train Circle members and to ensure that things run smoothly. Typical QC objectives include quality improvement, productivity enhancement and employee involvement. Rewards and recognition take many different forms, from cash awards to plaques, citations, formal meetings and banquets.

Steel and Lloyd (1988) report that formal QC theory remains conspicuously absent, and Steel, Menlo, Dilla, Ovalle and Lloyd (1985) pointed out that QCs have spawned little incisive theoretical analysis. They claim that the work on QCs to date lacks sound conceptual underpinnings in other related domains of management thought, such as group dynamics or motivation theory. They go on to say that the need exists for a conceptual framework attuned to the idiosyncracies of the QC process, yet also anchored in the rich conceptual heritage of the scholarly management literature.

#### Successes and Failures of Quality Circles

White and Bednar (1984) assert that the general concept of QCs is currently known to many business practitioners and most management scholars. However, they go on to say that sweeping generalizations

concerning QCs and the conditions necessary for their successful implementation have led to misunderstandings and a considerable number of circle failures.

These claims are based on their research in which they reviewed over 250 articles and found only five multi-organizational studies that examined the impact of QCs, two of which were based on extremely small samples.

This researcher was not much more successful in finding empirical data to attest to the success or failure of Circles. Only one dissertation was identified. Heelan (1983) conducted a case study in order to identify factors related to the success of QCs. Thirty-five factors were initially identified and then discussed in the context of four broad categories: managerial communication, decision-making style, decision-making outcomes and implementation outcomes.

White and Bednar (1984) say that Imberman was among the first to examine the question of why QC programs fail. Imberman found that the most likely reasons for failure were: poor employee morale, poor supervisor training, poor management persuasive techniques, and indifferent management.

Other studies (Seelye and Sween, 1983; Cole and Tachiki, 1983; O'Donnell and O'Donnell, 1984; Steel et

al., 1985; Burpeau-DiGregorio and Dickson, 1983; Dale and Hayward, 1984; and, Ingle, 1982), cite similar conclusions.

Ingle, in particular, points out that in order for QC programs to work, everyone needs to understand the two basic concepts, statistics and group dynamics, which are behind successful QC programs. The latter is cited more frequently when reasons are posited for failure.

Macher (1986) says that successful organizations have learned the value of effective human relations skills in their employees and they use those skills to help the organization. He goes on to say that these same organizations have learned that in working with people, the emphasis on "people" must never be eclipsed by the emphasis on "working". Unfortunately, this is usually not the case. Rewards and recognition communicate authoritatively what really counts in an organization, and what usually gets rewarded is the bottom line, or the task. Likewise, most training programs for QCs tend to emphasize the "statistical" or "task" aspect as opposed to the "group dynamics" or "process" aspect. What is needed is more attention to the latter.

### Participative Management

Elsewhere in this paper it was mentioned that a certain dynamics are created in an organization that tend to abet the decline of QCs. Mohrman and Ledford (1985), report that the uneven success of participative group efforts in various companies suggests that it is not necessarily the concept of group participation that is in error. A more probable cause is the way that the participative group process is designed and implemented and whether or not it achieves a fit with the context in which it is adopted. Furthermore, they claim that contextual fit is an especially important issue, since participative decision making is often implemented in highly bureaucratic, centralized organizations. These organizations in particular, are generally inhospitable to the notion of employee participation in decision making.

Other research tends to support this notion. For example, Kanter (1982), in discussing participative management, claims that "participative management" became a catch-phrase of the 1980's, signifying the desire of corporations to adopt a new style of leadership that includes employee involvement. She goes on to say that participation is a complex matter, and that organizations

need to move cautiously before implementing such programs.

Likewise, Juechter (1983), discusses the ups and downs of participative management and Tiefenthal (1975) warns readers of the pitfalls of participation.

### Approaches to Facilitating Quality Improvement Teams

During the past two decades, at least three distinct approaches to facilitation of quality improvement teams have evolved. These approaches have been identified by the researcher as the Quality Circle Approach, the Quality Improvement Team Approach, and the Self-Managing Team Approach. Following is a brief description of these approaches.

#### Quality Circle Approach

Quality Circles were first implemented by Japanese management during the 50's as a problem-solving technique. Managers and supervisors were trained in statistical tools and techniques and a systematic problem-solving methodology. These managers and supervisors subsequently trained employees within their own functional areas to solve work-related problems. During the process, the manager or supervisor acted as a

combination leader/facilitator to help their employees solve problems that affected them. The focus was clearly on getting the task done, with little or no attention paid to group dynamics issues.

Quality Circles were first brought to the United States during the early 70's. There are mixed reviews as to the relative successes or failures of the concept. One of the often cited reasons for failure is the differences in the Japanese and American cultures. For example, as mentioned earlier, the Japanese culture emphasizes egalitarianism and shared power between management and labor. Whereas the American culture fosters a distinct hierarchy with a strong separation of not only management and labor, but also segmentation of work a la Taylor (1921). The success of a circle is predicated on a dynamic interaction of the two.

#### Quality Improvement Team Approach

During the '80s, Quality Circles began to be replaced by problem-solving units with a broader scope. These second-generation teams have been referred to by many different names including Quality Improvement Teams (QITs), Process Action Teams (PATs), and Productivity Enhancement Teams (PETs).

One of the major distinctions between the Quality Improvement Team Approach and the Quality Circle Approach, is that in the former, teams are usually assembled to address cross-functional or "systemic" issues, whereas in the latter, teams only deal with issues within their direct purview. By virtue of this broader charter, QITs are formed from members of several different functional areas within an organization. In practice, the increased scope and composition of QITs created a number of problems, such as group dynamics. For example, teams composed of individuals from several functional areas frequently experienced turf problems. Some individuals tended to dominate more. Higher graded individuals may have forced their opinions on lower graded staff.

However, these second-generation teams benefited from two decades of research that provided new insights into effective group functioning. For example, a number of studies (see previous section of this chapter on Group Study and Group Dynamics) have suggested that successful problem-solving has at least two-dimensions. One dimension relates to task achievement (that is, the types of activities that directly deal with solving the selected problem). The other relates to group efficiency

(the types of activities that deal with how effectively the group works together to solve the problem).

Empirical data further suggests that it is unlikely that one person can successfully deal with both of these process dimensions simultaneously. Instead, individuals tend to prefer and gravitate towards one set of activities or the other, sometimes to the extent of ignoring the least preferred activities.

In order to accommodate the two dimensions of the problem-solving process, as well as an individual's natural skills and abilities, the Quality Improvement Team Approach, expanded to incorporate two pivotal roles. In this model, one individual, usually a manager, acts as the team leader, and assumes the responsibility for getting the task done. The other individual, designated as a facilitator, focuses on the group process itself.

The types of things the team leader usually handles include setting meeting dates, dealing with meeting logistics (room, equipment and so forth), interfacing with individuals outside of the team, running the meetings, setting agendas, assigning tasks and so forth. The team leader may also participate in teaching the members the tools and techniques of the problem-solving process. In summary, the team leader takes on many of

the responsibilities generally considered as part of a manager's job.

The facilitator, on the other hand, pays attention to how the group is operating, who participates, and how they interact. The facilitator works to ensure that communication is open, that individuals participate freely, and that important decisions are made by consensus. The facilitator also helps the group to stay focused on the relevant issues, and to use the appropriate tools and strategies to solve the problems at hand.

While the dual-role approach (QIT) is considered to be an improvement over the single-role approach (QC), it is not without its weaknesses. For example, with two individuals in perceived leadership positions in the team, it is often difficult to clearly delineate where one role ends and the other begins. Hence there is often conflict, or at minimum confusion, over who can or should do what. Sometimes this results in critical activities being fragmented, needlessly duplicated, or sometimes not done at all. The latter, was often seen during this study.

### Self-Managing Team Approach

During the 80's, employee involvement grew significantly. A number of leading quality experts such as Deming, Juran and Crosby advocated the notion that those closest to the problem had the most knowledge of how to fix that particular problem. Hence, problem-solving groups began to evolve towards a more participative process where all team members were equally responsible for accomplishing what needed to be done. Unions, in particular embraced this new philosophy, and supported participative problem-solving. The National Treasury Employees Union in the IRS was one such union. This relatively new approach has been designated by this researcher as the Self-Managing Team Approach.

In the Self-Managing Team Approach, the team leader can be either a manager or an employee. The team leader is chosen for his/or content expertise, is less directive and authoritative, and acts more like a coordinator, assuring that someone assumes responsibility for the myriad of tasks that need to be accomplished.

The facilitator (either a manager or employee) assists the team leader by acting as a coach and by modeling appropriate behavior. He/she demonstrates not only when it is necessary to intervene to get the process

back on track, but also how to make appropriate interventions. The facilitator works closely with the team leader in the early stages to plan the meetings, decide what strategies should be used, select problem-solving tools, and identify additional resources. In summary, the facilitator works extensively at providing guidance and support to the team leader and the team members in the beginning and gradually withdraws from the group.

Team members share responsibility with respect to both the group process and the ultimate outcome of the issue under study. Each member contributes to discussions, takes turns with various administrative or logistical tasks, and more importantly, learns to monitor the group process. Ultimately the team becomes completely empowered within the process, and has little or no need for the facilitator.

Empowered teams share certain values: democracy (the opportunity for all to participate); responsibility/accountability (for one's feelings, opinions and input); cooperation (working together to achieve collective goals); honesty (offering input, no hidden agendas); and egalitarianism (everyone's input has value).

### Implications for This Study

Given the discussions in the literature regarding the impact that participative management has on an organization, particularly a bureaucratic one, this study concentrated on several issues. One of the issues related to the conflicts or dilemmas encountered when trying to introduce activities into a culture whose norms are antithetical to the activities being introduced. The second issue related to the inadequacy of existing research in areas concerning the competencies needed by individuals, particularly facilitators, who are involved in Quality Circles, or in the case of this study, Quality Improvement Teams. The final section of this literature review explores the notion of competence and competencies.

### Competencies

A great deal of controversy exists over the notion of "competence" or the development of specific "competencies" whether it is in an educational setting, or in a work setting. Several educators, notably Short (1985, 1984a, 1984b), McAshan (1979), and Nikse (1981) provide excellent discussions concerning the issue. In particular, they all cite the influence that Frederick

Taylor, the reputed father of "Scientific Management", had on the development of current thinking regarding competence. Following is a brief summary of this discussion offering both pros and cons to the feasibility of identifying competence and subsequently a rationale for developing competency models.

### Competence Defined

Short (1985) says that few terms have been as misused and as overused as competence. He goes on to say that it is easy to see how the current technological paradigm with its emphasis on accountability and productivity has influenced education. He cites Smith (1975), Apple (1984) and Wirth (1983) as a few who have studied these phenomena in an educational context.

Short also expresses concern for how this particular paradigm, with its linear scientific-technological frame of mind, has spawned a whole vocabulary derived from the factory and production metaphors of industrial management (Noddings, 1984; Wirth, 1983; Aoki, 1984; Kliebard, 1971; Franklin, 1976; and Bowers, 1982). Short goes on to point out that what goes on in factories and educational institutions are not quite the same.

For example, he claims that the means and materials in educational institutions are in no way as precise and stable as those in the production of material goods in factories. One of the problems, he says, is that "when educators attempt to determine overall outcomes and then to break them down into various elements or competencies, it is seldom known what is required to foster the achievement of the competencies."

Collins (1964) supports this line of thinking. In fact, he claims that it is simply impossible to define all the properties of competent performance. He then goes on to say that competency-based programs with their behavioristic approach are fraught with excessive reductionism. These programs persist in trying to identify all the constituent elements and reducing them into manageable form. However, as he further states,

"Manageable form" entails being amenable to measurement. It is the false aura of exactness which imparts authority to competency-based systems. And yet, they tell us nothing about the processes involved in competent performance. True understanding necessitates grasping the meaning of what is being enacted.

Johnson (1975) has also argued against the possibility of ever being able to successfully utilize competency models, but Short does not believe that they

should be abandoned. He has attempted to provide some clarity by setting forth four different conceptions of competence (1984):

1. Competence as a behavior or performance.
2. Competence as a command of knowledge or skills.
3. Competence as a degree or level of capability deemed sufficient.
4. Competence as a quality of a person or as a state of being.

By viewing competence in these various ways, one can then view competence as an entity which is fixed and measurable, or as a quality which is characteristic over a specified period of time. As such, Short maintains that some of the problem is dismissed.

For example, in her discussion concerning the relationship between competencies and behavioral outcomes, McAshan (1979), points out that competencies are correctly used when they represent instructional ends or intents, whereas behavioral outcomes should be used to assess or evaluate the success in competency achievement.

Simons (1973), on the other hand, criticized the concept that goals of instruction can best be conceived

in behavioral terms. He made the point that knowledge and behavior are not synonymous. He says that the emphasis upon specific behaviors unrealistically simplifies measurement, since this simplification raises questions about the validity of the measurement itself. In other words, it is not known what beyond behavior, is being measured.

Smith (1972) made a case for the importance of clarity and mutual understanding concerning goals. His position is that precise evaluation is impossible if goals are vaguely stated, and Armstrong (1970) says that some type of behavior that is observable will have to stand for or represent the intellectual performance that is intended.

In comments to Fishbein in 1973, Tyler supported the concept of making competencies specific according to the context of a specific situation. He also advocated competencies being locally developed as opposed to being obtained from pre-packaged materials developed externally.

Finally, McAshan (1979) argues that competencies are important because they represent instructional ends to be achieved by learners. If competencies are not appropriately chosen, however, she maintains that it will

not make any difference how good the enabling activities are or how well success is evaluated. The program will not be a good one.

The foregoing discussion has centered on the thoughts of several leading educators. However, educators are not the only ones concerned with competence or the development of competencies. In the introduction to Chapter 1, issues were identified that have been said to contribute to a deep concern for productivity, efficient and effective management of assets, and product quality (Mohrman and Ledford, 1985). As a result, many researchers have investigated the notion of competencies in organizational settings. The next section discusses various views on the need to develop competency models.

### Competency Models

Klemp (1977, 1978, 1979 & 1980) strongly advocates the use of competency models. He describes a competency model as a "functional clustering of individual competencies that tend to co-occur in situations, where effective performance is demonstrated" (1980, p. 49). He goes on to say that the number of competencies in a particular setting will vary depending on the complexity of the criterion for effectiveness.

He then discusses what he calls "enduring competency groups" which co-occur in relation to a variety of external performance criteria. These include cognitive skills, interpersonal skills, motives, and self schemata, all of which guide, organize and form the substance of effective behavior in a wide range of work and life situations (1979).

Finally, Klemp argues that the actual identification of competencies is an inferential process. In other words, one must reason from the observable to that which is not. He maintains that the first step in developing competencies requires focusing on primary causal competencies, after which focus is shifted to competencies which are augmented. For example, he says that before you ask a physics student to memorize a series of equations, you need to ensure that he/she has a basic mastery of both reasoning and the concept of control variables (1979).

Pottinger (1979), on the other hand, says that state of the art techniques for defining competence include expert consensus (which is both the most popular and the most dangerous since selective perceptions, beliefs and value systems contaminate objectivity) and job analysis.

Job analysis, he claims, has two different dimensions. The first deals with techniques which differentiate critical dimensions of the job from critical characteristics of job performers. The second deals with differentiating between critical job or performer characteristics that are task, situation, or level specific, and critical job or performance characteristics that are broad or generalizable across job situations and widely varied career performance levels.

Pottinger then goes on to discuss limitations of traditional techniques for job function analysis, which includes the behavioral objectives approach. His rationale is that these approaches generally neglect many significant areas of job competence because they address only external observable behaviors without consideration of interpersonal and environmental variables that influence behavior. In other words, they do not identify critical and differentiating characteristics of the job performers themselves. He concludes by saying that even the most rigorous behavioral observations do not adequately assess interactions among variables or the underlying causes of competent professional practice.

Boyatzis and his colleagues at McBer and Company address the concerns identified by Pottinger. They conducted extensive competence assessment studies on selected management jobs in the public and private sectors and then developed the "Job Competence Assessment" method which uses five steps to generate a validated model for a job (Klemp, 1979; Klemp & Spencer, 1980). The steps include:

1. Identification of appropriate job performance criterion.
2. Analysis of job elements.
3. Conducting behavioral event interviews.
4. Assessing identified competencies using appropriate tests and measures.
5. Development of Competency Model.

Their method differs significantly from others in several ways. First, it examines the person in the job as well as the job itself. Second, instead of a laundry list of characteristics, the result is a model of competence. Finally, the model is validated in terms of performance data. This research utilized a variation of this model to identify successful facilitation competencies.

McLagan (1980) discusses the need to develop competency models in order to improve job performance. She claims that "without clear competency criteria, recruiters select, managers manage, trainers train, and career planners plan to different (and sometimes conflicting) images of the capabilities required to do a job" (p. 22).

Furthermore, according to McLagan, competency models are "decision tools which describe the key capabilities to perform a job" (p. 23). She goes on to say that competency models are usually more succinct and valid than detailed skill lists and are generally more focused than "gut feel".

The American Society for Training and Development (ASTD) published its "Models for Excellence" in 1983. McLagan worked closely with ASTD in order to develop the framework which describes a set of roles, outputs and competencies for individuals engaged in the training and development field.

Thomas and Sireno (1980) conducted a study to identify competencies which were considered most important for management personnel in various industries and found that the most frequently needed competencies were in the area of communication.

They suggest that competencies must be identified before effective training programs can be developed. They also support the notion that training packages should be tailored to a specific organization.

Dreyfus & Dreyfus (1980) and Dreyfus (1982) developed a five-stage model of the mental activities involved in directed skill acquisition. The stages are novice, competence, proficiency, expertise and mastery. They argue that as individuals become more skilled in a particular activity, they depend less on abstract principles and more on concrete experience. For this reason, they say that skill development procedures must be based on some model of skill acquisition. Hence, at each stage of training, the appropriate issues involved in facilitating advancement can be better addressed.

Petty, et al (1981) looked at affective work competencies of workers, supervisors and vocational educators and found that the three groups have different perceptions of the socio-psychological aspects of work. They feel that this knowledge is important because it helps individuals to understand the motivation of others that they are working with. They also say that identified competencies should be the ones that are emphasized in training programs.

A number of other studies also reflect the importance of the development of competencies, especially in the area of affective skills training. For example, Burns (1973) found that personal traits were the reasons many workers did not progress or advance in their organizations.

From his research findings, Wilson (1973) suggested that more people fail or lose their jobs because of personal qualities or general attitudes than for reason of inadequate job skills or poor performance of actual duties.

Kazanas and Wolff (1972) and Kazanas and others (1978) conducted research that support the notion that affective work competencies can be learned. They say that while industry and vocational education programs historically have emphasized cognitive and psychomotor skills, more recent studies suggest that the affective (socio-psychological) skills related to work are just as important to job success and survival.

### Summary

This chapter began with an introduction that depicted a conceptual model for organizing and demonstrating the interrelationship of the research that

is relevant to the study's questions. The discussion began with the evolution of the study of groups to group dynamics and how the group dynamics research was important to quality circles. It ended with a discussion of the notion of competence and competencies. The next chapter will discuss the research methods used during the course of the study.

### CHAPTER 3 METHODOLOGY

The purpose of this chapter is to explain and describe the research methods used to address the focus of this research which was to study the "facilitation process" used by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service; and to answer the research questions:

1) What are the competencies used by individuals who are currently functioning as "facilitators" for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service?

2) How do these identified competencies contribute to the individual's performance in their role?

The chapter consists of a discussion of the research design; the focus of the study; selection of participants; instrumentation; preparation for the case study; conducting the case study; data collection and analysis; and, a summary.

### Research Design

Choosing the appropriate research design is crucial to the ultimate success of the study. In fact, Yin (1987), says that the research design is the logic that links the data to be collected, and subsequently, the conclusions to be drawn, to the initial questions of the study. Furthermore, he argues that the types of questions the researcher asks is the single most important condition for deciding which of the various research strategies to use.

"What" questions can be divided into two categories. For example, if the researcher is primarily interested in exploring new territory, any of the strategies might be used. If, on the other hand, the issue is prevalence, the preferred method would be a survey or the analysis of archival records. "How" and "why" questions are best answered through the use of case studies, experiments, or histories.

Yin also says that each strategy has peculiar advantages and disadvantages, depending on three conditions: 1) the type of research questions posed; 2) the extent of control the investigator has over actual behavioral events; and, 3) the degree of focus on contemporary as opposed to historical events (p. 16).

Table 1 shows how each of the three conditions identified above is related to five major research strategies in the social sciences: experiments, surveys, archival analysis, histories and case studies.

The table suggests that the case study is the preferred method when asking "what" questions (when they are exploratory), or "how" and "why" questions, and when it is not feasible to manipulate the relevant behaviors in the events being studied. In addition, the case study has a major advantage over other strategies because the researcher has a full range of evidence from which to draw--documents, artifacts, interviews and observations.

In summary, a case study was chosen for this empirical inquiry because the purpose was to use multiple sources of evidence to investigate a contemporary phenomenon within its real-life context, where the boundaries between the phenomenon and the context were not clearly evident.

### Case Study Designs

Once the investigator decided that the case study was the appropriate research strategy, the next step was

Table 1

Relevant Situations For Different Research Strategies

Strategy	Form of Research Question	Requires Control Over Behavioral Events?	Focuses On Contemporary Events?
Experiment	how, why, what*	yes	yes
Survey	who, what*, where how many, how much	no	yes
Archival analysis	who, what*, where how many, how much	no	yes/no
History	how, why, what*	no	no
Case Study	how, why, what*	no	yes

\* "What" questions, pertain to all five strategies when asked as part of an exploratory study (Yin, 1987).

Note. From Case Study Research: Design and Methods (p. 17) by Robert K. Yin, 1987, Beverly Hills: SAGE Publications. Copyright 1987 by SAGE. Reprinted by permission.

to choose from one of several specific types of designs for case studies. According to Yin (1987), a case study design can be one of four types depending on whether the researcher is focusing on a single-case or a multiple-case, and whether the intent is to investigate a single unit of analysis (holistic), or multiple units of analysis (embedded). A unit of analysis is defined as what the "case" is, e.g., an individual, an event or an entity and is related to the way the research questions have been defined. Prior to collecting any data, the researcher decided which of the four types would be used. Following is a brief description of the various types along with a rationale for the type of design that was chosen.

#### Single-Case Designs

Single-case study designs are selected if the researcher is seeking to confirm, challenge, or extend a well-formulated theory; to represent an "extreme or unique" case (as in clinical psychology, where a specific disorder or injury is so rare that it warrants the time and effort to thoroughly document and analyze it); or

if the case is "revelatory" in nature, i.e., the phenomenon has been previously inaccessible to scientific investigation.

#### Embedded Case Designs

If a study contains more than one unit of analysis, it requires a more complex embedded design. In this instance, the subunits are analyzed independently and then drawn back into the larger unit of analysis. However, according to Yin (1987), this particular type of case study can be problematic if the researcher focuses on only one subunit level and then fails to return to the larger unit of analysis.

#### Multiple Holistic Case Designs

Multiple holistic case designs are appropriate when exploring the same phenomenon in more than one site or individual. When this is done, the researcher must ensure that each case either predicts similar results in order to get a literal replication, or produces contrary results for predictable reasons, such as a theoretical replication (Yin, 1987).

### Multiple Embedded Case Designs

The most difficult type of design to carry out is the multiple embedded case design. This is because it utilizes not only multiple cases, but also multiple units of analysis. Thus the inherent danger of failing to return to the larger unit of analysis is even stronger, and the researcher must take extra precaution to either produce similar results for replication purposes, or to produce contrary results for predictable reasons as mentioned above.

### Focus of the Study

The focus of this study was a contemporary phenomenon (the facilitation process) within its real-life context (as performed by individuals in the Quality Improvement Process in the Internal Revenue Service). A multiple embedded case design was used because the same phenomenon (the facilitation process) was explored in more than one individual case at multiple sites, and multiple sources of evidence were used to answer the research questions.

Figure 2 depicts the model (adapted from Yin, 1987) that was used for this study.

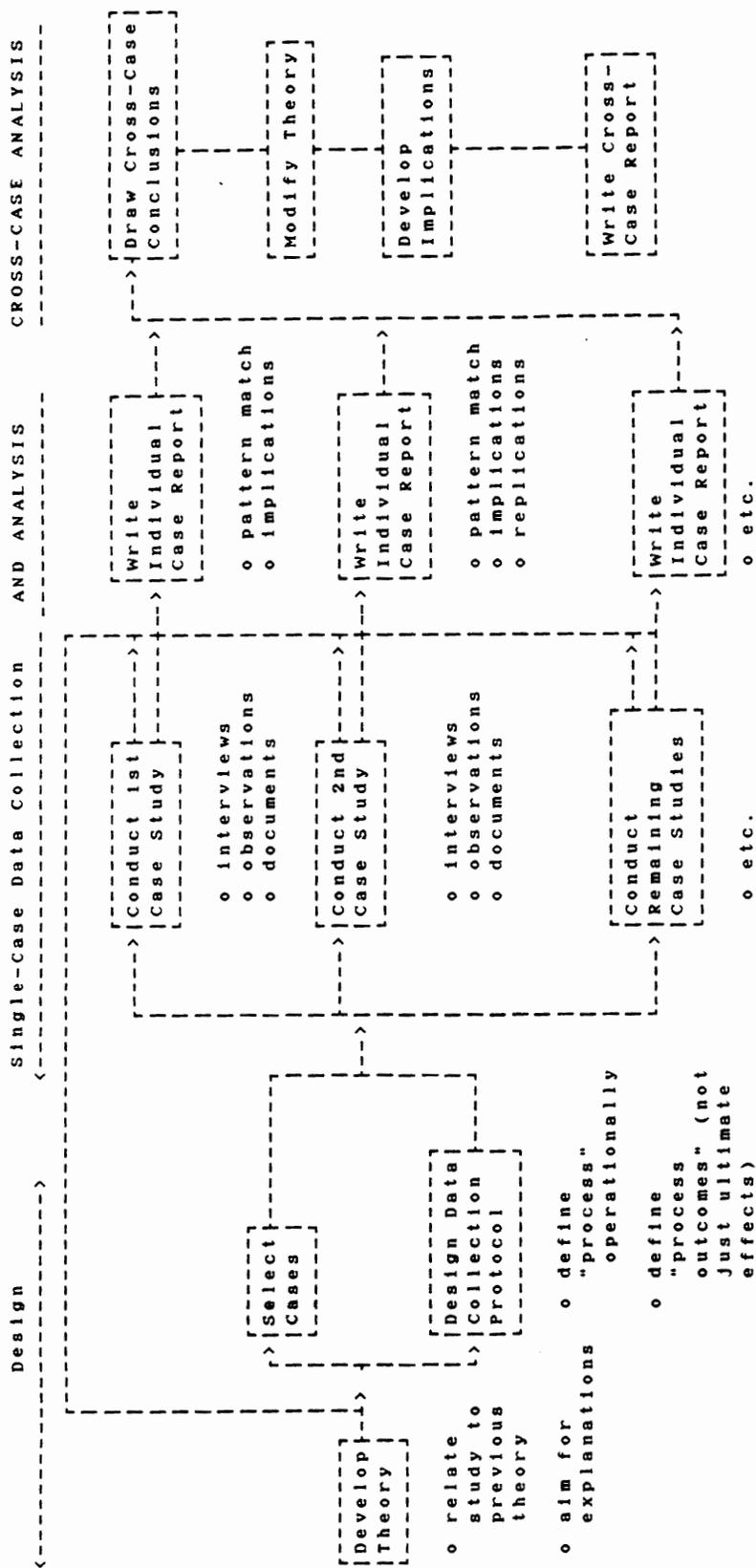


Figure 2  
Case Study Design

Note. From Case Study Research: Design and Methods by Robert K. Yin 1987, Beverly Hills: SAGE Publications. Copyright 1987 by SAGE. Reprinted by permission.

## Selection of Cases

### Stage I

Cases were selected through a three stage process. Initially, letters were sent to each IRS field and National Office Quality Coordinator (approximately 100), providing information concerning the study. Coordinators were requested to distribute a package of information consisting of a letter asking for nominations, a brief description of the study, and special Nomination Forms. Copies of all forms, letters and other materials used in the study are found in the Case Study Protocol (CSP) in Appendix A.

Coordinators, team leaders, facilitators, team members and other interested individuals were asked to nominate facilitators who they thought were particularly successful to participate in the study.

Prior to the study, there were no absolute measures to determine what constituted "successful" performance, and consequently, no common standards against which all of the facilitators could be measured. Therefore, nominators were asked to provide specific examples of what the facilitator did that made him/her successful.

Nominators were also instructed that they should have direct knowledge of the performance of the nominated

facilitator (i.e., the nominator should have actually observed the individual while he/she was facilitating). Fifty individuals from throughout the United States were nominated during this stage of the process.

This approach was based on previous research conducted by Boyatzis (1982). Boyatzis, in citing Lewin and Zwany (1976), and Klemp (1976), claims that nominations are more effective than ratings. In so doing, he makes a distinction between what he calls "respondent" and "operant" measures. For example, he says that ratings are respondent measures because an individual is asked to use some type of scale to assess the performance of one or more persons. He goes on to say that this process is much more subjective because things like personal attraction, concern over someone's feelings or public image, and/or equity tend to enter into and thus confound judgments during the rating process.

On the other hand, Boyatzis (1982) says that nominations are operant measures because nominators are asked to use prior knowledge of job incumbents to identify one or more individuals who have performed in an effective or superior manner. Boyatzis concludes by saying that since nominations are an operant measure,

individuals identified through them are more likely to have demonstrated excellence in performance.

### Stage II

During the second stage of the process, all nominees were contacted by phone to elicit preliminary agreement to participate. Of the 50 who were nominated, 49 agreed to participate. One individual had retired and was therefore not contacted. Follow-up letters were then sent to the 49 who agreed to participate. The letter explained the nature and requirements of the study, and included a Demographic and Personal Data Sheet, and copies of the Herrmann Brain Dominance Instrument (HBDI) and the Myers-Briggs Type Indicator (MBTI).

### Stage III

During the third and final stage, study participants were drawn from nominees who completed and returned all the requisite forms and instruments identified above. A number of factors were used to make the final selection. These included: nominations, length of time functioning as a facilitator in the Quality Improvement Process, MBTI and HBDI profiles, prior experience and training, the

number of teams/councils facilitated, and availability. Following is a brief description of the process used.

The MBTI and the HBDI were scored for each nominee. Composite scores were compiled for 47 individuals. These scores were sorted by "type" for the MBTI and by "left" or "right" brain dominance for the HBDI. For the most part, scores on both instruments were compatible. (See Tables 9-11 in Appendix B).

During the next step, individuals were eliminated who had either indicated that they were not interested in participating further or would not be able to participate for a variety of reasons. A number of individuals who were interested in participating, but were not currently facilitating any teams fell into this category. At this point the pool was narrowed to 27.

The pool continued to be narrowed down as other criteria were considered, namely prior experience and training, number of teams facilitated and availability during the time frame that was designated for field observations.

During the final round, a total of eight individuals were selected who represented different types/brain dominance preferences, and who had varied experiences as

facilitators. Table 3 provides a summary of the final cases.

### Preparation for the Case Study

Yin (1987, 1984) says that the preparation required to conduct a case study includes the prior skills of the investigator, the training and preparation for the specific case study, the development of a case study protocol, and the conduct of a pilot case study (p. 55). This section will discuss each of these in turn.

#### Prior Skills of the Investigator

Question-asking, listening skills, adaptiveness and flexibility, grasp of the issues being studied and lack of bias are listed by Yin as commonly required skills (pgs. 55-59). Other researchers, (Patton, 1980; Richardson, 1960; and Denzin, 1970) support this view.

Over the past several years, this researcher completed several graduate courses, was involved in numerous training situations (both as a trainee and trainer), and was involved professionally with matters relating to the topic under consideration. For example, this researcher was trained in the Behavioral Event Interview Method (referenced in CHAPTER 2 in the

Table 2

Summary Facilitator Data

Facilitator	A1	B2	B3	D2	D4	F1	F2	G3
MBTI profile	INTP	INFJ	ISFJ	ISTJ	ENFP	ESTJ	ENFP	ENTJ
EBDI* profile	2211	2111	1113	1112	1221	1121	2111	1112
# months as facilitator	12	18	10	30	12	22	12	18
Full/part time	Part	Part	Part	Full	Full	Full	Full	Full
# teams facilitated	1	1	1	6	2	11	9	5
# councils facilitated	0	1	0	0	1	0	0	0
months meeting	15	18	15	12	18	2	2	18
frequency of meetings	2/mon	1/mon	1/wk	2/mon	1/mon	2/mon	2/mon	2/mon
length of meetings	2 hrs	6 hrs	2 hrs	5 hrs	3 hrs	3 hrs	4 hrs	4 hrs
step in process	1	na*	3	3	na*	3	3	4
started with team	no	yes	no	no	no	yes	yes	yes
total no. interventions	3	27	46	56	65	36	28	13
ave. no. per hour	1.5	4.2	23	11.2	21.7	12	7	3.3

Competency Section) by George Klemp, Jr., in order to conduct interviews of chapter presidents for the "The ASTD Chapter Leaders Competency Study" (1984).

Also, during the summer of 1988, this researcher was one of eight students who collaborated with Dr. Albert Wiswell during an externship seminar to develop "A proposed model to assist students in the successful completion of the adult and continuing education human resources development programs at Virginia Polytechnic Institute" (1988). The purpose of the study was to examine "soft" skill competencies necessary to successfully complete the Doctor of Education program.

As discussed briefly in CHAPTER 1, one potential limitation of the study could have been information bias associated with the researcher's role as an internal consultant with the Internal Revenue Service. However, for the purposes of this study, the researcher's role was considered an asset since the researcher gained first-hand knowledge of the Quality Improvement Process as well as the culture and inner workings of the IRS which might not have been made available to an outside consultant. The researcher made every effort to avoid potential information bias by constantly seeking alternative

hypotheses to explain observations emerging from the data (e.g., why it was happening--personality preference, organizational culture, individual perception of the role, or needs of the team); and by using multiple sources for data collection.

#### Preparation for the Specific Case Study

Preparation for this study involved a careful analysis of the topic being investigated as well as the development of a rationale which addressed the following:

- 1) Why should the study be conducted?
- 2) What type of evidence needs to be collected?
- 3) What variations might be expected (and what should be done if they should occur)? and
- 4) What would be considered supportive/contrary evidence?

The researcher engaged in an extensive literature review to prepare for the study. The review consisted of two broad areas, "content" and "process". Areas relating to "content" included group dynamics or group process, the "quality" movement, and competencies (see CHAPTER 2).

"Process" as defined in this context, relates to how this study was conducted, or the methods used. Multiple sources were investigated to ascertain the best

procedures or methods. These included Yin, 1987, 1984; Miles, M. B. and Huberman, A. M., 1984; Jick, Todd D., 1984; Glaser, Barney, G. and Strauss, Anselem L., 1967; Denzin, Norman K., 1978; Patton, Michael Q., 1983; and Spradley, James P., 1979). These sources provided the basis for developing the rationale for the "process" or the research design (case-study), and the specific data collection and analysis techniques that were used.

#### The Case Study Protocol

Yin (1987) recommends the use of a Case Study Protocol (CSP) to increase the reliability of the case study. The CSP was used to guide the researcher in carrying out the case study. It contains the instruments that were used as well as other protocols and the procedures and general guidelines that were followed.

The case study protocol contains the following sections:

Appendix A - Contains the letters, nomination forms, and approvals for the study. Two of these were mentioned earlier, the Nomination Form and the Demographic and Personal Data Sheet.

Appendix B - Contains the protocols that were developed for the focused interviews with facilitators

and other key informants (Questions for Interviews with Facilitators and Questions for Interviews with Team Members). In developing the protocols, the researcher sought input as to the types of questions that might be appropriate from a group of facilitators, team leaders and quality coordinators. The same individuals reviewed the draft protocols and provided recommendations for the design of the final protocols that were ultimately used. It is believed that this process helped to enhance the final product. In some instances, the basic questions were modified to reflect different situations (e.g., in the case of the sub-council, questions had to be modified).

Nominees were asked to complete both the MBTI and the HBDI. (Due to copyright procedures, these instruments are not included.) The results were used to screen and select participants for the study. Tables of the composite results are included in Appendix C.

Appendix C - Contains several data displays, tables and analysis summary sheets.

Appendix D - Contains one complete individual case study (the Case Summary, the Activity Summary Sheet, the Observation of the Team Meeting, the Facilitator Interview, and the Team Leader and Team Member

Interviews). In order to maintain confidentiality individual nomination forms, demographic and personal data, and MBTI and HBDI results have not been included. Samples of these forms are included in Appendix A.

Appendix E - Contains individual case study summaries.

#### Lessons Learned From the Pilot Case Study

The process used to develop the protocols for this study has already been discussed. Since there was considerable input into the development of the protocols, only minor revisions were necessary as a result of the pilot study. Modifications were needed only to differentiate for example, between questions that were appropriate for Quality Improvement Teams, Quality Councils, or in this case, Lead Teams.

The major change in procedures occurred for the team observation. During the pilot, the researcher attempted to record most of what happened during the meeting. This proved to be unrealistic. Subsequently, it was decided to focus on the facilitator's activities and to only record others to the extent that they were related to the facilitator's actions. A request had been made to tape

the team meetings, however, due to issues of confidentiality, the idea was discarded.

### Implementation

During the implementation stage, the researcher was concerned with observing and interviewing facilitators, interviewing other key informants and reviewing pertinent documents. The study used an interactive model of data collection and analysis, meaning that each case was tentatively completed and an interim summary written before data collection began for the next case.

A list of potential cases was developed during the "Selection of Cases" step. Alternates were also identified and in one case, substituted when one of the original cases had to be eliminated due a conflict of schedules. Individuals on the final list were contacted for the purpose of confirming a schedule of events and timetable. Final arrangements in terms of travel, permissions to visit and interview were made on a case by case basis because of differences in local practices and procedures.

Typically, the researcher contacted the facilitator directly who then advised the researcher of any requisite special arrangements that needed to be made. For

example, in several instances, the researcher was scheduled to have entry and exit interviews with the Quality Coordinator from the visited site. In others, the researcher had either entry or exit interviews with the District Director, NTEU chapter president or other individuals. In one instance, the researcher attended a Quality Council meeting that had been scheduled to coincide with the site visit. Specifics for each case are contained in the individual Case Summaries in Appendix E.

#### Observations and Interviews

Each facilitator received clearance from local officials and team members for observations and interviews. Length of observation varied due to local policy for team meetings. For example, team meetings lasted for periods of two, four or six hours. Case Summary reports contained in Appendix E identify the length of each meeting. The researcher took extensive notes during observations, primarily focusing on what the facilitator did and to some extent did not do, along with what happened before and after the event. Actual comments and/or actions were recorded to the extent possible. One sample is included in Appendix D.

As mentioned earlier, protocols were used during interviews with facilitators and other key informants (See sample questions in Appendix A). All facilitator interviews were conducted face to face and lasted from one to one and a half hours. Depending on local policy, team members were pre-selected to be interviewed or were asked to volunteer. Regardless of the method of selection, the researcher was comfortable with the choices made.

Most key informant interviews were conducted face-to-face with the individual, usually immediately before or after the team meetings and lasted from 20 to 30 minutes. However, due to scheduling problems, it was necessary to conduct two interviews by telephone. In several instances, the researcher placed a follow-up telephone call in order to clarify information, or to gain additional information.

#### Issues of Validity and Reliability

In conducting the case study, the researcher took every precaution to ensure reliability and validity of findings. This was not an easy task. There are a number of problems related to the outputs of qualitative studies. For example, Miles and Huberman (1984), suggest

that the sheer bulk of raw data makes it difficult to deal with large samples. As a result, they say that questions arise such as, "Are the cases examined a reasonable sample of the larger universe?" or, put another way, "What is the generalizability of qualitatively derived findings?" (p. 15). Another issue which needed to be dealt with relates to the possibility of researcher bias, because as Miles and Huberman (1984) suggest, "words are slippery, ambiguous symbols" (p. 16).

They go on to say however, that the "deepest, darkest question about qualitative studies lies beyond these issues" (p. 16). For example, one of them has written:

The most serious and central difficulty in the use of qualitative data is that methods of analysis are not well formulated. For quantitative data, there are clear conventions the researcher can use. But the analyst faced with a bank of qualitative data has very few guidelines for protection against self-delusion, let alone the presentation of unreliable or invalid conclusions to scientific or policy-making audiences. How can we be sure that an "earthy", "undeniable", "serendipitous" finding is not, in fact, wrong? (Miles, p. 16).

In order to address these issues, rigor was imposed at every juncture from the design to the development and execution. In addition, explicit, systematic methods were developed for collecting and

analyzing data, and drawing conclusions. These methods will be discussed in a subsequent section.

### Validity

Validity can be described as dealing with the meaningfulness, usefulness and appropriateness of inferences made from the data. Ho (1987) provides a brief summary of how the definition of validity has evolved over the years to reflect a change from four types of validity (construct, predictive, content and concurrent), to the notion of a unitary concept of validity with three types of evidence of validity (content, predictive or criterion, and construct).

### Construct Evidence

For the purposes of this study, this researcher was concerned with construct evidence. This was accomplished by using multiple sources of evidence and by establishing a chain of evidence. These will be discussed below.

### Multiple Sources of Evidence

Yin (1987) cited six sources of evidence for case studies: documents, archival records, interviews, direct observation, participant-observation and physical

artifacts (p. 78). According to Yin, multiple measures of the same phenomenon provide a broader range of historical, attitudinal and observational issues (p. 91). More importantly, however, multiple sources of evidence assist in developing converging lines of inquiry--or the use of triangulation.

Triangulation is defined by Denzin as "the combination of methodologies in the study of the same phenomenon" (1978, p. 291). Denzin argues strongly for the use of triangulation:

No single method ever adequately solves the problem of rival causal factors...Because each method reveals different aspects of empirical reality, multiple methods of observation must be employed. This is termed triangulation. I now offer as a final methodological rule the principle that multiple methods should be used in every investigation (p. 28).

Patton (1983), Miles and Huberman (1984), Jick (1984), and Glaser and Strauss (1967) all encourage the use of triangulation because they claim that by collecting different kinds of data bearing on the same phenomenon, researchers can improve the accuracy of their judgments. During the course of this study, this researcher utilized documents, archival records, interviews and direct observation to collect data. The

### Establishing a Chain of Evidence

Validity and reliability of information from this study was increased by establishing a chain of evidence. This chain of evidence provides explicit links between the questions asked, the data collected and the conclusions drawn. In other words, by following the procedures defined in Appendix A and B, one should easily be able to deduce the derivation of the evidence cited, and then trace it in any direction from the initial research questions to the ultimate conclusions.

Appendix D contains one complete case which includes the Case Summary, the Activity Summary Sheet, the Observation of the Team Meeting, the Facilitator Interview, and the Team Leader and Team Member Interviews. All evidence was systematically coded and sorted into categories for further analysis. The "Data Analysis" section of this chapter goes into more detail about how this was accomplished.

### Threats to Validity

Threats to validity fall into two broad categories: external validity (caused by factors that are external to the observation) and internal validity (caused by factors that arise from or during the observation process).

The researcher took special care to guard against both types of threats to validity. For example, when focusing on rival causal factors, the researcher took special precautions to ascertain if the causal propositions which were formulated accurately represented the events under study, or if the aspects of the process of making the observation caused the differences. To guard against threats to external validity, the researcher consistently asked questions to determine to what populations, settings, or variables the causal propositions may be generalized, and what generalizations could be made.

The primary strategy that was used to guard against threats to internal validity was pattern matching. Empirically based patterns were matched and compared to predicted ones, thus strengthening internal validity. Replication across cases enhanced external validity. This will be discussed in more detail in CHAPTER 4.

### Reliability

In general, reliability is the degree to which a test, instrument, or process consistently measures whatever it purports to measure on a specific population. For the purposes of this study, reliability was demonstrated by repeating the data collection procedures from case to case and by achieving similar results. In other words, if a future investigator were to follow exactly the same procedures with the same subjects, he/she should be able to obtain similar findings and conclusions.

Coding of the data was repeated on three separate occasions. In addition two different individuals each coded a set of data and then discussed it with the researcher. Differences were thoroughly analyzed and resolved before the final analysis was completed. As a result categories were combined in some cases and split in others. This topic will be discussed further in subsequent sections.

Table 2 provides a summary of the various tests used for evidence of validity and reliability.

Table 3

Summary of Types of Evidence and Methods Used to Enhance Validity and Reliability

Types of Evidence	Methods Used	Research Phase
Construct	Multiple Sources of Evidence	Data Collection
	Chain of Evidence	Data Collection
Internal Validity	Pattern Matching	Data Analysis
External Validity (Generalizability)	Replication Logic	Research Design
Reliability	Case Study Protocol	Data Collection
		Data Collection

### Data Analysis

According to Yin (1987), "Data analysis consists of examining, categorizing, tabulating, or otherwise recombining the evidence to address the initial propositions of a study" (p. 99). He goes on to say that the analysis of the case study evidence is one of the least developed and most difficult aspects of doing case studies.

Miles and Huberman (1984) agree. In the introduction to Qualitative Data Analysis, they say that "the field of qualitative research badly needs explicit, systematic methods for drawing conclusions, and for testing them carefully" (p. 16). They subsequently developed a model to assist the researcher in this phase of the research. To them, analysis consists of three concurrent flows of activity: data reduction, data display, and conclusion drawing/verification (p. 21).

This study utilized an interactive model of data collection and analysis as depicted by Miles and Huberman (p. 23) in Figure 3. In this model, the data collection and data analysis stages were linked in an on-going process. In other words, data was analyzed as it was collected (within-site analysis) and after it was organized into the various cases (cross-site

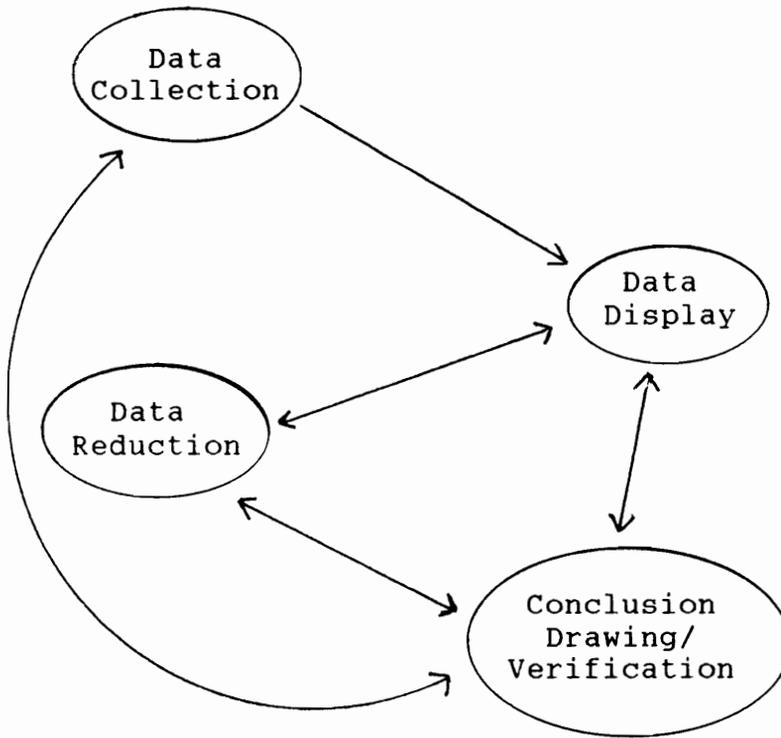


Figure 3.  
Interactive Model for Data Collection

Note. From Qualitative Data Analysis: A Source Book of New Methods (p. 23) by Mathew B. Miles and A. Michael Huberman, 1984, Beverly Hills: SAGE Publications. Copyright 1984 by SAGE. Reprinted by Permission.

analysis). This allowed the researcher to collect new data as the situation warranted; to test new hypotheses that emerged during the analysis; to become aware of rival hypotheses that questioned assumptions and biases; and, finally, to reduce the overwhelming task of data analysis and enhance the overall quality of the final product.

#### Data Reduction

Data reduction, which can be described as the process of "selecting, focusing, simplifying, abstracting and transforming 'raw' data" (Miles and Huberman, p. 21) occurred continuously throughout the life of the study. During data reduction, the researcher made decisions about which data chunks to code, which to pull out, which patterns summarized a number of chunks, and which way the data was unfolding.

Several steps were taken before final codes were arrived at. In order to have a basis for identifying what data needed to be collected, the researcher consulted several sources. One was a previous study conducted by the researcher (Cassidy, 1988) that identified competencies needed by team leaders and facilitators of quality improvement teams in the IRS.

Another was the ASTD Competency Model described in CHAPTER 2. Finally, during the literature review, the researcher identified task and maintenance functions associated with group work. (See Group Process section of CHAPTER 2).

Broad categories were then developed. For example, the first step in this process began with the nominator data. Nominators were asked to provide a description of why they felt the facilitator was successful. This data (See CHAPTER 4 and Appendix A), formed the primary categories. However, final categories emerged from the data as the result of a constant sorting and re-categorizing of the data. In the final analysis, all codes were related to one another in coherent, study-important ways and became a part of the governing structure.

### Data Display

Data display refers to an organized assembly of information that allows the researcher to see what is happening in order to either draw justified conclusions, or move on to the next-step analysis that the display suggests may be useful (Miles and Huberman, 1984, p. 21). Data displays assisted the researcher in producing more

valid qualitative analyses. Several types of displays are contained in CHAPTER 4 and Appendix C.

Interim case summaries were developed for each case as the event occurred. These summaries provided a synthesis of what was known about the case and what was left to be done. They reviewed the case specific findings and enabled the researcher to look closely at the quality of the supporting data and to decide if additional data collection was needed. Final case summaries with special data accounting sheets are contained in Appendix E.

#### Conclusion Drawing and Verification

The third and final type of analysis activity relates to conclusion drawing and verification. From the beginning, the researcher was conscious of the need to make tentative decisions about what things "meant". Specific attention was given to emerging patterns, irregularities, possible explanations and configurations and causal flows. However, these conclusions were held lightly. The researcher was careful to maintain openness and skepticism until conclusions became explicit and grounded.

As the study proceeded, the researcher began to formalize and systematize the process into a coherent set of explanations. A number of tactics identified by Miles and Huberman (1984) were used during this phase. These tactics ranged from simple counting and pattern noting, to others that can be classified as "pattern forcing exercises" (seeing plausibility; clustering; and splitting variables).

Finally, the researcher assembled a coherent understanding of the data by building a chain of evidence and by developing conceptual and theoretical coherence. Findings will be discussed in depth in CHAPTER 4.

#### SUMMARY

This chapter discussed the research design and the methods used to address the focus of the study. The discussion included selection of the participants; the types of instrumentation used; preparation for the study; how the study was conducted; and finally, the data collection and analysis strategies. The next chapter will relate the findings from the study. CHAPTER V will cover conclusions, recommendations and issues that need to be considered.

## CHAPTER 4

### FINDINGS

This chapter discusses the analyses of the research findings from a study of the facilitation process used by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service. The chapter consists of an introduction, the findings organized around the study questions, and a summary.

#### Introduction

Webster defines facilitate as: to make easier or less difficult; help forward (an action). For the purpose of this study, the facilitation process as described in CHAPTER 1 consists of, "the behaviors or activities performed by an individual, usually the facilitator, in order to assist a QIT (Quality Improvement Team) as it moves through the problem-solving process; or, to assist a QIC (Quality Improvement Council) as it makes decisions in support of the Quality Improvement Process.

The purpose of this research was exploratory. The intent was to develop an understanding of the gestalt, and then to identify and describe the facilitation process as used by study subjects. In order to accomplish this purpose, answers to the following questions were sought:

1) What are the competencies used by individuals who are currently functioning as "facilitators" for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service?

2) How do these identified competencies contribute to the individual's performance in their role?

#### Facilitator Competencies

This section will discuss the research findings as they relate to the first study question: 1) What are the competencies used by individuals who are currently functioning as "facilitators" for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service? For the purpose of this study, "competencies" was defined in CHAPTER 1 as, "knowledge, skills and/or

abilities utilized by an individual while performing a role".

Answers to this question were sought because several sources yielded information to support the notion that training for facilitators was inadequate, and that there was a lack of differentiation between the facilitator role and the team leader role. In order to answer the question, the researcher followed a multi-stage process. The first stage consisted of an archival analysis of existing documents, studies and reports, and an extensive literature review. The second stage focused on nominator data; and the third and final stage consisted of observations and interviews.

#### Stage 1: The Archival Analysis and Literature Review

According to a description of roles to be played by team leaders and facilitators, (Internal Revenue Service, Quality Improvement Facilitator/Team Leader/Team Member Training manual, 1988), a facilitator was supposed to focus on the "group process" and make interventions as appropriate to help the team move through the problem-solving process. The team leader, on the other hand, was

supposed to concentrate on the task, or the "content", and had the responsibility for planning and conducting meetings and leading the team through the problem-solving process.

A further description however, suggested that there was some overlap in the roles of team leaders and facilitators. For example, they were both expected to act as catalysts, to serve as role models and to motivate teams in challenging traditional assumptions that were serving as barriers to getting things done.

A search for existing documents concerning the facilitator role (position descriptions, Quality Council memos or guidelines) failed to provide evidence of any standardized criteria by which facilitators were selected. The search also failed to identify any absolute measures that established what constituted "successful" performance.

This lack of clarity in roles during training, coupled with a lack of standardized selection criteria, and an absence of measures to determine successful performance have continued to confound the issue. For example, data from a needs assessment conducted by this

researcher in 1988 supports the perception that there was considerable confusion over who was to play what role and when. On the other hand, the same needs assessment yielded other information concerning competencies needed by facilitators.

Over 900 team leaders, facilitators or quality coordinators rated the following as the "Top 10 Competencies Needed by Facilitators" (from a proposed list of 31 in the Needs Assessment, Cassidy, 1988):

- Commitment to Quality
- Feedback Skill
- Conflict Resolution Skill
- Intervention Skills
- Listening Skills
- Coaching Skills
- Observation Skills
- Group Process Skills
- Instructional Techniques
- Intellectual Flexibility

These competencies, adapted from the ASTD "Models for Excellence" (1983) formed the basis for identification of competencies in this study.

In addition, an extensive literature review suggested two broad categories of activities or competencies needed for group problem solving: maintenance functions and task functions. According to

Patton (1973), maintenance functions include such things as: encouraging participation by everyone in the group, keeping everyone in a friendly mood, responding appropriately to the emotional concerns of group members, promoting open communication, listening attentively to all contributions, encouraging with positive feedback, showing enthusiasm and good humor, promoting pride in the group, judging accurately the changing moods of the group and providing productive outlets for tensions (Patton, 1973, p. 68).

Task functions on the other hand include: helping to set and clarify goals, focusing on information needed, drawing upon available resources, stimulating research, maintaining orderly operating procedures, introducing suggestions when needed, establishing a risk taking environment, evaluating ideas, attending to the task, maintaining a schedule, checking for consensus, and enabling the group to determine and evaluate its progress (Patton, p. 69).

Stage 2: Nominator Data

In this stage, nominators were asked to identify "successful" facilitators, and then to describe why they thought that the individual was successful (See Nomination forms Appendix A). A content analysis was performed on the data and the results were organized into the 22 categories found in Table 3. Identified competencies included task and maintenance functions as well as personal characteristics.

As can be seen from the table, nominators considered "Focusing or refocusing the group when they were off track" as the most important factor in successful facilitation. Some reference to "focusing" was mentioned on 31 of the 49 nomination forms. "Training/ Experience" was identified as the second most important factor (29 times), with "Interventions" coming in as the third most important (mentioned 28 times). "Knowledge of the Process/Role" tied for fifth place with "Coaching/ Counseling/Helping" (21 times).

Table 4.  
Nominator Data: Successful Facilitation Competencies

Category	Frequency
Focusing or refocusing group when off track	31
Training/Experience	29
Interventions	28
Coaching/Counseling/Helping	21
Knowledge of Process/Role	21
Morale/Support/Positive Attitude/Enthusiasm	18
Professional Attitude/Appearance/Commitment	18
Interpersonal Skills	14
Communication Skills	13
Success of Team	13
Group Dynamics	11
Setting Up For Success	9
Technical Expertise	9
Dealing with Difficult/Stressful Individuals or Situations	7
Team Building Skills	6
Asks Questions	6
Attendance/Availability	6
Flexibility/Divergent Views	6
Administrative/Logistical Support	5
Liaison Activities	4
End of Meeting Evaluation	4
Active Facilitation	3

### Stage 3: Observations and Interviews

The following list of activities are the actual findings that evolved from interviews and observations during the data collection and analysis stage. For more information concerning the process used, the reader is referred to CHAPTER 3, Data Analysis found on pp. 107-112.

Activities have been organized into three broad categories, Setting Up For Success; Before/After Meetings; and, During Meetings. Following is a listing and brief description of activities found in each category. A sample of the Activity Summary Sheet, used to capture and organize the data is found in Appendix B.

The first category, Setting Up For Success, consists of seven activities:

1. Clearly establishes roles/responsibilities or develops contract with team. (This includes a discussion and formalization of who will play what roles and perform which activities.)

2. Helps team establish ground rules and/or operating procedures. (This activity helps the team to

establish norms for such things as only one person talking at once; no "cheap shots"; operating by consensus. It may also include logistical arrangements such as meeting times and places; and how responsibilities will be assigned.)

3. Assists in developing specific realistic agendas. (Teams frequently flounder when there is an absence of an agenda, and more importantly, become discouraged when there is an agenda, but it is too ambitious.)

4. Handles a variety of administrative activities. (This might include such things as tracking progress of teams; or, other recordkeeping associated with the QIP.)

5. Handles logistics and other activities related to setting up the room for the meetings. (Includes scheduling the room; physically arranging the room; bringing flipcharts and markers; posting agendas, minutes, ground rules and other appropriate data.)

6. Teaches the Problem-Solving Process (PSP), Tools & Techniques (T&T), or provides mini "refreshers". (Regularly teaches the TL/F training, or during the

meeting takes advantage of the "teachable" moment to provide refreshers on TL/F content.

7. Establishes rapport, empathizes with team members. (This could take place before, during, or after meetings in order to engage team members, or make them feel more comfortable with the process.)

The second category, Before/After Meetings, contains six activities:

8. Meets with the team leader (TL) before/after meetings to discuss strategies such as what needs to be done for meetings.

9. Follows up with the team leader (TL) to ensure that things get done. (Includes assignments, data collection, and meetings for specific purposes.)

10. Prepares charts/materials for meetings. (May include informational items such as procedures to be followed, or may be various data analyses and displays.)

11. Conducts formal critique of meetings using a structured process to identify positive/negative aspects and strategies for improvement.

12. Meets with team leader (TL) or others before/after meetings to counsel or deal with group dynamics or interpersonal problems.

13. Contacts or meets with others to obtain information or to gain support; or, arranges for others to attend meetings as a resource.

The final category, During Meetings, consists of 15 activities (usually some type of intervention) that facilitators engaged in during meetings. These include:

14. When there is confusion, suggests the group develop a plan, outline, or chart in order to gather facts and/or analyze issues.

15. Asks for reasons behind conclusions drawn and/or points out relationships between facts and opinions.

16. Refocuses group when off track or going in wrong direction.

17. Provides technical or other information; or, gives specific examples to make a point.

18. Suggests time frames, milestones, or deadlines.

19. Brings group back to work when joking, personal stories, or irrelevant talk take too long.

20. Suggests procedures to follow; or, methods to organize a task.

21. Charts during meetings. (Acts as the scribe to capture important data; to summarize points; to develop the agenda or other action items.)

22. Takes notes during meetings for purposes of providing feedback to team leader.

23. Supports others ideas, actions.

24. Encourages members to participate.

25. Tries to find agreement in conflicting points of view.

26. Promotes or tests for consensus.

27. Asks questions to clarify or restates in order to clarify.

28. Summarizes progress of group; or pulls together, summarizes various ideas presented.

Of these 28 activities, only five are considered maintenance functions as per the definitions provided in the literature review (See CHAPTER 2, pp. 36-42). These five are: establishing rapport (#7), meets with the team leader or others to counsel or deal with group dynamics problems (#12); supports others ideas, actions (#23);

encourages participation (#24); and tries to find agreement in conflicting points of view (#25). The other 23 are what the literature refers to as task functions. Tables 5-7 and Figure 5 summarize data concerning which facilitators engaged in these activities. This issue will be discussed further in the last section of this chapter and in CHAPTER 5, CONCLUSIONS AND RECOMMENDATIONS

#### Identified Competencies and Individual Performance

This section discusses the second research question, 2) How do these identified competencies contribute to the individual's performance in their role? The discussion begins with findings from team leader, team member and facilitator interviews followed by findings from actual facilitator observations.

#### Role Performance as Perceived by Team Leaders, Team Members, and Facilitators.

When team members and team leaders were asked their opinion of what the facilitator did that made him/her successful (See #9 from Questions for Team Members),

responses were as varied as, "She keeps her mouth shut...doesn't interrupt"; "low key, allows discussion"; "her personality"; "very diplomatic and polite, sensitive to everyone's feelings"; "enthusiasm, dedication, detailed planning"; "bringing us back to the process, if we were approaching it wrong, using wrong labels, tools"; "constantly reminds us of our goals"; and, "she practices 'Active Facilitation'."

In addition, evidence collected during facilitator interviews suggests a lack of consensus among facilitators themselves on what they should or should not do. For example, study facilitators were asked to respond to the following question, "Ideally, what do you think a Facilitator should/should not do?" (See #7, Questions for Facilitator Interviews in each Case Study). Answers ranged from "to not be a 'fly on the wall', but to be actively involved" (F1); "to not be passive" (D2); to the other extreme, "to make minimal interventions" (A1).

Facilitators also varied greatly on their views with respect to attending to task functions and maintenance functions. For example, A1, B3, F2 and G3 said that they

should help keep the team on track, i.e., the problem solving process (task function), while four of them (B2, B3, D2 and G3) said that they should pay attention to group dynamics and help to resolve conflicts.

Four of the facilitators also indicated that they should teach, coach, or advise the team whenever necessary (B2, D2, F2, and G3).

Three out of the eight felt that they should not only know the tools and techniques for the problem solving process, but they should suggest appropriate times when the team should use them (B2, D2 and F1).

In answer to Question #5 from the facilitator interview guide, "What do you feel you do that is most helpful to the team?", answers were more diverse. They gave two categories of answers. The first group was geared more towards task functions as: doing whatever it takes (D2 and F2); being a technical adviser (B2); keeping on point (B3); structuring activities and keeping them up-to-date (D2); and providing objectivity.

The second group of responses were more geared towards maintenance functions: teaching and coaching the team or team leader (D2, F2, G3); listening and

distilling thoughts (D2); making observations and providing feedback (A1); surfacing issues (B2); and, setting the climate to allow the team to be freer, more accepting and creative (D4).

Finally, facilitators, in answering Question #6, "Is there anything that you do that you feel you should not do? If so, what/why?" showed some ambivalence about what they were doing. For the most part however, there was a common element: things responded to were things they had preferences for but felt constrained to do because of the training they received, their perception of the facilitator role, the team leader's or team members' perception of the role, or the organizational culture.

For exaple, B3 said that he had a tendency to want to lead, to take over responsibilities that were not being done; F2 mentioned that she had mixed feelings about preparing the teams' charts for them; G3 said that she occasionally got into the task area; B2 said that he trained some new members but wasn't sure if he should have done so; and finally, A1 expressed a desire to do more, but felt that she shouldn't because facilitators

were not supposed to have the answers, nor the technical expertise.

B2 felt that his relationship with the team leader determined what he would do and when he would do it. For example, he said that he would need to negotiate with the team leader beforehand to determine what his role should be in terms of making interventions.

#### Researcher Observations of Role Performance

Data was also collected by observing facilitators as they performed their respective roles. A Cross Case Analysis Summary Sheet (CCAS) was developed for the purpose of systematically categorizing facilitator observations. The CCAS was divided into three parts, Setting Up For Success; Before/After Meetings; and, During Meetings. Composite results are discussed below. Each part includes a Cross Case Analysis that tabulates how and if the activity was documented for each case. Individual case analyses are contained in each case study. (See sample Activity Summary Sheet in Appendix D).

One important finding suggests that while all of the study facilitators were identified as "successful", the

types and frequency of activities they engaged in varied greatly. For example, the data continued to support the perception that there are no clear lines of demarcation concerning which competencies or activities fall into the facilitator domain, which fall into the team leader's, or for that matter, other team members. This was a basis for the rationale to consider composite results in the Cross Case Analysis.

In almost every case in which activities were documented as being performed by a particular facilitator, it was found that one of four possible conditions existed that accounted for the activity not being performed by a different facilitator, or the same facilitator under different circumstances. These conditions included: individual facilitator preferences or avoidances; individual perceptions of the role; organizational culture; or, needs of the particular team. Activities performed by each facilitator are summarized in the Cross Case Analysis Summary Sheets, Tables 5-7. Illustrations of why the activities were not performed are found in the individual case summaries.

### Setting Up For Success

As previously mentioned, this category consisted of seven activities that facilitators were found to engage in or were otherwise determined to be necessary to set the team up for success. Table 5, Part 1 of the Cross Case Analysis Summary Sheet, displays the results.

A legend is also provided for interpretive purposes. The first horizontal row contains data obtained from observations. The second horizontal row contains data obtained from interviews or nomination forms. A "number" (i.e., 0-19) appearing in the first column signifies the number of times evidence of the activity was observed by the researcher. A "\*" points out that the researcher observed the activity, but due to the nature of the activity, did not perform an item count.

An "I" appearing in the second horizontal row represents that evidence was obtained from interviews. In other words, the researcher did not observe the activity being performed, but one or more individuals during interviews informed the researcher that the facilitator engaged in it. "NO" is used to indicate that the researcher did not make any observations of the



activity or there was no data available to determine if this activity was performed (NO = not observed or no data available). The final category, "ND" is used to represent that informants stated that the activity was not performed by the facilitator (ND = not done). For the purpose of this study, the researcher was primarily concerned with what the facilitator did or did not do.

Of the seven activities identified in this category, only one was consistent with all facilitators, No. 7, "Establishes rapport, empathizes with team members." In every case the researcher found ample evidence both in terms of observations and in interviews that the facilitator had established rapport and empathized with team members. However, the degree to which this was done varied greatly. For example, A1 appeared to be well liked and respected by the team leader and team members, yet she remained aloof and apart. On the other hand, F2 sat with the team members during the break and shared a more collegial relationship.

Activity No. 6, "Teaches PSP, T&T or provides mini-refreshers" was also clearly evident. All but one facilitator was observed engaging in some aspect of this

activity during the meeting, and there was evidence that all of the facilitators were involved in teaching to some degree. This activity is also included in a chart (See Figure 6) that depicts frequency of interventions, because all but one facilitator was seen providing some type of instruction during the meetings for a total of 18 times.

Results concerning activities No. 4, "Handles a variety of administrative activities" and No. 5, "Handles logistics and other activities related to setting the room up for the meetings," were mixed in terms of who was observed performing the activity. While the intent of this study was to identify the competencies used by facilitators, there were instances where a facilitator was not observed engaging in the activity, but the team leader or a team member was. One explanation for this is that the majority of the identified activities are task as opposed to maintenance functions (See page 146).

Most indicated that they helped to develop agendas (No. 3), but only 3 (B3, D2 and D4) were involved in developing specific realistic agendas during the meetings. In fact, B3, D2 and D4 actually led the team

as they developed the agenda. G3, on the other hand, worked only with the team leader during the post meeting to clarify and establish the agenda.

None of the facilitators were actually observed developing contracts or discussing roles (No. 1), or establishing ground rules (No. 2), since these activities usually occurred during the first meeting. However, all of the facilitators and others who were interviewed said that they did engage in these activities, but only B3 actually developed any type of contract (i.e., negotiated his role with the team and the team leader), and this was only after he had attended some additional "Active Facilitation" training.

For most of the facilitators, there did not appear to be much in depth discussion as to what the facilitator role constituted. Most role discussion seemed to center around the designation of a scribe, a minute taker and how they would be selected.

#### Before/After Meetings

The second category is comprised of six activities that facilitators were most likely to engage in before or

after meetings. It includes such things as meetings with team leaders or others for various purposes; following up with the team leader to ensure that things got done; preparing charts or assorted materials for meetings; and performing end of meeting critiques. A summary of these activities is found on Table 6, Part 2 of the Cross Case Analysis Summary Sheet. The same legend applies for Parts 2 and 3 as for Part 1.

Of the six activities in this category, the most consistency across cases appeared in No. 10, "Prepares charts/materials for meetings" and No. 13, "Contacts or meets others to obtain information or to gain support; or, has others attend meetings as a resource." In both instances, six of the eight facilitators were observed performing these functions.

Five facilitators were observed meeting with the team leader before/after meetings to discuss strategies and what needed to be done for meetings (No. 8), and four of them conducted formal critiques of the meetings using a structured process to identify positive/negative aspects and strategies for improvement (No. 11).

Table 6

Cross Case Analysis Summary Sheet, Part 2:  
"Before/After Meetings"

NUMBER = Frequency Observed By Researcher

\* = Researcher Observation, Not Tallied

I = Not Observed, But Data From Interviews  
Indicates That Activity Was Performed  
By Facilitator

NO = Not Observed, No Data Available

ND = Not Usually Done By Facilitator

FACILITATOR	A1	B2	B3	D2	D4	F1	F2	G3
<u>BEFORE/AFTER MEETINGS:</u>								
8. Meets w/TL/ strategies	0 I	* I	0 I	* I	* I	0 I	* I	* I
9. Follows-up	0 ND	0 ND	0 I	0 I	0 I	0 I	0 I	0 I
10. Charts/ materials	0 I	0 ND	* I	* I	* I	* I	* I	* I
11. Critiques	0 ND	0 ND	* I	* I	* I	0 I	0 ND	* I
12. Meets w/TL counsel	0 ND	0 I	0 I	0 I	0 I	0 NO	* I	* I
13. Contacts/ information	* I	* I	* I	* I	0 I	0 I	* I	* I

Only two facilitators were seen meeting with the team leader to counsel him/her, or to deal with group dynamics/interpersonal problems (No. 12). In particular, G3 had a highly structured approach for meeting with the team leader. For example, immediately after the meeting, she met with the team leader to discuss what had happened, to identify what needed to be done for the next time, and to provide the team leader with positive feedback regarding his performance during the meeting. This seemed to be associated with more effective team meetings.

None of the facilitators were observed in following up with the team leader to ensure that things got done (No. 9). However this may have been due to the fact that the researcher was not present when this may have occurred, or the facilitators did not view it as necessary to do so on a regular basis. However, five of the facilitators indicated during interviews that they did follow up with the team leader to ensure that things got done.

### During Meetings

The third and largest category is comprised of 15 activities, 13 of which are classified as some type of "intervention." Table 7, Part 3 of the Cross Case Analysis Summary Sheet, synthesizes these results.

Activity No. 22, "Takes notes during meetings for purposes of providing feedback to team leader," while not considered an intervention, was recorded in this group because it occurred during the meeting. Only three facilitators were observed taking notes. On the other hand, for activity No. 21, "Charts during meetings," three charted extensively while one (the facilitator for the Sub-council), said that charting was not usually done for Sub-council meetings.

Activity No. 27: Asks questions to clarify or restates in order to clarify, was the activity that occurred most frequently (53 times), with seven out of eight facilitators participating.

Six out of eight of the facilitators suggested procedures to follow, or methods to organize a task (No. 20) for a total of 37 times. All of the facilitators

Table 7

Cross Case Analysis Summary Sheet, Part 3:  
"During Meetings"

NUMBER = Frequency Observed By Researcher

\* = Researcher Observation, Not Tallied

I = Not Observed, But Data From Interviews  
Indicates That Activity Was Performed  
By Facilitator

NO = Not Observed, No Data Available

ND = Not Usually Done By Facilitator

FACILITATOR	A1	B2	B3	D2	D4	F1	F2	G3
<u>DURING MEETINGS:</u>								
14. Plan/Outline	0 I	1	4	5 I	3	0 NO	0 NO	0 NO
15. Reasons	0 ND	0 NO	1	2	2	1	1	0 NO
16. Refocuses	0 I	4 I	0 I	2 I	2 I	1 I	0 I	1 I
17. Technical Information	0 I	3 I	2	2	4	6 I	8 I	3 I
18. Time frames	0 ND	0 ND	1	2 I	0 NO	7 I	1	3 I
19. Joking	0 ND	0 I	0 NO	0 NO	0 NO	1	0 NO	0 NO
20. Procedures	0 I	3 I	8	5 I	1	10 I	10	0 I

Table 7 (Continued)

Cross Case Analysis Summary Sheet, Part 3:  
"During Meetings"

NUMBER =	Frequency Observed By Researcher							
* =	Researcher Observation, Not Talled							
I =	Not Observed, But Data From Interviews Indicates That Activity Was Performed By Facilitator							
NO =	Not Observed, No Data Available							
ND =	Not Usually Done By Facilitator							
FACILITATOR	A1	B2	B3	D2	D4	F1	F2	G3
<u>DURING MEETINGS:</u>								
21. Charts	0 ND	0 ND	* 	* 	* 	0 ND	0 ND	0 ND
22. Notes	* 	0 ND	0 ND	0 ND	0 ND	0 ND	* 	* 
23. Supports	1 I	1 	2 	0 NO	10 	3 	3 	1 I
24. Encourages	0 ND	1 I	4 	1 I	8 	0 NO	0 NO	1 I
25. Agreement	0 ND	2 	0 NO	9 	2 	0 NO	0 NO	0 NO
26. Consensus	0 ND	2 	3 	2 	5 	0 NO	1 	0 NO
27. Clarify	0 ND	3 	9 	11 I	19 	6 	1 	4 
28. Summarizes	1 	2 	11 	6 I	5 	0 	0 	0 

provided technical or other information, or gave specific examples in order to make a point (No. 17) at least once, for a total of 28 times.

Six facilitators were also seen summarizing progress made by the group, or pulling together various ideas that were presented (No. 28), for a total of 26 times. Seven supported others ideas or actions (No. 23), for a total of 22 times.

Five facilitators encouraged team members to participate (No. 24) for a total of 15 times, and five suggested time frames, milestones or deadlines 13 times.

Five promoted or tested for consensus (No. 26); four suggested that the group develop a plan, outline or chart in order to gather facts and/or analyze data (No. 14); and, three tried to find agreement in conflicting points of view (No. 25) 13 times each.

Groups were refocused when they were off track (No. 16), 10 times by five different facilitators, while five facilitators asked for reasons behind conclusions drawn, or pointed out relationships between facts and opinions for a total of seven times. Only one facilitator (the ESTJ) was concerned about bringing the group back to work

when joking, personal stories, or irrelevant talk was taking too long (No. 19).

The Cross Case Analysis Summary Sheets contained in Appendix D provide the documentation to support these findings.

Figure 4 shows the average number of interventions per hour made by each facilitator. B3 made a total of 46 interventions with an average of 23 per hour. D4 made the most interventions (65), for an average of 21.7 per hour. A1 only made three interventions during a two hour period for an average of 1.5 per hour. However, as has been stated previously, the number of interventions made by an individual facilitator could have been influenced by the individual's preference for performing an activity; the individual's perception of the role; the organizational culture; or, the team's need at any given point in time.

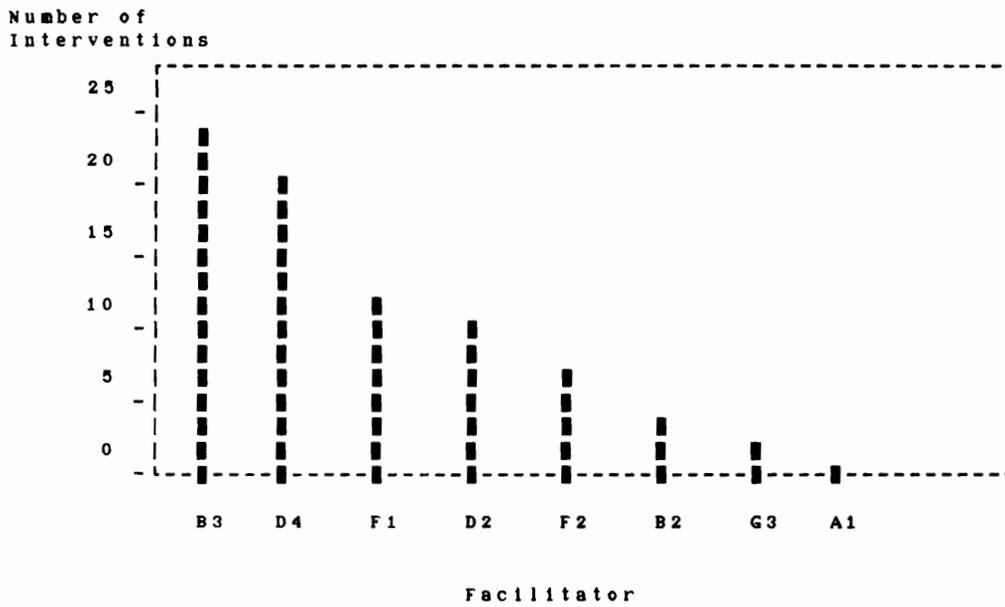


Figure 4.  
Average Number of Interventions  
Made by Facilitators Per  
Hour During Observations

### Summary

This chapter discussed the findings from research conducted on the facilitation process used by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service. Findings were organized around two study questions:

1) What are the competencies used by individuals who are currently functioning as "facilitators" for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service?

2) How do these identified competencies contribute to the individual's performance in their role?

The final chapter discusses conclusions and recommendations.

CHAPTER 5  
CONCLUSIONS AND RECOMMENDATIONS

In CHAPTER 4, the results of an analytical study of the "facilitation process" used by individuals functioning as facilitators for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service, were organized around the following research questions:

1) What are the competencies used by individuals who are currently functioning as "facilitators" for Quality Improvement Teams and/or Quality Councils in the Internal Revenue Service?

2) How do these identified competencies contribute to the individual's performance in their role?

The purpose of this chapter is to discuss the conclusions drawn from these findings, and to offer recommendations for future study. Figure 5 depicts the interrelationship of the study's conclusions.

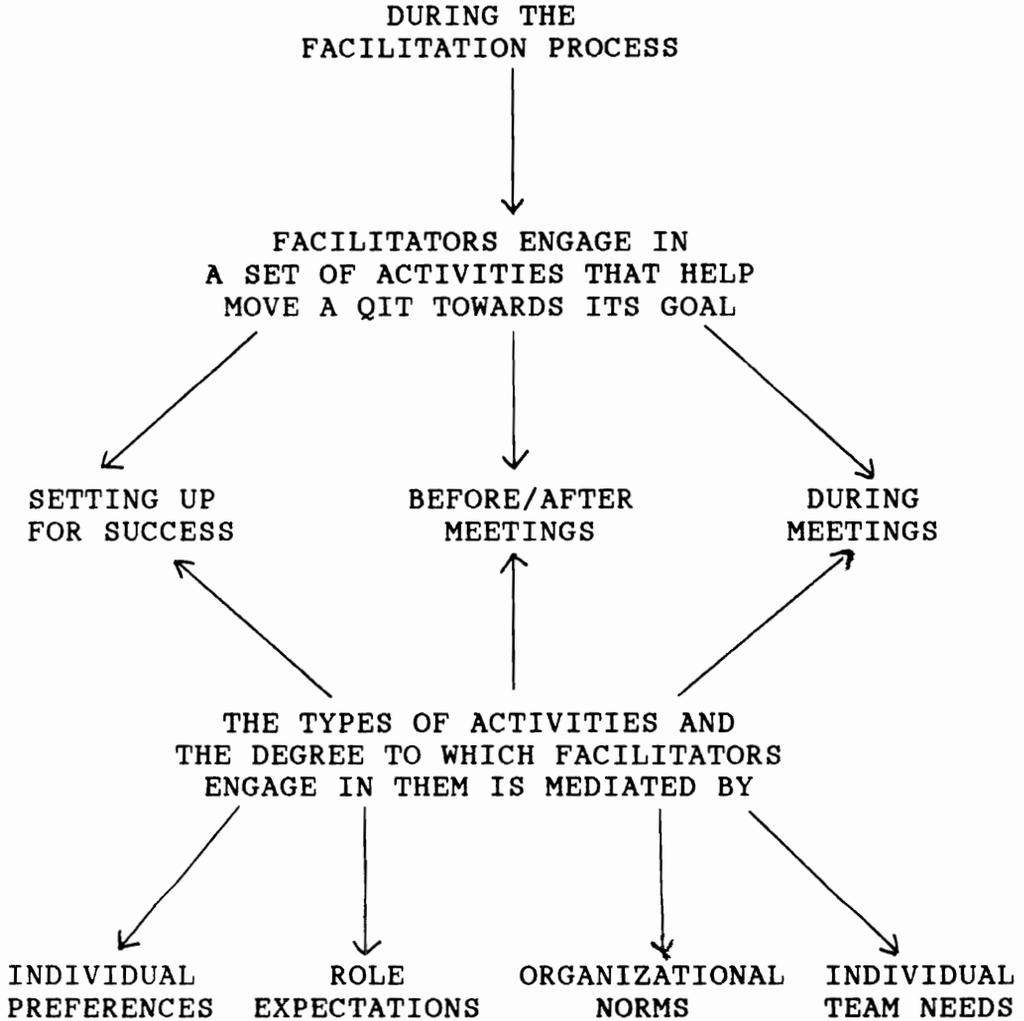


Figure 5.  
Interrelationship of Study Conclusions

### Competencies Used By Facilitators

During data analysis, the 28 types of activities engaged in by facilitators were broken down into two broad groups--task functions (i.e., activities directly related to getting the task done) and maintenance functions (activities dealing with how the group worked together to accomplish the task).

There was no consistency in the types of activities that each facilitator performed, nor in the frequency that those activities were performed by each facilitator (See Tables 5, 6 and 7 and Figure 4 in CHAPTER 4).

According to brief role descriptions in the IRS/NTEU Quality Improvement Facilitator/Team Leader/Team Member Training Manual (1987), facilitators were supposed to focus on group dynamics to ensure that the team worked together effectively. On the other hand, team leaders were supposed to focus on the task or the content, i.e., planning and conducting meetings and leading the team through the problem-solving process.

However, findings from this study demonstrate that overall, many of the facilitators engaged extensively in the task functions. In other words, they performed a number of the tasks that according to the training

materials described in Chapter 1, were allocated to the team leader.

One plausible explanation for the inconsistency lies in the fact that no substantive guidelines exist for the facilitator role. During the Needs Assessment (1988), training was described as inadequate. Therefore, individual facilitators may have been influenced by their own personality type or brain dominance preferences, hence selecting those activities that they felt most comfortable with. Or, the facilitator may have been influenced by a number of other variables including others' perceptions of what the role consisted of.

A third possibility could be that individual offices, consciously or unconsciously, may have established their own criteria for the facilitator role. These criteria could be a reflection of that office's cultural norms as opposed to some universal norms. If so, facilitators within those offices may have reflected more of the office's normative behavior than their own preferences.

Finally, each team may have had different needs, hence causing the facilitator to modify his or her behavior according to the context. For example, one team

could have had a number of individuals that did not get along, hence generating group dynamics problems. Another could have been in an earlier stage of development and therefore needed more attention from the facilitator. Some teams may have had strong team leaders or team members that were operating from an "empowered" position.

In summary, there was considerable evidence to support the lack of any consistency in the types of activities performed or competencies utilized by the facilitators. Any of the four conditions identified above could have contributed to the lack of consistency.

#### Impact of Competencies on Role Performance

There was not only an inconsistency in the number and types of activities that a facilitator engaged in, but the number and types of activities that each engaged in appeared to have no impact on how each facilitator was perceived by nominators, team leaders, team members and others vis-a-vis success. In fact, the only activity that was uniformly observed or mentioned as a key to success for all eight facilitators in the study was the ability of the facilitator to establish rapport with team leaders and team members. For the most part, activities

engaged in appeared to be consciously or unconsciously determined by each facilitator based on any of the four conditions mentioned above.

In summary, it can be said that while individuals with diverse preferences were identified as "successful" facilitators, there was no consensus as to what constituted "successful facilitation" in the IRS.

#### Recommendations for Practice

Based on the conclusions mentioned above, several recommendations seem appropriate vis-a-vis identification of successful practices, clarification of the facilitator role, selection of individuals as facilitators, and future training.

From the perspective of this researcher, a prerequisite to clarification of the facilitator role is to specify the desired outcome. In this case, the desired outcome is "successful teams."

Theoretically, teams will be successful if they work together efficiently, use the problem-solving tools and techniques effectively, and have the appropriate support. A simplistic response is that the facilitator's role should be one of helping teams to be successful.

However, experience has shown that specific guidelines are needed to define what this means. Therefore, it is recommended that the Successful Practices Model (Table 8) be adopted.

#### Successful Practices Model (SPM)

The proposed Successful Practices Model (SPM) consists of three components each of which specifies the types of activities that assist a team in moving successfully through the problem-solving process. The three components are: Setting Up For Success, Before and After Meetings, and During Meetings. The types of activities discussed in this model are covered in depth in CHAPTER 4. In this model, the facilitator's role becomes one of working with the team leader and the team members to assure that the activities are accomplished. Ideally, the facilitator should strive to empower the team and the team leader as quickly as possible to perform the activities themselves.

Table 8

Successful Practices Model (SPM)Setting Up for Success

Roles and responsibilities  
 Ground rules and operating  
 procedures  
 Realistic agendas  
 Room set-up

Before/After Meetings

Meeting critiques  
 Pre-planning meetings  
 Follow-up  
 Preparation for meetings  
 Information gathering  
 Dealing with group dynamics  
 Identifying additional  
 resources

During Meetings

Charts during meetings  
 Asks for reasons behind  
 conclusions drawn  
 Follows PSP  
 Suggests group develop a  
 plan or outline  
 Suggests time frames  
 Refocuses when off track  
 Suggests procedures  
 Encourages full  
 participation  
 Makes other appropriate  
 interventions

Summarizes various ideas  
 Points out relationships  
 between facts/opinions  
 Asks questions to clarify  
 Teaches PSP, T&T during  
 meetings  
 Supports others ideas  
 Tests for consensus  
 Tries to find agreement  
 in conflicting points  
 Gives examples to  
 illustrate

### Clarification of the Facilitator Role

Webster defines facilitate as: "to make easier or less difficult; help forward (an action)." In CHAPTER 1, the definition given for the facilitation process included: "the behaviors or activities performed by an individual, usually the facilitator, in order to assist a QIT as it moves through the problem-solving process; or a Quality Council in its decision making process."

During the past two decades, at least three distinct approaches to facilitation of quality improvement teams have evolved: the Quality Circle Approach, the Quality Improvement Team Approach, and the Self-Managing Team Approach (see Chapter 2, pgs. 58-64).

The first issue to be resolved is, "What role does the facilitator play in helping the team to be successful?" It is recommended that the facilitator assume the role as described in the Self Managing Team Approach.

As such, emphasis needs to shift dramatically. The facilitator should be viewed primarily as a "coach", i.e., one who helps, encourages, teaches, and supports. This role needs to be clearly defined and operationalized, and specific training needs to be

developed to teach individuals how to function as a coach instead of in the myriad of ways that they are now performing.

#### Characteristics of Successful Facilitators

There was no consensus in the IRS as to what constituted successful facilitation. It has already been established that this is primarily due to lack of guidelines to define success. Some research has described successful OD consultants as empathetic, sensitive, open and tolerant, concerned about others, flexible, patient, friendly and cooperative. They were also depicted as tending to develop and use information, wanting to understand "why", being intuitive and imaginative, self-reliant, spontaneous, bold, risk taking and initiating (Hamilton, 1988).

These criteria may also be useful for developing criteria for successful facilitators of Quality Improvement Teams or Quality Councils. In spite of the diversity of participation in certain activities, facilitators appeared to be required to perform in a wide range circumstances.

Individuals should be encouraged to self nominate and discuss their interests as well as qualifications for the role. This self nomination should be supported by at least two others, one manager and one other, both of whom should have direct knowledge of what the role consists of as well as the nominee's potential for filling the role.

In addition, individuals seeking to become facilitators should complete some type of self assessment that may include one or both of the instruments used for this study (the Myers-Briggs Type Indicator and/or the Herrmann Brain Dominance Instrument) along with an assessment of their relative knowledge, skills or abilities in the competencies needed to be a successful facilitator.

Results should be discussed with the nominee to determine the extent to which there is a good match between the role that the facilitator is required to play, and the individual's preferences and current level of knowledge, skills and abilities (KSAs). If there are major discrepancies between the individual's preferences and the requirements for the role, the individual should be encouraged to fill a different role, e.g., a team leader or team member. After selection, the facilitator

should receive specific training as described in a subsequent section of this chapter.

### Training for Facilitators

In order to prepare facilitators for their new role, specific training needs to be developed. This training should at minimum consist of the following:

1. The facilitator's responsibilities with regard to empowering the team leader and team members to work efficiently and effectively to solve problems.

2. The types of activities that enable a team to move successfully through the problem-solving process (see Successful Practices Model, Table 8).

3. Quality Improvement Tools and Techniques and systematic problem-solving.

The overriding theme should be the role that the facilitator should play, i.e., to act as a coach, to focus on the group problem-solving process and on how decisions are made. Facilitators need to be taught when and how to make appropriate interventions.

Some recommended points to cover during training include: empowering teams as quickly as possible in order to become self-managing; promoting open

communications (e.g., encouraging participation by all, providing positive feedback, listening to all contributions, responding appropriately to emotional concerns, and protecting participants ideas from attack); establishing a risk-taking environment; helping to develop and ensure maintenance of ground rules and operating procedures; checking for consensus; helping team members evaluate progress; and intervening when necessary to protect and sustain the group process.

Finally, if facilitators are to be successful, they must have knowledge of the quality improvement tools and techniques and how to apply them in systematic problem-solving. In the present study, the researcher noted several instances where the team was foundering, using the wrong tool or procedure, or were otherwise on the wrong track. Yet, the facilitator did nothing to address the problem.

### Evaluative Mechanisms

In order to determine success in any endeavor, one must have some evaluative mechanism. It is recommended that evaluations be conducted on three different levels: 1) the training itself; 2) how the facilitator is

perceived as performing in the role; and, 3) how successful the teams are. Thus by collecting and analyzing data from three different sources, one can make better determinations concerning what is going on.

Evaluation criteria for the training should include content as well as process, i.e., what is covered as well as how it is covered. Data should then be used to continuously improve the training. For example, two of the major criticisms of the existing IRS training included the delivery (how the materials were delivered) and the scope (not enough attention was given to certain topics).

In order to evaluate facilitators, valid criteria based on the role responsibilities needs to be established. The criteria should also include content and process (i.e., what the facilitator is doing and how well he/she is doing it).

Finally, some criteria that can be used to determine how effectively and efficiently teams are solving problems should be established. In other words, if teams are taking an inordinate amount of time during a particular step, data may reveal causal propositions such as no or improper training for team members or

ineffective facilitation. Therefore, it is hypothesized that there is a causal linkage between the type of training received, the skill of the facilitator and success of teams.

#### Recommendations for Future Research

The purpose of this research was to study the facilitation process used by individuals functioning as facilitators for Quality Improvement Teams or Quality Councils in the Internal Revenue Service. The intent was to develop a theoretical model that could be explored further. For example, research needs to be conducted concerning the nature of successful facilitation; the degree to which personality type, brain dominance preferences or other characteristics affect successful facilitation; and, the extent to which individuals are able to acquire skills in less preferred modes.

It is further recommended that correlational studies be conducted to determine how the organizational culture affects the role expectations of the facilitator and team leader, or how the expectations of role and preferences for engaging in certain activities affect the actual activities that facilitators will engage in.

As mentioned above, it is hypothesized that the success of a team may be causally linked to training and the skill of individual facilitators. Therefore, additional research is suggested to explore the extent to which there is a correlation among these or other factors (e.g., skills of team leaders and team members, management commitment or support).

#### Summary

This chapter discussed conclusions drawn from the findings and recommendations for future action. It presented a conceptual model that represented the interrelationship of the study conclusions, and a Successful Practices Model useful for assisting Quality Improvement Teams in solving organizational problems.

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## APPENDICES

Appendix A  
Letters, Nomination Forms,  
and Approvals



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
WASHINGTON, D.C. 20224

December 28, 1988

Dear Quality Coordinator,

In April 1988, we conducted a major needs assessment/evaluation to determine the effectiveness of the materials currently being used to train team leaders, facilitators and team members. In October, we released the findings along with a plan for what has to be done to address the identified needs. The plan specifically identifies training that needs to be developed or otherwise added to the existing materials, along with other recommendations that included the need to clarify the role of the facilitators as they assist teams in moving effectively through the problem solving process.

In order to develop better training materials, possible selection criteria and ultimately, a "Successful Facilitation Model", we have decided to conduct additional research into the actual process utilized by individuals who are currently functioning as facilitators for problem solving teams.

We feel that this research will not only help IRS in its efforts to implement a successful Quality Improvement Process, but it will also provide valuable data to others who are attempting to implement similar processes. Therefore, some of the data that is being collected will also become part of a dissertation that I am currently completing at Virginia Polytechnical Institute. This has been approved and endorsed by the Assistant Commissioner for Human Resources Management and Support, the Acting Director for Quality, and the Director of Cooperative Efforts for NTEU.

The purpose of this letter is to describe for you the nature of the study and to enlist your cooperation and support. Attached is a brief description of the study along with guidelines and criteria for nominations of successful facilitators. I would appreciate it if you would make arrangements to distribute the attached to all facilitators, team leaders and team members.

If you have any questions concerning this study, please do not hesitate to contact me on FTS 566-9711 or SAM 203-0453. Thank you in advance for your continued cooperation and support.

Sincerely,

Joan Cassidy  
Quality Consultant  
Quality Support Project Team

Attachments

## IDENTIFICATION OF SUCCESSFUL FACILITATION PRACTICES

Purpose: The purpose of this research is identify successful facilitation practices as utilized by individuals who are currently functioning as facilitators for the Quality Improvement Process in the Internal Revenue Service. The results of the data will be used to develop a model of "Successful Facilitation Practices". The data will also be used to develop additional training for facilitators.

Who will conduct the study: This study will be conducted by the Quality Support Project Team. The Quality Support Project Team reports to the Assistant Commissioner for Human Resources Management and Support. One of the responsibilities of the Quality Support Project Team is to develop additional training for facilitators. Joan Cassidy will be the Project Manager. In addition to developing a "Successful Facilitation Practices" model, some of the data that is collected will also be used in a dissertation that Joan is completing at Virginia Tech.

Information on Nominations: Nominations for successful facilitators are being solicited from throughout the IRS. Quality Coordinators, Team Leaders, Team Members, other Facilitators, or anyone else who has direct knowledge of a Facilitator's performance may submit a nomination. A facilitator may be nominated by more than one individual, in fact, we encourage multiple nominations. Individuals who are nominated will be contacted to ascertain if they wish to participate in the study. If they agree, they will be sent additional information.

In order to encourage participation, all nominations will be kept strictly confidential. If a person is selected to participate, however, it will be necessary to collect data from a number of sources. Therefore, it will be necessary for a nominator to provide his/her name and phone number so that he/she can be contacted at a later date for additional information. All subsequent information will also be kept confidential.

Nomination Deadline: The deadline for submissions will be JANUARY 31, 1989. It is important that this date be strictly adhered to in order to complete the research during the allotted timeframe.

Additional Information: Questions concerning this research should be directed to Joan Cassidy, FTS 566-9711 or SAM 203-0453. In order to expedite matters, correspondence should be directed to the following address:

Joan E. Cassidy  
1928 Bronzegate Blvd.  
Silver Spring, MD 20904

Internal Revenue Service  
**memorandum**

December 28, 1988

Quality Coordinators, Facilitators, Team Leaders and Team Members

Joan Cassidy, Quality Support Project Team



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Nominations for Successful Facilitators

Data from the training needs assessment that we conducted in April 1988, indicated that we have some gaps in our Team Leader/Facilitator/Team Member training, especially for facilitators. We have already begun to take steps to remedy this problem. For example, we are investigating several sources for additional facilitator training. We have run one pilot class for "Advanced Facilitation Skills" and in early January, we will be offering another one on "Active Facilitation Skills". Additional training is also being planned.

Since we are also interested in developing a model that will be used to design and develop future training for facilitators, we are interested in identifying individuals who have demonstrated successful facilitation practices.

In order to do this, we need your assistance. Please take a few minutes to read over the attached information. Then, if you know a facilitator who you think is particularly successful, please fill out the attached nomination form and mail it to me at the address indicated on the bottom of the form.

Thank you for your cooperation and support. If you have any questions, please contact me on FTS 566-9711 or SAM 203-0453.

Attachment

## NOMINATION FORM

I have read the information concerning the research study you are conducting and believe that the individual identified below is a particularly successful facilitator.

I understand that if the person I nominate is selected, I may be asked to provide additional information. This will be arranged at my convenience and should not exceed 1 hour.

I also understand that all information that I provide will be held in strictest confidence, and may not be attributed to me directly, unless I so choose.

-----  
I am pleased to nominate: \_\_\_\_\_

He/She may be reached on: \_\_\_\_\_

Please write a brief paragraph that includes specific examples of what you think the person does that makes him/her a particularly successful facilitator. (Attach additional page if necessary):

_____	_____	_____
Signature	Print/Type your name	Date
I may be reached on:	I am a: <input type="checkbox"/> QC <input type="checkbox"/> TL <input type="checkbox"/> Fac.	
_____	<input type="checkbox"/> TM <input type="checkbox"/> Other (Describe: _____)	

-----  
Please mail your nominations to arrive by JANUARY 31, 1989 to:

Joan Cassidy  
1928 Bronzegate Blvd.  
Silver Spring MD 20904

If you have any questions or concerns, please contact Joan on FTS 566-9711 or SAM 203-0453. THANK YOU FOR YOUR COOPERATION.

**INFORMATION FOR PHASE III OF THE STUDY:**

When you complete the materials contained in this package, you will be participating in PHASE II.

After Phase II is completed, data collected from Phase I (the Nomination Phase) and Phase II (MBTI, HBDI and the Demographic and Personal Data Sheet) will be considered in order to select six to eight individuals for the final phase.

During this phase (PHASE III), observations and in-depth interviews will be conducted. Criteria for final selection include personality and brain dominance preferences, geographic distribution, male/female, experience, training, types of facilitation (team/council) and availability.

You were asked on the previous page if you were interested in participating in PHASE III and whether or not I would be able to observe you while you facilitate. If you checked that you were not interested, please disregard the rest of this package.

If you indicated that you are interested and that there would not be a problem in my observing you, please fill out the attached calendar (IF POSSIBLE). What I am trying to find out is when regular meetings are scheduled during the next three months. I realize that dates and events change; however, I am trying to get an idea of who does what, when, so I can begin to plan.

If you need to check with teams or councils before completing this portion, please complete the other items and return them to me as soon as possible. You may send this section later.

If you have any questions, please contact me on FTS 566-9711 or SAM 203-0453. Again, thank you for your participation.



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
WASHINGTON, D.C. 20224

February 7, 1989

Dear

Once again, congratulations on being nominated as a "Successful Facilitator"! Enclosed are the materials that you need to complete for Phase II of this study:

1. Myers-Briggs Type Indicator (MBTI)
2. Herrmann Brain Dominance Instrument (HBDI)
3. Demographic and Personal Data Sheet (DPDS)

If you have taken the MBTI recently and have the results, you may send them to me in lieu of filling out the form again. As soon as I score the MBTI and the HBDI, I will send your results to you along with some background information.

Also enclosed is information concerning Phase III which includes a planning calendar for March, April and May 1989. Since availability is one of the criteria for participation in Phase III, I would appreciate as much information as possible at this time. If you are unable to complete the calendar by the deadline indicated, send the other materials identified above.

Please follow the instructions carefully and return the materials to me as soon as possible, but no later than February 24. I have enclosed mailing envelopes for your convenience.

Thank you for agreeing to participate in this important research study. If you have any questions, please feel free to contact me on FTS 566-9711 or SAM 203-0453.

Sincerely yours,

JOAN E. CASSIDY  
Quality Support Project Team

Enclosures

MBTI:
HBDI:

(LEAVE BLANK)

**DEMOGRAPHIC AND PERSONAL DATA SHEET**

Name: \_\_\_\_\_ Phone No. \_\_\_\_\_  
SAM NO. \_\_\_\_\_

Mailing  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are you a \_\_\_\_\_ full-time or a \_\_\_\_\_ part-time facilitator?

How long have you been a facilitator? \_\_\_\_\_

What did you do before you became a facilitator (i.e.,  
what was your position/function in the organization?)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please describe what training/educational experiences you have had to prepare you for being a facilitator. Include all training/ educational experiences that you feel is relevant. For example, you may have had some training before you became involved in the Quality Improvement Process; or you may have had some college courses that you feel were helpful. Please include the dates (approximate is O.K.) of the training/educational experience. (Attach additional pages if necessary.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

page 2

Name \_\_\_\_\_

Please describe any work experiences that you have had that you feel may have prepared you to be a "successful" facilitator. (Attach additional pages if necessary.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What do you facilitate (i.e., How many QI teams, Lead teams, Councils, Subcouncils, etc.)?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If you facilitate any QI teams, please complete the following for each (Attach additional pages if necessary):

Team	Stage/Step in Process	How long in operation	Ease in facilitating (1 = v. easy to 5 = v. hard. Circle number)				
#1			1	2	3	4	5
#2			1	2	3	4	5
#3			1	2	3	4	5

\_\_\_\_\_

page 3

Name \_\_\_\_\_

If you facilitate any Councils or Subcouncils, please complete the following for each (Attach additional pages if necessary):

Type of Council	How long in operation	How long you have	Ease in facilitating (1 = v. easy to 5 = v. hard. Circle No.)				
#1			1	2	3	4	5
#2			1	2	3	4	5
#3			1	2	3	4	5

What activities related to the facilitator role do you enjoy/like the most? (Attach additional pages if necessary.)

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What activities related to the facilitator role do you like the least? (Attach additional pages if necessary)

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Please use this space to tell me anything else you would like about your role as a facilitator.

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Page 4

Name \_\_\_\_\_

\_\_\_\_\_ I would be \_\_\_\_\_ would not be interested in participating in Phase III.

\_\_\_\_\_ There would not be \_\_\_\_\_ would be a problem in your observing me while I facilitate.

\_\_\_\_\_ I would have to check with my team(s) or councils to get permission for you to observe me facilitate.

THANK YOU FOR COMPLETING THIS DEMOGRAPHIC AND PERSONAL DATA SHEET. PLEASE MAIL YOUR RESPONSES ALONG WITH THE MBTI AND THE HBDI NO LATER THAN **FEBRUARY 24, 1989** TO:

Joan Cassidy  
1928 Bronzagate Blvd.  
Silver Spring, MD 20904

If you have any questions, please contact me on FTS 566-9711, or SAM 203-0453.

APPENDIX B  
Interview Protocols

Facil: \_\_\_\_\_  
Date: \_\_\_\_\_  
Team: \_\_\_\_\_

QUESTIONS FOR FACILITATOR INTERVIEWS:

1. How were you selected? How long have you been the facilitator for this team?
2. How did you get the "problem" to work on? Do you feel that it is appropriate for a QIT?
3. Are there any barriers that you feel keep you from being more successful? the team?
4. Would you prefer a different role? If so, why? Would you want to continue to be involved in the process?
5. What do you feel you do that is most helpful to the team?
6. Is there anything that you do that you feel you should not do? If so, what/why?
7. Ideally, what do you think a Facilitator should/should not do?
8. Do you feel that you, the TL or the team need any additional training? If so, what?

Getting Ready

9. Did you establish ground rules? operating procedures? Are they posted? Does the team follow them?
10. Did you develop a contract with the Team Leader/Team?
11. Did you discuss roles? i.e., who would play what role(s)?  
Any problems?

Prior to Meetings

12. Do you work with the TL or Team to set an agenda for meetings? If so, does the agenda go out ahead of time? Is it posted? Do you stick to it?

13. What do you do with the TL or others before/after the meeting? Do you discuss strategies about what/how to do things?

14. Who handles things like "logistics" or other administrative activities?

15. How are the team notified of meetings? Who decides who needs to be there?

During Meetings

16. Where do you usually sit? What do you usually do?

17. When/why/how do you make interventions?

18. Are flip charts used? If so, for what purpose?

19. Does someone take minutes? Who? How chosen?

20. Do you do any teaching/training either during the meetings or at other times? What? How often?

21. What if anything do you feel you should do differently?

End/After Meetings

23. What happens at the end of the meeting? Is there any kind of critique? If so, who does it?

24. Who decides what needs to be done at the next meeting?

25. What if anything do you do after meetings with TL, TMs or others?

Other

26. What if anything do you think should be changed about your role? the TLs? TMs?

27. Do you think the facilitator role should be full time or part time? Why?

28. On a scale of 1-5, how would you rate your effectiveness as a facilitator?

29. On a scale of 1-5, how would you rate the effectiveness of the team? i.e., how the work together; where they are vs where they should be?

30. Anything else you want to talk about regarding your role, the QIP, etc.?

Date: \_\_\_\_\_  
Facil: \_\_\_\_\_  
T.M.: \_\_\_\_\_

QUESTIONS FOR INTERVIEWS WITH TEAM MEMBERS:

1. How did you get selected? How was your problem selected?
2. How long have you been on the team? How often do you meet?
3. What training have you had to prepare you to work on the team? When? Who gave it? How long did it last? Do you think that you need any additional training? If so, what?
4. Who plays what roles on the team? How were they assigned?
5. Do you have an agenda for the meetings? If so, how is it developed? Do you usually stick to it?
6. Does someone usually take minutes? If so, who? Are they distributed before the meeting? How?
7. Who takes care of the logistics? (getting the room, etc.)
8. What does the Facilitator usually do during the meeting? Before the meeting? After the meeting?
9. In your opinion, is there anything that the facilitator specifically does that makes him or her successful? When does he/she do it? How?
10. Is there anything that the facilitator should do that he/she is not currently doing?
11. Is there anything that the facilitator should not do that he/she is currently doing?
12. Do you think the facilitator role should be full time or part time? Why?

13. On a scale on 1-5, how would you rate the effectiveness of the team? Explain.

14. Are there any particular problems that act as barriers to keep you from being more successful? If so, what are they?

15. Would you want to be on another team? If so, what role would you want to play?

APPENDIX C  
Data Displays, Tables and  
Analysis Summary Sheets

Table 9  
MBTI Summary Scores

I	S	T	J	I	S	F	J	I	N	F	J	I	N	T	J
3	41	23	55	11	59	21	9	45	47	11	11				
5	41	41	45	17	33	15	45								
9	7	1	31	37	21	3	37								
25	19	35	27												
13	43	3	19												
I	S	T	P	I	S	F	P	I	N	F	P	I	N	T	P
29	13	6	43	3	17	17	1	9	41	11	15	39	31	25	13
								1	29	27	33	3	45	33	49
								15	37	1	45	11	7	5	19
												39	51	13	37
												7	23	15	43
E	S	T	P	E	S	F	P	E	N	F	P	E	N	T	P
17	19	53	23					13	29	23	9	31	15	33	51
15	15	17	1					51	47	37	55	35	29	45	51
								9	19	29	13				
								19	12	11	5				
								49	51	9	35				
								37	43	15	41				
								21	24	19	9				
								35	51	13	15				
E	S	T	J	E	S	F	J	E	N	F	J	E	N	T	J
19	31	19	25					35	11	7	15	23	11	7	23
11	31	47	37					43	51	15	7	17	19	19	13
7	37	19	29					29	5	7	31	5	7	3	1
3	17	33	49									21	25	11	25
9	19	31	27									23	11	51	39
X	X	X	X	(Numbers not available)											

Table 9 (continued)  
MBTI Summary Scores

TOTALS: E = 26 I = 19 S = 18 N = 27  
T = 26 F = 19 J = 23 P = 22

ENFP = 8; ESTJ = 6; ISTJ = 5 ENTJ = 5; INTP = 5  
ENFJ = 3; ISFJ = 3; INFP = 3; ENTP = 2; ESTP = 2  
ISTP = 1; ISFP = 1; INFJ = 1

Table 10  
HBDI Summary Scores

MORE LEFT		MORE RIGHT	
<u>Profile</u>	<u>N</u>	<u>Profile</u>	<u>N</u>
1113	= 1	3211	= 1
1122	= 5	2211	= 8
1112	= 8	2111	= 7
1121	= 3	1211	= 1
2122	= 1	2212	= 1
1222	= 1	2221	= 2

---

BALANCED LEFT AND RIGHT

<u>Profile</u>	<u>N</u>	<u>Profile</u>	<u>N</u>
1221	= 3	2112	= 2

---

"WHOLE" BRAINED  
BALANCED IN ALL 4 QUADRANTS

<u>Profile</u>	<u>N</u>
1111	= 1

Table 10 (continued)  
HBDI Summary Scores

1111 = 1	1112 = 8	1113 = 1
1122 = 5	1121 = 3	1221 = 3
1222 = 1	1211 = 1	2211 = 8
2112 = 2	2221 = 2	2122 = 1
2212 = 1	3211 = 1	2111 = 7

Table 11  
 Combined MBTI/HBDI Scores

Nominee	MBTI				HBDI			
	I	N	T	P	2	2	1	1
A1 *	7	23	15	43	39	62	102	111
A2	11	59	21	9	89	116	78	39
A3	13	29	13	9	45	45	101	123
B1	15	15	17	1	65	51	54	111
B2 *	45	47	11	11	48	78	107	77
B3 *	37	21	3	37	98	74	69	32
B4	9	19	31	27	83	92	86	44
C1	51	47	37	55	60	68	84	105
C2	19	31	19	25	89	98	42	53
C4	X	X	X	X **	110	68	59	51
C5	37	43	15	41	35	72	77	104
C6	23	11	7	23	78	101	74	51
C7	35	11	7	15	66	90	68	77
C8	3	45	33	49	66	56	54	126
C9	21	25	11	25	102	75	62	68
C11	3	41	23	55	75	129	53	71
C12	5	7	3	1	36	69	105	71
C13	29	13	6	43	14	50	44	74

Table 11 (continued)  
 MBTI/HBDI Scores

Nominee	MBTI				HBDI			
D1	I	N	F	P	2	1	1	1
	9	41	11	15	60	78	77	80
D2 *	I	S	T	J	1	1	1	2
	5	41	41	45	81	87	69	65
D3	I	N	T	P	1	1	1	1
	39	31	25	13	68	68	71	80
D4 *	E	N	F	P	1	2	2	1
	9	19	21	13	68	56	65	104
E1	E	S	T	J	1	1	2	2
	11	31	47	37	96	107	66	38
E2	E	N	T	J	2	2	1	1
	23	11	51	39	48	65	111	77
E3	E	N	F	J	X	X	X	X
	43	51	15	7				
F1 *	E	S	T	J	1	1	2	1
	X	X	X	X	74	93	63	72
F2 *	E	N	F	P	2	1	1	1
	21	24	19	9	45	72	108	83
F3	E	N	F	P	2	2	1	1
	19	12	11	5	57	59	84	90
F4	E	S	T	P	2	2	1	1
	17	19	53	23	53	56	77	120
F5	E	S	T	J	1	1	1	2
	7	37	19	29	74	96	78	60
G1	I	N	F	P	3	2	1	1
	15	37	1	45	20	60	123	110
G2	E	N	F	P	2	2	1	1
	49	51	9	35	54	47	87	131
G3 *	E	N	T	J	1	1	1	2
	17	19	19	13	102	75	69	48
G5	I	S	T	J	2	1	1	2
	9	7	1	31	60	90	84	57
G6	E	N	F	J	1	1	1	1
	29	5	7	31	75	98	81	50
G7	E	N	T	P	1	1	2	1
	31	15	33	51	68	81	60	102

Table 11 (continued)  
 MBTI/HBDI Scores

Nominee	MBTI				HBDI			
H1	I	S	F	P	2	1	1	2
	3	17	17	1	48	113	89	50
H2	E	N	T	P	2	2	1	1
	35	29	45	51	42	57	78	116
H3	I	N	T	P	2	2	1	2
	11	7	5	19	51	65	122	64
H4	E	S	T	J	1	1	1	2
	3	17	33	49	80	119	68	42
H5	I	S	T	J	1	2	2	2
	25	19	35	27	110	66	44	53
H7	I	S	F	J	1	1	1	1
	17	33	15	45	69	108	65	44
H8	E	N	F	P	1	2	1	1
	35	51	13	15	74	44	92	102
H9	I	N	F	P	2	2	1	1
	1	29	27	33	60	62	75	87
H10	I	N	T	P	3	2	1	1
	39	51	13	37	27	54	102	113
H11	I	S	T	J	1	1	2	2
	13	43	3	19	78	105	65	35

\* = Nominees chosen to become cases.  
 \*\* = Scores not available.

Table 12

## ACTIVITY SUMMARY SHEET

FACILITATOR: \_\_\_\_\_

## C O D E S:

FI = Facilitator Interview  
 TLI = Team Leader Interview  
 TMI = Team Member Interview  
 RO = Researcher Observation  
 NOM = Nomination

---

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

SETTING UP FOR SUCCESS:

1. Clearly establishes roles/  
responsibilities or develops  
contract w/team.

---

2. Helps team establish ground  
rules and/or operating  
procedures.

---

3. Assists in developing  
realistic agendas.

---

4. Handles a variety of  
administrative activities.

---

5. Sets room up for success.

---

6. Teaches PSP, T&T or provides  
mini "refreshers".

---

7. Establishes rapport,  
empathizes with team members.

---

## ACTIVITY SUMMARY SHEET (cont'd)

FACILITATOR: \_\_\_\_\_

## C O D E S:

FI = Facilitator Interview  
 TLI = Team Leader Interview  
 TMI = Team Member Interview  
 RO = Researcher Observation  
 NOM = Nomination

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

BEFORE/AFTER MEETINGS:

8. Meets w/TL before/after meetings to discuss strategies, what needs to be done for meetings.

---

9. Follows up w/TL to ensure things get done.

---

10. Prepares charts/materials for meetings.

---

11. Conducts formal critique of meetings using a structured process to identify positive/negative aspects and strategies for improvement.

---

12. Meets w/TL or others before/after meetings to counsel or deal with group dynamics/interpersonal problems.

---

## ACTIVITY SUMMARY SHEET (cont'd)

FACILITATOR: \_\_\_\_\_

---

C O D E S:

FI = Facilitator Interview  
TLI = Team Leader Interview  
TMI = Team Member Interview  
RO = Researcher Observation  
NOM = Nomination

---

## ACTIVITIES:

SOURCE: \_\_\_\_\_

13. Contacts or meets with others to obtain information or to gain support; or, has others attend meetings as a resource.
- 

DURING MEETINGS:

14. When there is confusion, suggests group develop a plan, outline or chart in order to gather facts and/or analyze issues.
- 
15. Asks for reasons behind conclusions drawn and/or points out relationships between facts and opinions.
- 
16. Refocuses group when off track or going in wrong direction.
- 
17. Provides technical or other information; or, gives specific examples to make a point.
-

## ACTIVITY SUMMARY SHEET (cont'd)

FACILITATOR: \_\_\_\_\_

## C O D E S:

FI = Facilitator Interview  
 TLI = Team Leader Interview  
 TMI = Team Member Interview  
 RO = Researcher Observation  
 NOM = Nomination

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

18. Suggests time frames,  
milestones deadlines.

19. Brings group back to work  
when joking, personal stories,  
or irrelevant talk take too long.

20. Suggests procedures to  
follow; or methods to

21. Charts during meetings.

22. Takes notes during meetings  
for purposes of providing  
feedback to team leader.

23. Supports others ideas,  
actions.

## ACTIVITY SUMMARY SHEET (cont'd)

FACILITATOR: \_\_\_\_\_

---

## C O D E S:

FI = Facilitator Interview  
TLI = Team Leader Interview  
TMI = Team Member Interview  
RO = Researcher Observation  
NOM = Nomination

---

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

24. Encourages members to participate.

---

25. Tries to find agreement in conflicting points of view.

---

26. Promotes or tests for consensus.

---

27. Asks questions to clarify or restates in order to clarify.

---

28. Summarizes progress of group; or pulls together, summarizes various ideas presented.

---

APPENDIX D  
Case Summary: Pilot (D4)

CASE SUMMARY: PILOT (D4)Background

The pilot was conducted in the National Office during which a Lead Team was observed. Lead Teams were usually composed of managers and NTEU representatives from a specific function or Division. Their role was to review broad topics for improvement and narrow them down to specific areas for QITs to work on.

The team had been meeting since August 1987. They currently met once a month for about 3 hours. At the observed meeting, the team leader, the facilitator and 4 members were present. Several members were absent. According to both the facilitator and the team leader there were some problems concerning different "personalities" on the team. For example, the team leader's immediate supervisor was on the team. She was not present at the observed meeting. She (according to the facilitator and team leader) and the team leader had had some problems concerning the team leader's on-going work related responsibilities and this appeared to carry over into the team meetings. (Sometime after the observation, the researcher was informed by the facilitator that the team leader was no longer a part of

the team and in fact had been transferred to another position. The team leader and the facilitator appeared to have an excellent relationship with mutual respect evident both through observation and interviews. The facilitator also seemed to be well respected by the members of the team who were present. Absent members were not available for interviews.

Following is a summary of activities relating to the Pilot Case - D4.

#### Training/Experience

Team members (except for union members who were added later) received team member training which covered the "basics" from the facilitator. The team leader did not feel that they needed any additional training,; however, the facilitator felt that team leaders in particular didn't know how to lead, that they felt that they had to be a dominant force, the "expert". She also felt that team members did not understand their role, and they needed to learn how to "drop the old stuff at the door." She went on to say that she did a lot of teaching during the meetings, especially in the beginning since most of her teams were "inherited"

The team leader had Team Leader/Facilitator training (2 weeks); Quality Leadership Training (3 days); and, Employee Orientation (1/2). The team leader said that he also taught the Employee Orientation.

At the time of the observation, D4 had been a full-time facilitator for about 1 year. She said that her AC area posted several positions for facilitators. She applied and was chosen. She had the Team Leader/Facilitator training in May 1988. She also had facilitator training with the an external organization in order to lead discussion groups. She felt that daily interpersonal work experiences and leading task groups helped her in her role as facilitator.

#### Getting Ready/Setting Up for Success

Team members took turns as minute taker for meetings. The minute taker was responsible for sending the minutes out through the mail several days prior to the next meeting. The facilitator acted as the scribe for capturing data on the flip chart. The team leader and the facilitator shared the responsibility for setting the room up for success. Several flip charts were posted on the wall which included the agenda, a matrix to select problems and other information.

The facilitator said that she informally developed a contract with the team leader. She said that she also discussed what she could do with the team, but not what she couldn't do.

At the end of each meeting, the team develops the agenda including priorities for the next meeting. They begin by assessing where they are and then chart the next steps. The facilitator then meets with the team leader prior to the subsequent meeting to discuss things such as which tools to use, how to present a particular item, or which order to follow. The facilitator said that the team usually stuck to the established agenda.

The facilitator said that they developed ground rules at the beginning, but they were not usually posted. She reported that they used a generic set of ground rules that everyone abided by. These included things such as no cheap shots and speak your own mind.

#### Before/After Meetings

The team leader and the facilitator agreed that they usually met before meetings to discuss the agenda (what needed to be done); to find out if there was anyone that needed to be persuaded; and, to review the minutes. After meetings, they talked about the process in terms of

how things went; whether or not they accomplished what they set out to do; what else needed to be done; group dynamics and personal problems; and, how they felt.

At the end of the meeting, the facilitator led the team in a structured critique. She used a set of questions that they usually answered. Each member took a question and responded to it. Others had the opportunity to comment if they chose to.

#### During Meetings

The facilitator reported that she usually sat at the table (but not at the head) with the team, or near the flip charts when she needed to record some data. She said that she usually clarified things, taught new tools or provided refreshers. She also said that she made interventions when they were going off target; someone was being ignored; they were overreacting; someone was talking too much; for breaks; or, for a violation of the ground rules.

The team leader reported that the facilitator was an active listener and held an active view of participation. He also said that she would wait for someone to intervene, but if they did not, she would. Finally, he said that she was exceptional in providing insight into

the process and that she acted as a resource or brought others in as resources.

In addition to charting throughout the meeting, D4 was observed making numerous and diverse interventions during the meeting. In fact, she was one of the most active of those that were observed. For example, she asked questions to clarify (Item #27), 19 times; supported others ideas (Item #10), 10 times; encouraged others to participate (Item #24), 8 times; promoted or tested for consensus (Item #26), 5 times; summarized progress of group (Item #28), 5 times; and, provided technical or other information (Item #17), 4 times. These interventions and other activities are summarized at the end of this report.

#### MBTI/HBDI Profiles

D4's Myers-Briggs Type Indicator (MBTI) profile reflected preferences characteristic of the ENFP personality type. This type has been described as warm, enthusiastic, high-spirited, ingenious and imaginative. They are able to do almost anything that interests them, and are especially quick with a solution for any difficulty. They are also characterized as ready to help anyone with a problem, often relying on their ability to

improvise instead of preparing in advance. It is also said that they can usually find compelling reasons for whatever they want.

This researcher had extensive opportunity to observe D4 both in the observed meeting and in many other contexts. In most cases, evidence suggests that D4 exhibits many of the same characteristics as the MBTI description for the ENFP personality type. For example, during the observed meeting, D4 asked questions to clarify or restated what someone else had said in order to clarify what was going on (Question #27) 19 times. She was quick to interject something, had excellent rapport with the team, and often pulled the team back on target when they were straying.

D4's HBDI profile reflected a strong preference for the modes of thinking characteristic of the two cerebral modes (Upper Right and Upper Left). Upper Right is generally described as integrative, synthesizing, creative and holistic, whereas Upper Left modes of thinking are logical, analytic, and quantitative. Individuals, such as D4, who demonstrate a double dominance in the cerebral modes, often have the ability to switch back and forth between the two modes as the situation demands.

D4 demonstrated a clear secondary preference for the emotional, interpersonal processing of Lower Right, with her least preferred quadrant as Lower Left (controlled, conservative, and organized).

The MBTI and the HBDI profiles were compatible and consistent with the data collected. In addition to what has already been mentioned, in interviews, D4 said that she would rather be a coordinator, because she has "real good organizational ideas about how to make things work." She also said that she sets "a climate that allows them (the team) to be freer, more creative, more accepting."

In keeping with her preferences, she mentioned that she feels that facilitators should not do what most currently do: arrange rooms, write reports...be a gopher...These types of activities are mostly likely to fall into the Lower Left quadrant which was D4's least preferred mode of thinking. Summary sheets of D4's activities and preferences are provided at the end of this report.

### Barriers

During the interview, D4 said that she felt that managers were not supportive; they were too set in how they did things; they did not feel that they had the

freedom; they were not willing to take chances. All of this behavior is characteristic of a bureaucratic organization and especially one that is characterized as "\_STJ".

The team leader said that he felt that most people had a "lot of stuff on their plate"; there were a lot of problems with travel; they couldn't meet expectations in terms of time frames; most were extremely busy; and, participation could have been better.

## ACTIVITY SUMMARY SHEET

FACILITATOR:  D4 

## C O D E S:

FI = Facilitator Interview  
 TLI = Team Leader Interview  
 TMI = Team Member Interview  
 RO = Researcher Observation  
 NOM = Nomination

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

SETTING UP FOR SUCCESS:

- |   |  |
|---|--|
| 1. Clearly establishes roles/<br>responsibilities or develops<br>contract w/team. | FI - 60, 63-64<br>TLI - 18-19  |
| <hr/>   |  |
| 2. Helps team establish ground<br>rules and/or operating<br>procedures.           | FI - 58-60<br>TLI - 28-29  |
| <hr/>   |  |
| 3. Assists in developing<br>realistic agendas.                                    | FI - 68-73; 115-116<br>TLI - 22-24<br>RO - 14-15; 23-26;<br>336-339; 342-343;<br>356-358 |
| <hr/>   |  |
| 4. Handles a variety of<br>administrative activities.                             | FI - 81<br>TL and TMs Only   |
| <hr/>   |  |
| 5. Sets room up for success.  | FI - 81<br>TLI - 28-29<br>RO - 9-10; 14-15   |
-

## ACTIVITY SUMMARY SHEET (cont'd)

<u>ACTIVITIES:</u>	<u>SOURCE:</u>
6. Teaches PSP, T&T or provides mini "refreshers".	FI - 88; 98-101 RO - 10-12; 133-135; 143-145; 149-152
7. Establishes rapport, empathizes with team members.	RO 4-8; 19-21
<u>BEFORE/AFTER MEETINGS:</u>	
8. Meets w/TL before/after meetings to discuss strategies, what needs to be done for meetings.	FI - 77-78; 116-117 TLI - 38-43
9. Follows up w/TL to ensure things get done.	RO - 388-389
10. Prepares charts/materials for meetings.	RO - 12-13; 54-56
11. Conducts formal critique of meetings using a structured process to identify positive/negative aspects and strategies for improvement.	FI - 112 RO - 358-360; 361-362; 366; 372-373; 376-377; 382-383; 385-386
12. Meets w/TL or others before/after meetings to counsel or deal with group dynamics/interpersonal problems.	FI - 117-118 TLI - 38-40

ACTIVITIES: \_\_\_\_\_ SOURCE: \_\_\_\_\_

DURING MEETINGS:

- 
13. Contacts or meets with others to obtain information or to gain support; or, has others attend meetings as a resource. TLI - 36-37
- 
14. When there is confusion, suggests group develop a plan, outline or chart in order to gather facts and/or analyze issues. RO - 223-224; 213-218; 246-247
- 
15. Asks for reasons behind conclusions drawn and/or points out relationships between facts and opinions. RO - 299-301; 228-229
- 
16. Refocuses group when off track or going in wrong direction. FI - 87; 92-93  
RO - 88-89; 194-196
- 
17. Provides technical or other information; or, gives specific examples to make a point. RO - 30-32; 137-139; 177-178; 243-244
- 
18. Suggests time frames, milestones deadlines. No Data Available
- 
19. Brings group back to work when joking, personal stories, or irrelevant talk take too long. FI - 88-89; 194-196
-

## ACTIVITY SUMMARY SHEET (cont'd)

ACTIVITIES:	SOURCE:
20. Suggests procedures to follow; or methods to organize tasks.	RO - 215-218
21. Charts during meetings.	FI - 92-93 TLI - 18-19 RO - (Throughout)
22. Takes notes during meetings for purposes of providing feedback to team leader.	Does Not Do
23. Supports others ideas, actions.	FI - 88 RO - 68-69; 139; 156-157; 213-218; 226; 256-257; 270-272; 293-294; 394-397; 402
24. Encourages members to participate.	RO - 27-29; 121-123; 160-161; 189-190; 205-208; 361-362; 366; 372-373
25. Tries to find agreement in conflicting points of view.	FI - 92-93 RO - 44-45; 65-66
26. Promotes or tests for consensus.	RO - 53-53; 75-77; 201-203; 209-210; 246-247

## ACTIVITY SUMMARY SHEET (cont'd)

ACTIVITIES:	SOURCE:
27. Asks questions to clarify or restates in order to clarify.	RO - 16-18; 36-37; 45-47; 68-69; 82-83; 91-92; 96-97; 112- 113; 118-119; 156- 157; 228-229; 241- 242; 250-251; 253- 254; 272; 296-298; 305-306; 323-325
28. Summarizes progress of group; or pulls together, summarizes various ideas presented.	RO - 185-186; 275-276; 286-288; 296-298; 297-298

Team Meeting - 2/3/89 (Pilot) Facilitator: D4

1 The meeting began around 9:00 A.M. The facilitator,  
2 team leader and four members were present.

3 The facilitator opened the meeting and introduced  
4 the observers (the researcher and a management intern  
5 who was working with the researcher on various quality  
6 issues), explained why they were present and had the  
7 members introduce themselves.

8 The facilitator put a flip chart paper on the wall  
9 at the beginning. She gave a brief explanation re  
10 select problem matrix (criteria for selecting the  
11 problem). She also brought an example that she handed  
12 out.

13 The agenda was also posted: To get PS matrix  
14 completed.

15 The facilitator tried to clarify by asking a  
16 question re: "If we lump together...will we still  
17 get....?"

18 Another member came in late. The facilitator  
19 introduced him to the observers and explained why they  
20 were present.

21 The facilitator asked who would take minutes and  
22 the TL volunteered. The facilitator then asked the  
23 team what needed to be done during the meeting (she  
24 proceeded to set the agenda and clarify what they were  
25 going to do).

26 Next, the facilitator asked the previous minute  
27 taker to share the minutes with the group and the group  
28 began to make pen and ink changes.

29 The facilitator asked TM #1 if she was present  
30 when the team did a certain task, and then explained  
31 what the handouts were.

32 TM #2 made the comment that if they were going to talk  
33 about the problem statement, everyone should be  
34 present. It was agreed that he would go and call the  
35 missing member.

36 The TL asked the facilitator for guidance in which way  
37 to proceed and she responded.

38 The facilitator clarified what they would be doing  
39 and she asked the team "Did we discuss...?"

40 TM #2 returned with information concerning the missing  
41 member. He said that she would not be able to attend  
42 because the Branch Chief said she could not come  
43 because of the Quarterly review.

44 There were several exchanges among the members, the TL  
45 and the facilitator about what to do.

46 They continued to go through the minutes with the  
47 facilitator asking for agreement/disagreement. She  
48 then raised a question about a certain item by asking,  
49 "Is this something we can/can't do?"

50 TM #2 responded with a lengthy explanation. The TL and  
51 other TMs exchanged comments with TM #2.

52 The facilitator responded with, "I saw that and  
53 thought it might be something the team could take care  
54 of." She went around the table and asked for  
55 consensus.

56 The facilitator asked the TL, "Did you have  
57 something to hand out?" The TL responded that the team  
58 already had the handout.

59 TM #2 disagreed about the availability of training and  
60 asked TM #4 to "soften" the comments. He went on to  
61 say that it wasn't that it was not available, but that  
62 people just didn't know about it.

63 TM #4 responded and there were several exchanges among  
64 the TL and TMs #1 and #4.

65 TM #1 asked the TL if they should change it and the TL  
66 said maybe they could agree to a pen and ink change.

67 The facilitator intervened and said "Could we  
68 say....?" (trying to get agreement).

69 #1 suggested a change in the language to use for what  
70 he wanted and added to the facilitator's suggestion.

71 TM #4 agreed and the TL read his statement saying that  
72 what he heard was, "....." and then asked for buy-in.

73 The facilitator tried to further clarify and said  
74 that the TL had left out part of TM #1's statement.

75 The TL and TM #1 went back and forth to clarify and TM  
76 #4 said "O.K., the reason I wrote it that way was ..."

77 TM #1 replied, "I understand, but when....I know I will  
78 be on that QIP team and it is important to have the  
79 historical reason why the change was made."

80 The facilitator turned to TM #4 and asked, "Is  
81 that O.K. with you?" and TM #4 responded, "Yes", and  
82 added some additional comments.

83 TM #1 then added, "But that's what this was for..."

84 The TL in supporting TM #4 made two statements and said  
85 that he understood both sides.

86 TM #1 made additional suggestions.

87 Facilitator asked a clarifying question and made  
88 the statement, "I think that's what we talked about."  
89 She then made a comment (jokingly) to TM #4 about being  
90 too scared to ask for emergency travel because of \_\_\_\_.

91 TM #4 began a digression to discuss the imprest fund.  
92 There were several good natured exchanges on the topic.

93 The facilitator refocused the group by saying,  
94 "Shall we get to advances?"

95 The TL added, "I only think we might add..."

96 The facilitator asked for clarification from the  
97 TL and said, "You want something added...?"

98 The TL then responded, "I guess I can live with this."

99 TM #4 discussed the next item in the minutes and said,  
100 "There is a policy, people are just not following it."  
101 The TL added, "...and we're not enforcing it."

102 TM #1 made an additional comment about what should be  
103 done.

104 The facilitator intervened by asking, "What  
105 message do we want to send to the team?"

106 TM #4 gave the message he would like and proceeded to  
107 say, "I can give mine, TM #1 can give his, but unless  
108 the man upstairs goes along, it's a waste of time."

109 TM #1 responded with, "How about if we say...no  
110 consistent application? Then turned to the TL and  
111 asked, "What do you think?"

112 The TL gave his version. TM #1 asked, "Can we  
113 summarize by saying...?", and the TL asked, "Do you  
114 want to insert...?"

115 TM #1 replied, "Yes" and TM #4 said, "Maybe we should  
116 scratch..." The TL and TM #1 made additional  
117 comments.

118 The facilitator then intervened by saying, "O.K.,  
119 What about...?"

120 TM #4 made a comment and the facilitator said,  
121 "I'm sorry. What was that?" TM #4 responded.

122 The TL then asked TM #1 for his "O.K." and TM #1 said,  
123 "I talk too much." He then went on to say, "TM #4  
124 wrote this, I like it, it's more creative."

125 The TL, TMs #4 and #1 had several exchanges.

126 The facilitator then asked TM #4, "I don't  
127 remember talking about this. Did we do this early?"

128 TM #4 responded, "Yes....Shall we have this retyped?"

129 The facilitator asked, "Did you get all the  
130 changes?" Then turned to the TL, "Will you have the  
131 secretary do this?"

132 This was followed by several exchanges as to how it  
133 would be done--on the PC or typewriter.

134 At 9:50, the Facilitator asked if the group wanted  
135 a break. It was agreed to go until 10:05. (During the

136 break, the observer asked the facilitator why TM #3 did  
137 not participate. She explained that TM #3 was a  
138 clerical person; that she was the union representative  
139 and often felt that she did not have the knowledge or  
140 skills to do so.)

141 At 10:07 the meeting was reconvened by the TL  
142 immediately after which he asked for the facilitator's  
143 help.

144 The facilitator said she would be happy to help.  
145 She gave an explanation of the activity and then some  
146 examples.

147 The TL asked a question.

148 The facilitator responded, "Right", and continued  
149 with the explanation. She gave another example and  
150 said, "Like when TM #3 said...."

151 TM #3 shook her head in the affirmative a few times.

152 TM #1 made a comment about the problem statement and  
153 asked how long they should be.

154 The facilitator replied, "The problem statement  
155 can be like the one you were sent--half a page. The  
156 team will take the problem statement and massage it.

157 TM #1 and the TL exchanged several comments re the  
158 development of problem statements--particularly vis-a-  
159 vis "standards".

160 The facilitator made a statement re: problems to  
161 explain how to develop a problem statement; to help the  
162 team get an idea of how to develop a "manageable"  
163 problem.

164 The TL made a comment to the team about developing  
165 problem statements and continued discussing matrices  
166 and what they were used for.

167 The facilitator made an intervention by saying,  
168 "If I heard TM #1 correctly...you have gotten down to  
169 2?"

170 The TL responded.

171           The facilitator then said to the team, "Is this  
172 what you want to do?"

173           The TL asked the team - "Did we come to agreement that  
174 we have 2?"

175           TM #3 did not have the handout. Facilitator asked  
176 TM #1 to share with her.

177           TM #4 asked TM #1, "Which 2 do you think?" and TM #1  
178 responded. TM #4 was attentive and responded with  
179 positive body language.

180           The TM #4 said, "I just wonder...the fact that you all  
181 have problems upstairs in processing....could we...?  
182 (asked a clarifying question)

183           The TL responded with, "Sounds circular to me."

184           TM tried to clarify by saying, "I think he's saying..."  
185 and TMs #1 and #4 had several exchanges.

186           The TL made some comments to continue the discussion.

187           TM #4 continued with positive body language from both  
188 TM #1 and the TL.

189           The TL then looked quizzical and said, "No, I think it  
190 would help, but not necessarily."

191           TM #1 added more comments.

192           The facilitator added, "We may have done an  
193 injustice by combining..."

194           TM #1 and the TL had several more exchanges. Then TL  
195 and the facilitator exchanged several comments which  
196 showed good rapport.

197           Several more exchanges concerning standards followed  
198 between TMs #1 and #4, and finally TM #3 asked a  
199 question.

200           The facilitator responded with, "It sounds like  
201 you have several standards that conflict..."

202 The TL and the facilitator then had several more  
203 exchanges and the facilitator again tried to clarify  
204 ending with "...lots of discrepancies."

205 TM #1 gave several examples re statistics to process  
206 travel vouchers.  
207 The facilitator asked TM #3, "Do you answer calls  
208 re travel vouchers?"

209 TM #3 responded, "No." The TL made a comment and TM #3  
210 added "I get the tail end."

211 The group continued with several exchanges.

212 The facilitator finally said, "Can we refocus? I  
213 want to get a problem statement sometime this year."  
214 (this was done in a joking fashion.)

215 TM #4 said, "That's the problem."

216 The TL called for consensus and said, "Would you be  
217 willing to try for a problem statement that had both  
218 and then test them...?"

219 The facilitator asked, "Does the team want to try  
220 that? Shall we do it as a group? The team answered  
221 "Yes".

222 The facilitator got up and went to the flipchart.  
223 "Which one do we want to start with?" (She then went  
224 over to TM #3 and tried to get her involved. She asked  
225 her to suggest which one, made a joke and placed her  
226 hand on her shoulder, trying to draw her in.)

227 TM #3 made a suggestion and the Facilitator asked  
228 the group, "Is that O.K.?"

229 The TL replied, "I wouldn't mind trying to combine to  
230 see if it's doable."

231 The facilitator charted some statements and said  
232 that the group could now develop a problem statement.  
233 She continued by suggesting that they work through it  
234 "piecemeal" to develop the problem statement from the  
235 identified problem. She continued to "lead" the team  
236 in identifying what was wrong.

237           The facilitator finally asked the TL for the  
238 "gap", then tore off the first page and put it on the  
239 wall.

240 The TL made responded.

241           The facilitator asked him to repeat and clarify.  
242 TM #1 gave his version and then TM #4 gave his. The TL  
243 then said, "If you lumped together..." and TM #1 said  
244 "Oh, boy..." and proceeded to disagree.

245           The facilitator made an intervention by saying,  
246 "Could we just get this down?"

247 TM #1 asked, "You mean brainstorming?"

248           The facilitator responded with, "Yes".

249 TM #4 continued while facilitator charted.

250           The facilitator then turned to TM #1 and asked,  
251 "What are you not comfortable with TM #1?"

252 TM #1 answered and then turned to TM #3 and said, "You  
253 are probably the best person to do this..."

254 TM #3 shook her head positively and TM #1 continued,  
255 "This is the basic scenario (TM #3 continued to respond  
256 non-verbally).

257 The TL interjected, "What I was saying..."

258           The facilitator continued to chart during the  
259 discussion.

260 The TL gave a lengthy discussion on the topic and asked  
261 for clarification from the facilitator at one point re  
262 the use of "...results in..."

263           The facilitator trying to clarify, asked him, "Are  
264 you saying...a standard...?"

265 TM #1 intervened by saying, "It's a policy, not a  
266 standard."

267 The TL continued re the benefit of filing early.

268           The facilitator continued to clarify the  
269 difference between policy and standard.

270 Several more exchanges followed.

271           The facilitator then charted "policy" and asked if  
272 it was correct. There was agreement.

273 TM #4 responded, "But the policy is not being adhered  
274 to."

275           The facilitator asked, "Do we know that X% are not  
276 filed before 15 days?"

277 Several answered at once.

278           The facilitator then read something and asked if  
279 it was correct.

280 The group all responded, "Good."

281           The facilitator replied, "Well, you all said it, I  
282 just put it down." She then asked for the next step.

283 The TL said, "Let me try...."

284 TM #1 responded with, "I think that's an implied  
285 statement. Can we restate...?"

286 The TL continued to respond to TM #1 and elaborate,  
287 "Can we say something like...?"

288 TM #1 said, "...gives some technical information...What  
289 I don't like about your statement is...(to TL).

290 TM #4 asked, "Can we...(and gave some technical data)".

291 TM #1 responded with some examples and the TL said, "I  
292 don't agree."

293 The TL then discussed the "first-in, first-out"  
294 syndrome.

295           The facilitator intervened by saying, "I think I  
296 agree with what all of you are saying..." (She tried  
297 to clarify).

298 TM #1 added to her statements and gave reasons why the  
299 TL didn't agree.

300 The facilitator continued to try to clarify.

301 The TL and TM #1 continued to work through the language  
302 to use and TM #4 added to the discussion.

303 Finally, the facilitator said, "Let's do that."  
304 (She charted what they were saying.)

305 The TL said to TM #4, "You're on a roll."

306 TM #4 continued then asked the TL, "Did I miss the  
307 roll?"

308 TM #1 responded, "You slowed down." (Laughter)

309 Several more exchanges occurred between the TL, TMs #1  
310 and #4.

311 The TL then asked TM #1, "Can we do....?"

312 TM #1 replied, "I don't know if I have that data.."

313 The TL and TM #1 made additional comments.

314 The facilitator intervened by saying, "If I hear  
315 what you are saying..." (She proceeded to point out  
316 several facts and helped to refocus and synthesize).

317 The TL made several comments.

318 The facilitator continued to chart.

319 TM #1 said, "That's not part of the problem statement."

320 The TL added, "I didn't say it takes too long..."

321 The facilitator reinforced what TM #1 was saying,  
322 and restated what had been said.

323 The TL made additional technical comments.

324 The facilitator then said, "O.K., Let me get this  
325 down and we'll go back to it." (She asked for  
326 clarification as she wrote.)

327 The TL and TM #1 exchanged comments re content.

328 The facilitator continued to ask for clarification  
329 while writing and the TL and TM #1 responded.

330 The facilitator then said, "When I see this, my  
331 fears are...of what we're saying is..." She then  
332 pointed out problems with what they had come up with.

333 TM #1 explained why he had concerns about the  
334 statement. He pointed out issues such as "staffing  
335 problem".

336 The facilitator responded with, "O.K., but the  
337 first one is true, right?"

338 The TL interjected, "Lack of standards for..."

339 TM #1 continued, "Since there are no standards, the  
340 perception is..."

341 The TL continued talking.

342 TM #1 turned to TMs #3 and #4 and asked, "What do you  
343 think?"

344 TM #3 said, "I agree", and TM #4 shook his head  
345 affirmatively.

346 TM #3 then said, "I think we need to use the 'S' word"  
347 (meaning staffing).

348 TM #1 asked, "How about if we put it positively instead  
349 of negatively?" (He then restated it.)

350 (At this point a cockroach ran up the wall, the  
351 facilitator squealed, TM #1 got up and smashed it and  
352 TM #4 said, "Our hero!". This was followed by  
353 laughter).

354 The facilitator continued with, "Could we put this  
355 down?" (She went to the flipchart and wrote..."Under  
356 current levels of staffing, workload and procedures."

357 The TL added "systems" and TM #1 made a comment. The  
358 TL then alluded to an industrial engineering problem.

359 TDM #1 said, "TM #4 hasn't said what he has to say  
360 about this." (He pointed to TM #4). TM #4 responded  
361 and gave his reasons for his discomfort.

362 The group continued to exchange several more comments  
363 while the facilitator charted.

364 The TL said, "I don't know if we've violated a rule  
365 about solutions."

366 TM #4 added, "It's going to get worse..."

367 The TL interjected, "Except that, one thing we know..."

368 TM #1 interrupted by saying, "Only a phone call away--  
369 they reach out and touch us..." (Laughter).

370 The facilitator intervened by saying, "We have  
371 about 15 minutes left. We need to discuss the agenda  
372 and debrief. TM #1 and I will be on travel for the  
373 next meeting..."

374 The TL said to the facilitator. "You all should have a  
375 good problem statement by then." (Laughter)

376 The facilitator continued, "We need to discuss how  
377 to handle next week."

378 The TL and TM #4 felt that they should postpone the  
379 meeting, that TM #1's input was essential. The TL  
380 asked for a calendar and the facilitator gave him one.  
381 There was some discussion around available dates.

382 TM #1 suggested that they go ahead and meet and the  
383 facilitator said that she could arrange for someone  
384 else to come in.

385 TM #1 said, "Certainly \_\_\_ & \_\_\_ (two missing team  
386 members) can come."

387 The facilitator then said to #1 (joking) "You  
388 realize #1, they will probably have the problem  
389 statement done by the time we get back."

390 The facilitator continued, "Is there anything else  
391 that needs to go on the agenda besides developing the  
392 problem statement?"

393 TM #4 quickly added,- "Chastise those not here."  
394 (Joking)

395 The facilitator then said, "O.K. Let's do self  
396 critique." She asked TM #3 if she was at the last  
397 meeting. TM #3 responded, "Yes."

398 The facilitator then suggested they each take a  
399 question and go around the room.

400 TM #4 immediately said, "I'll take the first one--Yes,  
401 we followed the agenda."

402 TM #3 asked, "We did? We were to do the matrix..."

403 The facilitator asked TM #3, "What did we do  
404 well?"  
405 TM #3 responded with, "Things to develop problem  
406 statement."

407 TM #1 said, "We need to focus in more on the job at  
408 hand. We have too many side stories that tend to use  
409 too much time."

410 The facilitator asked, "Did anyone feel that  
411 his/her side was not listened to?"

412 The TL said, "Yea, me." (jokingly). Then added, "No,  
413 not really."

414 The facilitator then asked, "What specific  
415 behaviors helped the group achieve the goal?"

416 TM #4 responded, "I think the group is not afraid to  
417 speak out; to share different experiences; different  
418 things they can use. Even though we get sidetracked, I  
419 think what we do well."

420 The facilitator then asked, "What specific  
421 behavior caused the group to get off track?"

422 TM #3 responded, "It's hard to stay on track."

423 The facilitator asked, "What can we do? Do I need  
424 to crack a whip?" (joking)

425 TM #1 responded, "Being supportive of decisions."

426           Finally, the facilitator asked, "Any concerns in  
427 the group re quorum?"

428 The TL replied, "It's annoying."

429           The facilitator asked, "Are you still doing  
430 follow-up/reminder?"

431 TM #4 replied, "The TL did it." The TL said, "It  
432 probably didn't make any difference."

433 TM #1 added, "It's not unique to this team, or anything  
434 else. It's tough, irritating."

435           The facilitator commiserated, "I agree. It is  
436 difficult. It's not necessarily commitment. Lot's of  
437 things are happening." She then asked, "Any other  
438 thoughts?"

439 The TL said to the facilitator, "You did a great job!"

440 TM #4 added, "Ditto."

441 TM #3 added, "I would like to have more input, but I  
442 don't travel and don't know the rules/procedures."

443           The facilitator made some supporting comments.

444 The rest of the team added support for TM #3 and told  
445 her to ask if she didn't understand, etc.

446 The meeting then adjourned about 12:00 P.M.

Facilitator: D4  
 Date: 2/3/89  
 Team: Lead

QUESTIONS FOR FACILITATOR INTERVIEWS:

- 1 1. How were you selected? How long have you been the  
 2 facilitator for this team?
- 3 Our AC area posted several positions for facilitators  
 4 and I applied. About a year.
- 5 2. How did you get the "problem" to work on? Do you  
 6 feel that it is appropriate for a QIT?
- 7 We are a lead team. The council assigns us broad  
 8 problems and we narrow them down for teams to work on.  
 9 The earlier teams did not always have appropriate  
 10 problems. Now they do.
- 11 3. Are there any barriers that you feel keep you from  
 12 being more successful? the team?
- 13 I like to take over. I would like more control--to  
 14 tell them what's best. Organizationally I think we're  
 15 blessed. We have a lot of freedom. As for the team--  
 16 managers aren't supportive. They are too set in how we  
 17 used to do things. Don't feel they have the freedom.  
 18 Aren't willing to take chances.
- 19 4. Would you prefer a different role? If so, why?  
 20 Would you want to continue to be involved in the  
 21 process?
- 22 Yes. I would rather be a coordinator. I have real  
 23 good organizational ideas about how to make things  
 24 work. I would have more impact. This is the most  
 25 exciting job I've ever had. I would stay in it the  
 26 rest of my career.

27 5. What do you feel you do that is most helpful to the  
28 team?

29 I set a climate that allows them to be freer, more  
30 creative, more accepting.

31 6. Is there anything that you do that you feel you  
32 should not do? If so, what/why?

33 I often impose my beliefs. Kibitz with the team leader  
34 about what they should do. Most team leaders are  
35 unsure, don't know what to do. I see the success of my  
36 team as my success. I can't do that. My success or  
37 failure has nothing to do with them.

38 7. Ideally, what do you think a Facilitator  
39 should/should not do?

40 Should: Set the climate, creativity, trust. Identify  
41 personal problems (process or environment) and quickly  
42 take action. Make everyone feel successful, that their  
43 ideas are heard, and explored. To be true "experts" in  
44 process--so they can tell when an issue or problem  
45 needs to be addressed.

46 Should not: What most currently do: Arrange rooms,  
47 write reports, discuss team issues outside of meetings  
48 (except with the team leader), be a gopher, represent  
49 the team to the Quality Council.

50 8. Do you feel that you, the TL or the team need any  
51 additional training? If so, what?

52 Oh, Yes!

53 Team leaders don't know how to lead. They try to be  
54 too dominant a force. They don't understand that they  
55 don't have to be the expert.

56 Team members don't understand their role. It's a new  
57 process. They need to drop the old stuff at the door.

58 9. Did you establish ground rules? operating  
59 procedures? Are they posted? Does the team follow  
60 them?

61 Yes. They're not posted. We have a set of generic  
62 ground rules that we all abide by and usually follow,  
63 like no cheap shots and speak your mind.

64 10. Did you develop a contract with the Team  
65 Leader/Team?

66 Only informally.

67 11. Did you discuss roles? i.e., who would play what  
68 role(s)? Any problems?

69 We discussed what I could do, but not what I couldn't.  
70 Sometimes.

71 12. Do you work with the TL or Team to set an agenda  
72 for meetings? If so, does the agenda go out ahead of  
73 time? Is it posted? Do you stick to it?

74 The teams set the agenda before they leave. I meet  
75 with the team leader to discuss things beforehand,  
76 e.g., the tools, how to present something, the order to  
77 follow. I let the team set priorities. The agenda is  
78 typed in the minutes, but not posted. They usually  
79 stick to it.

80 13. What do you do with the TL or others before/after  
81 the meeting? Do you discuss strategies about what/how  
82 to do things?

83 If we need to discuss something, get some information.  
84 Not usually.

85 14. Who handles things like "logistics" or other  
86 administrative activities?

87 Team members or team leader.

- 88 15. How are the team notified of meetings? Who decides  
89 who needs to be there?
- 90 It's set up in the agenda. Whoever does the minutes  
91 calls. The whole team.
- 92 16. Where do you usually sit? What do you usually do?  
93 I sit with the team, but not at the head of the table.  
94 Clarify, teach new tool, or provide a refresher.
- 95 17. When/why/how do you make interventions?  
96 When they're going off target; someone is ignored;  
97 they're overreacting; people aren't being heard; or are  
98 talking too much; for breaks; violation of ground  
99 rules.
- 100 18. Are flip charts used? If so, for what purpose?  
101 Yes. To keep focused; to identify agreement/  
102 disagreement; force field analysis.
- 103 19. Does someone take minutes? Who? How chosen?  
104 Yes; rotated by alphabet.
- 105 20. Do you do any teaching/training either during the  
106 meetings or at other times? What? How often?  
107 Yes. Most of my teams were inherited. For my lead  
108 team, I taught about every 3rd meeting. I teach team  
109 leader/facilitator training about twice a year. Other  
110 things about once/month.
- 111 21. What if anything do you feel you should do  
112 differently?  
113 Lots. Put more time into it. Do more research before  
114 I get there. More time and energy into the Council.  
115 Team leaders are rotated every time. But they don't  
116 feel that they need it. They say, "Let's handle it  
117 over the phone." I should be more aggressive. I put  
118 out the idea, if they don't want it, I withdraw.

119 22. What happens at the end of the meeting? Is there  
120 any kind of critique? If so, who does it?

121 I lead a critique. Everyone participates.

122 23. Who decides what needs to be done at the next  
123 meeting?

124 The team. I'll add agenda items through the team  
125 leader if needed.

126 24. What if anything do you do after meetings with TL,  
127 TMs or others?

128 After meetings, we talk about how things went; if we  
129 accomplished what we wanted to; what to do next; group  
130 dynamics; personal problems; how they felt.

131 25. What if anything do you think should be changed  
132 about your role? the TLs? TMs?

133 Facilitator should have more responsibility for leading  
134 the meeting. It would be smoother. The team leader is  
135 too apprehensive. Looks at me too much for what to do.

136 Team leaders should understand roles--it would be a  
137 beginning. They think they are on a task force. They  
138 appear offended when you call them on things like  
139 consensus. There's a we/they mentality.

140 Team members need to drop baggage to realize there's a  
141 new way of doing business. Have more responsibility  
142 for leading team. They see roles as for team leader or  
143 facilitator. They never are empowered. Need better  
144 qualified team members, not whoever's not busy.

145 26. Do you think the facilitator role should be full  
146 time or part time? Why?

147 Full time. There's more credibility. Become more  
148 "expert". Teams view you as a professional when you're  
149 full time.

150 27. On a scale of 1-5, how would you rate your  
151 effectiveness as a facilitator?

152 About a 4. My teams think I've been very effective.  
153 They think I help them. They get good results. I feel  
154 I'm effective in all but one. There are some personal  
155 issues that have not been resolved.

156 28. On a scale of 1-5, how would you rate the  
157 effectiveness of the team? i.e., how the work  
158 together; where they are vs where they should be?

159 3 - I think they would be surprised. They think they  
160 are doing well. I don't think they're embracing the  
161 process. That limits their success.

162 29. Anything else you want to talk about regarding  
163 your role, the QIP, etc.?

164 If I were Queen of Quality, I would zap people into  
165 believing this is here to stay. Skills should be used  
166 everyday. Time and time again this is not happening.  
167 I would like to sit on a team where they don't talk  
168 about what didn't work in the past; how this will  
169 affect their promotion. To be more creative.

Facilitator: D4  
 Date: 2/3/89  
 T.M.: TL

QUESTIONS FOR INTERVIEWS WITH TEAM MEMBERS:

- 1 1. How did you get selected? How was your problem  
 2 selected?
- 3 Not sure. Our director was looking over the functional  
 4 area to determine problems.
- 5 2. How long have you been on the team? How often do  
 6 you meet?
- 7 Since August 1987. Once a month for 2 hours each.
- 8 3. What training have you had to prepare you to work  
 9 on the team? How long did it last? Do you think that  
 10 you need any additional training? If so, what?
- 11 Team Leader/Facilitator training (2 weeks); QLT (3  
 12 days); All Employee Orientation (1/2 day). Also taught  
 13 Employee Orientation.
- 14 No other training needed. The team members had the  
 15 basics, but the union members did not.
- 16 4. Who plays what roles on the team? How were they  
 17 assigned?
- 18 The minute taker role is rotated. The facilitator  
 19 charts.
- 20 5. Do you have an agenda for the meetings? If so, how  
 21 is it developed? Do you usually stick to it?
- 22 Yes. It's the last order of business. We get a status  
 23 report of where we are and then chart the next steps.
- 24 For the most part.
- 25 6. Does someone usually take minutes? If so, who?  
 26 Are they distributed before the meeting? How?

27 Yes. (see #4). They go out ahead of time in the  
28 mail.

29 7. Who takes care of the logistics? (getting the  
30 room, etc.)

31 In the ground rules we had a set schedule and agreed on  
32 time and place--under our control.

33 8. What does the Facilitator usually do during the  
34 meeting? Before the meeting? After the meeting?

35 She is an active listener. She has an active view of  
36 participation. She waits for someone to intervene, if  
37 not, she will. It's not technical, but she acts like a  
38 customer. She's exceptional in providing insight into  
39 the process. She acts as a resource and has others  
40 come sometimes.

41 Before the meeting we meet to discuss the agenda (what  
42 has to be done); to find out if there is anyone that  
43 needs to be persuaded. We review the minutes.

44 After the meeting we talk about the process (what else  
45 needs to be done). She's sharp, has a lot of insights.  
46 Shares about group process and stuff like that.

47 9. In your opinion, is there anything that the  
48 facilitator specifically does that makes him or her  
49 successful? When does he/she do it? How?

50 I feel like she has ownership in group for the process.  
51 She practices "Active Facilitation". She's sharp,  
52 right on top of our stuff. Her knowledge/interest in  
53 group process is well beyond what might be expected.

54 10. Is there anything that the facilitator should do  
55 that he/she is not currently doing?

56 Not really.

57 11. Is there anything that the facilitator should not  
58 do that he/she is currently doing?

59 I really like her style, what she has brought to the  
60 group. She stood out. Sometimes we had to bring in  
61 others. Back in the "dark period" when people

62 (facilitators) were "listeners and scribes", I always  
63 pushed her style as being the way to go.

64 12. Do you think the facilitator role should be full  
65 time or part time? Why?

66 Slight preference for full time. It's probably  
67 something we need to focus on. There are significant  
68 work pressures that intrude on things. Because she  
69 (D4) was full time, she was well prepared, took second  
70 to nobody.

71 13. On a scale on 1-5, how would you rate the  
72 effectiveness of the team? Explain.

73 Somewhere around a 3.5. Most of the people had a lot  
74 of stuff on their plate. Lot of problems with travel.  
75 Can't meet expectations in terms of time frames. Most  
76 are extremely busy; participation could have been  
77 better.

78 14. Are there any particular problems that act as  
79 barriers to keep you from being more successful? If  
80 so, what are they?

81 See #13.

82

83 15. Would you want to be on another team? If so, what  
84 role would you want to play?

85 Yes. Any role. I would feel comfortable in any.

APPENDIX E  
Case Summaries:  
A1, B2, B3, D2, F1, F2, G3

CASE SUMMARY: A1Background

At the time of this observation, Facilitator A1 was a part time facilitator and was only facilitating one QIP team. The team began meeting in January 1988 and was in the first step of the process (Identify Problem). The problem evolved out of a number of different initiatives that were underway in the District. The individual assigned as the team leader (TL) for this team was on a task force that was investigating several of those initiatives. When the District Council decided to assign the problem to a QIP, she was asked to be the TL. She said that she thought she was selected as the TL because she was the only manager in the group. Originally, all 8 of the team members (TMs) were bargaining unit employees; however, two later became managers. Both the TL and the facilitator were managers. Two of the TMs were union stewards, one of whom also served as the District Council Chairperson. The team had another facilitator for about 3 months before A1 took over.

Meetings are held bi-weekly for two hours each. Individuals come from 4 different posts of duty (different cities). Meeting sites are rotated. Whoever

is from the post where the meeting is to be held is responsible for the room arrangements.

During the first meeting, the team decided to assign two additional roles: minute taker and scribe. The minute taker is responsible for taking and disseminating meeting minutes. The scribe is responsible for recording information on flip charts during the meeting. Each week someone volunteers for each of the positions. There does not appear to be any problems with each person taking their turn.

Also during the first meeting, the team developed operating procedures. These included:

- Meetings will be bi-weekly for 2 hours each.
- Rotate locations.
- Be on time.
- Be prepared.
- Participate.
- In case of absence - Call TL.
- Mutual respect.
- QIP - a top priority.
- Decisions - consensus of TMs present.
- Minutes will be recorded.
- Back up TL - Rotational/Volunteer in advance.

These procedures are posted and briefly reviewed at the start of all meetings. There does not appear to be any problem with adherence to these procedures.

In addition to operating procedures, the team, lead by the Team Leader, develops an agenda at the end of each meeting for subsequent meetings. During interviews, all

TMs, the TL and the F agreed that established agendas are realistic, followed and met. This issue will be addressed later in more detail.

### Training/Experience

Facilitator A1 first received QIP training in July 1986 and later received training at Florida Power & Light in October of 1986. She did not receive any other training prior to becoming the facilitator for the team in March 1988. She cites other facilitation experience gained as an EEO officer in which she facilitated complaint resolutions. She also acted as the District QIP facilitator for approximately 4-6 months. She currently holds the position of Supervisory Personnel Specialist.

The TL received 6 days of Team Leader/Facilitator (TL/F) training in November of 1987, approximately 2 months before the team began. Prior to that she received 3 days of Quality Leadership Training (QLT) in March 1987. She feels that she needs more training, especially in "methods". She says that when she had the training, she didn't need the methods, but now does. She said her greatest concern is, "Is this the best way to do this?"

All TMs had 4 days of TL/F training in March 1988, approximately 2 months after the team started meeting. The training was conducted by District and Regional staff. Four of the TMs interviewed felt that they did not need any more training. One team member indicated that he was "just now beginning to relate and understand what's going on" and that "there's got to be a better way". He felt that maybe some "refreshers" would help. He also said, "just give me something to read".

Another TM (#6) who is also a union steward and Chair for the District Quality Council, had the National Office "Orientation for Managers and Stewards" (2 days) and the "IRS Joint Quality Council Orientation" (2 days). He also indicated that he had taught the "Orientation for Employees" and the "Orientation for Managers and Stewards".

TM #6 indicated that he would like to see more training. He said that he "had a terrible fight with the Council to get one day for the Facilitators to get together." When they did, they drafted roles that they felt were appropriate for TLs, Fs, TMs and Council Members and presented them to the Council on the day following the observation. TM #6 also said he would like to get all the TLs together and also TMs, to talk and

share their experiences, to network and to exchange ideas, but this may be difficult to do, due to lack of receptivity by the Council.

#### The Team Leader

The TL appears to be "in charge of the meetings". She calls the meetings to order, keeps things moving and calls for consensus or decisions. During the interview following the observation, the TL was asked if she would like to be on another team and if so, what role she would like to play. She indicated that she would not mind being on another team, but she would not want to be on another team where the Council had not properly screened the problem. She felt that it was "too draining" and that she was "burned out". She further indicated that they had "no statistics, no data", and that they had "to develop the data from scratch". Finally she indicated that she would not want to be a TL, but maybe a F or TM. She said that she felt "too much pressure", and that "they're looking to me for leadership."

#### The Facilitator

Facilitator A1 was nominated by 4 different individuals, more than any other individual in this study. Nominations came from the TL, and 3 TMs. Nominators were asked to write a brief paragraph that

included specific examples of what the facilitator did that made him/her successful. Following is the information provided:

"\_\_\_\_ rarely misses any of our meetings. At the end of each meeting, she evaluates our ability to stick to the process. Even when the group does not feel the meeting was productive, she finds something positive to say to get us over the plateau we're on. She was trained at Florida Power & Light."

"\_\_\_\_ is always tuned in to the group. She demonstrates her desire to be there--not just a facade. She takes this position very seriously. Her input following each session is always helpful, insightful and stated in a constructive manner. She has been an integral part of our team and is one of the reasons our team is so successful."

"\_\_\_\_ does a good job of reminding us what tract we should take for a particular task..."

"\_\_\_\_ was trained under Florida Light and Power, early in the process. She has worked at all levels of the QI process. She joined our team as facilitator about six months ago. She has redirected the team (thru leader) when we failed to establish a plan; been supportive when we were too critical of our own efforts;

usually been perfectly quiet during meetings, but did speak once when we were wrong; followed the leader's ideas with sound suggestions on ways to implement; admitted in discussions that she doesn't have all the answers and is still learning. The last item is the one that really means the most to me. \_\_\_\_\_ is open to learning more about being a facilitator."

This data, as well as that culled from interviews suggests that Facilitator A1 takes a passive facilitation role during meetings. This is supported by direct observation of a team meeting that lasted for approximately 2 hours with one 15 minute break during which the facilitator only spoke 3 times. The first time was at the beginning of the meeting when the TL told the TMs that the F had made arrangements for the team to take the MBTI if they were interested. At that time, the F made some comments relative to the MBTI. The next time that the F spoke was during the second hour of the meeting when someone asked what "multivoting" was. At that point the F briefly discussed multivoting and how to use a criterion grid. The final time that the F spoke was at the end of the meeting. After the TL and all of the TMs provided their comments as to how the meeting went, she gave hers.

It appears that the F confines most of her interaction to meetings with the TL after the regular team meetings. For example, in response to Question #13 (from "Questions for Facilitator Interview"), "What do you do with the TL or others before/after the meeting? Do you discuss strategies about what/how to do things?" the F responded, "The TL and I usually meet to discuss what went on during the meeting. I share with her what I observed. Sometimes we discuss how the team reacted to her (she may have been ahead of them); other times we discuss what others did. Sometimes she asks for help, like on tools and techniques."

For Question #25, "What if anything do you do after meetings with TL, TMs or others?" she replied, "After the meeting, the TL and I will talk and share stuff that I feel needs to be done. We talk about techniques. We don't usually talk before meetings. We don't usually talk about game plans. The TL is so in control, she doesn't need that."

She also indicated that she did not usually make any interventions during the process unless the TL specifically asked her to. For Question #7, "Ideally, what do you think a Facilitator should/should not do?" she responded. "The facilitator has to be the

guide/emotional support to the team, but through the TL. She should make interventions during meetings--at minimum. My TL has specifically asked me to intervene when needed. Sometimes, I just want to say, 'Are you using the process?'"

In response to Question #17, "When/why/how do you make interventions?" she responded, "About 75% of the time, I wait until the end. I did not make any until I felt that the team accepted me. I usually try to give non-verbal signals to the TL. I am uncomfortable with if I should or shouldn't make an intervention. I need time to think about it."

According to the TL, the F does the following during/before/after the meeting (Question #8): "At the end of the meeting, she helps us do the self-critique. She frequently brings up things I hadn't thought about, i.e., why someone was upset; that I'm way ahead of the team."

"She helps me get ready for the meeting, especially this one, since I was not there for the last meeting. However, we don't usually spend a lot of time before."

Six TMs who volunteered to be interviewed after the meeting made the following comments about the F's

activities before or after the meeting (Question #8,  
QUESTIONS FOR INTERVIEWS FOR TEAM MEMBERS):

TM1: "At the end she 'critiques' us, but is always constructive. She always talks to the TL afterward, but I'm not sure what goes on there."

TM2: "She discusses with the TL."

TM3: "Not sure of before and after."

TM4: "Not sure before or after. Have no idea. Doesn't do much. I'm sure she has input with the TL."

TM5: "She critiques at the end. Not sure of before and after."

When asked to provide information on what the facilitator did during meetings that made her successful, (Question #9), the TL indicated that she "appreciated the fact that the F did not interfere unless she specifically asked her to; that sometimes the F gave her signals when she felt that they had gone on too long; that she watched the dynamics of the group; and, that she did not get into the content."

When asked by the observer if there was anything that the F should do that she is not currently doing (Question #10), the TL quickly responded that she would like for her to intervene "when needed instead of at the end". She hastily added, however, that "she probably

can't do that, because the training says that she has to be "a fly on the wall" during the meeting. (This particular perception seems to be held by a number of individuals throughout the IRS, yet the observer has yet to find a single written source that specifically says that Facilitators must behave accordingly. Furthermore, the observer has discussed this issue with a number of individuals who attended the Florida Power & Light training, and who also were involved in the development of the first IRS training materials. It appears that opinions vary as to what kind of a role the Facilitator should/should not play.)

The TL also added, "It is important to be objective. To be the process observer, when the team is off focus, to bring attention with whatever method is appropriate. To say when you're on the right track. To help with the methods."

TMs had this to say about the F's role during meetings (Question #8):

TM1: "She observes closely. She does not input anything during the meeting. She offers technical advice, but always at the end. She takes notes. She does not interfere with the process while it is going on."

TM2: "Objectively reviews the chemistry."

TM3: "Abides by the standards. We need objectivity. Should not get involved in the process. Could lose respect. \_\_\_ does not get involved. Does what she is supposed to do--she facilitates."

TM4: "Observes. Doesn't do much."

TM5: "\_\_\_ is very attentive. She keeps track of what's going on. She is concerned and aware of the Juran process. She critiques at the end."

TM6: "She keeps her mouth shut. Doesn't interrupt. Sticks to the process. Occasionally gives technical input. She is careful not to take sides."

When TMs were asked if there was anything that the F should do that she is not currently doing (Question #10), they offered the following comments:

TM1: "The facilitator should be knowledgeable of technical aspects of conducting a QIP. She should observe, guide and lead when going down the wrong path. If stuck, even during meetings, she should say, "What do you think?" to be helpful. She should guide and lead when needed, but not to over extend, not to 'badger'. She should offer all 'expertise' when needed."

TM2: "Their most important role is to ensure that Juran is being used. To see that the group reaches its

objective. Should do this by being attentive at meetings; understanding of Juran Process; observing/critiquing at end; monitoring."

TM3: No comments.

TM4: "Should speak up when appropriate, not just at end."

TM5: "She could be tougher. Sometimes too polite, conscious not to offend. Should be more critical. I'm big on criticism. Should say what's wrong and why. Sometimes a person needs to be kicked in the but. Should be police of the process as stated--to follow. Do whatever is necessary to make sure we stay in line. Should only be active when we get off track. Should do it then instead of at the end."

TM6: "During the critique, should not just say, 'You did a good job.' She needs to point out things that didn't go well. But, I have to say that sometimes I get defensive when she does that. I guess no change really. The role should be to never participate during the meeting. Afterwards, sit with the TL to say this is what went well, didn't, etc. After the fact should make suggestions. However, my personal feelings are not that strong. I can see them (facilitators) becoming more active. Of the three, I think the F is most important."

Summary

The purpose of this research is to identify "successful facilitation practices". In general, the TL and the TMs affiliated with A1 feel that she is "successful". However, their perception of what constitutes "successful facilitation practices" is for the F to remain as unobtrusive as possible. This is evidenced by the responses cited above by the TL, TMs and the F herself. At the same time, evidence is presented that suggests that they think the F should make interventions to help keep the team on track and to move them along. It appears that clarification is needed to delineate what constitutes an appropriate intervention and when it should be made. The facilitator herself, on the DEMOGRAPHIC AND PERSONAL DATA SHEET, indicated that the activity related to the facilitator role that she liked least was "sometimes feel I am not helpful/useful to the team".

This confusion about what the role should be and more specifically when and how a facilitator should make an intervention is consistent with data obtained during the Needs Assessment (Cassidy, 1988) mentioned earlier, and with data collected during this study. Currently, there are no clear criteria, objectives or standards for

the facilitation process. This makes the identification of successful practices more difficult., especially when "success appears to be in the eye of the beholder."

During the 2 hour observation made by this researcher, there were a number of instances that this researcher felt the facilitator should have made an intervention. However, the type of intervention needed related more to technical issues rather than interpersonal. As far as this team is concerned, there does not seem to be any problems with group dynamics. The group seemed to work well together. There were times when it appeared that the TL "pushed" too much which gave the perception of "group think". In other words, whatever the TL suggested, the TMs seemed to fall in line.

As alluded to above, the researcher is concerned with a lack of technical expertise on everyone's part. The F received her training in July and October of 1986. Yet, she did not begin facilitating the team until about March 1988. The TL received 6 days of Team Leader/Facilitator training in November of 1987, approximately 2 months before the team began and team members received 4 days of training approximately 2

months after they had begun. No additional training was engaged in by any of the individuals concerned.

A Needs Assessment conducted by this researcher (1988) yielded data that questioned the effectiveness of the training that was being conducted for TLs and Fs. Subsequently that training was substantially revised and augmented.

While the purpose here is not to evaluate the effectiveness of the team, it seems that one could argue that successful facilitation practices could contribute to a team's overall effectiveness. Since there does not appear to be any prevailing group dynamic problems, that would get in the way of the team successfully working through the problem, this researcher is taking the position that the facilitator's lack of technical expertise, along with her failure to make appropriate interventions, contribute to the lack of the team's success. A confounding issue is that they are not aware that they are not successful. In fact they seem to feel that they are. For example, at the end of the observed meeting, during the self-critique, it was generally agreed that they had accomplished what they set out to do. (See meeting minutes, self-critique.)

This researcher has made the following observations concerning the team's relative success:

1. The team has been operating for about one year with approximately 100 hours of meeting time. This does not include time spent outside of meetings in order to collect data. No figures are available, but total time must be considerable since over 250 individuals were interviewed to collect data for the problem. Yet, the team is still in the first step which is "Identify Problem". In other words, they have been meeting for one year, yet they still have not been able to draft a problem statement. In fact, during the observed meeting, a problem statement was postponed until at least September.

2. During interviews with the team leader, facilitator and others, questions were asked about their data gathering techniques. Specifically, the researcher asked what their plan was and how they came to interview over 250 individuals. Answers were consistent. They did not not know how to do a sample. They had minimal research skills.

3. During the course of the observed meeting, the TL and the TMs demonstrated evidence that they were

unsure about what they were doing and why they were doing it. (See meeting notes.)

4. One agenda item for the meeting concerned how to analyze the interview information. A number of the "strategies" suggested during the brainstorming session were inappropriate and in effect, the whole process appeared to be ineffective, with no closure.

5. The team as a whole appears to have limited technical knowledge, yet most of the members feel that they do not need any additional training.

CASE SUMMARY: B2Background

This observation was of a sub-Council. A sub-Council is usually composed of managers and NTEU representatives from a Division or function. This sub-Council's role was to foster and oversee their Division's QIP teams. Ideas were submitted to the sub-Council for consideration. The sub-Council then evaluated the suggestions and if acceptable, assigned them as problems for teams to work on. The District Council usually agreed with whatever the sub-Council did.

The sub-Council generally met all day (9:00 to 4:00), the last Thursday of the month. It was composed of the Division Chief (DC), the Assistant Division Chief (ADC), all of the Branch Chiefs (BC), 2 group managers, and 3 NTEU members for a total of 15 members. However, at the observed meeting, the DC, the ADC and several members were absent. According to the facilitator, an interviewed team member, and one of the NTEU members who was also the Chair, while absences were not unusual for all concerned, they were viewed as a barrier because they were seen as a lack of commitment, especially on the part of the DC and the ADC. On the other hand, the

facilitator and interviewed team members felt that they got a lot more done when the DC was absent. He was described as having a "strong personality" and "imposing his view on others".

Following is a summary of activities relating to Case B2. A number of these activities (see the Activity Summary Sheet which follows) were performed by B2; however, some activities were performed by others. For the purposes of this study, the researcher concentrated on activities performed by the facilitator and included other data as deemed relevant.

#### Training/Experience

Sub-Council members all had "Quality Leadership Training" (QLT) for 3 days and the "IRS/NTEU Joint Quality Council Orientation" for 2 days. However, the Chair made the following comments about the former, "I just finished QLT. It wasn't very effective, and really a waste of time. People didn't know why they were there. I've taught long enough to know what's good. It was a joke. I teach 3 nights a week at college."

The team member that was interviewed thought that the training received was "adequate for the Council because we are not working on projects. If we got it, we

wouldn't use it. Through our position and function we have had enough." Most of the members had QLT and 2 had the Team Leader/Facilitator training. In general, the facilitator thought "they could use an update--maybe not TL or TM, but a variation of QLT--an update."

B2 had been a facilitator for 1-1/2 years at the time of the observation. He was only part-time, facilitating the sub-Council mentioned above and one Quality Improvement Team. He had the IRS Team Leader/Facilitator Training in October 1988 and cited other IRS management training (Management Development Practices II) and readings on group dynamics as helpful. He also said that working as a group manager, and observations and discussions with experienced facilitators were beneficial.

Getting Ready/Setting Up for Success

During each meeting one individual acted as Chair and another as a minute taker. Minutes were distributed at the meetings by the Chair. The duties were supposed to rotate with the minute taker from the previous meeting acting as the Chair for the current meeting (Item #2). However, when assigned individuals did not show up, it was difficult to fill the roles.

The facilitator said that in the beginning they talked about his role and how they (the sub-Council) saw it and how he saw it. He felt that there was some misunderstanding at first because they wanted him to tell them what to do, but he said that that problem was cleared up (Item #2).

The DC took responsibility for the logistics, that is to say he had his secretary arrange for a meeting room (Item #5). The meeting room was very large. It was usually used for conferences or other large meetings. There were no flipcharts in the room, nor was there anything posted on the wall. The facilitator said that they used flipcharts sometimes, like when they needed to decide to send someone to training; however, he said that they mostly used a lot of handouts and that they had sub-committees who did different tasks and then reported to

the entire group. It did not appear that much effort went into "setting the room up for success" (Item #5).

Agendas (Item #3) were established at the end of each meeting, but anyone could add anything that they felt was important by calling the Chair. Items were often added to the agenda in that manner. According to the facilitator, "Agendas are not realistic. They are so anxious to get things on the agenda. It's too ambitious." The Chair (who was interviewed) added, "They frequently stray. Like today, we kept coming back to the same issues".

Ground rules (Item #2) were developed at the beginning, but according to the facilitator, "They sometimes fall down on them. They are not posted. The little things, (like no smoking) they adhere to".

#### Before/After Meetings

The facilitator said that he talked to the Council Chair before the meeting or during breaks to see if there was anything he needed help with (Item #8 or #12). For the observed meeting, he reported that he did more than he normally did with the Chair since he specifically was asking for help. He said that he talked with him and made suggestions before the meeting, at the breaks,

during lunch and afterward. However, as a rule, he added that "everything was done in the open". In other words, he (the facilitator) raised issues or concerns and made interventions freely when he felt they were needed without first checking it out with the Chair.

During this particular meeting the facilitator, along with another Council member went to get information for the Council from an individual who was not at the meeting (Item #13). The facilitator said that he also met with the Quality Coordinator or others on behalf of the Council. This was an activity that he seemed to particularly enjoy doing and engaged in frequently.

At the end of meetings, the facilitator indicated that he performed a mini-critique (Item #11) that did not have any particular format. He also reported that Council members did not usually say anything unless they had a specific concern.

During the observed meeting, he began by stating that he did not have anything much. Then he proceeded to discuss what he identified as a technical item. He gave specific examples from private industry in order to make his point (Item #17). He also reminded them that they continued to re-hash the same things over and over (Item #16). Finally, he told them that they should keep an

open mind, especially while they were in the transition stage.

#### During Meetings

The facilitator indicated that he did not sit in any special place during meetings. His only criteria was to sit where he could see. During the observed meeting he sat at one corner of the long table, almost opposite from the Chair. He said that he usually made interventions when they (sub-Council) were "on a topic and not getting anywhere (Item #16), when everyone was giving their opinion or when they were telling 'war stories'" (Item #19).

He was observed making interventions during the meeting to refocus the group when they were off track (Item #16), 4 times; to suggest a procedure or method (Item #20), 3 times; to clarify (Item #27), 3 times; and, to give examples to illustrate points (Item #27, 3 times. These interventions and other activities are summarized at the end of this report.

A note should be made here that even though the facilitator frequently made or attempted to make interventions, for the most part, the meeting appeared to lack focus with no one really being in control. This

point will be discussed in more detail under Barriers in a subsequent section.

#### MBTI/HBDI Profiles

B2's Myers-Briggs Type Indicator (MBTI) profile reflected a preference characteristic of the INFJ personality type. The INFJ personality type has been described as obtaining success through perseverance, originality and desire to do whatever is needed or wanted. They put their best efforts into their work and are generally noted as being quietly forceful, conscientious and concerned for others. Respected for their firm principles, they are likely to be honored and followed for their convictions as to how best to serve the common good.

During the meeting, B2 exhibited this quality over and over. In particular, at one point when he felt that the group was wasting time and re-hashing the same issues, he made no less than five interventions to temporarily stop the meeting while he and another council member went to get information that was needed (See Item #13).

According to Brownsword (1987), while not readily apparent, the driving force in INFJs is an inner focus on

possibilities, meanings and relationships about people and values. These insights are particularly useful in understanding people thus many INFJs become outstanding practitioners in the helping professions.

When questioned about how he would rate himself as a facilitator (Question #28), B2 replied, "I think I'm pretty good. My perception of the role is that it fits my personality." This opinion appeared to share by others that the researcher contacted during the study.

Results from Herrmann Brain Dominance Profile indicated that B2 had a 2-1-1-1 profile. This is what is known as a triple dominant profile with two primaries in the right mode, (Lower Right C and Upper Right D quadrants) and the third in Lower Left B. It is the most common of all profiles, with 16 percent of the population exhibiting this multi-dominant array of preferences. This profile is characterized by its multi-dominant and "generalized" nature, with a fairly balanced amount of understanding and ability to use the three primary quadrants B, C and D.

Of his three primaries, B2 exhibited his clearest preference for Lower Right C, interpersonal and feeling. Almost equal in preference were Lower Left B (planning and organizing) and Upper Right D (creative and

holistic). B2's secondary and least preferred mode was Upper Left A; however, he would still be functional in areas that are logical and analytical. This profile is typical of many personnel and human resource professionals, including teachers as well as those whose occupations require an understanding and ability to function on many levels.

Data obtained from scores on both instruments were consistent with regard to observations and interviewee data concerning B2's style of facilitation. For example, he was described by his Quality Coordinator (who nominated him) as having "done an excellent job in guiding the team in the problem-solving process without getting mired in the subject"; as playing "an instrumental role in motivating the team with what turned out to be a sweeping problem area"; and, "has been very involved in handling stress felt by other members due to regular work assignments." He was also described by others as "reliable, cuts right to and focuses on issues, low key, doesn't interrupt."

### Barriers

The facilitator mentioned time and conflicting priorities as barriers. He also said that the

personalities of some individuals, (such as the Division Chief's) caused problems because they tended to impose their views on others. When this happened, others were reluctant to say what they really thought. He also mentioned that the Division Chief and the Assistant Division Chief were frequently absent and that this made things difficult because it was seen as a lack of commitment. Finally, he said that he felt that the facilitator role was not "as well defined as it should be" and that "the concept of consensus made leadership a real struggle."

One of the members that was interviewed mentioned that they were "supposed to be equal partners" but, didn't feel they were and that there were "different levels (read grades, positions) and personalities."

The Chair felt that the training was not very effective (see Training/Experience above); that absences were a problem; that they kept coming back to the same issues and that the "bureaucracy" was a barrier since "no one wants to be 2nd best and look bad. They were tempted to put QIPs in that shouldn't be." Finally, he said that he felt that "All employees should see everything, like the minutes. I realize that we need some

confidentiality, but we need to show employees it's working."

CASE SUMMARY: B3Background

The team that was observed had been meeting since January 1988 and was in the 3rd step of the Problem Solving Process (Analyze Root Cause). This team was a "functional" team, meaning that all of the members were from the same Division and the problem pertained to an issue within that Division. Membership consisted of a team leader, assistant team leader, 3 additional members and the facilitator. Two of the members were bargaining unit employees. A District level statistician was also available on an as needed basis to assist the team with data collection and analysis.

On the day of the meeting that the researcher observed, the team leader was not present. This role was filled by another individual who was designated as the "acting team leader". The facilitator informed the researcher in an interview that the team leader had called him late on the previous evening to tell him that he had some "personal things" to attend to the next day and would not be at the meeting. According to the facilitator, the acting team leader and the team member who was interviewed, the team leader was a "problem".

Steps had been taken to try to have him removed; however, the District Council was reluctant to do so.

The team met once a week for 2 hours. In the beginning, they only met for 1 hour; however, several individuals said that they tried different things, but felt that they needed to meet at least 2 hours a week to be consistent.

Following is a summary of activities relating to Case B3. Even though he only facilitated this one team, he was found to be the most "active" facilitator in the study. At the end of the Case Summary, an Activity Summary Sheet provides a synthesis of this data, and includes sources.

#### Training/Experience

B3 did not begin with the team as its facilitator. He replaced the original facilitator several months into the process. As was mentioned above, he only facilitated this one team and had no prior experience as a facilitator for the Quality Improvement Process. He had full time responsibilities as an IRS manager in another Division. Prior to being selected as a facilitator, he was the Executive Vice President of the local chapter of NTEU. He had asked to become a facilitator and was

initially selected by the union. Shortly thereafter, he became a manager and went to training; however, the union still endorsed him as a facilitator.

The facilitator had 2 weeks of Team Leader/Facilitator Training in June 1988. He also attended an "Active Facilitation" course in January 1989 which he said greatly influenced what he later did as a facilitator. He identified work experiences such as 12 years in management, 3 years as an NTEU steward and Chairman of a district-wide OSHA committee as helping to prepare him to be a "successful" facilitator.

Team members' training on the Quality Improvement Process varied from 1 week that was conducted by District staff just before the team started, to additional team member training conducted in another Region. Neither the assistant team leader nor the other team member interviewed felt that they needed more training for their current roles on the team. However, both indicated an interest in additional training; the former, desired training on statistics and how to analyze data, the

latter (who was also a union member) wanted facilitator training.

#### Getting Ready/Setting Up for Success

Ground rules (Item #2) were established at the first meeting, but had been modified 3 times. The facilitator reported that they were "scattered throughout the minutes" and that they really needed to do something about that.

The facilitator also admitted that a discussion of roles (Item #1) did not take place initially. However, when the "Active Facilitator" concept evolved, the team carefully discussed the team leader, facilitator, timekeeper and recorder roles. According to reports given in interviews, the team members all supported the changes, but the team leader had a problem with them. In fact, according to the facilitator, he (team leader) almost quit, but in a week, seemed "to completely reverse himself and joined in." The facilitator also said, "I think he reevaluated his professional position in the organization and felt he better change."

After that, the team established roles for a minute taker and a timekeeper. The minute taker role was supposed to rotate, but there appeared to be a problem

with some members taking their turn. In fact, the assistant team leader said, "We are supposed to rotate the minute taker role, but as you can see from the discussion at the meeting today, it pretty much falls to the females. \_\_\_\_ (team member #1 who was supposed to fill this role) always makes an excuse, but we let him have it today!"

Team member #2 volunteered to be the timekeeper after the facilitator came back from the "Active Facilitation" course and they discussed roles. Everyone agreed that he (TM #2) was good at it the first time. He wanted to do it, so the team made him permanent in that role.

The facilitator scribed (Item #21 - recorded on the flipcharts) for the team. They used to bring in someone else (not connected with the team), but the Council decided that they could not continue that practice (i.e., having an extra person come in just to scribe). The team leader was responsible for logistics and other administrative activities (Items #4 and #5). However, the facilitator admitted that he always checked (Item #9) because the team leader frequently forgot to reserve the room. He says that he tried to "do it gently" (to follow-up or remind the team leader what needed to be

done). The facilitator also said that he had taken on the responsibility to "set the room up for success" (Item #5). (This concept was taught in the Active Facilitation course that he attended). This included such things as rearranging the room for optimal use; posting the agenda, the 8 step problem solving process and various other relevant charts on the wall; having several flip charts ready for use; and, having multi-colored pens for scribing.

The facilitator also instituted the practice of developing a tentative agenda at the end of each meeting (Item #3). He then worked with the team leader afterwards to finalize it. It was also in the minutes and posted on the wall so everyone could see it during the meetings. In the words of the acting team leader, "We have disciplined ourselves during the last six months since the facilitator had the (Active Facilitation) training. It has been a big improvement."

### Before/After Meetings

A couple of days prior to meetings, the facilitator usually met with the team leader to discuss the agenda (Item #3) and what process/tools or techniques to use (Item #8). After the meetings, he worked with the team leader to finish planning the agenda for the next meeting, to discuss ways to improve the next meeting, and to remind him about follow-up activities (Items #8 and 9). The facilitator said that he also prepared handouts (Item #10) if he saw "a way of simplifying or easing the process to head in the right direction" (Item #16). He also assumed the responsibility for finding resource people and equipment that the team was not aware of (Item #13).

### During Meetings

Since attending the Active Facilitation workshop, the facilitator usually sat in the front of the room where he was near the flipcharts. He attempted to arrange everyone else in a horseshoe with the Team Leader in the back and tried to get them to "concentrate on themselves".

During the meeting, the facilitator worked at keeping things on track as much as possible. He

refocused, very tactfully (according to one of the members) when they went off on tangents (Item #16). He said that anytime they were wasting time, going in the wrong direction or not concentrating on one thing at a time, he made an intervention. During the course of the meeting, he was observed making very skillful interventions that brought the team consistently back to focus.

As was mentioned above, B3 was the most active of all of the facilitators in the study. For example, during the 2 hour meeting, he charted continuously (Item #21); summarized the progress of the group (Item #28) 11 times; asked questions to clarify (Item #27) 9 times; suggested procedures to follow (Item #20) 8 times; suggested the group develop a plan (Item #14) 4 times; encouraged members to participate (Item #24) 4 times; and, tested for consensus (Item #26) 3 times. Following this case summary is a chart which identifies and categorizes the various activities that he engaged in before, during and after the meeting.

#### MBTI/HBDI Profiles

B3's MBTI profile was ISF/TJ. The dual F/T means that his F score was low. The implication is that he had

an almost equal preference for "F" or "T". The ISFJ profile is characterized as quiet, friendly, responsible and conscientious. Individuals in this category usually work devotedly to meet their obligations and serve their friends and organization. While they are generally thorough, painstaking and accurate, they may need time to master technical subjects, since they are not technically oriented. However, they are patient with detail and routine, loyal, considerate and concerned with how other people feel.

The ISTJ profile is described as serious, quiet, practical, orderly, matter-of-fact, logical, realistic and dependable. Individuals with this preference generally have a strong sense of responsibility and take measures to see that everything is well organized.

B3's strongest score on the Herrmann Brain Dominance Instrument was Upper Left A which means that he would tend to prefer logical and analytical activities. However, he also showed strong preferences for Lower Left B controlling and planning, and Lower Right C interpersonal and emotional activities. There was a clear lack of preference for D quadrant activities (holistic, conceptual and synthesizing). In other words B3 would tend to avoid "D" types of mental processing,

but would be relatively balanced in preference for A, B and C.

Data received through interviews and observations seemed to coincide with the profile scores. For example, B3 was described by team members as "a dedicated, detailed planner with a positive attitude, who has everyone's respect on the team. He takes on assignments that need to get done, is always prepared and on time. He keeps people on track and is one of the coolest people under fire." One team member even said that he is "one of the fairest, most open-minded individuals I've ever worked with."

The researcher's observations before, during and after the meeting was consistent with profile scores and interview data. For example, the researcher noted that he spent a great deal of time preparing for the meeting, was well organized and kept the meeting moving without being overbearing. Team members all seemed to respond favorably to how he kept them focused and on target.

### Barriers

The facilitator very candidly admitted that he felt that the team leader was a barrier. In fact, he said, he

was "very difficult to be honest with. When you were honest, he doesn't take it very well. He probably did not come today because of your observation."

He went on to say that he felt that their work environment was a barrier. He reported that it (the work environment) was "in constant crises. They are not able to get away or leave that climate to concentrate. No relief is given to them from other responsibilities." Finally, he said that "There is still no grass roots buy-in to quality here. It's been a year since the 2 hour orientation and most of the troops still don't know what it (quality) is."

The acting team leader felt that certain team members not sharing the minute taking responsibility was a problem. She felt that only the females were performing that role. She also said of the team leader, "The team leader doesn't know what he's doing and is not about to learn. This is a good example of the 'Peter Principle'." She also said that "we have to put up with so much Mickey Mouse BS every day", and that she would like to "get away from the 'trained ape' attitude, or the 'black hole'."

The bargaining unit team member that was interviewed said that he tended "to be impatient when handling the same things. We go through the whole process and vote.

Two to three weeks later, we reverse ourselves and do it all over again." He also said that "Members should be picked more for wanting to be a participant. Otherwise they become an anchor around everyone's neck. Some are resistant. You can't teach them to be a teacher or a team player."

CASE SUMMARY: D2Background

The observed team was composed of 5 team members, the team leader and the facilitator. All the members including the leader and the facilitator were managers or management officials. The problem was assigned to a QIP team because the team leader's (and former team leader's) office had jurisdiction over the topic and the Director was constantly having problems pointed out by practitioners.

They had been meeting since February 1988 and were in the 3rd step of the process (Analyze Root Cause). When then team first began, they had a different team leader and facilitator. After they were operating about a year, D2 (the current facilitator) took over the role from the former facilitator who according to one of the team members, just "disappeared".

The original team leader was also replaced because, according to D2 he did not agree that the problem the team was working on was appropriate for a QIP and therefore caused a number of problems. She (D2) arranged with the Director to switch team leaders after talking

with each individual concerned. The original team leader became a team member, while another team member became the new team leader.

D2 went on to say that while he (the former team leader) frequently needed "careful handling" since he was replaced, significant progress had been made. Both the current team leader and the team member who was interviewed agreed with the facilitator's assessment. The researcher observed him (the former team leader) engaging in frequent and persistent "yes, but..." behavior.

According to the facilitator, like so many of the early teams, the original topic was "elephant-size" and it took them until January 1989 (one year) to figure out how to divide it into "reasonable size clusters". The observed team was working on one piece of the problem. The AC Council assigned additional related issues to other teams. The team met every other week for 6 hours each. All areas affected by the problem were represented on the team. Team members took turns arranging for meeting sites.

Training/Experience

Facilitator D2 was one of four managers selected from her Assistant Commissioner area in 1986 to become a "Quality Facilitator". She and one other manager received training in September 1986 from Florida Power & Light. After the training, she became a full time facilitator. During the interview, she indicated that she felt that she needed additional training in advanced statistics and advanced group dynamics.

D2 was one of the most experienced of those observed. She was facilitating five teams at the time of the observation. One of her teams had completed their problem, one was in the final stage (Tracking Effectiveness) and two others were in the 5th step (Selecting Solutions).

Facilitator D2 cited numerous educational and work experiences that she felt had helped to prepare her for her role as a facilitator. These included courses in psychology; workshops in systems analysis and work flow diagrams; management courses; and several courses with the Juran Institute. Work experience included a number of years as an instructor and later as a manager.

Both the team leader and the team member that was interviewed said that they did not have any training until they had the two week Team Leader/Facilitator Training in May 1989. Neither of them felt that they needed any additional training.

#### Getting Ready/Setting Up for Success

In the early stages, the team decided to have a minute taker (Item #1) who rotated each week. The minute taker was responsible for getting the minutes out to other members at least 2-3 days prior to the meeting. Members took turns arranging for the room (Item #5).

The team developed an agenda (Item #3) during the course of each meeting for the next meeting. The agenda was also printed in the minutes. The facilitator was responsible for preparing and posting the agenda (Item #5) and various charts (Item #10) used by the team as well as a number of other administrative activities (Item #4). As each item on the agenda was accomplished, it was crossed off in the words of the facilitator "with a great flourish." Everyone agreed that the current facilitator had helped them to make and stick to realistic agendas.

The team established ground rules (Item #2) at the beginning, but according to the facilitator they were

ignored ever since. She also said that in her other teams, they were always posted. She also indicated that she did not develop a contract (Item #1) with the team, that she felt a "little uncomfortable drawing up a contract saying what I will and won't do." Finally she said that she did not specifically discuss roles (Item #1), but that she did whatever it took, including helping with the final presentation. She did not feel that there were any problems were roles and neither did either of the two individuals who were interviewed.

#### Before/After Meetings

The facilitator said that she "checked in" briefly with the team leader before meetings to make sure that everything was ready (Item #8). The team leader also pointed out that prior to the beginning of each meeting, the facilitator made sure that everything was ready and available for the meeting, and that she frequently made contacts on behalf of the team when information was needed (Item #13). The team leader also said that after meetings they met to discuss what happened and what needed to be done (Items #8 and #12).

At the end of the meeting, the facilitator led the team through a structured critique (Item #11) using a strategy adopted from Dr. Deming (Plan-Do-Check-Act). The team discussed what they did, how well they did it and what they needed to do the next time, especially what needed to be improved.

#### During Meetings

The facilitator said that she sat somewhere across the table from the team leader so she could "see his eyes." She said that she generally listened, summarized (Item #28), recorded on the flip chart (Item #21), asked clarifying questions (Item #27), distilled thoughts and helped them structure the meetings. When needed, she also taught and coached them with the tools and techniques and the Problem Solving Process itself (Item #6).

The team leader added that she kept the discussion organized (Item #16) and that if he failed to note points of discussion, she noted them on the flipchart (Item #21). He also said that if they were deadlocked, she would suggest a way out (Item #20).

The team member who was interviewed felt that the facilitator had a tough job but that she stayed neutral about the topic. She also said that the facilitator could see when things were out of control and would bring them back to focus very skillfully (Item #16).

Facilitator D2 like Facilitator B3 engaged in a number of before and after meeting activities and was very active during the meeting. For example, in addition to charting throughout the meeting, D2 asked questions to clarify (Item #27) 11 times; taught the PSP or provided mini refreshers (Item #6) 9 times; tried to find agreement in conflicting points of view (Item #25) 9 times; summarized progress or ideas (Item #28) 6 times; assisted in developing the agenda (Item #3) 5 times; suggested the group develop a plan or outline (Item #14) 5 times; and, suggested procedures to follow (Item #20) 5 times.

The aforementioned activities and others are summarized on the Activity Summary Sheet which follows this report.

MBTI/HBDI Profiles

D2's MBTI profile was ISTJ although the "I" (for introversion) was weak, meaning that she had almost an equal preference for introverted and extroverted activities. However the "STJ" scores were very strong. The ISTJ profile is described as serious, quiet, practical, orderly, matter-of-fact, logical, realistic and dependable. Individuals with this preference generally have a strong sense of responsibility and take measures to see that everything is well organized.

D2's HBDI profile was 1-1-1-2, with her two highest scores in Lower Left B (controlled, conservative, planner, organizational and administrative) and Upper Left A (logical, analyzer, mathematical, technical and problem solver). These activities were complemented by her scores in Lower Right C (interpersonal, emotional, spiritual, talker) and finally, her least preferred, Upper Right D (imaginative, synthesizer, holistic, conceptualizer).

D2's MBTI and HBDI scores were compatible and consistent with observations made and other data collected from several other sources, including interviews.

CASE SUMMARY: F1Background

The observed team had been meeting since February 1989 and was in the 3rd step of the process (Root Cause Analysis). The team typically met every 2 weeks for 1/2 day. It was composed of the team leader (a bargaining unit employee), 7 team members and the facilitator.

The facilitator informed the researcher that the Director had wanted someone to look into the problem that the team was working on. He proposed it to the Council and they approved it. The facilitator discussed the problem with the Quality Coordinator and told him that he did not think it should be a QIT; however, the Coordinator said the Director wanted it so they formed a team. The facilitator also informed the researcher that there were a number of QITs that he felt were not appropriate.

Following is a summary of activities relating to Case F1. Most of the activities were performed by F1; however, some were performed by others. In such cases they are noted accordingly. At the end of the Case Summary, an Activity Summary Sheet provides a synthesis

of this data, and includes sources.

### Training/Experience

F1 was the most experienced facilitator of all the facilitators that were observed. According to all sources of data, he appeared to have established excellent rapport with the team leader, team members, the quality coordinator and other facilitators (Item #7). Furthermore, while typically, the team leader was noted as supporting others ideas or actions, the facilitator was observed supporting others actions or ideas (Item #24) 3 times during the observation

At the time of the observation, F1 was facilitating 11 teams, more than any other facilitator in the study. He had been a facilitator for the Quality Improvement Process since June 1987, and had been involved in Quality Circles since 1984. His teams were in various stages of the process. He was also the facilitator for the District Council and for 3 sub-councils (before they were disbanded in December 1988).

On the Demographic and Personal Data Sheet that he was asked to complete, F1 identified numerous training and work experiences that he felt helped him to become a

successful facilitator. For example, he attended Team Leader/Facilitator training (8 days) and several courses in facilitation including one week of "Advanced Facilitator" training from an outside consultant. He also attended a 2 day "Quality" course at a local university and he said that he has read extensively on his own, acquiring an impressive library of books and other materials on quality, statistical process control and related topics.

The facilitator also indicated that he frequently taught numerous aspects of the Quality Improvement Process either during meetings or at other times (Item #6). He said that he usually taught statistical quality control, team leader, facilitator or team member training or some type of "refreshers" at least once a month.

Work experiences that were noted to have contributed to the facilitator's success included teaching assignments over the last 12 years, course development and working as a management analyst.

The team leader had one week of training on the quality process and the team members had day one of training the first day they met. The team leader did not feel that he needed any additional training because in

his words, "My lack of experience is overcome by the facilitator who is good." One team member said that she would like to have some "refreshers".

#### Getting Ready/Setting Up for Success

At the first meeting, the team established ground rules (Item #2). The facilitator said they "experientially worked them out" when they did their first brainstorming session. He also said that the ground rules were usually posted, but they were also in each team member's notebook, along with the charter and minutes of each meeting.

Roles (Item #1) were taught in Team Member and Team Leader/Facilitator training by the facilitator. The facilitator said that he did not develop a contract (Item #1) with the team leader or team per se, but that they did have an "understanding". He went on to say that they had not had any problem concerning roles. He described his role as that of being "a resource for technical or other assistance (Item #17). He felt that he was supposed to "guide them, to watch over them to see that they didn't go down the wrong road (Item #16) and to play the 'devil's advocate', frequently challenging them (Item

#28) or intervening on their behalf above and outside."

(Item #13)

During the first meeting, the team also decided on two other roles (Item #1) that would be played by team members. These included scribe and a minute taker. Members took turns by rotation. The scribe was responsible for doing all of the charting during meetings (Item #22) and the minute taker recorded the highlights of each meeting which then went out through the mail several days in advance of the following meeting.

Agendas were developed at the end of each meeting (Item #3). The team, lead by the team leader at the end of the meeting, reviewed the minutes to identify action items to develop the agenda. The scribe also captured those items on a flip chart. Agendas for subsequent meetings generally evolved during the course of each meeting. It was agreed that agendas were usually met and that they accomplished what they set out to do.

As per their ground rules, meetings were scheduled 3 months in advance. One of the team members was in training and had the authority to schedule rooms, so she took care of the logistics (Item #5) and providing flip charts, markers and other supplies (Item #5).

The facilitator said that he usually made phone calls to the team leader before meetings to make sure that everything came off as planned (Item #9). If any problems arose during the meeting, he discussed strategies with the team leader on how to handle them after the meeting. At that time, he also discussed what was to be accomplished at the next meeting (Item #8).

He spent additional time gathering data such as the cost of salaries and time spent during meetings, in order to keep accurate records for tracking purposes. He used the data to do cost projections for new teams (Item #4). Finally, the facilitator said that he prepared all of the charts and data displays for the teams (Item #14).

#### During Meetings

During the meetings, the facilitator sat at one end of the room, out of direct site of others. He said that he intervened when he saw that "whatever is taking place is going nowhere or something is being missed" (Item #16). He also said that he did so by interjecting something like, "I think you might want to consider \_\_\_\_" (Item #26), or "What is it you want to accomplish?" (Item #27).

F1 was one of the most active of those observed in making interventions. For example, during the meeting which lasted for approximately 1 hour and 45 minutes, he was observed suggesting procedures to follow (Item #20), 10 times; suggesting timeframes or deadlines (Item #18), 7 times; providing technical or other information (Item #17), 6 times; and, asking questions to clarify (Item #27), 6 times.

In addition, the team leader, a team member and the facilitator himself, all said that he frequently refocused the group when off track or going in the wrong direction (Item #16). The researcher made one notation of his doing so during the observation. Those interviewed also said that he ensured that the Problem Solving Process was followed. However, it is possible that what others referred to as "refocusing..." or "ensuring that the team follows the PSP" may have been classified as something else by the researcher, hence resulting in these activities being subsumed elsewhere.

The aforementioned activities and others are summarized on the Activity Summary Sheet which follows this report.

MBTI/HBDI PROFILES

F1's MBTI profile was ESTJ. The ESTJ profile is characterized as realistic, practical and matter-of-fact, with a natural head for business or mechanics. Furthermore, ESTJs are not particularly interested in subjects they see no use for; however, they can apply themselves when they see the need. They particularly like to organize and run activities and usually make good administrators as long as they remember to consider others' feelings and points of view.

This description is consistent with the frequency and types of interventions that the facilitator made. In fact, during the interview, he expressed concern over the team leader's lack of experience and ability to be a "leader". He felt that he needed to intervene more because of this, and yet the team leader did not seem to have a problem with the fact that he did. He even praised the facilitator for his expertise during the interview and said that he did not need any more training because, "My lack of experience is overcome by the facilitator who is good."

F1's HBDI profile scores were consistent with his MBTI profile. For example, his strongest preference was

Lower Left B which is indicative of preferences for planning, controlling, administrative and organizational activities. However, he also demonstrated fairly strong preferences for Upper Left A (logical, analytical, mathematical, technical and problem solving) and Upper Right D (imaginative, synthesizing, holistic and conceptualizing). While his least preferred quadrant was Lower Right C, (interpersonal and emotional modes of processing), his scores indicated that although not necessarily preferred, he felt comfortable engaging in these activities. As was mentioned above, evidence was found to support this (See Item #9).

### Barriers

When asked about barriers, the facilitator mentioned that he felt that one of the biggest barriers for facilitators in general was the fact that there was "no career potential for facilitators". He went on to say that he felt that this was a "tremendous waste of resources." He also said that as far as the team was concerned, they did not have "adequate time outside of meetings", that they came to meetings "to work, as opposed to sharing what they had already done." In fact,

he said that he had had "to cancel meetings because of this."

He later said that he felt that another barrier was that some people had a problem making interventions because it was "difficult to intervene when you felt at risk." He added that a lot of people "won't do it because they feel it is detrimental to their careers." He also felt that management did not have the understanding that they needed to have concerning the process.

The fact that F2 had strong scores in the Upper Left D quadrant somewhat explains his view. For example, individuals with strong scores in Upper Left D, appear to be noted more for risk taking than others. This may be an important characteristic that is needed for successful facilitation.

The team leader felt that his lack of experience was a barrier and the other team member felt that there some "strong personalities in the group that felt that only their opinion counted." She ended by saying she would not press an issue for the sake of having her way.

CASE SUMMARY: F2Background

The observed team had 3 meetings prior to the one observed. They were in the 3rd step of the Problem Solving Process (Root Cause Analysis). The problem that the team was working on was selected because the District Director wanted it. The facilitator indicated that she initially had some reservations about the problem being assigned to a Quality Improvement Team. She thought that it could have been assigned to a task force, but she later changed her mind and said that she saw a lot of potential, that it was a "system" that needed to be looked at.

The team was composed of 6 members, the team leader and the facilitator. Only the team leader and one member were managers. They met every 2 weeks for 4 hours.

Following is a summary of activities relating to Case F2. Many of the activities were performed by F2; however some were traditionally performed by others. In such cases, they are noted accordingly. At the end of the Case Summary, an Activity Summary Sheet synthesizes this data, and includes sources.

Facilitator F2 was a full time facilitator with no other responsibilities. She had been a facilitator for over a year, and was facilitating 9 Quality Improvement Teams at the time of the observation. Seven of the teams were in the 3rd step of the Problem Solving Process (Root Cause Analysis). One was in the fourth step (Identify Solution(s), and one was in the final stage (Tracking Effectiveness). She indicated that she also facilitated 3 Sub-Councils prior to their being discontinued by the District Council.

Facilitator F2 had Quality Leadership Training in 1987, Team Leader Training in August 1987, and IRS Facilitator Training in June 1988. With regard to previous training that she felt helped her in her facilitator role, she identified On the Job Instruction (OJI), IRS Basic Instructor Training (BIT), counseling lessons, Management Practices Core (MPC), various communication workshops, and a marketing class.

In terms of work experience, she noted the following as contributing to her success: group manager, problem resolution caseworker, QIP team leader, and various task forces. She also cited experience outside IRS that involved working with the public, particularly as a loan

officer and collection officer which required "much sensitivity for people's feelings."

The Team Leader (TL) indicated that he had Team Leader/Facilitator Training that was taught by District staff. He went on to say that he felt that he needed additional training because 2 years had elapsed since he had the training. Overall he said that he thought he "knew where it (the Problem Solving Process) ought to go, but would like some reassurance and an overview." He also said that team members had a one day session, but he felt that they needed more. The team member (TM) that was interviewed said that she really enjoyed the one day of training but that she did not need any more. She also indicated that she was on another team and they did not receive any training.

#### Getting Ready/Setting Up for Success

During the first meeting, the team established ground rules (Item #2) and assigned additional roles as minute taker and scribe (for the flip chart) (Items #1 and #21). Ground rules were contained in the minutes and also were on a flipchart that was posted sometimes, but not always. Two members each took turns as minute taker or scribe during the meetings. According to all

reports, everyone was involved, no one was left out. The minute taker was responsible for getting the minutes out within 5 working days of the meeting. Each meeting the minutes were read and pen and ink changes were made.

The facilitator said that they did not go into any more detail about roles other than what was covered in the training (Item #1). She also mentioned that she was quite involved in training team leaders and team members because she felt that they did not get enough or at least needed "refreshers" (Item #6). She also said that she did not develop a contract with the team leader or the team, but they had not had any problems (Item #1).

An agenda (Item #3) was developed for each meeting, usually at the end. Activities that needed to be accomplished were noted in the minutes. The team leader also added ad hoc items. He admitted that they usually had more than could be done, but that they did not worry about it.

The team leader told the researcher that one of the team members who was in training, was responsible for getting a room. He also said that he usually got there early to make sure that everything was ready for the meeting (Item #5). During the observed meeting, several items were posted. One was the Problem Statement.

Another had a flowchart of the process they were working on, and several others contained data on the problem. In addition, two easels with blank paper were stationed in the front of the room (Item #5). The team leader had also invited a "Resource Person" to attend the meeting to share some relevant information concerning the problem the team was working on (Item #13).

#### Before/After Meetings

The facilitator said that she met with team leaders before meetings (Item #8) on an "as needed basis". When they were new, she said that she met with them more. After meetings, she met with them to find out if anything needed to be discussed (Items #8 or #12). For example, she said for the observed meeting, because they were going to have "breakouts", she met with the team leader to discuss what needed to be done and how to do it. She also said that they used to have a post meeting form, but the team leaders did not like them.

The team leader reported that they discussed problems or the direction to take and that "she advises and supports me. I use her as a sounding board." He also said that they usually talked once or twice before the meeting (Items #9).

During Meetings

The facilitator reported that she usually sat with the group but in the last seat, not between anyone. She also said that she did more in terms of interventions during the observed meeting than she usually did. She indicated that she made interventions when she felt that she needed to get them back on track (Item #16); when they needed to take advantage of knowledge that she had but they did not (Item #17); or during a storming session. She added that if she felt the team leader needed assistance, she would call a "mini-break" so she could talk to him (Items #8 or #12).

The team leader confirmed the facilitator's statements and added that she frequently "steered them over humps." He also said that if there was a stall or lull, a loggerhead or they were floundering, he would ask her what she thought as a reassurance (Item #16).

The activities that the facilitator was observed engaging in the most included suggesting procedures or methods to follow (Item #20, 10 times); providing technical or other information (Item #17, 8 times); and, supporting others ideas, actions (Item #23, 3 times). A summary of activities is found at the end of the report.

MBTI/HBDI Profiles

Facilitator F2's MBTI profile was ENFP. According to Briggs (1976), the ENFP personality type is warm, enthusiastic, high-spirited, ingenious and imaginative. They are able to do almost anything that interests them, and are especially quick with a solution for any difficulty. They are also characterized as ready to help anyone with a problem, often relying on their ability to improvise instead of preparing in advance. It is also said that they can usually find compelling reasons for whatever they want.

F2 had a 2-1-1-1 HBDI profile, which was very similar to that of B2. The two strongest thinking modes were Lower Right C which is characterized by preferences for interpersonal, emotional and spiritual (strong value systems); and Upper Right D, the imaginative, synthesizing, holistic, conceptualizing preferences.

Differences between F2 and B2 showed up on the MBTI, which measures the Extraversion/ Introversion Preferences. Whereas B2 was much more introverted, F2 showed a preference for Extraversion. F2's extroverted tendencies were demonstrated in numerous ways, the most pronounced was in the frequency and type of meetings she engaged in with the team leader and others (Items #8, #9,

#12, and #13) and her light repartee with others demonstrated throughout and before and after the meeting.

Also, when she suggested procedures to follow (Item 20), or provided technical or other information (Item #17), it was done more so in a "right brain", "helping" mode, than in a strictly "left brain", impersonal "technical" mode. It is difficult to make these types of distinctions without taking into consideration the entire gestalt. One has to be cognizant of a number of nuances such as facial expressions, tone of voice, non-verbal body language in addition to the actual language that was used.

For the most part, observations and interviews tended to produce data that was consistent with F2's MBTI and HBDI profiles. In other words, F2 appeared to prefer or engage in activities that were most consistent with her profiles.

### Barriers

The facilitator did not think there were too many barriers at the local level, except that some of the team members perceived that they did not have enough time. She did not feel they had any problems with support, but she did say that she would like to see more training made

available. The team leader felt that budget might be a problem. The interviewed team member said that managers needed to work more with their secretaries as a team, that they were doing things that secretaries should do, and that they should have a trusting relationship.

CASE SUMMARY: G3Background

The observed team had been meeting for 18 months at the time of the observation, and were in the 4th step of the Problem Solving Process (Identify Possible Solutions). In the beginning, they met every week for 2 hours, but at the suggestion of one of the team members, they switched to twice a month for 4 hours each. During an interview, a team member said that he felt with "3-4 hours, you feel like you've had a meeting. Since November of last year, we've made great progress. There just wasn't enough time before. It was totally inadequate, especially having to travel and everything."

The same team member also said that he initially suggested the problem that the team was working on to the Council. He was from another post of duty (POD) where they had a different system from the Regional Office. When the team was assigned the problem, they felt it was too open-ended. They went back and asked the Council to reduce it. The Council instructed the team to narrow the focus. Later, a report came out that the team used to help them narrow the scope. The team member then went on

the say that he felt if they had used the 8 step process from the beginning, they might have saved six months. The facilitator also told the researcher that most of the older teams had problems that were too broad. Subsequently, the Council was now making more of an effort to assign problems that were more realistic.

The team was composed of 4 members (two were bargaining unit employees), the team leader and the facilitator (both were managers). The team leader appeared to have a "strong personality" in the sense that he was very much "in charge" of the meeting. On the other hand, the facilitator indicated that he had the most technical knowledge, but that he had been making an effort to involve others more. In fact the TL was observed supporting others ideas and actions a number of times (Item #23), and encouraging members to participate (Item #24). He also engaged in light banter with a number of the members in order to establish rapport (Item #7).

G3 had been a full-time facilitator for 18 months and was facilitating 5 Quality Improvement Teams at the time of the observation. She began with 4 teams at the same time; however, she had been facilitating the

observed team for about 1 year. Prior to becoming a facilitator, she was a tax auditor. She also indicated that on the same day that she became a manager, she was detailed to the Quality Improvement Staff to become a facilitator.

#### Training/Experience

The facilitator attended Quality Leadership Training in 1987, Team Leader/Facilitator/ Team Member Training in 1988 and several sessions at the Association for Quality and Participation (AQP) Spring Conference (1988), one of which was a Basic Facilitator Development Course. She indicated, however, that most of her knowledge came from what she "had read and conversations with other facilitators because when she attended the Team Leader/Facilitator/Team Member Training mentioned above, she was the only facilitator and the instructors "didn't cover any of the facilitation stuff." For this reason, she said she felt she needed training in everything.

On the other hand, she had had a great deal of previous experience as an educator and cited a number of activities that she felt were beneficial. She also cited

a several IRS related work experiences that she felt helped to prepare her for the role of facilitator.

The team leader reported that he had 2 days of Quality Leadership Training and 7 days of Team Leader/Facilitator/Team Member Training in December 1987, 3 weeks after the team started. He also said that he conducted team member training for his team. When asked if he felt he needed more training, he replied, "That's hard to answer. I may not know enough, but I don't feel I need any. I may need some refreshers from time to time."

The team member who was interviewed said that he had 3 days of team member training and also had Quality Leadership Training. He did not feel that he had enough training up front to "get along". He went on to say that he would recommend "mini-session(s) to re-brief because he felt that you forget after 6-8 months."

#### Getting Ready/Setting Up for Success

During the first meeting, the team voted to have a rotating minute taker who would record team meeting minutes and distribute them prior to the subsequent meeting (Item #1). They also opted to have another

individual act as scribe to capture important ideas on flipcharts or the white board (Item #21). The team leader either asked for a volunteer or specifically asked someone to scribe in order to get them to be more active.

The facilitator said that she discussed the team leader and facilitator roles with the team (Item #1). However, she also admitted that there had been some problems. For example, she said that initially, the team leader from the observed team, was "too dominant". However, she quickly added that he had been trying to "downplay it" (his dominance) and was making an effort to involve others more (see above under Background).

In addition, the facilitator mentioned that she had "in a sense" developed a contract (Item #1) with team leaders and teams. It did not happen however, until after she had some problems with one of the teams (one that was observed for only a short period of time during the same visit). They wanted her to get into the "task" more and actually act more like a team member. The team leader even went to the Quality Coordinator and complained. This resulted in several joint meetings to attempt to resolve the problem. While the facilitator felt that things had improved somewhat, she still felt

that there problems because people did not understand what her role was. The researcher had an opportunity to talk briefly with the team leader in question along with one of the team members, and they both were of the opinion that the facilitator should do what the team wanted her to do.

All teams developed operating procedures (Item #2). They were recorded in the original minutes and were reviewed at the beginning of each meeting. The team leader was observed throughout the meeting making a concerted effort to enforce them.

The facilitator was responsible for the logistics of arranging for the room and making sure that everything was set up for the team when the meeting began (Item #5). The researcher observed her on several occasions getting markers and additional paper when the electronic white board ran out. She also made sure that flipcharts were available and the Problem Solving Chart was on the wall.

An agenda (Item #3) was developed at the end of the meeting. The team leader took the initiative to identify agenda items. He referred back to what had transpired during the course of the meeting and then asked the team if they had any other suggestions. During the interview,

he told the researcher that he always tries "to put more than we can possibly accomplish--to keep on the move." The facilitator felt that they usually stuck to the agenda and accomplished what they set out to do.

#### Before/After Meetings

Facilitator G3 was the only facilitator that was actually observed in pre and post meeting conferences with the team leader (Item #12). She had a checklist of questions that she systematically went over with the team leader to ensure that he was ready and prepared for the meeting.

During the meeting, she took extensive notes (Item #22) that she used in the post meeting conference with the team leader. She began by encouraging him to share his perceptions of how the meeting went and what if any problems he felt they needed to discuss. She then shared her perceptions with him and complimented him several times on his overall approach, his actions in enforcing the ground rules, drawing others out, and in trying to establish rapport with one team member in particular.

The team leader was very receptive to the facilitator during the meeting and in the before and

after conferences. He made a point of thanking her for her assistance each time. They appeared to have established excellent rapport (Item #7). This was not the case, however with another team mentioned earlier. The researcher spent some time informally observing and talking with the team leader and some of the team members. By her own admission, the team leader resisted efforts of the facilitator to conduct pre and post meetings, dismissing them as contrived and not necessary.

The facilitator prepared materials (Item #10) for the meeting which she shared with the team leader prior to the meeting. She also checked with the manager of another unit to pave the way for a particular activity that the team needed to accomplish (Item #13).

#### During Meetings

During the meeting, the facilitator sat at the back of the room near the researcher. She was observed taking notes throughout, which were used later during the post meeting conference with the team leader.

When she was asked to respond to the question about when and how she made interventions, she said that she tried "to hold back as long as possible if I know the

team well enough, if they will self-correct." However, for newer teams she indicated, "I will intervene sooner if they say they're going to do one thing, but then do something else; or, if something is left out." (Item #16).

As mentioned earlier, the observed team had a particularly strong leader who was very much in charge. He was not only involved in leading the team through the task aspects of the meeting, but also, took responsibility for much of the group maintenance activities (See Background above).

Nonetheless, during the meeting, the researcher observed the facilitator make a number of interventions to assist the team. For example, she asked questions to clarify (Item #27), 4 times; suggested time frames or milestones (Item #18), 3 times; and provided technical or other information (#17), 3 times. A summary of these and other activities is found on the Activity Summary Sheet which follows this report.

MBTI/HBDI Profiles

G3 had an ENTJ profile which would indicate that she was hearty, frank, decisive and a leader. In addition, according to her profile type, she would be adept at anything that required reasoning and intelligent talk; and would be well informed and enjoy adding to her fund of knowledge.

G3's HBDI profile matched her MBTI profile in that it demonstrated a very strong preference for logical, analytical, mathematical and technical (Upper Left or A Quadrant) activities. However, this was augmented by strong preferences for Lower Left (B Quadrant) activities such as administrative, controlling, and planning; and Lower Right (C Quadrant) activities which are typically interpersonal and emotional. Her least preferred mode which was moderate in terms of strength, was Upper Right (D Quadrant). This mode is indicative of individuals who are imaginative and artistic and prefer holistic, conceptual and synthesizing activities. While she would not necessarily prefer these latter activities, she would nonetheless feel comfortable engaging in them. Overall, G3 could be said to be well balanced, but with a slightly stronger preference for the Upper Left activities.

Data collected during interviews and observations, supported Facilitator G3's profile scores. For example, she was very logical, prepared and organized for meetings. In terms of interventions, she asked clarifying questions (Item #27), 4 times; suggested timeframes or deadlines (Item #18), 3 times; and provided technical information (Item #17), 3 times.

She was also very enthusiastic and frank in all discussions with the researcher, quick to point out problems as well as successes. She freely admitted that she thought her own "personality" might be a barrier to her working successfully with some of the teams because of her need for details. Furthermore, she demonstrated a keen desire to become technically competent in terms of the Problem Solving Process and facilitation, stating that she "needed training in everything."

### Barriers

Two barriers identified by the facilitator as keeping her from being more successful was mentioned above: her own personality and lack of knowledge of the topic.

Another barrier that she and one of the team members identified during interviews related to the scope of the problems assigned to the teams. However, there appeared to be some improvement in this area.

The team leader also referred to what was perceived to be another barrier. He said that the Quality staff, including the facilitator, "needed to be more attuned to the fact that we work for a particular Division. Our first loyalty is to the function." He also referred to working on Quality Improvement Teams as a "collateral duty" with no decrease in the amount of work expected to be done. This appears to be a pervasive problem throughout the Service. In other words, the job comes first, quality second.

Finally, the facilitator also mentioned that the facilitator role "should be more active and should be taught that way from the beginning. People thought you were supposed to sit and make sure they do what they are supposed to do." This is another problem that has been mentioned over and over and was identified in the Needs Assessment mentioned elsewhere in this paper.

## VITA

Joan Elizabeth Cassidy's multifaceted career spans two decades and reflects experience in numerous aspects of education and Total Quality Management in the nonprofit, private, and public sectors. She has held positions in education and management at local, national and international levels. Her achievements have been acknowledged by local, state, national and international organizations in the areas of leadership, organizational effectiveness, human resource development and education. She is currently Director of Total Quality Management at SIPCA, Securink, an international company that manufactures security inks. She also teaches Total Quality Management at Marymount University.

Joan earned her Bachelor of Arts degree in French and Spanish at Florida State University in Tallahassee, Florida, where she was an honors student in both French and Spanish. She earned a Master of Science degree in Educational Administration/Supervision at Florida International University in Miami, Florida.